Is It A Record?

Recorded Information

Are you or your organization the creator of the record? Did you generate or receive the information to use for your technical/administrative work in conducting agency business?
— YES → **RECORD**
— NO ↓

Does it contain informational value as evidence of your organization's functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?
— YES → **RECORD**
— NO ↓

Is it material that originated in another office or outside your agency, but on which you commented or took action?
— YES → **RECORD**
— NO ↓

Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events, and decisions?
— YES → **RECORD**
— NO ↓

Is it an original document related to agency business that does not exist elsewhere?
— YES → **RECORD**
— NO ↓

Is it a draft or interim document that has not been circulated to others or does not contain substantive comments, and for which there is a final version being maintained?
— YES → RECORD (crossed out / not a record)
— NO ↓

Is it published or processed information that you received and use as reference?
— YES → RECORD (crossed out / not a record)
— NO ↓

Is it a copy of a document or correspondence kept only for convenience of reference on which no action is taken?
— YES → RECORD (crossed out / not a record)
— NO ↓

Is it information which is accumulated and maintained at the workplace, but which does not affect or reflect the transaction of your program business?
— YES → RECORD (crossed out / not a record)
— NO ↓

Is it junk mail or documentation that has no work-related informational or evidentiary value?
— YES → RECORD (crossed out / not a record)
— NO ↓

When in doubt, treat it as a record.
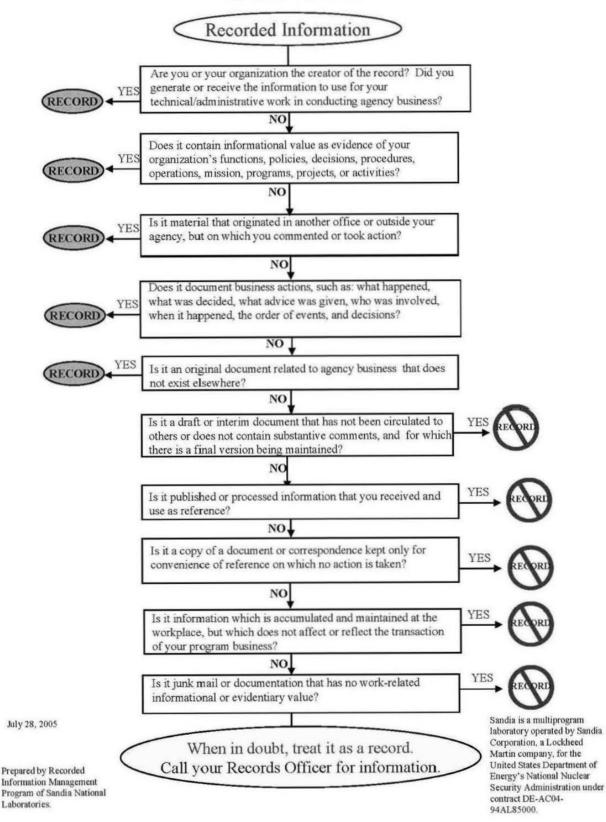**Call your Records Officer for information.**

July 28, 2005

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Working Papers Quick Reference Guide

Working Papers Quick Reference Guide

Working papers are rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of activity being documented. Working papers, including drafts, background information, etc., may or may not be needed as part of the documentation for activities.

Working Papers are retained when…

In some cases, working papers such as drafts, notes, comments, and background materials may be needed to adequately document agency activities. Drafts and working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations should be preserved.

Principal Categories of Disposable Working Papers…

In other cases, working papers may not be needed once a document is completed. There are two principal types of disposable working papers:

- Working papers that receive no official action themselves, are not reviewed or approved by others, and are simply used to prepare documents for official action such as review, signature, publication, etc.

  Examples: Budget calculations using different parameters, preliminary outlines for a report, lists of suggested points to be included in a memo

- Working papers that relate to preliminary, interim, or ancillary activities that are **not needed** as part of the official record of the activity

  Examples: Drafts of routine memoranda and correspondence and proposed changes, informal comments received on a draft publication, documents used to brief staff and achieve concurrence on a proposed action

Specific Types of Working Papers Include…

Drafts

Drafts, and the comments on them, require special attention. In some cases, drafts and comments on them must be included in the official files as part of the documentation of the activity. Although records of Federal agencies usually contain high-level policies and decisions, policy formulation and execution may be poorly documented. Support documents such as drafts and working files for reports, special studies, memoranda, and correspondence that support major program policy development may not be incorporated into office files. These support documents may be needed to fully understand the alternatives and options considered for high-level program initiatives, and the basis for deciding on a course of action. Some drafts contain unique information in substantive annotations or comments added during circulation for comment or approval. Agencies should maintain such drafts, with the file copy of the final document, if any, when the drafts relate to formulation and execution of high-level policies, decisions, actions, or responsibilities.

However, there are many instances when drafts can be safely destroyed. Drafts and working papers or files that relate to routine program or administrative operations or that contain only corrections or editorial or stylistic changes may be disposed of as nonrecord materials. Examples include drafts not circulated for comment and drafts of most general publications, correspondence, internal memoranda, and other documents not related to critical functions. In such cases, drafts and editorial comments can be destroyed once changes have been included in a revised version.

Notes

Unless otherwise specified, notes may be destroyed or deleted once they are incorporated into a final product. Examples include notes used to prepare minutes of meetings, records of telephone conversations, decision memoranda, or other documents when the gist of the discussion, conversation, direction, or other activity is embodied in a document that states the official Agency decision, position, or outcome.

Comments

Unless otherwise specified, comments received on drafts, proposals, suggestions, and similar things can be deleted or destroyed once they have been incorporated or summarized for the official record. Examples include editorial comments on drafts of internal memoranda, routine correspondence, and reports.

However, comments received via a formal Agency comment process, comments received from the public community, or comments received during a formal review by outside experts should be carefully documented for the record, either by keeping the original comments themselves, or, if volume is extensive, keeping a summary of the comments and how they were used. Substantive comments added during circulation for comment or approval of policy and other important documents should be retained.

Development materials

Special attention should be given to notebooks, calculations, and other background materials that may contain information needed to supplement formal records. *However,* documents such as preliminary calculations, approaches to issues, outlines, and other documents that the individual uses to prepare documents for official action can be destroyed or deleted once they are incorporated into a final product.

Examples include annotated copies of documents, preliminary calculations, results of preliminary investigations, lists of points to be considered or included, ideas or suggestions received from coworkers, and other documentation used in the development of documents for official action.

Points to Remember about Working Papers

- Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of activity being documented
- When in doubt, contact your Records Manager for further guidance

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Email Quick Reference Guide

Email Messages Are Records When…

- They are made or received by your agency under Federal law or in connection with public business; *and*
- They are preserved or are appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the information value of the data they contain

Principal Categories of Emails to Be Preserved

Preserve any email correspondence that:

- Documents the formulation and execution of basic policies and decisions and the taking of necessary actions
- Documents important meetings
- Facilitates action by you or your successors
- Makes possible a proper scrutiny by the Congress or by duly authorized agencies
- Protects the financial, legal, and other rights of the government and of persons directly affected by the government's actions

Email Messages that May Constitute Federal Records

Your email may be a Federal record if it:

- Provides key substantive comments on a draft action memorandum, or adds to a proper understanding of the formulation or execution of Agency action
- Provides documentation of significant Agency decisions and commitments reached orally (person-to-person, by telecommunications, or in conference) that is not otherwise documented in your files
- Conveys information of value on important Agency activities, or adds to a proper understanding of Agency operations and responsibilities

Points to Remember about Email

- Agency email systems are for "official use" only by authorized personnel
- Before deleting any email message, determine whether it meets the legal definition of a record and, if so, preserve a copy of the message

- Printed messages kept as a record should contain essential transmission, receipt data, and attachments; if not, print the data or annotate the printed copy
- File printed messages and essential transmission and receipt data with related files
- Delete messages that are not records when no longer needed
- Delete messages that are records after they have been placed in a recordkeeping system

Email Directive

Electronic Mail Record

This section establishes agency policies for managing electronic mail.

1. Summary

This section establishes policies and responsibilities for managing the creation, maintenance, use, and disposition of electronic mail. In this section, electronic mail includes the message and all attachments.

2. Authority

The management of electronic mail complies with 44 U.S.C. Chapters 21, 29, 31, 33 and 33 and 18 U.S.C. Chapter 101, and regulations established by NARA for managing Federal records as stated in 36 CFR parts 1220, 1222, 1228, and 1234. The agency manages electronic mail in accordance with 36 CFR 1234.24. The agency uses the standards contained in 36 CFR part 1234 to manage Federal electronic mail that is maintained in an electronic recordkeeping system.

3. General Policy

a. All government employees and contractors are required by law to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. In addition, Federal regulations govern the lifecycle of these records: They must be properly stored, preserved, and available for retrieval, and may be disposed of only in accordance with NARA approved records control schedules.

b. Employees are encouraged to use electronic mail because it is a cost-effective communications tool. This guidance assists agency personnel with managing electronic mail effectively.

c. Agency electronic mail systems are for official use only by authorized personnel. The information in these systems is departmental, not personal. Utilization of electronic mail for other than official, authorized purposes is prohibited. No expectation of privacy or confidentiality applies.

d. Users of agency electronic mail systems will not alter or improperly dispose of any electronic mail message, record of transmission and receipt date, or attachment (such as a document) which meets the definition of a Federal record

4. **Definitions**

a. **Electronic Mail (Message).** 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

b. **Electronic Mail Record.** A document created by or received via an electronic mail system which meets the definition of a Federal record as specified in 44 U.S.C. 3301.

c. **Electronic Mail System.** A computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and electronically generated documents not transmitted on an electronic mail system.

d. **Federal Record.** All books, papers, maps, photographs, machine-readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government 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 government or because of the informational value of data contained in them.

Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

e. **Transmission Data.** Information in electronic mail systems regarding the identification of sender and addressee(s), and the date and time messages were sent.

f. **Receipt Data.** Information in electronic mail systems regarding date and time of receipt of a message, and acknowledgment of receipt or access by addressee(s).

g. **Recordkeeping System.** A manual or electronic system in which records are collected, organized, and categorized to facilitate their presentation, retrieval, use, and disposition.

5. **Maintaining and Preserving Electronic Mail**

a. Determine if electronic mail is a Federal record. The sender and the person who receives electronic mail independently determine whether or not the message and its attachments meet the definition of a Federal record for their office. The following are examples of electronic mail that constitute Federal records:

(1) Electronic mail that contains substantive information that is necessary to document the activities and functions of the agency adequately and properly

(2) Electronic mail that provides key substantive comments on a draft action memorandum if the electronic mail message adds to a proper understanding of the formulation or execution of agency action

(3) Electronic mail that provides documentation of significant agency decisions and commitments reached orally (person-to-person, by telecommunications, or in conference)

(4) Electronic mail that conveys information of value on important agency activities if the electronic mail message adds to a proper understanding of agency operations and responsibilities

(5) Electronic mail that documents the formulation and execution of basic policies and decisions

(6) Electronic mail that documents important meetings

(7) Electronic mail that denotes actions taken by agency officials and their successors

(8) Electronic mail that makes possible a proper scrutiny by the Congress or other duly authorized agencies of the government

(9) Electronic mail that protects the financial, legal, and other rights of the agency and of persons directly affected by the agency's actions

b. Electronic mail that is a Federal record: Electronic mail determined to be Federal record(s) falls into three categories: permanent records, temporary records, and transitory records

(1) Permanent electronic mail includes those messages that NARA appraises as having sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States. Electronic mail is scheduled as permanent by a NARA approved Request for Records Disposition (SF 115) because the records have continuing value as documentation of the organization and functions of an agency of the Federal Government or because the records document the nation's history by containing significant information on persons, things, problems, and conditions. Electronic mail may be scheduled as permanent as part of a larger series or as the electronic mail of a designated agency official, such as an Under Secretary.

(2) Temporary electronic mail includes those messages that NARA approves for immediate disposal or for disposal after a specified period of time or event, in accordance with a NARA approved Request for Records Disposition (SF 115) or the General Records Schedules. Temporary records may document agency business processes or document legal rights of the government or the public, document government accountability, or contain information of administrative or fiscal value. Depending on the type of record, the retention period may range from immediate destruction to as long as 100 years.

(3)   Transitory electronic mail includes those messages of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory electronic mail messages include:

(a)   Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply

(b)   Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material

(c)   Quasi-official notices including memorandums and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records (see General Records Schedules 23, item 7)

(d)   Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities (See GRS 23, item 5b)

(e)   Maintaining electronic mail (for the appropriate retention period, in the case of temporary records; permanently, in the case of permanent records), filing it, and making it available, involve the following considerations

(4)   Electronic mail must be preserved for its appropriate retention period (which may be transitory), along with essential transmission and receipt data (names of sender and addressee(s) and date message was sent) for each electronic mail message in order for the context of the message to be understood. Disposition of all electronic mail records will be made in accordance with an authorized records disposition schedule.

(5)   Permanent and temporary electronic mail is maintained and made available for office use by:

(a)   Printing the email message (with attachment) and filing, when paper files are used as the recordkeeping system. The printed copy of the electronic mail must be filed in the manual recordkeeping system.

(b)   Filing the email electronically, when an electronic recordkeeping system is used as the recordkeeping system. (See 36 CFR 1234.24 (a)–(d)). Note that organizations that choose to manage electronic mail records electronically must either: (1) be able to perform all requirements of preservation, protection, storage, retrieval, and disposition through the electronic mail application system itself, or (2) copy electronic mail records into an electronic recordkeeping system able to perform all the functional requirements of the Federal regulations. "Backups" made as a normal part of electronic mail systems operation and maintenance do not meet these requirements and should not serve as an electronic recordkeeping system.

(6)   Transitory electronic mail may be maintained in the "live" email system. These emails with attachments will be deleted after 90 days by the automated delete feature of the email system.

6. Retention and Disposition of Electronic Mail Records

a. When electronic mail is retained as a Federal record, the retention period is governed by the appropriate NARA approved agency records control schedule or the General Records Schedules. Temporary records are kept for defined periods of time pending destruction and permanent records are transferred to the National Archives of the United States for permanent preservation.

b. Electronic mail users who are uncertain about the disposition of electronic mail messages should contact their Program Office Records Officer or the Agency Records Officer for assistance

c. If an electronic mail item, either sent or received, is a Federal record, it is the responsibility of the agency employee to ensure that a copy is preserved by making it a part of the official files of agency, unless it is a transitory record

d. Besides the text of electronic mail messages, electronic mail systems may provide records transmission and receipt data. Transmission data (such as the identity of the sender and addressee(s) and the date on which the message was sent) must be preserved with all electronic mail items defined as Federal records. Just as with a paper record, these transmission data are necessary for an electronic mail record to be complete and understandable.

e. Electronic mail systems may also provide users with the ability to request acknowledgments or receipts showing that an electronic mail message reached the mailbox or inbox of addressee(s) and was accessed. Electronic mail users should request receipt data when they are needed for adequate and proper documentation of agency activities, especially when the data are necessary to confirm that an electronic mail message was received and accessed. In such instances, receipt data associated with the record copy of the electronic mail message will be preserved.

f. When the recordkeeping copy is maintained in paper, the printed electronic mail message with attachments will be annotated to document that it is the official file copy before being placed in the official files of the responsible organization

7. Electronic mail Received from External Sources

These procedures also apply to electronic mail received from nonagency and other outside sources, e.g., through the Internet or other commercial network services.

