THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3:

Records Scheduling

Welcome

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

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Administrative Items

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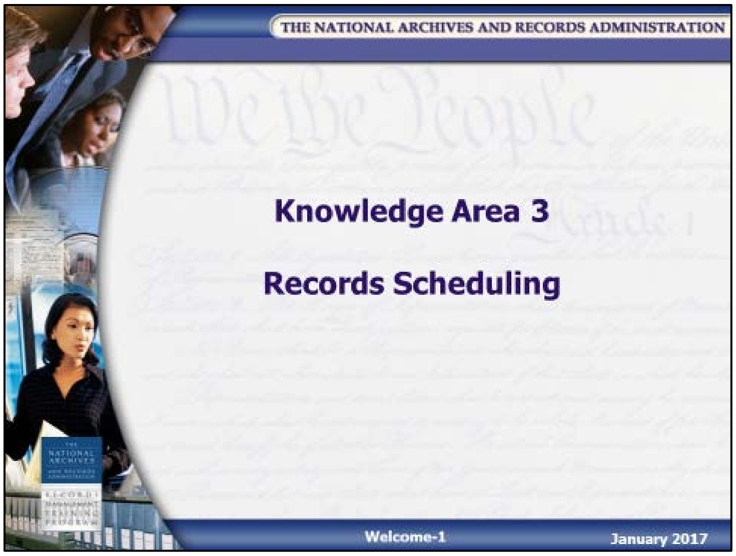

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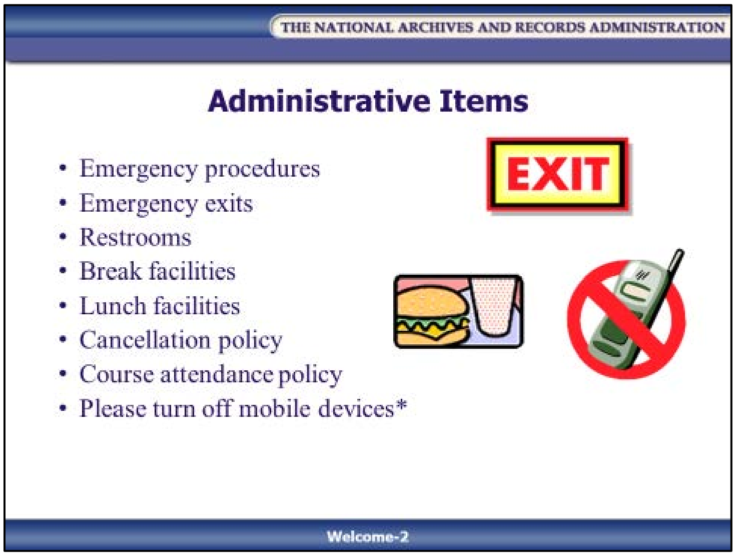
Administrative Items

Slide Welcome-2



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

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

NOTES

Cancellation and Attendance Policies

NARA reserves the right to postpone or cancel a course at any time. We will make every effort to contact registrants by email and telephone if that occurs. Courses WILL BE CANCELLED if the Office of Personnel Management (OPM) announces a “closed,” “unscheduled leave,” “liberal leave,” or “delay arrival” policy for Federal employees for that day or if there has been an elevation to threat level RED in the Homeland Security status. Official government closure and leave policy is located on the OPM website at *http://www.opm.gov*.

Attendance Policy for NARA Courses – Course completion requires that you attend all course sessions. Instructors may deny a course completion certificate for unexcused absences which may require retaking the course for additional fees.

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Getting to Know You: Save the Records!

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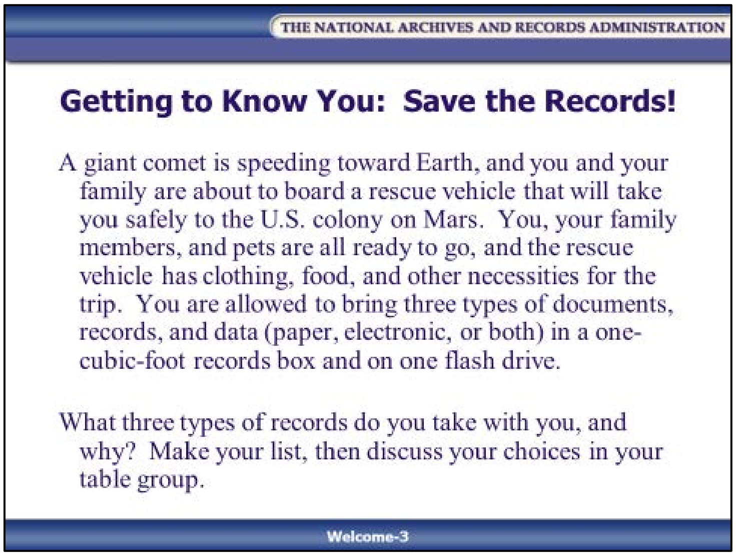

A giant comet is speeding toward Earth, and you and your family are about to board a rescue vehicle that will take you safely to the U.S. colony on Mars. You, your family members, and pets are all ready to go, and the rescue vehicle has clothing, food, and other necessities for the trip. You are allowed to bring three types of documents, records, and data (paper, electronic, or both) in a one-cubic-foot records box and on one flash drive.