8. Compliance Reviews

Compliance with these procedures will be accomplished through periodic reviews and evaluations to be conducted under the supervision of the Agency Records Officer.

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Contractor Records Retention

Federal Acquisition Regulations

Subpart 4.7 – Contractor Records Retention

4.700 Scope of subpart.

This subpart provides policies and procedures for retention of records by contractors to meet the records review requirements of the Government. In this subpart, the terms "contracts" and "contractors" include "subcontracts" and "subcontractors."

4.701 Purpose.

The purpose of this subpart is to generally describe records retention requirements and to allow reductions in the retention period for specific classes of records under prescribed circumstances.

4.702 Applicability.
   a. This subpart applies to records generated under contracts that contain one of the following clauses:

   (1) Audit and Records – Sealed Bidding (52.214-26).

   (2) Audit and Records – Negotiation (52.215-2).

   b. This subpart is not mandatory on Department of Energy contracts for which the Comptroller General allows alternative records retention periods. Apart from this exception, this subpart applies to record retention periods under contracts that are subject to Chapter 137, Title 10,U.S.C., or 40 U.S.C. 101, *et seq*.

4.703 Policy.
   a. Except as stated in 4.703(b), contractors shall make available records, which includes books, documents, accounting procedures and practices, and other data, regardless of type and regardless of whether such items are in written form, in the form of computer data, or in any other form, and other supporting evidence to satisfy contract negotiation, administration, and audit requirements of the contracting agencies and the Comptroller General for –

   (1) 3 years after final payment or, for certain records;

   (2) The period specified in 4.705 through 4.705-3, whichever of these periods expires first.

b. Contractors shall make available the foregoing records and supporting evidence for a longer period of time than is required in 4.703(a) if –

    (1) A retention period longer than that cited in 4.703(a) is specified in any contract clause; or

    (2) The contractor, for its own purposes, retains the foregoing records and supporting evidence for a longer period. Under this circumstance, the retention period shall be the period of the contractor's retention or 3 years after final payment, whichever period expires first.

    (3) The contractor does not meet the original due date for submission of final indirect cost rate proposals specified in paragraph (d)(2) of the clause at 52.216-7, Allowable Cost and Payment. Under these circumstances, the retention periods in 4.705 shall be automatically extended one day for each day the proposal is not submitted after the original due date.

c. Nothing in this section shall be construed to preclude a contractor from duplicating or storing original records in electronic form unless they contain significant information not shown on the record copy. Original records need not be maintained or produced in an audit if the contractor or subcontractor provides photographic or electronic images of the original records and meets the following requirements:

    (1) The contractor or subcontractor has established procedures to ensure that the imaging process preserves accurate images of the original records, including signatures and other written or graphic images, and that the imaging process is reliable and secure so as to maintain the integrity of the records.

    (2) The contractor or subcontractor maintains an effective indexing system to permit timely and convenient access to the imaged records.

    (3) The contractor or subcontractor retains the original records for a minimum of one year after imaging to permit periodic validation of the imaging systems.

d. If the information described in paragraph (a) of this section is maintained on a computer, contractors shall retain the computer data on a reliable medium for the time periods prescribed. Contractors may transfer computer data in machine readable form from one reliable computer medium to another. Contractors' computer data retention and transfer procedures shall maintain the integrity, reliability, and security of the original computer data. Contractors shall also retain an audit trail describing the data transfer. For the record retention time periods prescribed, contractors shall not destroy, discard, delete, or write over such computer data.

4.704 Calculation of retention periods.

a. The retention periods in 4.705 are calculated from the end of the contractor's fiscal year in which an entry is made charging or allocating a cost to a Government contract or subcontract. If a specific record contains a series of entries, the retention period is calculated from the end of the contractor's fiscal year in which the final entry is made. The contractor should cut off the records in annual blocks and retain them for block disposal under the prescribed retention periods.

b. When records generated during a prior contract are relied upon by a contractor for cost or pricing data in negotiating a succeeding contract, the prescribed periods shall run from the date of the succeeding contract.

c. If two or more of the record categories described in 4.705 are interfiled, and screening for disposal is not practical, the contractor shall retain the entire record series for the longest period prescribed for any category of records.

4.705 Specific retention periods.

The contractor shall retain the records identified in 4.705-1 through 4.705-3 for the periods designated, provided retention is required under 4.702. Records are identified in this subpart in terms of their purpose or use and not by specific name or form number. Although the descriptive identifications may not conform to normal contractor usage or filing practices, these identifications apply to all contractor records that come within the description.

4.705-1 Financial and cost accounting records.

a. Accounts receivable invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents that detail the material or services billed on the related invoices: Retain 4 years.

b. Material, work order, or service order files, consisting of purchase requisitions or purchase orders for material or services, or orders for transfer of material or supplies: Retain 4 years.

c. Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses: Retain 4 years.

d. Paid, canceled, and voided checks, other than those issued for the payment of salary and wages: Retain 4 years.

e. Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material or services, and debit and credit memoranda: Retain 4 years.

f. Labor cost distribution cards or equivalent documents: Retain 2 years.

g. Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents: Retain 2 years.

4.705-2 Pay administration records.
a. Payroll sheets, registers, or their equivalent, of salaries and wages paid to individual employees for each payroll period; change slips; and tax withholding statements: Retain 4 years.

b. Clock cards or other time and attendance cards: Retain 2 years.

c. Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees: Retain 2 years.

4.705-3 Acquisition and supply records.
a. Store requisitions for materials, supplies, equipment, and services: Retain 2 years.

b. Work orders for maintenance and other services: Retain 4 years.

c. Equipment records, consisting of equipment usage and status reports and equipment repair orders: Retain 4 years.

d. Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract: Retain 4 years.

e. Receiving and inspection report records, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials: Retain 4 years.

f. Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see 52.244-2): Retain 4 years.

g. Production records of quality control, reliability, and inspection: Retain 4 years.

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

Electronic Records Management (ERM) E-Government Initiative
Enterprise-wide Electronic Records Management Issue Area
August 23, 2004

Page URL: *http://www.archives.gov/records-mgmt/policy/requirements-guidance.html*

1. INTRODUCTION

The strategic focus of the Office of Management and Budget's (OMB) Electronic Government (E-Gov) Initiatives is to utilize commercial best practices in key government operations. The National Archives and Records Administration (NARA) is the managing partner for the Electronic Records Management (ERM) E-Gov Initiative. NARA's ERM Initiative will provide a government-wide policy framework and guidance for electronic records management.

This guidance document is one of a suite of documents to be produced under NARA's ERM Initiative that, when taken together, form the structural support for ensuring a level of uniform maturity in both the Federal Government's management of its electronic records and in its ability to transfer electronic records to NARA. For further information on the ERM Initiative and the guidance documents produced for the Initiative, please see *http://www.archives.gov/records-mgmt/initiatives/erm-overview.html*.

This document is the second of four documents to be produced under the enterprise-wide ERM Issue Area. The enterprise-wide ERM documents are aimed at helping agencies understand the technology and policy issues associated with procuring and deploying an enterprise-wide[1] ERM system.[2] They include *guidance* for evaluating Capital Planning and Investment Control (CPIC) proposals; guidance on developing agency-specific functional requirements for ERM systems; guidance on developing and launching an ERM pilot project; and a "lessons learned" paper from the Environmental Protection Agency's proof-of-concept ERM pilot as well as other agencies' implementation experiences.

Application of This Guidance Document

This document is intended to help agencies manage and scope the requirements analysis step of an enterprise-wide ERM acquisition project. It provides a process for identifying potential ERM system requirements that are not included in the Design Criteria Standard for Electronic Records Management Applications, DOD 5015.2-STD (v.2) (*http://jitc.fhu.disa.mil/recmgt/p50152stdapr07.pdf*), which has been endorsed by the Archivist of the United States for civilian agency use (*http://www.archives.gov/records-mgmt/bulletins/2003/bulletin-2003-03.html*). As a product of the ERM E-Gov initiative, this guidance should be interpreted as a "best practice" that agencies should adhere to when deciding to customize 5015.2-certified RMA software.

Differences in agency cultures, business needs, and technology infrastructure may generate unique RM requirements for an enterprise-wide implementation of ERM systems that the DoD standard does not address. Furthermore, enterprise-wide ERM systems may interact with other record-producing, enterprise-wide applications, including document management, correspondence tracking, content management, and workflow systems. These additional requirements are not addressed in DoD 5015.2-STD, as they are outside of the RM scope of the design standard.

The primary audience for this document is the project management teams of those Federal agencies that have already made the decision to acquire and implement an ERM system. This document makes a number of assumptions (detailed below) about the level of knowledge concerning ERM systems and about the capabilities an agency possesses to acquire and

implement an ERM system. Those agencies that are contemplating implementation of an ERM system should use this guidance document in their early planning efforts. The assumptions are:

- An enterprise-wide ERM system is being planned and has successfully emerged from the capital planning investment process (*http://www.whitehouse.gov/omb/circulars/a11/current_year/s300.pdf*)

- Enterprise-wide deployment of an ERM system is accounted for in the agency enterprise architecture and conforms to the Federal Enterprise Architecture Framework (FEAF) *http://www.whitehouse.gov/omb/e-gov/fea/*

- The Agency Records Officer has an understanding of ERM (purpose, components, and functionality) and how it differs from paper recordkeeping

- Some enterprise-wide analysis of business process has already gone on and ERM was selected, among other business processes, for enterprise-wide automation. These include, but are not necessarily limited to, business process re-engineering and cost-benefit analysis that would be part of making the value proposition substantiating an enterprise-wide move towards ERM.

- The agency will incorporate all of the mandatory requirements of the Design Criteria Standard for Electronic Records Management Applications, DoD 5015.2-STD into its ERM system. The agency will also incorporate applicable DoD 5015.2-STD non-mandatory requirements (e.g., relating to national security classified information).[3]

This guidance was developed from the experience of Federal agency managers whose aim was to have one enterprise-wide ERM system but who found it necessary to incorporate additional, agency-unique requirements beyond those contained in the 5015.2 (v.2) specification. It is intended to assist other agencies as they plan and design their own enterprise-wide ERM systems.

Gathering requirements is just one of the steps in implementing an ERM system or any information technology (IT) system. Prior steps may include program creation, business case analysis, enterprise architecture analysis, and business process analysis. Further steps may include product evaluations, cost-benefit analysis, pilots, and implementation. Each organization must map out its own process for implementing an ERM system.

This methodology provides additional guidance, based on the experience of one Federal agency, regarding the requirements-gathering step. While every organization will perform this step, each will perform it differently and will obtain different results. This methodology discusses the process of gathering requirements at a high level so that each organization can apply it to its own environment.

A *Glossary* is included at the end of this document for the general understanding of the terms and concepts used throughout this document.

ERM Applications – Background and Context

The ERM requirements addressed in this document will be used to implement an ERM application[4] using DoD 5015.2 (v.2) as a requirements baseline. ERM applications provide the business logic required to capture, control, maintain, and dispose of electronic records. They provide the user with the ability to declare electronic files as records and associate them to a file

code and corresponding disposition authority. DoD 5015.2-STD-certified ERM applications (*http://jitc.fhu.disa.mil/recmgt/register.htm*) accomplish this in a manner that guarantees conformance with Federal recordkeeping statutes and regulations.

Using ERM applications, agencies can implement file plans, control dispositions, and access agency records. Initially, these products were standalone systems. Recently, some electronic document management (EDM) companies and enterprise content management (ECM) vendors have acquired ERM products and integrated their records management capabilities into their products. In these cases, the ERM application provides the records management logic, and the EDM or ECM system supports such tasks as document capture, storage, search, access, and workflow.

The capabilities of some ERM products have been extended to include many of the functions commonly associated with EDM or ECM products. An ERM product may offer workflow and versioning tools, in addition to its standard records management functions.

Market forces continue to drive ERM/EDM/ECM software producers to develop systems with various combinations of document, content, and records management capabilities. Agencies will have to decide which product combinations best meet their business needs and information architecture. The process outlined in this document for identifying agency-unique requirements is applicable to any system, or combination of systems, that is intended to implement records management capabilities.

The DoD 5015.2-STD – a Current Requirements Standard

In November 1997, the Defense Department (DoD) released the *Design Criteria Standard for Electronic Records Management Applications, DoD 5015.2-STD*. This standard described the minimum requirements derived from Federal statutes and regulations that an ERM application must support for use within DoD. DoD revised 5015.2 in June 2002 to include additional requirements including classified markings, access control, declassification, and downgrading. The DoD Joint Interoperability Test Command (JITC) has also developed a test program to certify products against 5015.2.

The 5015.2 standard sets minimum functional requirements for ERM applications. It specifies the design criteria needed to identify, mark, store, and dispose of electronic records. It does not define how the product is to provide these capabilities. It does not define how an agency manages electronic records or how an ERM program is to be implemented. Its original purpose was to specify mandatory and optional design requirements that a commercial off-the-shelf (COTS) product must support before DoD components could use it.

While 5015.2 mandates ERM application requirements for DoD, it has become the recommended standard for the rest of the Federal Government. Many agencies and government organizations, including the Department of Education, Environmental Protection Agency, Department of Energy, Federal Deposit Insurance Corporation, Social Security Administration, U.S. Patent and Trademark Office, and others, require 5015.2 certification in selecting ERM applications. As part of the ERM Initiative, *NARA Bulletin 2003-03*, released January 2003, recommends that all agencies use the second version of the 5015.2 standard and the DoD-

certified products as a baseline when selecting an ERM application to manage agency electronic records.

2. SECTION 1 – REQUIREMENTS GATHERING BEYOND 5015.2

DoD 5015.2 provides a generic set of requirements for ERM applications. These requirements may not be sufficient for use by other agencies or organizations. An organization will want to start with the 5015.2 requirements as a baseline and then determine if it has additional specific requirements.

The steps in Section 1 will assist in identifying agency-specific ERM requirements by examining project scope, existing electronic records systems, information technology architecture, and information policies. After a list of non-5015.2 requirements is identified, each requirement will be reviewed for inclusion in the ERM system (*Section 2*).

Step One: Determine ERM Scope

While the intent is to develop an enterprise-wide system, some agency records may not be managed by the ERM for operational reasons (e.g., budget, security). The goal of this step is to gather basic information on what records the system will (and will not) manage. Defining the scope will establish what end users can expect the system to accomplish.[5]

- Even if an ERM system is implemented enterprise-wide, it may not be practical or cost-effective to manage all records in all formats. You should identify the various types of agency-specific records that are created.
  Record formats to consider include:
  - Email
  - Office automation software suites
  - Forms (including electronic)
  - Web content
  - Paper
  - Faxes
  - Output and transactions from agency information systems
- Who will use the system? These stakeholders need to be consulted on how the system will create, capture, maintain, disseminate, and dispose of the records they generate in the course of agency business. Stakeholders may be able to identify unique business processes or activities that some ERM systems may not be able to manage.
  Stakeholders with potential requirements:
  - Chief Information Officers (CIOs)
  - Recordkeepers
  - Agency Records Officers
  - Agency program staff
  - Other government agencies with which your agency interacts

- – Citizens and other interested parties
- – IT staff
- Agencies will have a variety of records that include national security classified or sensitive information.
  What types of sensitive information will the system include?
  - – Privacy Act systems of records
  - – Freedom of Information Act (FOIA)-exempt
  - – Confidential business information
  - – Litigation
  - – Law enforcement
- All organizations have existing systems that create or store electronic records. Most of these are not designed to provide basic recordkeeping functionality, such as file plan organization and disposition. Once systems that create or store electronic records are identified, the decision to migrate[6] or integrate[7] them into an ERM system may generate agency-specific requirements. An existing system that creates electronic records may require a specific type of application programming interface (API) to integrate properly with the proposed ERM.
  Review existing systems to determine:
  - – What information systems create or contain records?
  - – What types of records do they create or contain?
  - – What records management functionality do they provide?
  - – Will legacy systems be integrated or migrated?[8]
    - • If integrated, what functionality between the legacy system and ERM application should integration support?
    - • If migrated, what legacy system functionality should be replicated in the ERM system?

For each item found to be in-scope, determine if the 5015.2 requirements adequately address the business processes of the organization. If not, a new requirement may need to be defined.

Step Two: Review Infrastructure and IT Architecture

Identify unique agency infrastructure or architecture that could result in unique requirements for the ERM system. Agencies should have an enterprise-wide IT architecture that provides the baseline for the existing infrastructure and lays the foundation for future infrastructure improvements. Any ERM system must fit within the existing infrastructure and the organization must incorporate ERM into the enterprise architecture.

Items to review include:

- Network – servers and system software
- Security
- Desktop applications
- Standard desktop configuration

An ERM system managed at the agency level will have different IT architectural implications than one managed at the branch level. For example, an agency-level ERM system might require different server resources or architecture than a system for a single division or branch.

- At what organizational level will the system be administered?
  - Agency or at a lower level (e.g., sub-agency, program, division, branch)

Step Three: Review Agency Records and Information Resources Management (IRM) Guidance and Directives

Organizations have records and organizationally unique IRM policies that support paper records. Some organizations have organizationally unique RM policies to address a limited set of electronic records (e.g., email). Any ERM system should be required to support those provisions.

For example, an agency might have a very detailed file plan that does not work effectively with certain ERM systems. This may force the agency to decide which approach is more productive: changing the file plan to accommodate the ERM or finding an ERM that works better with the existing file plan. If the decision is to have an ERM that will accommodate the file plan, a new requirement may need to be defined.

Items to review include:

- RM policies
- IRM policies (including when there is a need for business process re-engineering and business case requirements such as determining a value proposition, determining a return on investment, or conducting cost/benefit analyses)
- Security policies, including policies and procedures for protection of national security classified information
- File plans[9]
- Schedules – Disposition and Retention

Step Four: Review Available Standards

In addition to 5015.2, standards are available or under development that may also provide requirements, guidance, or insight into ERM systems. Although these standards will not be agency-specific, they represent proven ideas and best practices within the industry and among other organizations for addressing an ERM system implementation.

Standards to review include:

- *Model Requirements for the Management of Electronic Records (MoReq)*
  http://www.moreq.info
- ANSI/AIIM/ARMA TR48-2006 Revised Framework for the Integration of Electronic Document Management Systems and Electronic Records Management
  http://www.aiim.org/productcatalog/Product.aspx?id=1271
- Reports by Doculabs on ERM, EDM, and ECM systems
  http://www.doculabs.com/page.aspx?display=WhitePapers

- *International Standard ISO 15489-1: Information and Documentation – Records Management*
  http://www.iso.org/iso/catalogue_detail?csnumber=31908

3. SECTION 2 – REQUIREMENTS ANALYSIS

After completing the steps in Section 1, a list of potential new requirements has been generated. Now each requirement must be analyzed to determine if it will be included in the final list of ERM system requirements. The following steps outline the analysis process.

Step One: Review Requirements

Review the characteristics of each requirement according to the following questions. The answers to these questions will determine which requirements need to be revised or eliminated.

- Tests of a well written (clear and effective) requirement:
  - Does it describe a system functionality?
  - Is it clear?
  - Is it concise?
  - Is it testable or verifiable?
  - Does it express a single idea?
  - Does it map clearly to specific organizational goals?
  - Does it map directly to business processes or policies?
  - Does it describe the user's needs?
  - Does it identify expected performance targets or measurable value?
  - Describe high-level functionality (too vague?)
  - Describe low-level functionality (too implementation-dependent?)
  - Describe the right-level functionality (can be used to evaluate solutions?)

Step Two: Requirements Classification

To prioritize requirements, assess the functionality of each additional agency-unique requirement according to these criteria:

- The system cannot function without it
- It provides significant savings in time or resources
- It smoothes the path for the end-user
- It provides the Records Manager with useful tools
- It provides the system manager with additional auditing capabilities beyond those specified in C2.2.8
- It reduces risks to future access to the information

Requirements that meet the first criterion are mandatory. Requirements that meet the next five criteria are optional and may be judged on a sliding scale, depending on the priorities of the individual agency.

Step Three: Stakeholder Review

It is important to give the stakeholders an opportunity to review additional, agency-unique requirements after they have been drafted. Several methods are available in order to facilitate this exercise:

- Walk stakeholders through how requirements map directly to identified goals
- Ask stakeholders to rank the impact and risk of each organizational process and then use the mapping between requirements and business processes to rank critical requirements
- Ask stakeholders to identify their "Most Wanted" and "Least Wanted" requirements in the context of organizational value and risk
- Ask stakeholders to rank requirements in terms of importance on a sliding scale
- Present the stakeholders with a picture of the system as it could be built from the requirements and request that they critique it
- Arrange a stakeholder meeting to assess the requirements either in detail or as a whole
- Publish the draft requirements and request written comments

Once stakeholder comments or opinions are known, it is possible to broaden the mandatory requirements to include those requirements of most use to stakeholders, to rewrite requirements as needed, and to prioritize optional requirements according to their usefulness.

Depending on the extent and substance of stakeholder comments, the requirements may be rewritten and resubmitted for stakeholder evaluation. In the event that legacy systems are present, this may be an especially important step for the owners and operators of those systems. Where there are many competing voices to be heard, an iterative process or rewrite, re-prioritizing, and review is needed to refine the requirements sufficiently.

Part of the review process includes a re-assessment of requirement priorities in terms of a cost-benefit analysis and in terms of available resources. Final requirements should be valid only for a given interval, and should be reviewed periodically until the system they describe has been built.

4. CONCLUSION

A disciplined step-by-step approach to identifying and defining system requirements is necessary to provide the building blocks for agency ERMs. Using the guidance provided by this document, agencies can develop requirements that:

- Support the agency's fully identified business processes
- Make the best use of its resources
- Harmonize with its current systems
- Produce a system that provides tangible benefits to the organization and end users

Agency-specific requirements can be used in combination with the 5015.2 standard to acquire a COTS ERM system or to develop a custom ERM system. For COTS acquisition, the requirements will be used to develop selection criteria. COTS products will be evaluated against the criteria to determine which product best fits the agency's needs. For custom development, the requirements will be used in the design of the system.

_____

[1] **Enterprise and enterprise-wide –** Deployment or use of a single software application throughout all subdivisions or components of an organization.

[2] **ERM system –** A collection of hardware, software, staff, policies, and procedures that work in concert to enable an agency to manage records electronically.

[3] When an agency has a need for a non-mandatory requirement covered in DoD 5015.2-STD, the agency should use the 5015.2 requirement and not develop its own wording. This guidance document addresses requirements that are in addition to those included in DoD 5015.2-STD.

[4] **ERM Application –** A software product that identifies, classifies, and disposes of records according to specified records disposition policies.

[5] 5015.2-certified software automates many, but not all, recordkeeping requirements mandated in statutes and regulations. For an overview of the totality of records management requirements please see 36 CFR Part 1222 Subparts B &C (see *http://www.gpoaccess.gov/ecfr*).

[6] **Migrate –** In a migration, records are moved from the legacy system to the ERM application and use of the legacy system is discontinued.

[7] **Integrate –** In integration, records remain in the legacy system with record status information maintained by the ERM application.

[8] The results of the cost-benefit analysis between integrating or migrating legacy systems will inform the decision.

[9] A file plan is a document containing the identifying number, title or description, and disposition authority of files held in an office.

GLOSSARY

- *DoD 5015.2 or Design Criteria Standard for Electronic Records Management Applications, DoD 5015.2-STD* – A DoD and NARA approved set of requirements for ERM applications.

- *Enterprise Content Management (ECM)* – An automated system with the functionality to capture, manipulate, retrieve, and publish the entire inventory of digital assets (e.g., web pages, office documents, databases, scanned images, email) created by an organization.

- *Electronic Document Management (EDM)* – Functionality to support the computerized management of electronic and paper-based documents. Associated components include a system to convert paper documents to electronic form, a mechanism to capture documents from authoring tools, a database to organize the storage of documents, and a search mechanism to locate the documents.

- *Electronic Records* – Information, in an electronic state, that is determined to be a record.

- *Electronic Records Management (ERM)* – Functionality to support record collection, organization, categorization, storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition.

- *Enterprise and Enterprise-wide* – Implementation of a single software application throughout all levels and components of an agency or organization.

- *Federal Enterprise Architecture (FEA)* – A strategic information asset base, which defines the business, the information necessary to operate the business, the technologies necessary to support the business operations, and the transitional processes necessary for implementing new technologies in response to the changing business needs. It is a representation or blueprint.

- *Federal Enterprise Architecture Framework (FEAF)* – An organizing mechanism for managing development, maintenance, and facilitated decision making for Federal information technology resources. The framework provides a structure for organizing Federal resources and for describing and managing Federal Enterprise Architecture activities.

- *Program-specific* – Pertaining to a single or local organization. Within the Department of the Interior (DOI), a system for the Bureau of Land Management (BLM) might be characterized as program-specific as it would not necessarily be affected by the other DOI bureaus.

APPENDIX:
RESOURCES FOR IDENTIFYING
ERM REQUIREMENTS

- *Model Requirements for the Management of Electronic Records (MoReq)*
  http://www.moreq.info
- ANSI/AIIM/ARMA TR48-2006 Revised Framework for the Integration of Electronic Document Management Systems and Electronic Records Management
  http://www.aiim.org/productcatalog/Product.aspx?id=1271
- Reports by Doculabs on ERM, EDM, and ECM systems
  http://www.doculabs.com/page.aspx?display=WhitePapers
- *International Standard ISO 15489-1: Information and Documentation – Records Management*
  http://www.iso.org/iso/catalogue_detail?csnumber=31908

Page URL: *http://www.archives.gov/records-mgmt/policy/requirements-guidance.html*

The U.S. National Archives and Records Administration
8601 Adelphi Road, College Park, MD 20740-6001
Telephone: 1-86-NARA-NARA or 1-866-272-6272

Guidelines and Standards for Implementation of Electronic Document Management Systems (EDMS)

The following excerpt is taken from the U.S. Army Corps of Engineers *Guidelines and Standards for Implementation of Electronic Document Management Systems (EDMS)*. It is provided merely as an example of unique agency requirements. The document was prepared in late 2002 and may not reflect the most current technology or methodology, but it does illustrate the kind of thinking and detail that must go into developing such agency-unique requirements. The document also contains specific "how to" instructions for starting a project of this magnitude. The entire document may be found at
http://www.archives.gov/records-mgmt/toolkit/pdf/ID114.pdf

4. REQUIREMENTS FOR SYSTEM CAPABILITIES/OPERATIONS

a. The following requirements shall be met by any EDMS deployed within the Corps of Engineers. These are in addition to those listed in DoD 5015.2-STD, reference 3.b.

(1) EDMS shall include an electronic records management applications (ERMA) certified by the DoD in accordance with DoD 5015.2-STD, Design Criteria Standard for Electronic Records Management Software Applications (see Para 3.b.). This directive assumes that an organization's business processes are already defined; tacitly assumes that EDMS will be used in conjunction with ERMAs; and consequently, lists many of the functional requirements that would be standard in an EDMS. It is strongly recommended that this directive be thoroughly reviewed prior to embarking on discussions with vendors.

(2) EDMS shall be able to interface with CADD systems (including CADD EDMS) for the purpose of indexing CADD documents and, eventually, registering outputs as records (e.g., 30, 60, 90 percent reviews; bid plans; as-builts; etc.). If CADD EDMS are not used, then EDMS shall be able to accept CADD outputs, track versions, allow check-in/out of CADD documents, allow redlining, support CADD reference (or x-ref) files, be able to assign workflow(s) (broadcast, sequential, and ad-hoc), view MicroStation and AutoCAD outputs at a minimum. A thorough review of references 3.g. and 3.h. is strongly recommended.

(3) EDMS shall have capability to change fields within a database record when a change to that field within a controlling table is changed. For example, if a Project Number is changed within the PROJECT table, that change will populate to all data records within the system.

(4) EDMS shall use Oracle as the database engine. Oracle is the Corps standard for database development. The EDMS may need to pull or view data from existing Oracle sources and will need to utilize the standard tools available for such purposes.

(5) EDMS shall smoothly integrate and interoperate with Microsoft (MS) office suites as well as other Microsoft Windows-based programs such that documents may flow from the EDMS document repository to the MS application and vice versa; additional EDMS commands may be easily inserted to MS application menu bars; EDMS user prompts are easily set up in MS applications; toggling back and forth between EDMS and MS applications is virtually seamless; etc. Minimum platform MS Windows 2000 w/Office 97.

(6) EDMS shall interface with graphics programs, desktop publishing programs, Lotus, WordPerfect, etc.

(7) EDMS shall run on MS Windows 2000 server and PC platform (and later versions). The Corps is currently standardized on Windows 2000.

(8) EDMS shall support viewing, versioning, revisioning, and storage of compound documents, both embedded and linked. For example, a Word document with an embedded Excel spreadsheet and/or Visio drawing; or an HTML or XML document linked to an MS-Project schedule and/or an Excel spreadsheet; etc.

(9) EDMS shall be open-architecture to support a variety of applications or provide API for linking to/with various applications. While running in a Windows 2000 environment, EDMS shall provide capability to accept, access, read, store, etc.,

documents/objects from other applications, e.g., scientific, engineering, construction, etc., GOTS and COTS.

(10) Storage Availability. This requirement shall be carefully negotiated with the specific Corps activity implementing an EDMS. Each activity shall inventory and specify the amount of storage space required for storing its documents, indexing metadata, and associated audit files and shall identify these needs to the vendor. At a *minimum*, system should provide for approximately 100GB of document storage and 50MB of metadata storage, over and above the space taken up by the EDMS application(s). Storage availability for both documents and metadata shall be scaleable such that additional storage may be easily added as the system grows

(11) Documentation. EDMS vendors/integrators shall provide, at a minimum, detailed step-by-step user manuals, technical manuals, and detailed documentation on all customization done, and installation and recovery procedures.

(12) Vendor/integrator shall provide USACE with all code and accompanying documentation for any customizations written for any Corps activity/organization.

(13) Training. EDMS vendor/integrator shall provide a minimum of 2-hour user training, 16-hour system-administration training (to include customizations developed or configured, data recovery, and setup), and 8-hour data manager training (to include Records Management) sessions. Corps activities may add requirements to this. If agreeable between vendor/integrator and Corps activity, a train-the-trainer approach may be used for the user training sessions. Additionally, vendor/integrator personnel shall allow Corps technical personnel to "shadow" them during the installation/setup phase(s).

(14) EDMS shall interface and work w/MS-Exchange and Outlook.

(15) EDMS shall accommodate and make use of dates and date logic as specified in Para C2.1.2., DoD 5015.2-STD (reference 3.b., above).

(16) EDMS shall be able to implement standard data (as defined in DoD 8320.1-M, Data Administration Procedures) per Para C2.1.3., DoD 5015.2-STD (reference 3.b., above). EDMS shall implement, as a minimum, data elements included in Appendix A to this document.

(17) EDMS shall be backward compatible to previous versions per Para C2.1.4, DoD 5015.2-STD (reference 3.b., above).

(18) EDMS shall meet accessibility requirements specified in Para C2.1.5, DoD 5015.2-STD (reference 3.b., above).

(19) EDMS shall provide capability for initial, mandatory document indexing data elements (see appendix A), as well as additional data elements for different categories or types of documents and when a document is declared a record. To illustrate: when a working document is initially checked into the document repository, a minimum number of data fields must be completed so document may be subsequently retrieved. If the document were a certain type of document, for example, a regulatory permit, some additional fields would appear; if the document were immediately declared a record, yet additional fields would appear.

(20) EDMS shall provide capability to allow certain indexing elements to appear to different users based on user-ID, office symbol, document security restrictions, etc. For example, ABC office might need to see only the minimum indexing data elements or might need

to see specific pull-down menus to select certain descriptive/indexing criteria. The user-ID coupled with the office symbol should trigger the proper fields to appear.

(21) EDMS shall be able to interface with and accept documents or objects from VirtualOffice and other collaborative-work type software applications.

(22) Input. EDMS shall be able to accept input from a minimum of sources; i.e., scanned images (raster, OCR, ICR, etc.), direct electronic import, and within or from the actual EDMS application, and shall be able to support any of these using a batch or bulk-load capability.

(23) EDMS shall accept any input, including GIS maps, CADD drawings, etc., because it must accept all authorized input as objects.

(24) EDMS shall be able to accommodate barcode technology. At a minimum, it shall be able to work with standard barcode labels used for document identification and tracking.

(25) EDMS shall have full-text search capability for electronic documents and documents that have had some form of character-recognition applied to them.

(26) EDMS shall be capable of interfacing with a variety of document imaging and workflow tools, if these are not provided from within the EDMS itself.

(27) EDMS shall provide search utilities capable of creating, modifying, or importing additional thesauri.

(28) EDMS shall have the capability to manage documents in sequential, broadcast, and ad-hoc workflows. (See also Para 4.b., above.)

(29) EDMS shall track versions and revisions of documents. Capability shall exist to determine major changes (resulting in new version number) and minor changes (resulting in a sub-decimal version number). For example, a rough draft of an environmental impact statement (EIS) might be version 1.0; subsequent changes to move chapters or correct typos, etc., might result in a minor revision, version 1.1. The Draft EIS sent out for comment to the public might be version 2.0; the final EIS incorporating all comments might be version 3.0.

(30) EDMS shall provide capability for user to immediately designate any document a "record" upon selecting "Save As" (for most Windows applications) or Send in the case of email. For example, when saving a draft memo, user selects Save As and a prompt appears asking the user whether he/she wants to make this a Record (meaning, the document might require additional indexing data or not be available for changes due to being moved to the Records Management Module) or Working Draft (meaning, the document may still be changed, altered, re-formatted, deleted, etc.); when Sending created e-mail or closing received e-mail, the same prompt would appear requiring the user to designate the message a record or working document.

(31) In addition to other training documentation specified above, EDMS and ERMA shall have on-line help capability for user operational information. Help shall be context-sensitive to the screen from which query was launched. Global help shall be available from a hot key or menu button.

(32) Within EDMS and ERMA, shall have capability for authorized personnel (as defined by the activity) to make global changes to all fields, except those naturally restricted for security or database integrity reasons (e.g., Doc_ID). This capability shall extend to supporting tables as well as data elements visible on-screen.

(33) EDMS and ERMA shall provide viewers such that each document may be viewed in its stored format or other human-readable rendition.

(34) Within the ERMA, records retention schedules shall be able not only to be bulkloaded automatically, but also to automatically attach disposition instruction rules and calculate scheduled life-cycle dates. For example, when the MARKS (or ARIMS) number is assigned to the record, the disposition rule is activated and dates such as SCHEDULED DESTROY DATE, REVIEW DATE, TRANSFER TO NARA DATE, etc., are automatically calculated from those disposition rules. Neither the user nor the Records Manager should have to manually calculate and populate these date fields unless disposition rules change or records are placed under specific moratoria.

(35) Within the ERMA, when disposition rules and/or life-cycle dates are changed or need to be overwritten, Records Manager shall have access to tables to make such changes. When the disposition rule is changed, all records maintained under that rule will have their appropriate disposition dates changed automatically when the rule is updated in the table.

(36) Within ERMA, when a series of records needs to have dates edited (e.g., certain records are placed under a destruction moratorium, placed on indefinite disposition due to litigation, etc.), capability shall exist for Records Manager to identify all such records and edit the life-cycle date(s) globally, rather than record-by-record.

(37) ERMA shall have capability for authorized users to bulk-load the pre-existing records retention schedule (MARKS or ARIMS); electronic records; and document/record metadata.

(38) ERMA shall be able to accommodate barcode technology to the same extent as EDMS, but shall also accommodate indexing criteria for barcode identification and tracking of files and boxes.

(39) Based on specific criteria (e.g., user-ID and office symbol, or document-type, etc.), ERMA shall provide priority-ordered lists or directed searches of file plan components, such as MARKS or ARIMS numbers used by that user or office, MARKS or ARIMS numbers based on a certain document type (e.g., regulatory permit), or other such criteria to be assigned to a document or record.

(40) ERMA shall provide capability to produce hard-copy codes or identifiers in the form of labels for hard-copy documents, for labeling media, etc.

(41) ERMA shall provide capability to support records maintained in/on other media:

(a) Ability to manage boxes of records in records holding areas.

(b) Ability to manage other off-line archives, regardless of media.

(c) Ability to index and locate hard copy or other-media documents/records/objects, including any additional data elements needed for identification and management.

(42) EDMS shall run in the Corps standard Common Operating Environment.

(43) EDMS shall include report-writer capability, for example, Crystal Reports.

(44) EDMS shall interface with/through a web browser.

(45) EDMS and ERMA shall meet Corps, Army, and—as appropriate—other Federal agency requirements for information privacy/assurance/security, and also be compliant with the Corps' enterprise architecture.

APPENDIX B
Minimum Mandatory Indexing of Data Elements for Electronic Document Management Systems and Electronic Records Management Applications

1. Indexer-Completed. When document is first saved into the document repository of the EDMS, the following minimum data elements (fields) shall be completed. Data elements that must be completed by the user and those which are system-generated are indicated following each data element. As much as possible, draw data from or link to existing sources and use views of the data, e.g., organization table, employee table, contract table, etc.

     a. Doc_ID. This is the unique identifier within the database for each document entered into the document repository (EDMS). System-generated; unique; unalterable.

     b. Doc_Subject_or_Title. If the document has a title, that would be entered or captured here. If the document were untitled, user would enter subject of document (e.g., Hydraulic data for Red River Basin). User-generated or system-captured; pick list of recently used or departmentally used (based on user_ID and/or office-symbol) subjects or titles.

     c. Doc_Author. If the document's author is known, enter here. Defaults to indexer's user-ID. If author is not indexer, show pick list of employee names with ability to type in first few letters, then auto-select. If author outside organization, key in author's name. If author is unknown, select Unknown. System-generated; editable; pick list.

     d. Doc_MARKS_or_ARIMS_Number. Select this file number from the office file plan (the office file plan will be uploaded into the ERMA). If the file number does not exist in the office's file plan, allow capability to browse through all file numbers and make selection. System-generated pick list; editable by authorized users only (e.g., Records Coordinator or Records Manager).

     e. Doc_Date. Date of the actual document. Defaults to current date, but indexer may change (for example, many older documents will be entered into system). System-generated; editable.

     f. Doc_Type. The type of document, e.g., map, drawing, specification, correspondence, etc. Users cautioned to keep list short and limit, as much as possible, to documents requiring the entering of additional data elements. For example, when user selects Correspondence, a secondary window pops up requiring user to enter in such data as Addressee, Received_From, Received_Date, etc. (If this is NOT e-mail. If e-mail, addressee fields will be automatically completed, per DoD 5015.2-STD.) Suggest central control of this table (i.e., users must come to the Records Manager to add a doc-type). (Some systems [e.g., *Documentum*™] reserve the term, "document_type." In this case, another term might be, "document_class.") User-generated table; pick list.

     g. Doc_Office_Symbol. Defaults to indexer's user-ID office symbol. If that office symbol is not correct, select from system-generated pick list. System-generated default w/pick list.

     h. Doc_Medium Identifies the medium on which the document or record is maintained, e.g., electronic (within the EDMS/ERMA), offline (tape, paper, film, etc.) or near online (on CD, DVD, etc.). Defaults to Electronic with pick list available for other media. If offline or nearonline selected, prompt appears for Doc_Storage Container_ID.

i. Doc_Storage_Container_ID. When certain medium codes are selected, this data element will appear. This allows the user to uniquely identify the near-online or offline container in which the document is stored. Barcodes, or any other technology that will allow unique identifiers to be generated, may be used. Because near online and offline storage indicates the document is not kept within the EDMS, this data element will trigger the Doc_ Location_ID.

j. Doc_Location_ID. If the document/record is maintained outside of the EDMS or ERMA, physical location of the document will be entered here. This will be a pick list of locations, maintained locally, defaulting to the last-location-used. Note: since field will be triggered by Storage_Container_ID, this data element need not appear on indexing screen.

k. Doc_Vital_Record_Indicator. Logical field that indicates whether or not document is a record needed to operate during or immediately after an emergency, and/or if the document protects the rights and interests of the Government or the public at large. Default=No. User must select Yes if document is vital. Business rules must be established to assure Vital Records are sent off-site and appropriately maintained. User-generated.

l. Doc_Project_No. If the document is generated as part of a project, user will select from list of office projects, i.e., project list will be limited to a user's office initially (based on user-ID); system should default to the last-project-number-used by the user; if this is a new project or outside user's organization, pick list provided of all project numbers in the table. System-generated default w/pick list.

m. Doc_Contract_No. If the document is related to a contract, user will select from list of office contracts, i.e., contract list will be limited to a user's office initially (based on user-ID); system should default to the last-contract-number-used by the user; if this is a new contract or outside user's organization, pick list provided of all contract numbers in the table. System-generated default w/pick list.

n. Doc_Regulatory_Permit_No. If the document is related to a regulatory permit, user will select from list of regulatory permits; system should default to the last-permit-number-used by the user; if this is a new permit, authorized user shall enter in new permit number to table so data may be viewed or linked to and selected by user. System-generated default w/pick list.

o. Table 1, below lists the minimum indexing data elements with data types, whether or not field is mandatory, and suggested field sizes.

TABLE 1 – INDEXING DATA ELEMENTS

DATA ELEMENT NAME	DATA TYPE	MANDATORY	FIELD SIZE
DOC_AUTHOR	Alpha	Y	50
DOC_CONTRACT_NO	Alpha-Numeric	N	25
DOC_DATE	Date (4-digit yr)	Y	11
DOC_ID	Alpha-Numeric	Y	25
DOC_LOCATION_ID	Alpha-Numeric	N	5
DOC_MARKS_OR_ARIMS_NO	Alpha-Numeric	Y	25
DOC_MEDIUM	Alpha-Numeric	Y	20
DOC_OFC_SYMBOL	Alpha	Y	20
DOC_PROJECT_NO	Alpha-Numeric	N	20
DOC_REGULATORY_PERMIT_NO	Alpha-Numeric	N	25
DOC_STORAGE_CONTAINER_ID	Alpha-Numeric	N	20
DOC_SUBJECT_OR_TITLE	Alpha-Numeric	Y	255
DOC_TYPE	Alpha	N	25
DOC_VITAL_RECORD_INDICATOR	Logical	Y	1

2. Non-Indexer Completed (either system-generated or completed by other authorized user).

a. Doc_Format. Identification of the originating application and version (e.g., MS-Word 97, Visio-Pro 2000, etc.). System-generated; stored in ERMA; does not need to appear on indexing screen.

b. TABLES. Several tables were identified in paragraph 1, above. As stated, strongly suggested these be views of or links to existing data as much as possible. This not only creates less work for implementers, but assures correct data entry as well. Additionally, they may be updated by other offices and simply downloaded to the EDMS/ERMA. Business rules must be in place to allow either automatic updating of these views/links, or scheduled periodic checks with the office that maintains the tables to assure the most current information is stored in or linked to the EDMS/ERMA. Below are suggestions for data elements to be maintained within or viewed by such tables. Searching the tables should be an option for users via web interface.

(1) PROJECT. An authorized project of the Corps of Engineers. Note that this will be a cumulative table. Many project files are permanent; therefore the project metadata must remain in the EDMS for search-and-retrieval purposes.

(a) Project_No. The number assigned to a project.

(b) Project Title. The official title of a project.

(c) Project Location. The physical location of the project (e.g., Ft. Bragg, Atchafalaya River, John Day Dam, etc.).

(d) Project State. The state within which the project is located.

(2) CONTRACT. An official contract of the Corps of Engineers. Business rules must be in place to assure that the contract numbers and titles are removed at the time the contracts are actually destroyed. Note that some contracts go into litigation, prolonging the life of the contract beyond its scheduled disposition of 6 years and 3 months after final payment.

(a) Contract_No. The number assigned to an awarded contract.

(b) Contract_Title. The official title of the contract.

(c) Contractor_Name. The name of the contractor to whom the contract was awarded.

(3) MARKS/ARIMS. This table will be downloaded from the website and updated and maintained locally by the Records Manager (RM) from within the ERMA. Each office shall determine the numbers used by their office and forward these to the RM. The RM shall then work with the System Administrator (SA) to assure the proper numbers are assigned to the appropriate office, which will assure the pick lists in each office are correct. The RM and SA will work with the vendor/integrator to assure the proper disposition codes are applied to each MARKS/ARIMS number used within the entire activity.

(a) MARKS/ARIMS_Number. The file number within the MARKS/ARIMS system that identifies a series of records or files.

(b) MARKS/ARIMS_Title. The title of the file/record series, e.g., Civil Works Project Files.

(c) MARKS/ARIMS_Disposition_Rule. The disposition rule assigned to a MARKS/ARIMS number, e.g., K6=Keep in CFA for up to 6 years; KE6=Keep in CFA for up to 6 years following an event; T10=Transfer to RHA at any time, destroy after 10 years; etc.

(d) MARKS/ARIMS_Disposition_Code. Corps of Engineers business rules dictate that the disposition rules be further refined into codes, e.g., the rule K6 may be assigned a code of R2 by the Records Manager in the EDMS, indicating that the office should review the records/files after 2 years to determine whether the business process allows them to destroy these files earlier than 6 years (K6). These rules are assigned and updated by the RM only.

(4) EMPLOYEE. Lists employees assigned to the organization.

(a) Employee_LName. Last name of the employee.

(b) Employee_FName. First name of the employee. (May want to concatenate within the table into an Employee_Name field sorted by Employee_LName.)

(c) Employee_Organization_Office_Symbol. The office symbol of the employing organization. This would probably be imported as a foreign key from the Organization table.

(d) Employee_User_ID. UPASS Administrator would maintain this information and provide to SA to import.

(5) ORGANIZATION. Lists organizations within the activity. This table would be similar to the Project table in that organization names and office symbols vary over time, so all names and office symbols must be retained in order to reconstruct document ownership over time.

(a) Organization_Name. The official name of the organization, e.g., Environmental Resources Section.

(b) Organization_Office_Symbol. A unique code assigned by the Records Manager to identify each organization hierarchically within the activity. For example, organization above might look like CENWS-PM-PL-ER.

(6) MEDIUM. The medium on which the document is stored.

(a) Medium_Code. The code for the type of medium below.

(i) E=Electronic. Document is stored within the EDMS/ERMA or in an electronic application.

(ii) N=Near-online. Document is stored on a disk of some sort: CD, DVD, hard disk, etc. Triggers Storage_Container_ID (identify disk number, shelf code, etc., see below).

(iii) O=Offline. Document is stored on any type of medium, but is physically located off-site. Examples: Paper, film (aerial photos, flat photos, slides, microfilm), tape (audio, video, backup), etc. Triggers Storage_Container_ID (identify box number, bin number, etc.; see below).

(7) STORAGE_CONTAINER. The container for any kind of near-online or offline document.

(a) Storage_Container_ID. A unique identifier for each storage container. May be a barcode number or any other easily generated unique identifier. Entering this ID triggers Location_ID.

(b) Storage_Container_Type. The type of document storage container, such as jewel box, jukebox, bin, shelf, map box, records box, etc.

(8) LOCATION. Where the document is physically located, if not electronic and/or retained within the EDMS/ERMA. Triggered by Storage_Container_ID. Maintained by RM and SA.

(a) Location_ID. A unique identifier for each different location where documents are stored. For example, an off-site commercial or Government vault, a commercial records center, the Army Regional Records Center, the Federal Records Center, the National Archives, etc.

(b) Street_Address1. The street address of the location where the document is physically located.

(c) Street_Address2. Additional space for a street address.

(d) PO_Box. Mailing address of the location where the document is physically located (use only if different from the street address).

(e) City. The name of the city of the location where the document is physically located.

(f) State. The name of the state of the city of the location where the document is physically located.

(g) Zip-Code1. The 9-digit postal zip code of the street address of the location where the document is physically located.

(h) Zip_Code2. The 9-digit postal zip code of the mailing address of the location where the document is physically located (use only if different from the street address).

(9) REGULATORY_PERMIT.

(a) Permit_No. The unique tracking number assigned to a permit application.

(b) Permit_Applicant_Name. The name of the applicant(s) – may be an individual citizen(s) or organization(s).

(c) Permit_Waterway_Name. The body of water or geographic location of a wetland or other geographic locator associated with the permit application.

c. Table 2, below, shows all the non-indexer data elements (not including those which should already exist within the EDMS, per DoD 5015.2-STD) and, if a data element belongs to a specific table, whether it is mandatory within the table or not. Additionally, the Data Element Name indicates with "(K)" when the data element is a key element within the database table. Note: these are suggested tables provided only to assure all non-DoD, non-indexer data elements

are included. There may be more efficient ways to actually program the system than creating tables, views, or even links to these data.

TABLE 2 – NON-INDEXER AND TABLE DATA ELEMENTS

DATA_ELEMENT_NAME	TABLE_NAME	DATA_TYPE	MANDATORY	FIELD_SIZE
CONTRACT_NO (K)	CONTRACT	Alpha-Numeric	Y	20
CONTRACT_TITLE	CONTRACT	Alpha	Y	255
CONTRACTOR_NAME	CONTRACT	Alpha	Y	150
DOC_FORMAT	DOCUMENT	Alpha-Numeric	Y	25
EMPLOYEE_FNAME	EMPOLYEE	Alpha	Y	25
EMPLOYEE_LNAME	EMPLOYEE	Alpha	Y	25
EMPLOYEE_ORGANIZATION_OFC_SYMBOL	EMPLOYEE (FK)	Alpha-Numeric	Y	20
EMPLOYEE_USER_ID (K)	EMPLOYEE	Alpha-Numeric	Y	10
LOCATION_CITY	LOCATION	Alpha	Y	20
LOCATION_ID (K)	LOCATION	Alpha-Numeric	Y	5
LOCATION_PO_BOX	LOCATION	Alpha-Numeric	N	10
LOCATION_STATE	LOCATION	Alpha	Y	2
LOCATION_STREET_ADDRESS_1	LOCATION	Alpha-Numeric	Y	25
LOCATION_STREET_ADDRESS_2	LOCATION	Alpha-Numeric	N	25
LOCATION_ZIP_CODE_1	LOCATION	Alpha-Numeric	Y	10
LOCATION_ZIP_CODE_2	LOCATION	Alpha-Numeric	N	10
MARKS_ARIMS_DISPOSITION_CODE (K)	MARKS_ARIMS_DISPOSITION	Alpha-Numeric	Y	5
MARKS_ARIMS_DISPOSITION_RULE	MARKS_ARIMS_DISPOSITION	Alpha-Numeric	Y	50
MARKS_ARIMS_NO (K)	MARKS_ARIMS	Alpha-Numeric	Y	25
MARKS_ARIMS_TITLE	MARKS_ARIMS	Alpha	Y	80
MEDIUM_CODE (K)	MEDIUM	Alpha-Numeric	Y	5
MEDIUM_TYPE	MEDIUM	Alpha-Numeric	Y	20
ORGANIZATION_NAME	ORGANIZATION	Alpha-Numeric	Y	35
ORGANIZATION_OFC_SYMBOL (K)	ORGANIZATION	Alpha-Numeric	Y	20
PROJECT_LOCATION	PROJECT	Alpha	Y	50
PROJECT_NO (K)	PROJECT	Alpha-Numeric	Y	20
PROJECT_STATE	PROJECT	Alpha	N	2
PROJECT_TITLE	PROJECT	Alpha	Y	255

DATA_ELEMENT_NAME	TABLE_NAME	DATA_TYPE	MANDATORY	FIELD_SIZE
REGULATORY_PERMIT_ APPLICANT_NAME	REGULATORY_ PERMIT	Alpha	Y	50
REGULATORY)PERMIT_NO (K)	REGULATORY_ PERMIT	Alpha-Numeric	Y	25
REGULATORY_PERMIT_ WATERWAY_NAME	REGULATORY_ PERMIT	Alpha-Numeric	Y	35
STORAGE_CONTAINER_ID	STORAGE_ CONTAINER	Alpha-Numeric	Y	20
STORAGE_CONTAINER_TYPE	STORAGE_ CONTAINER	Alpha-Numeric	Y	20

Bureau of Public Recreation Agency Information

The Bureau of Public Recreation (BPR) is responsible for overseeing recreational activities on public lands in the United States. It does this by developing laws and regulations that balance recreational usage and the preservation of natural resources and by performing objective research on recreational activities in this country. These areas are of such national significance as to justify special recognition and protection in accordance with various acts of Congress. The BPR cooperates with partners to extend the benefits of natural and cultural resource conservation and outdoor recreation throughout the country.

It was established as a bureau of the Department of the Environment in 1992 by Reorganization Plans 4 and 5 (U.S.C. app.). It has 146 employees, 134 of whom are located at headquarters. The BPR is comprised of 388 areas, covering more than 84 million acres in 49 states, the District of Columbia, American Samoa, Guam, Puerto Rico, Saipan, and the Virgin Islands.

The BPR preserves the natural and cultural resources park system for the enjoyment, education, and inspiration of this and future generations.

The BPR is organized around the following offices to support the Bureau's key functions:

Office of the Administrator

Per 56 U.S.C. 2103 the Administrator reports directly to the Secretary of the Environment on all controversial matters relating to recreation activities on public lands and is responsible for direction and supervision of all Bureau operations and activities.

The Office of the Administrator provides executive and logistical support for the Secretary of the Environment and the staff offices that directly support the Administrator. The Office of the Administrator supports the leadership of BPR programs and activities to preserve the park system's natural and cultural resources.

The following offices within the Office of the Administrator help support the mission of BPR and day-to-day operations:

- The Assistant Administrator for Recreation supports and facilitates BPR efforts to preserve the natural and cultural resources park system by working with Federal agencies, states, and private sector entities concerning recreation on land and water
- The General Counsel serves as the chief legal advisor to the BPR, providing legal support for Bureau rules, policies, and legislation
- The Assistant Administrator for Administration tracks executive correspondence and Freedom of Information Act requests, and maintains the official records for the Administrator and Deputy Administrator. Also provides administrative and financial management services to all of the component offices of the Office of the Administrator.

- The Assistant Administrator for Resources Evaluation, Research, and Policy serves as the Bureau's focal point for regulatory analysis, economic analysis, and innovative policy development to achieve greater and more cost-effective public recreational services
- The Assistant Administrator for Public Affairs serves as the Bureau's primary policy office on all Bureau communications, recreational education and media relations activities, and coordinates interactions between Congress, states, and local governments

Assistant Administrator for General Counsel

Performs all the legal work and acts as the chief legal officer of the Bureau. This office has two primary staff units.

The Office of General Counsel (OGC) is the chief legal advisor to BPR, providing legal support for Bureau rules and policies, case-by-case decisions (such as permits and response actions), and legislation.

In addition, OGC lawyers, together with attorneys in other agencies, represent BPR in court challenges to Bureau actions (such as regulations), appeals of enforcement cases, and Supreme Court litigation. OGC lawyers carry out these functions not only with respect to BPR's recreational programs, but also in connection with BPR's day-to-day operations, including entering into contracts, awarding grants, managing property and money, and working with BPR's employees.

The primary role of OGC lawyers is to provide legal advice to BPR and to articulate the Bureau's legal positions in the Federal courts and before other tribunals and organizations. OGC lawyers do not generally provide legal advice to the public and do not serve as counsel to members of the public.

OGC works closely with the BPR Regions on legal issues that arise in permits, approvals of state recreational programs, response actions, enforcement actions, Regional operations, and other Regional activities. In this way, OGC and the regions help ensure that the Bureau takes consistent legal positions nationwide.

The head of OGC is BPR's General Counsel who is appointed by the President. The General Counsel has at least one deputy who is responsible for the management of OGC. The rest of OGC is divided into two offices:

Wilderness Act Monitoring Staff

Tracks and reports activities relating to the Wilderness Act of 1964 in accordance with 56 U.S.C. 2933, (such as the United States Department of Agriculture [USDA] Forest Service ban on fixed anchors in wilderness areas) and works with the public to use all the tools of Federal law to protect pristine areas while still allowing opportunities for recreation and resource access in multiple use areas.

Litigation Support Staff

Represents BPR in court or during other legal activities:

- Provide legal counsel and litigation support for BPR's major recreational programs

- Provide legal advice and support in other areas that are a critical part of BPR's function:
  - Cross-cutting environmental issues (such as compliance with the National Environmental Policy Act and the Endangered Species Act)
  - Civil rights issues
  - Issues concerning BPR's day-to-day operations
- Provides legal advice on and assisting in the development of BPR's alternative dispute resolution programs
- Manages administrative activities such as budget, human resources, computer systems, and law library

Assistant Administrator for Public Affairs

Coordinates external contacts and special events, responds to news media inquiries, arranges interviews with staff, and prepares news releases or other informational products relating to BPR programs and activities:

- Serves as the focal point for the Bureau to the news media
- Serves as senior counsel to the Administrator in all activities related to the media. Provides consultation, advice, and training to the Bureau's senior staff with respect to relations with the news media.
- Develops and executes strategies to further the Bureau's relationship and dealings with the media. Maintains a broad-based knowledge of the Bureau's structure, responsibilities, mission, goals, programs, and initiatives to provide or arrange for rapid and accurate response to news media needs.
- Prepares and edits appropriate materials about the Bureau, its policies, actions and findings, and provides them to the public through the print and broadcast media. Develops and directs media relations' strategies for the Bureau.
- Responds to inquiries from a broad variety of news media, including major newspapers, national television and radio networks, national news magazines, local newspapers and radio and television stations, publications directed toward the Bureau's beneficiary populations, and newsletters serving the health care industry
- Manages press inquiries, coordinates sensitive press issues, and develops policies and procedures for how press and media inquiries are handled
- Arranges formal interviews for journalists with the Bureau's Administrator or other appropriate senior Bureau staff; identifies for interviewees the issues to be addressed, and prepares or obtains background materials as needed
- For significant Bureau initiatives, issues media advisories and arranges press conferences as appropriate; coordinates material and personnel as necessary
- Serves as liaison with the Department of Health and Human Services and White House press offices

There are two primary staff units within the Office of Public Affairs:

The Congressional Liaison

Serves as BPR's point of contact with Congress and is directly responsible for programs associated with legislative and congressional liaison activities. Serves as the Bureau's principal liaison with Congressional Committees and individual Members of Congress, and as the Bureau's Congressional and legislative liaison with the White House. Communicates the Bureau's policies and the Administrator's viewpoints regarding Congressional issues, and programs and matters of interest to the Bureau as requested by Members of Congress. Per 56 U.S.C 807, the liaison reports directly to Congress on all matters dealing with environment impact of recreational activities on public land. In addition, supervises the coordination, unification, and preparation of the Bureau's legislative programs, and its presentation to the Office of Management and Budget, and maintains a general oversight role in relation to congressional and legislative activities of the various bureaus and offices. Notifies Congress of the Bureau's grant awards.

Intergovernmental Liaison

Serves as BPR's point of contact with other Federal agencies that manage natural resources, particularly the Department of the Interior, the Bureau of Land Management, and the USDA Forest Service. Responsible for clearance of materials within the Bureau and through the Office of Management and Budget. Responsible for establishing and maintaining contacts on legislative matters with the Congress and with other Federal agencies. Serves as BPR's principal point of contact for State and local governments. The Office serves as liaisons with these constituencies on the Bureau's major programs as well as on intergovernmental issues. The major functions include:

- Leading the development and implementation of the National Park Recreational System between BPR and the States
- Managing and monitoring issues with both national associations and individual State and local governments through interactions with the Governors, State Recreational Commissioners, Local Government Resource Center, the Small Community Advisory Committee, and the Local Government Advisory Committee
- Managing resources and coordinating policy for the Regional Geographic Initiatives
- Ensuring integration of Headquarters' policy and guidance into Regional Office operations and incorporation of regional views and needs into formulation of Bureau policy and decision making

Assistant Administrator for Resources Evaluation, Research, and Policy

Carries out the responsibilities of the administrator for resources evaluation, research, and policy. Undertakes analytic, coordination, and review functions on priority issues to provide support to the Administrator in order to furnish accurate information and help define alternatives for effective decision making. Helps top managers to reach decisions on policies, programs, legislation, and resource allocation. This office has four primary staff units:

Resources Evaluation Staff

Manages resources and supports the development of policies that help to preserve land for recreational purposes. Oversees the coordination of various programs:

- *Water Resources Programs*
- *Cooperative Water Program*
- *National Water Quality Assessment Program*
- *Ground Water Resources Program*
- *Recreation and Health Research and Development*
- *State Recreational Resources Program*
- *Recreational Information Coordination Program*

Policy Development Staff

Produces laws and regulations. Provides analytic support and information to the Administrator needed to establish the Bureau's goals and directions. Manages strategic, crosscutting initiatives, as well as develops policy that helps to preserve land for recreational use. Also responds to requests from intergovernmental agencies for information related to the United States recreation and park system.

Research Staff

Performs objective research on the benefits of recreation and its impact on the environment. This staff includes all the Bureau's field staff who carry out the following:

- Performs environmental scanning, identifying, evaluating, and reporting emerging trends in recreational activities
- Coordinates all Bureau demonstration activities, including development of the research and demonstration annual plan, evaluation of all Bureau demonstrations, and assistance to other components in the design of demonstrations and studies
- Manages assigned demonstrations, including Federal review, approval, and oversight; coordinates and participates with departmental components in recreational and environmental projects
- Develops research, demonstration, and other publications and papers related to recreational issues

Environmental Research Staff

Monitors soil erosion within the BPR lands and conducts research on industrial and scientific issues and how they may impact recreational sites. Designs and conducts research and evaluations of recreational activities, studying their impacts on terrestrial and aquatic environments, designing and assessing potential improvements, and developing new measurement tools. Staff ensures the scientific and technical basis for BPR rules and regulations and integrates policies that guide Bureau decision makers in their use of land.

An example of a current program is the Susquehanna River Working Group:

The BPR Environmental Research Staff supports the Department of the Environment, who chairs the President's Susquehanna River Working Group. As established by 56 U.S.C 502, the Working Group, which also includes the Secretaries of the Departments of Agriculture and Commerce, Health and Human Services, Interior, and the Chairman of the Council on Recreational and Environmental Quality, submits an annual report to the President on immediate steps and long-term solutions to enhance recreational activities along the Susquehanna River. The Working Group accomplishments with substantial contribution from BPR include:

- Producing the Susquehanna River Coordination Agreement (2002), signed by three Federal agencies and the Governors of Maryland and Pennsylvania, which is a commitment to place a priority on Susquehanna River and environmentally friendly activities, and to promote coordination among all stakeholders
- Coordinating initiatives that have made meeting water requirements for fishing and boating possible, with less likelihood of aquatic wildlife disruption

Assistant Administrator for Administration

Oversees all BPR administration functions. This office provides technical guidance for project management and review functions throughout the Bureau and makes recommendations for improvement and streamlining operations. Oversees three primary staff units:

Specific Project Management Functions:

- Develops, in conjunction with staff in BPR offices, major project plans, implementation schedules, and post-implementation evaluations
- Promotes project planning principles throughout the Bureau and provides technical guidance to the Bureau on project planning and management techniques
- Reports to senior officials on progress of Bureau priority projects. Negotiates with and supports project and component heads regarding project schedules, progress, etc.
- Prepares and presents recommendations to senior officials regarding major projects
- Analyzes and evaluates project time lines, schedules, and new methodologies. Evaluates and recommends project management alternatives to the Administrator and the Bureau
- Conducts process control analysis and tracking to ensure that projects are running smoothly

- Prepares and presents recommendations to the Administrator, and other high-level BPR and Department officials on planning, leadership, implementation, and policy issues concerning modifications to existing and proposed operating policies that will improve the administration and operations of programs and the Bureau as a whole

Specific Operational Review Functions:

- Plans and conducts targeted operational reviews and recommends process and policy improvements to improve the Bureau's operations. The subjects of these reviews are determined through regular periodic consultation with the Project Management Staff, Risk Management Staff, the Director of the Office of Operations Management, and the Administrator. Drafts written reports summarizing conclusions and presents findings to appropriate officials for follow-up actions.
- Reviews and evaluates enterprise-wide programs, projects, and processes to assess their effectiveness, efficiency, compliance with laws and regulations, or adequacy of management processes
- Provides consulting services internally to Bureau management and staff to identify processes or contracts that need improvement, to develop improvement strategies, and to monitor processes and improvements over time
- Participates in Bureau-wide initiatives to streamline operations, improve accountability and performance, and implement management best practices. Provides leadership, training, and coaching in the implementation of the initiatives
- Collaborates with the Risk Management Staff, Project Management Staff, and BPR senior management to identify and address enterprise-wide risk factors that lead to ineffective or inefficient operations
- Identifies operational vulnerabilities in BPR and develops and executes an operational review plan for each fiscal year, subject to approval by the Administrator and other senior leadership of BPR

Information Resources Management (IRM) Staff

The IRM is directed by the Chief Information Officer (CIO) who reports directly to the Assistant Administrator for Administration. The CIO's vision is to provide BPR business owners with innovative information technologies that enhance service delivery. Without effective use of technology and information resources, all services to the public would decrease, and many would be unavailable.

The CIO is responsible for ensuring that all requirements as stated in OMB Circular A130 are incorporated into all new BPR IT Capital Investment Planning Process. Under CIO leadership, the IRM office provides support to the Bureau and its offices in all areas of information management and technology. IRM monitors the performance of Bureau's information technology programs and activities, consults with the Fiscal Management staff to ensure that Bureau information technology programs and activities are carried out in a cost-effective manner, and that financial and related program information is reliable, consistent, and timely. The CIO and staff deal with top-level officials in the Office of Management and Budget, other Federal agencies, and appear to testify before Congressional committees.

Major programs include: Enterprise Architecture, IT Capital Planning, Section 508, Records Management, Privacy, FOIA, Enterprise Licensing Agreements/Contracts, Government Paperwork Elimination Act – GPEA, Telecommunications, and IT Security.

Authorities for the IRM organization are: the Paperwork Reduction Act, the Clinger-Cohen Act (formerly known as the Information Technology Management Reform Act of 1996), the Government Paperwork Elimination Act, the Federal Records Act, the Freedom of Information Act, the Privacy Act, the Federal Information Security Management Act, and the E-Government Act of 2002.

Human Resources (HR) Staff

The HR office provides supervision and direction to, and serves as the steward for, the Bureau's human resource programs, organizational services, and other designated management activities. HR performs the following functions:

- Responsible for policies, procedure, program development, and implementation of the full spectrum of BPR's human resources functions and programs, and employees' services
- Responsible for developing, promoting, and implementing improved principles, standards, policies, procedures, services, and systems governing the overall organization and workforce of the Bureau, as well as managing the system for establishing internal policies and procedures, also known as "directives"
- Responsible for providing advice, guidance, and support to bureau-wide initiatives, issues, and priorities, including, but not limited to, Cultural Diversity and Reinvention. It is also responsible for providing support to bureau-wide and interagency councils and committees and for serving as BPR's liaison in interagency management improvement initiatives. HR is also responsible for the assessment, evaluation and review of the effectiveness of human resource and workforce functions, programs, and activities, and of organizational structures and the associated functions, programs, and activities.

Fiscal Management (FM) Staff

The Office of Fiscal Management offers economics expertise to aid BPR decision makers in policy formation, analysis, and evaluations. Staff economists typically work on specific projects such as: development of environmental and recreational indicators; recreational damage assessments; boating licensing; reviewing regulatory impact analyses; benefit-cost analysis of particular projects; and, Federal recreation fees. The Office of Fiscal management:

- Serves as the Chief Financial Officer and Comptroller for the Bureau
- Formulates, presents, and executes all Bureau budget accounts; develops outlay plans and tracking contract and grant award amounts; acts as liaison with the Congressional Budget Office (CBO) on budget estimates; reviews demonstration waivers (except 1115) for revenue neutrality; is responsible for ensuring that the budget is formulated in accordance with the Bureau's strategic plan and the GPRA goals and performance measures
- Acts as liaison with OMB and the Congressional appropriations committees for all matters concerning the Bureau's operating budget

- Performs cash management activities and establishes and maintains systems to control the obligation of funds and ensure that the Anti-Deficiency Act is not violated
- Performs the Bureau's debt management activities (e.g., accounts receivable, user fees, penalties, disallowances)
- Reconciles all BPR financial data and prepares external reports to other agencies, such as Treasury, OMB, Internal Revenue Service, General Services Administration, related to the Bureau's obligations, expenditures, prompt payment activities, debt and cash management, and other administrative functions
- Has overall responsibility for the fiscal integrity of all Bureau programs
- Prepares financial statements for Federal Managers Financial Integrity Act (FMFIA) and GPRA
- Staffs the Grants Division who oversees grant opportunities, application instructions and forms, regulations, training, and other grant-related information

Assistant Administrator for Recreation

Responsible for dealing with specific issues concerning recreation on the land or the water, such as the proposed reintroduction of motorized vehicles for certain portages in the Boundary Waters Wilderness Area, Susquehanna River, and others areas being research by BPR staff. This office has two primary staffs units: As mandated in 70 CFR 1264, the Assistant Administrator for Recreation tracks and reports the environmental impact of recreational activities on public land and water.

Terrestrial Recreation Staff

Responsible for the overall monitoring of recreational land use on Federal lands, for example camping, hiking, bird watching, and rock climbing are all covered by the terrestrial staff. Staff monitors environmental and recreational impact data and may work in coordination with BPR research staff. Monitors trends in recreational land use, potential environmental hazards caused by activities, and tracking of wildlife population and their impact on BPR lands, as well as recreational activities impact on wildlife.

Aquatic Recreation Staff

Responsible for the collection and submission of statistical information on aquatic wildlife and recreation watercraft activities within Federal jurisdiction is covered by the aquatic staff. Aquatic wildlife monitoring can take the form of waterfowl and fish surveys, migratory bird studies, and other periodic surveys undertaken to track the type and number of fish and aquatic wildlife within an area's boundaries and especially associated with recreational boating and hunting activities. Staff works with several sources outside of the Bureau, such as National Oceanic and Atmospheric Administration, Environmental Protection Agency, and the U.S. Geological Survey.

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Recordkeeping Roles and Responsibilities

Introduction

This description of roles begins with the Agency Head, proceeds through the normal records management network (CIO, Agency Records Officer, Records Liaison, and Records Custodian), covers the Program Manager (supervisor), refers briefly to various other officials, and concludes with the average staff member (employee).

Agency Head

- The Agency Head is responsible for the entire records management program in the agency, but normally delegates this responsibility to the Agency Records Officer. The statutory basis (The Federal Records Act of 1950, as amended) is as follows:
- 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)

Chief Information Officer (CIO)/IRM Official

- Serves as the agency official responsible for the information resources management program; that is, the process of managing information resources to accomplish agency missions, which encompasses both information itself and related resources or assets, such as personnel, equipment, funds, and information technology
- Coordinates with the Agency Records Officer to ensure that the design and implementation of the agency's information systems incorporate Federal and agency records management requirements

Agency Records Officer

- 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 Agency Records Officer
- 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, IRM, program and agency officials. The records schedule identifies records as either temporary or permanent. All records schedules must be approved by NARA.

- Coordinates matters relating to records management with the agency's FOIA/Privacy Act Official(s), IRM Official, System Administrators, Program Managers, the Inspector General, the General Counsel, the Public Affairs Officer, the Web Manager, the Agency Historian, and the Imaging and Micrographics Manager, as well as with program officials responsible for other special media, such as audiovisual 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 records

Records Liaison

- Coordinates the records management activities of a major component, whether at headquarters or in the regions
- 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 Agency Records Officer and local program managers
- Coordinates matters relating to records management with the component's FOIA/Privacy Act Official(s), IRM Official, System Administrators, Program Managers, Internal Auditors, visiting Inspector(s) General, Counsel, the Public Affairs Officer, the Web Manager, the Agency Historian, and the Imaging and Micrographics Manager as well as with program officials responsible for other special media, such as audiovisual 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 records
- Coordinates with the Agency Records Officer 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
- Ensures the proper training of Records Custodians and employees and the proper briefing of Program and Senior Managers
- Promotes the records management program within the component
- Conducts periodic evaluations of records management activities within the component

Records Custodian

- Has assigned responsibility within a particular office for records management matters and complies with guidance issued by the Records Liaison and the Agency Records Officer
- 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 Agency Records Officer 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 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 Agency Records Officer in periodic evaluations of the office's records

Program Manager (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 the office file plan annually
- Reminds the staff not to mix personal papers and nonrecord materials with Federal records, and not to 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
- 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 Agency Records Officer in efforts to promote and evaluate the office's records management activities

System Administrator (Information Technology Manager)

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

Web Manager

- Serves as the person primarily responsible for managing the web pages within a component, i.e., assuring compliance with agency and local directives. Usually not the person responsible for content of a web page.
- Works with the Records Liaison, the Records Custodian(s), and others to ensure that the web Page Managers understand and adhere to Federal and agency recordkeeping requirements

Inspector General

- 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 Agency Records Officer and others regarding any recordkeeping deficiencies identified during inspections and investigations

General Counsel

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

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 content of public websites.
- Works with the Records Liaison to ensure release of information is in compliance with Federal and agency public affairs directives

Historian

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

Imaging and Micrographics Manager

- Serves as the official responsible for directing the agency's imaging and microfilming operations, or for monitoring contractors who scan or microfilm records for the agency
- Cooperates with the Agency Records Officer to ensure that the agency's scanned and microform records comply with Federal and agency requirements

Staff Member (Employee)

- Obtains basic records management training and guidance from the office's Records Custodian, Records Liaison, or Agency Records Officer
- 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
- Cooperates with the Records Custodian in transferring eligible records to a records center and permanent records to NARA
- Cooperates with the Records Custodian in destroying records only as authorized in the agency's records schedule
- Avoids removing records from the office without proper authorization

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Sample Memo Requesting a Records Inventory

Leonard L. Bean
Administrator

Paige Shuffler
Assistant Administrator for Administration

Polly C. Maker
Assistant Administrator for Resources Evaluation, Research, and Policy

Forrest Reed
Assistant Administrator for Recreation

Hudson Ray
Agency Records Officer

MEMORANDUM

To: Leonard L. Bean, Administrator
From: Hudson Ray, Agency Records Officer
Subject: Request for Records Inventory

You have perhaps heard about the occurrence three weeks ago in which one of the IT contractors for the Assistant Administrator for Administration and the Chief Information Officer, lost their contract after more than 10 years.

As the Agency Records Officer, I was tasked to clean up the offices that they have vacated and prepare the files for their predecessor. What I found was a mess. There was a mix of record and nonrecord materials; agency records were commingled with the contractors bidding information; and to further complicate the task, it appears that records were not sent to the program manager, but were allowed to be maintained by the individual responsible for each task – some paper, some electronic.

In order to get this office and several others in an organized state, we need to conduct a records inventory. The inventory will identify records and make sure that we are adequately and appropriately keeping our records according to regulations and laws, including contractor records.

Laws and regulations supporting properly identifying and maintaining records are:

- 44 U.S.C. 310 Establishment of a Program of Management
- 44 U.S.C. 3302 Law covering lists of records for disposal, procedure for disposal, and standards for reproduction
- 36 CFR 1228.32 General requirements for agencies to identify, develop, issue, and periodically review their recordkeeping requirements for all agency operations and records

- 36 CFR 1228.50 Agencies shall prescribe and appropriate records maintenance program so that complete records are identified and preserved

The basic reason for a records inventory is that you have to know what you have and you have to know what to do with it, and it appears by my initial review that we don't know what we have. The inventory can also help identify various records management problems (such as those I've seen in the program manager and previous contractors' offices).

Also, we've been discussing the need to establish a stronger records management program, especially with the onslaught of electronic records systems, and this would be a good way to begin. This records inventory can include the collection of data to do a cost/benefit analysis for the electronic project files for IT.

I would recommend that for initial roll-out, we just begin with the information collection in the IT System Administration Office. This would include the program managers' files for all IT systems and related contractors. We would also want to identify the electronic records.

The inventory process will begin with a concentration on the program records (paper and electronic) maintained in the current office space and then move to the records stored off-site. The inventory does not need to be conducted in every office simultaneously or be completed in every office before being put to use. In keeping the inventory small for now, we can have a small success that will be the catalyst for the next office.

It is important to obtain management support for the entire information collection process. Because this will use valuable resources (time and staff) to collect the data, as well as the resource time of the people from whom we will need to meet, senior management needs to understand the scope, purpose, and use of the information collection in support of improved records and information management.

If I have your approval to move forward, I will develop a plan for collecting the information and present it to management for review, feedback, and approval. I will emphasize how this will save us storage costs by reducing the volume of records and reduce the legal vulnerabilities by enforcing proper recordkeeping procedures.

I can also provide a letter for Joe Smith's signature. This written commitment by him will show management support, project direction, and authorization for records staff (or consultants) to proceed.

I look forward to talking with you more about the benefits of this endeavor,

HR

Sample Management Approval Introduction Letter for Records Inventories

Leonard L. Bean
Administrator

Paige Shuffler
Assistant Administrator for Administration

Polly C. Maker
Assistant Administrator for Resources Evaluation, Research, and Policy

Forrest Reed
Assistant Administrator for Recreation

Hudson Ray
Agency Records Officer

Date:
To: All managers and program heads

As you are aware, an initiative to improve our records management program has been implemented. I ask your cooperation in seeing that this important project is successfully completed. Please provide any assistance to those who will be visiting your offices.

The support services division has developed an action plan outlining the steps required to improve our records management system. The first step is an inventory of all records maintained in this agency office. We expect that this phase of the project will take two months. The inventory will provide an agency-wide view of record-keeping, identify problem areas that need to be addressed (over duplication, bottlenecks in workflow, etc.), and identify inactive and disposable records that can be retired to NARA or destroyed. It will also reveal any "unscheduled" records that we may be creating, which need to be added to the Agency Retention Schedule. Finally, the inventory will help facilitate the development of a comprehensive information maintenance plan that can be used by all agency offices to manage their records from now on, and help pave the way for electronic recordkeeping.

There is a lot of work ahead and your cooperation in this endeavor will be appreciated. If you have any questions, call the team leader, John Jones, at 000-555-1111.

Leonard L. Bean
Administrator

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Series Inventory Form

1. DATE PREPARED	2. OFFICE MAINTAINING THE FILES (*Name and symbol*)

3. INVENTORY PERSONNEL (*Name, office, phone number*)	4. SERIES LOCATION

5. SERIES TITLE	5. INCLUSIVE DATES

7. SERIES DESCRIPTION

8. MEDIUM (*check all that apply*) ☐ Paper ☐ Microform ☐ Electronic (*use information system form*) ☐ Audiovisual (*use audiovisual form*)	**13. REFERENCE ACTIVITY** (*after cutoff*) ☐ Current (*at least once a month per file unit*) For how long after cutoff? ☐ Semicurrent (*Less than once a month per file unit*) ☐ Noncurrent (*Not used for current agency business*)
9. ARRANGEMENT ☐ Subject file classification system ☐ Alphabetical by name ☐ Alphabetical by subject ☐ Geographical by (*specify*) ☐ Numerical by (*specify*) Alphanumeric by contract ☐ Chronological ☐ Other(*specify*)	**14. VITAL RECORDS STATUS** ☐ Yes ☐ No (*If yes, indicate type here; use entry 15 to show any duplication.*) ___ Emergency-operating ___ Rights-and-interest ___ Both
	15. DUPLICATION Are documents in this series available in another medium? ☐ Yes ☐ No (*If yes, explain where and in what medium*)
10. VOLUME (*in cubic feet*)	**16. FINDING AIDS** (*if any*)
11. ANNUAL ACCUMULATION (*in cubic feet or inches*)	**17. RESTRICTIONS ON ACCESS AND USE**
12. **CUT-OFF** (*e.g. ,end of FY*)	**18. CONDITION OF PERMANENT RECORDS** ☐ Good ☐ Fair ☐ Poor *Comments*

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority?

☐ Yes (*List the schedule and item number, give the current disposition instructions, and justify any proposed changes.*)

☐ No (*Propose an appropriate retention period.*)

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Audiovisual Records Series Inventory Form

1a. PREPARED BY:	1b. ORGANIZATION:	1c. PHONE NUMBER
2. SERIES LOCATION:	**3. CREATING OFFICE:**	

4. SERIES DESCRIPTION:

5. DATES:	6. ARRANGEMENT:	7. VOLUME:
8. RESTRICTIONS:		**9. ANNUAL ACCUMULATION** ~Cubic Feet ~ Items

10. NATURE AND FREQUENCY OF USE:

11. CUTOFF INSTRUCTIONS:	12. RETIRE REGULARLY? ~ Yes ~ No

13. PRESENT DISPOSITION:

14. RECOMMENDATIONS FOR DISPOSITION:

15. COMMENTS:

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Information System Description Form

1. SYSTEM TITLE	**2. SYSTEM CONTROL NUMBER**
3. AGENCY PROGRAM SUPPORTED BY SYSTEM	**4. PROGRAM AUTHORITY**
5. SYSTEM DESCRIPTION	
5A. PURPOSE/FUNCTION OF SYSTEM	
5B. SOURCE(S) OF DATA (Include inputs from other systems)	
5C. INFORMATION CONTENT	
5D. SYSTEM OUTPUTS (Include outputs from other systems)	
6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)	
7. AGENCY CONTACTS (Names, addresses, and phone numbers of system and program personnel who can provide additional information about the system and the program it supports)	
8. PREVIOUS DISPOSITION JOBS	
9A. PREPARER'S NAME	**9B. OFFICE NAME AND ADDRESS**
9C. PHONE NUMBER	
SIGNATURE	**DATE**

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SERIES INVENTORY FORM #1

1. DATE PREPARED 9/7/05	**2. OFFICE MAINTAINING THE FILES** (*Name and symbol*) Aquatic Recreation Staff, Boat Licensing Unit

3. INVENTORY PERSONNEL (*Name, office, phone number*) S. Owens	**4. SERIES LOCATION** Contractor Office

5. SERIES TITLE Boat License Procedures Files	**6. INCLUSIVE DATES** 1995 to present

7. SERIES DESCRIPTION Procedure manual; approved updates to procedures; background files on each update including article clippings, drafts, comments, reason for change to procedures; files on different types of boat licenses including cigarette boats, canoes, pedal boats, row boats, sailboats; license files of different license forms used from 1995 to the present and the different forms for each type of boat.

8. MEDIUM (*check all that apply*)	**13. REFERENCE ACTIVITY** (*after cutoff*) unknown
✓ Paper	☐ Current (*at least once a month per file unit*) For how long after cutoff?
☐ Microform	
✓ Electronic (*use information system form*)	☐ Semicurrent (*less than once a month per file unit*)
☐ Audiovisual (*use audiovisual form*)	☐ Noncurrent (*not used for current agency business*)

9. ARRANGEMENT	**14. VITAL RECORDS STATUS** ☐ Yes ☐ No
☐ Subject file classification system	(*If yes, indicate type here; use entry 15 to show any duplication.*) __Emergency-operating___Rights-and-interest____Both
✓ Alphabetical by name	
✓ Alphabetical by subject	
✓ Geographical by (*specify*)	**15. DUPLICATION** Are documents in this series available in another place or medium? ☐ Yes ☐ No
☐ Numerical by (*specify*)	(*If yes, explain where and in what medium*)
☐ Chronological	unknown
✓ Other(*specify*) name of type of boat; name of lake, river, bay; name of author of procedure update	

10. VOLUME (*in cubic feet*) unknown	**16. FINDING AIDS** (*if any*)

11. ANNUAL ACCUMULATION (*in cubic feet or inches*) unknown	**17. RESTRICTIONS ON ACCESS AND USE** unknown

12. CUT-OFF (*e.g., end of FY*) none	**18. CONDITION OF PERMANENT RECORDS** ☐ Good ☐ Fair ☐ Poor *Comments*

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority?

☐ Yes (*List the schedule and item number, give the current disposition instructions, and justify any proposed changes.*) unknown

☐ No (*Propose an appropriate retention period.*)

SERIES INVENTORY FORM #2

1. DATE PREPARED 9/7/05	**2. OFFICE MAINTAINING THE FILES** (*Name and symbol*) Director of Aquatic Recreation Staff
3. INVENTORY PERSONNEL (*Name, office, phone number*) D. Owens	**4. SERIES LOCATION** Director's Office
5. SERIES TITLE Director's Office Files	**6. INCLUSIVE DATES** 1995 to the present

7. SERIES DESCRIPTION

CDs, briefing books, letters, memos, and reports of the Director

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8. MEDIUM (*check all that apply*)

✓Paper

☐ Microform

✓Electronic (*use information system form*)

☐ Audiovisual (*use audiovisual form*)

13. REFERENCE ACTIVITY (*after cutoff*)

✓ Current (*at least once a month per file unit*)

   For how long after cutoff**?**

☐ Semicurrent (*less than once a month per file unit*)

☐ Noncurrent (*not used for current agency business*)

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9. ARRANGEMENT

☐ Subject file classification system

☐ Alphabetical by name

☐ Alphabetical by subject

☐ Geographical by (*specify*)

☐ Numerical by (*specify*)

☐ Chronological

✓ Other(*specify*) NONE

14. VITAL RECORDS STATUS   ☐ Yes ☐ No

(*If yes, indicate type here; use entry 15 to show any duplication.*)

___ Emergency-operating ___ Rights-and-interest ___ Both

15. DUPLICATION Are documents in this series available in another place or medium?   ✓Yes ☐ No

(*If yes, explain where and in what medium*)

The Director's files are nonrecord materials. The original copy is in the subject files of the Division.

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10. VOLUME (*in cubic feet*) 10 cubic feet	**16. FINDING AIDS** (*if any*) NONE
11. ANNUAL ACCUMULATION (*in cubic feet or inches*) 2 cubic ft	**17. RESTRICTIONS ON ACCESS AND USE NONE**
12. CUT-OFF (*e.g., end of FY*)	**18. CONDITION OF PERMANENT RECORDS** ☐ Good ☐ Fair ☐ Poor *Comments*

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority?

☐ Yes (*List the schedule and item number, give the current disposition instructions, and justify any proposed changes.*)

☐ No (*Propose an appropriate retention period.*)

SERIES INVENTORY FORM #3

1. DATE PREPARED	**2. OFFICE MAINTAINING THE FILES** (*Name and symbol*)
9/7/05	Director BPR

3. INVENTORY PERSONNEL (*Name, office, phone number*)	**4. SERIES LOCATION**
D. Owens	Directors Office

5. SERIES TITLE	**6. INCLUSIVE DATES**
Director's Correspondence	1995-2002

7. SERIES DESCRIPTION

Policy files, committee files, senior staff meeting files, diaries, calendars, telephone message ledgers.

8. MEDIUM (*check all that apply*) ✓ Paper ☐ Microform ☐ Electronic (*use information system form*) ☐ Audiovisual (*use audiovisual form*)	**13. REFERENCE ACTIVITY** (*after cutoff*) ✓ Current (*at least once a month per file unit*) For how long after cutoff? ☐ Semicurrent (*less than once a month per file unit*) ☐ Noncurrent (*not used for current agency business*)
9. ARRANGEMENT ☐ Subject file classification system ☐ Alphabetical by name ✓ Alphabetical by subject ☐ Geographical by (*specify*) ☐ Numerical by (*specify*) ☐ Chronological ☐ Other(*specify*)	**14. VITAL RECORDS STATUS** ☐ Yes ☐ No (*If yes, indicate type here; use entry 15 to show any duplication.*) ___ Emergency-operating ___ Rights-and-interest ___ Both
	15. DUPLICATION Are documents in this series available in another place or medium? ☐ Yes ☐ No (*If yes, explain where and in what medium*) unknown
10. VOLUME (*in cubic feet*) 10	**16. FINDING AIDS** (*if any*)
11. ANNUAL ACCUMULATION (*in cubic feet or inches*) *3* cubic ft	**17. RESTRICTIONS ON ACCESS AND USE** corporate trade secrets
12. CUT-OFF (*e.g., end of FY*)	**18. CONDITION OF PERMANENT RECORDS** ☐ Good ☐ Fair ☐ Poor *Comments*

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority?

☐ Yes (*List the schedule and item number, give the current disposition instructions, and justify any proposed changes.*)

✓ No (*Propose an appropriate retention period.*) Temporary. Destroy 4 years after Director leaves office

SERIES INVENTORY FORM #4

1. DATE PREPARED 9/7/05	**2. OFFICE MAINTAINING THE FILES** (*Name and symbol*) Administratio*n*

3. INVENTORY PERSONNEL (*Name, office, phone number*) D. Owens	**4. SERIES LOCATION** basement and virtual

5. SERIES TITLE Engineering drawings	**6. INCLUSIVE DATES** unknown

7. SERIES DESCRIPTION Rolled up drawings of buildings operated by BPR

8. MEDIUM (*check all that apply*) ✓Paper ☐ Microform ✓ Electronic (*use information system form*) ☐ Audiovisual (*use audiovisual form*)	**13. REFERENCE ACTIVITY** (*after cutoff*) ☐ Current (*at least once a month per file unit*) For how long after cutoff? ☐ Semicurrent (*Less than once a month per file unit*) ✓ Noncurrent (*Not used for current agency business*)
9. ARRANGEMENT NONE ☐ Subject file classification system ☐ Alphabetical by name ☐ Alphabetical by subject ☐ Geographical by (*specify*) ☐ Numerical by (*specify*) ☐ Chronological ☐ Other(*specify*)	**14. VITAL RECORDS STATUS** ✓ Yes ☐ No (*If yes, indicate type here; use entry 15 to show any duplication.*) Emergency-operating Rights-and-interest ✓ Both
	15. DUPLICATION Are documents in this series available in another place or medium? ✓ Yes ☐ No (*If yes, explain where and in what medium*) scanned version located somewhere in agency
10. VOLUME (*in cubic feet*) 200 rolls	**16. FINDING AIDS** (*if any*) card index to drawings
11. ANNUAL ACCUMULATION (*in cubic feet or inches*) none	**17. RESTRICTIONS ON ACCESS AND USE** none
12. CUT-OFF (*e.g., end of FY*) none	**18. CONDITION OF PERMANENT RECORDS** ☐ Good ☐ Fair ☐ Poor *Comments*

19. DISPOSITION AUTHORITY Does the series have an approved disposition authority?

☐ Yes (*List the schedule and item number, give the current disposition instructions, and justify any proposed changes.*)

☐No (*Propose an appropriate retention period.*)

Steps in a File Plan

File Plan: Step 1

Identify record series and information systems maintained in your office. (You must be able to determine which files are in your office's custody.)

- Use the information from your files inventory
- Study file arrangement
- Use agency records schedules and the General Records Schedule (GRS) to identify all items that apply to your office
- If you create a series or system of records not described in your schedules, you still need to include it in your file plan so users know how to maintain those records
- If you maintain nonrecord materials, reference materials, and other information that does not require a schedule, you still need to include them in your file plan so users know how to maintain those materials

File Plan: Step 2

Identify each disposition authority and retention for each series or system.

- Using agency records schedules or the GRS, identify from your schedules the disposition (cutoff, transfer, and disposal) instructions for each series or system that you identified in Step 1
- If you cannot locate a schedule for the series or system, note that it is unscheduled. Unscheduled records cannot be destroyed.
- Schedule any records that are not covered by the GRS or an existing records schedule
- Obtain approval for the newly scheduled records from NARA

File Plan: Step 3

Construct the file plan.

- To make records easier to find, the file plan should be ordered or organized in the same order as the records are arranged in the files
- Using the information that you have identified in Steps 1 and 2, copy the following information from the schedules into your actual file plan document:
    - Item or series numbers (often called a file number or plan item number) – Can be a sequential number or the series number from the records schedule
    - Series and system titles – Titles identical to those found in the records schedule. If there is an informal title used by staff, place that title in parentheses following the official title.

- Series and system descriptions – Describe the series, state which unit can use the series, and provide an arrangement statement
- Disposition instructions – Provide the disposition statement, authority, and any necessary disposition instructions. Cite disposition for unscheduled records as "Unscheduled – do not destroy or delete."

File Plan: Step 4

Maintain a copy in an electronic format so that you can incorporate changes suggested during review

File Plan: Step 5

Obtain management review and approval of the file plan, and distribute it.

- The Agency Records Officer, Records Liaison, division or unit officer, and others identified by the agency should review the file plan for:
    - Accuracy – Are all series properly described? Are all dispositions properly cited?
    - Completeness – Does it cover all the records created and maintained in that office? Does it include all the descriptions and dispositions? Does it include unscheduled records? Does it include nonrecord materials?

- Obtain final approval and signatures from the Records Manager, Records Liaison, division or unit officer, and others identified

- After signature, return a copy to the originating office for proper filing and distribution to all staff

- Maintain a paper copy of the file plan near the files where it is accessible to users (usually, this means in front of the paper files)

- File an electronic copy on the shared drive (or repository) where the electronic series or systems are maintained. Maintain an electronic copy so that you can easily make updates.

File Plan: Step 6

Review and update the file plan.

- The file plan should be reviewed annually and amended as needed
- A new file plan must be prepared when there are any changes in custody, series arrangement, or disposition
- A new file plan must be prepared if files have been deleted or added
- Revised plans must be reviewed and approved through the same process as the originals

Filing Equipment

Vertical file cabinets

With vertical file cabinets, drawers must be opened, resulting in more time spent in the filing process. If equipment is moved frequently, file cabinets have an advantage over open shelf or equipment that is fastened to the floor because file cabinets are easy to move. They also have advantages when records require extra security.

Open-shelf filing

With open-shelf filing, employees do not have to open drawers to file and retrieve, so this method saves some labor and time. Because there are no drawers to open, there is economy of space. However, they are generally more difficult to move. This filing system is well suited for insurance applications, medical records, or other records that can be filed numerically.

Lateral filing

Lateral filing is also known as side open. These files project only six inches into the working space. They are best used for private offices rather than large, central areas.

Mobile aisle systems

Mobile aisle systems conserve filing space and are known as high-density systems. They are manual, mechanical, and electrical. The major considerations with this type of system are cost and floor load.

Rotating shelves

Rotating shelves contain two file units, back to back. They are good to use when there must be access from two different rooms. They provide fast access and also save up to two-thirds of the floor space used by conventional files.

Specialized filing equipment

In addition to housing for standard records of traditional sizes, other types of specialized filing equipment are available for special types of records and media, such as magnetic tape, microform, CD-ROMS, and optical disks. Considerations for this type of equipment include the need for special handling to prevent damage to surfaces and edges as well as the need for controlled temperature and humidity conditions.

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Suggestions for Improving Records Management

Here are 10 suggestions for improving the management of paper records. By taking these steps you will decrease the amount of paper in your office, increase the amount of available space, and improve staff efficiency. Most importantly, this will lay the groundwork for the digitization of records or for the implementation of a records management application.

1. **Separate your paper into four categories: records for which your program is responsible, administrative records, working files, and reference materials.**

2. **Set up a "records center" or official file station for your major program files. Make someone responsible for each major program file your office maintains, and send them to records management training.**

3. **Apply your records schedules. Most programs keep records longer than they need to. Hold regular cleanup days to encourage staff to retire older records to the records center or recycle them, as the schedule specifies.**

4. **Draft lists of documents that need to be included in the official program files, and documents that do not need to be retained. Coordinate this list with your Records Manager and counsel as necessary.**

5. **Cut off your program and administrative files at the end of each year. Start new files and bring forward only the material that is still active. This will simplify retiring inactive records later.**

6. **File records by type and by disposition rather than filing everything together. For example, file final reports that have a long retention period and active life separately from drafts that have a short retention period. Separate controlled correspondence from general correspondence, and so on.**

7. **Use the agency's file codes to help organize your files. Arranging them based on file codes will assist with the year-end cleanup process.**

8. **When you create a new type of record or file, acquire an approved disposition for it in conjunction with the records management program. This will allow you to plan how long you need to retain records.**

9. **When you automate, be sure to include records management considerations and responsibilities in your mission needs analysis.**

10. **Set up a central reference file for documents that are needed by the staff on an occasional basis, rather than having each staff member retain a copy.**

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E-Naming Conventions Directive

FOREST SERVICE HANDBOOK

WASHINGTON, DC

FSH 6209.11 – RECORDS MANAGEMENT HANDBOOK

CHAPTER 20 – RECORDS MAINTENANCE

Interim Directive No.: 6209.11-2001-1

Effective Date: February 26, 2001

Duration: Expires on August 26, 2002

Approved: CLYDE THOMPSON
Deputy Chief for Business Operations   **Date Approved:** 02/20/2001

Posting Instructions: Interim directives are numbered consecutively by Handbook number and calendar year. Post by document name at the end of the chapter. Retain this transmittal as the first page of this document.

New Document(s):	id_6209.11-2001-1	3 Pages
Superseded Document(s): (Last interim directive was ID 6209.11-99-1 to chapter 20.)	ID 6209.11-99-1	3 Pages

Digest:

24	This interim directive (ID) issues without change the direction formerly in ID 6209.11-99-1. This interim directive to section 24, Filing Practices, provides direction on filing electronic copies of official correspondence not created in the Lotus Notes Correspondence Database.

WO Interim Directive   id_6209.11-2001-1
EFFECTIVE DATE: 02/26/2001   Page 2 of 4
DURATION: Expires on 08/26/2002

FSH 6209.11 – RECORDS MANAGEMENT HANDBOOK
CHAPTER 20 – RECORDS MAINTENANCE

24 – FILING PRACTICES

1. **Paper Copy Files.** To provide uniformity throughout the Forest Service, comply with the standards in sections 24.1-24.51.

2. **Electronic Files.**

    a. **Document Naming Conventions**. Each letter or memorandum needs a unique name before it can be stored in the /fsrecords/ area of the /fsfiles/ directory. Files must be named using a convention that has three parts which include the numeric file code including all digits and hyphens; a brief description of the letter's content that uses key words (keep this description as brief as possible); and the date the correspondence was signed. See exhibit 01 for examples. Correspondence filed in the directory */fsfiles/ref/fsrecords/correspondence/* must be linked to the Forest Service Web (FSWeb, Intranet) home page.

    b. **Directory Structure**. File official correspondence in the directory */fsfiles/ref/fsrecords/correspondence/* under the fiscal year folder corresponding to the date the letter was signed.

    c. **Document Standards**. Ensure that correspondence filed in the directory */fsfiles/ref/fsrecords/correspondence/* is appropriate for all Forest Service employees to view. Correspondence of a confidential nature must be filed in a staff or unit directory with restricted access.

WO Interim Directive   id_6209.11-2001-1
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24 – Exhibit 01

Document Naming Conventions

LETTER EXAMPLE	FILENAME
• Informal letter to the Chief • Signed June 12, 1997 • File designation 1010-2 • Subject: Revised Planning Rule	1010_2_revised_planning_rule_1997_0612
• Informal letter to the Station Director • Signed July 14, 1997 • File designation 6140-1 • Subject: IBM Training (your ltr 5/30/97)	6140-1_ibm_training_1997_0714
• Formal letter to contractor XYZ about its unsuccessful proposal to build a cabin at Blue Moon Mine site • Signed May 22, 1997 • File designation 6320-1-1	6320-1_1_xyz_blue_moon_denied_1997_0522
• Informal letter to Regions and Stations announcing a meeting • Signed August 11, 1999 • File designation 1100/6230 • Subject: National Directives and Records Meeting	1100_6230_national_directives_records_meeting_1999_0811
• Letter from Region 5 • Signed August 5, 1997 • File designation 5130-2 • Subject: Fire Suppression Report	This directory is intended for official records generated at the local site. Do not file incoming FS correspondence in the /fsrecords directory. These files will bring their source file name with them if the choice is made at site to file them.

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U.S. Environmental Protection Agency

Records

Centralized or Decentralized?
That is the Question!

Several decisions need to be made when you're setting up your records management program. One of the hardest decisions, and sometimes the most controversial, is whether or not your records should be "centralized" or "decentralized."

Several issues need to be considered when making the decision on where your records should be located. One of the best ways to approach the decision-making process is to review the advantages and disadvantages of each system and choose the one, or combination, that has the most advantages for your situation.

Centralized System

A **centralized** filing system is:

- One in which the records for several people or units are located in one central location; and,
- Generally, under the control of a records staff person or, in the case of large centralized filing systems, several people

Advantages:

- Responsibility is easily placed
- Effective use is made of equipment, supplies, and space
- All related data is kept together
- It reduces duplication
- Uniform service is provided to all users
- It results in improved security

Disadvantages:

- Records may be too distant from staff for adequate service
- It can result in increased personal filing systems
- It requires full-time staffing
- It may require investment in more efficient filing equipment and/or automation

Decentralized System

A **decentralized** filing system is:

- One in which the files are located throughout the office, generally at individual work stations; and,
- Usually controlled by the person who creates and/or receives them

Advantages:

- Records are located near the staff creating and using them
- It does not require "extra" space needed for centralized files
- It does not require full-time staffing
- Staff feel more comfortable knowing they are in control of their own filing and retrieving

Disadvantages:

- Confusion as to where information can be found, especially if staff member is absent
- Can result in "fragmented" documentation - information related to the same topic or subject filed in multiple places
- Lack of uniformity or consistency
- Lack of knowledge by individual staff members about how to properly maintain their files

Combination System

There are also ways to structure your program using a combination, or **centralized/decentralized** system, of these two approaches. Centralized control is established through a "records liaison" or "records manager" who is the centralized point of contact for records management in the office and who has responsibility for maintaining the office file plan and ensuring that established procedures are followed.

Here are some examples where specific types of records are maintained in a central location while the rest of the records are maintained at individual work stations:

- A centralized reference collection of documents;
- A file room for files that are inactive but which are not ready to be sent to the Federal Records Center (FRC);
- A public reference room for files that are accessed by the public

Those records, which are maintained at individual work stations, are also part of the organization's filing system and included in the office file plan so that everyone in the office knows where the records are located and who is responsible for maintaining them.

The Bottom Line

The bottom line is that you need to understand the recordkeeping needs of your office and choose the system that best fits those needs.

This page was generated on Tuesday, March 4, 2003 [**EPA RECORDS TOOLS may no longer be available.**]
View the graphical version of this page at *http://www.epa.gov/records/tools/central.htm*

Case Files Quick Reference

Loose and fastened filing

1. File papers loosely when case files are small, have a low reference rate, are scheduled for short-term retention, or rarely leave the office or file room

2. Fastened filing is usually preferred for large case files that receive extensive use, have long retention periods, and are likely to be charged out for extended periods of time or used by several staff members

Standardizing case files

Case filing is easier if you standardize certain aspects of the files. This is true for both paper and electronic files. Here's how:

1. **Standardize case file identification –** Case files are always filed by identifier, usually name or number. The identifier should appear on every document within the case file folder.

2. **Standardize case file contents –** Many case files consist of documents (paper and electronic) that will be found in almost all cases, such as certain forms, legal documents, report templates, and correspondence, that tell the story of the transaction or project from beginning to end. It is possible to draw up a list of what documents should be in each case file and use it as a checklist of what should and should not be included. This checklist can be very helpful when reviewing the file for completeness, especially to determine the need for future action or when trying to determine whether the case can be cut off. Also, recordkeeping requirements will often specify what documents should be included in the case file.

3. **Standardize the order of case file contents –** Just as many case files contain certain specified documents, you may also be able to specify the order of documents and forms within the file or even to divide the folder into several segments for different types of papers and electronic documents

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Subject Files Quick Reference

Subject Files

- Bring together all agency general subject records by topic
- Should be set up using a subject filing classification system
- Are cut off or closed annually, since records do not have natural ending points
- Can be of either short or long-term value

Organizing Subject Files

- Analyze your subject files
- Define subject topics
- Issue a subject filing manual with the final office file plan (see Module 4 on file plans)
- Cut off the files periodically (annually by fiscal year or calendar year, for example)
- Label drawers, guides, (electronic) directories, and folders

Arrangement of Subject Files

Once the basic file types have been identified and separated within a records series, the best method of arranging each type of file must be determined. The arrangement selected should permit ease of filing and retrieval of file documents without any special index systems. The ideal agency subject classification system reflects the work of the agency. The agency's records schedule should reflect how records are maintained and used in the agency.

To select a system for arranging records, the record keeper must find out how users will most often request the records. These are the standard arrangements:

- Subject
- Chronological
- Geographical
- Terminal digit
- Organizational
- Alphabetical
- Numerical

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Sample File Plan for the Fiscal Management Staff

		DISPOSITION INSTRUCTIONS	LOCATION	VITAL RECORDS	PRIVACY ACT
FM	FISCAL MANAGEMENT STAFF				
FM411	Budget and Finance Policy Files	PERM Transfer to NARA 10-yr block when 20 yrs old	Main File Station-FM		
FM412	Accounting Files	TEMP Destroy 6 yrs 3 mos	Main File Station-FM		
FM413	Budget Estimates and Justification	TEMP Destroy 5 yrs old	Main File Station-FM		
FM414	Budget Files	TEMP Destroy 10 yrs after cutoff	Main File Station-FM		
FM415a	Approved Grants	TEMP Destroy 30 yrs after completion	Main File Station-FM		
FM415b	Denied Grants	TEMP Destroy 3 yrs after disapproval	Main File Station-FM		
FM416(1)a	Routine Procurement Files-over	TEMP Destroy 6 yrs 3 mos	Main File Station-FM		
FM416(1)b	Routine Procurement Files-under	TEMP 3 yrs	Main File Station-FM		
FM417	Information Collection Files	TEMP 2 yrs	Main File Station-FM		
	Special Project Automated Management System (SPAMS)	UNSCHEDULED			
	Risk Assessment Files	UNSCHEDULED			
	Bureau Organizational Chart	UNSCHEDULED			

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Migration Strategies Quick Reference Guide

Plan for migration activities…

1. All Business Process Redesign projects should address records migration issues. When changing from a paper-based or microfilm records system to an electronic records system, build migration into your formulas for future activities and expenditures.

2. Include migration tasks in all Requests for Proposal (RFP) and contracts with software vendors and records management service providers.

3. Review your media once a year for degradation. Refresh media on a regular cycle based on your specific storage conditions (e.g., temperature, humidity, and method of storage) and media.

4. Migrate to a proven, open architecture system every five to ten years, depending on your agency's needs. Building migration into RFPs and contracts ensures that software vendors and records management service providers will be involved in this process.

5. Maintain one generation plus the current system.

6. Conduct a records migration pilot before conversion. When implementing a conversion, run both the old and the new systems until you are sure that the new system is working to your expectations and users' needs.

7. Develop and implement written policies and procedures for migration. Maintain an audit trail of migration activities and any changes made during these activities to ensure that the records are readable, understandable, and retrievable. Conduct quality control reviews of migrated records. Policies and procedures must be in place to attest to the fact that the integrity of the records has been maintained, and that the records are complete, accurate, and authentic.

   - Migration should result in little or no loss of structure and no loss in content or context. However, migration may change the appearance of the records. If the content, context, and structure of the records can no longer be supported because of migration, then authenticity must be reestablished by documenting all actions taken and validating that the intellectual content of the records has not been altered.

   - Migration must be performed routinely in the normal course of business. Documentation of this process is required to substantiate migration activities.

   - Maintain evidence that the records, after migration, are relied upon in the same manner as before migration.

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