What types of records do you take with you, and why? Make your list, then discuss your choices in your table group.

Note any trends developing in your group. Are family photographs a popular choice? Are you taking family recipes? Elect a spokesperson for your group and have him/her report on the top three types of information your group identified, then have each person briefly introduce him/herself (name, agency/organization, and city).

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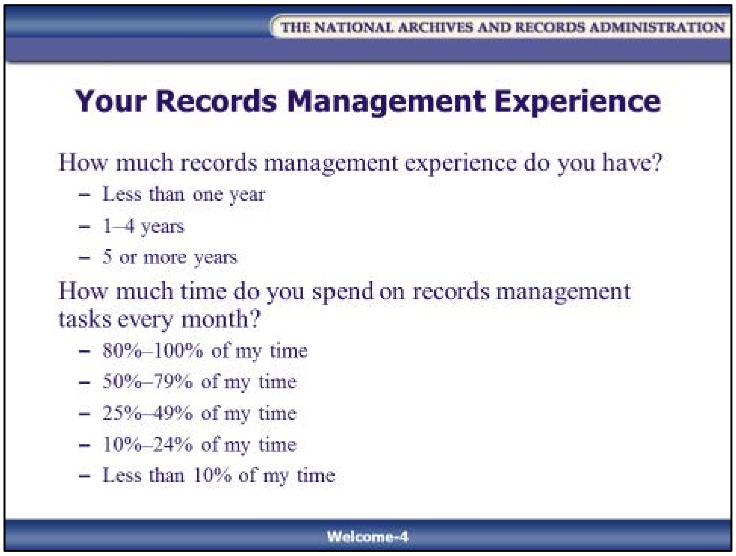
Your Records Management Experience

Slide Welcome-4



How much records management experience do you have?

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

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

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

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About NARA

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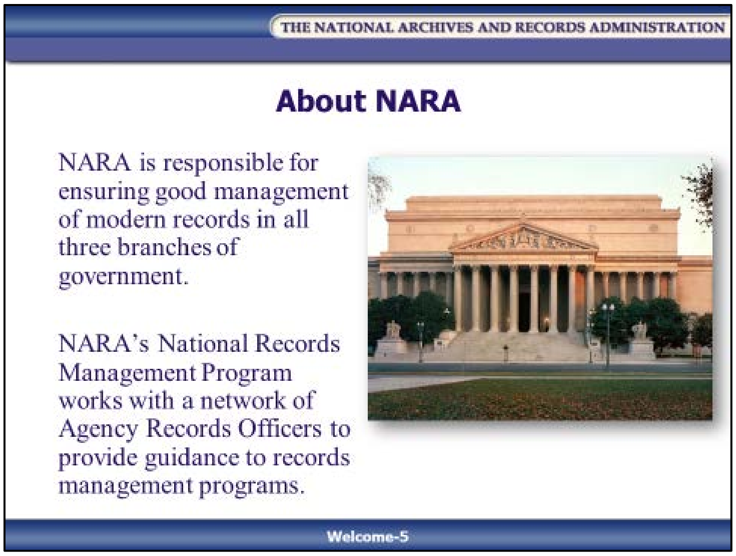

As you know, NARA stands for the National Archives and Records Administration. We are the archivists and records management experts who provide guidance for managing Federal records and other business information.

In this course, we will focus on the work done by the National Records Management Program within NARA's Office of the Chief Records Officer. As we will see in the modules to come, NARA staff work with a nationwide network of Agency Records Officers and records management staff to manage the records schedule appraisal and approval process.

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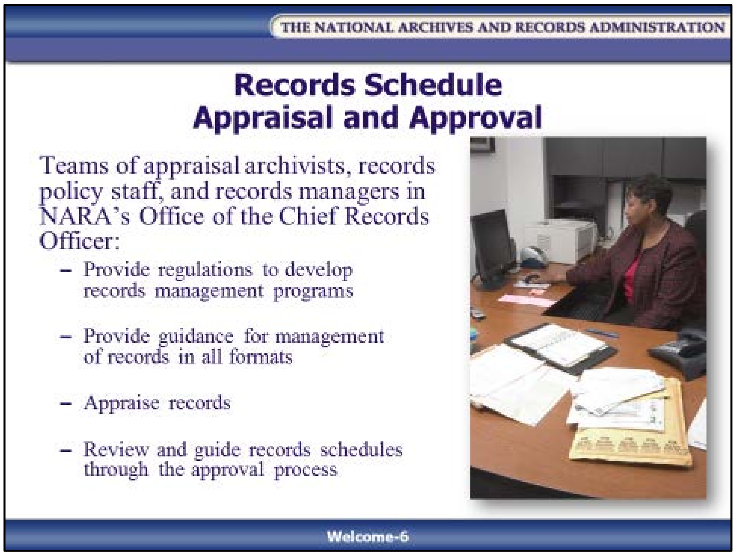

As you will learn in this course, teams of appraisal archivists, records policy staff, and records managers in NARA's Office of the Chief Records Officer:

- Provide regulations to develop records management programs
- Provide guidance for management of records in all formats
- Appraise records
- Review and guide records schedules through the approval process

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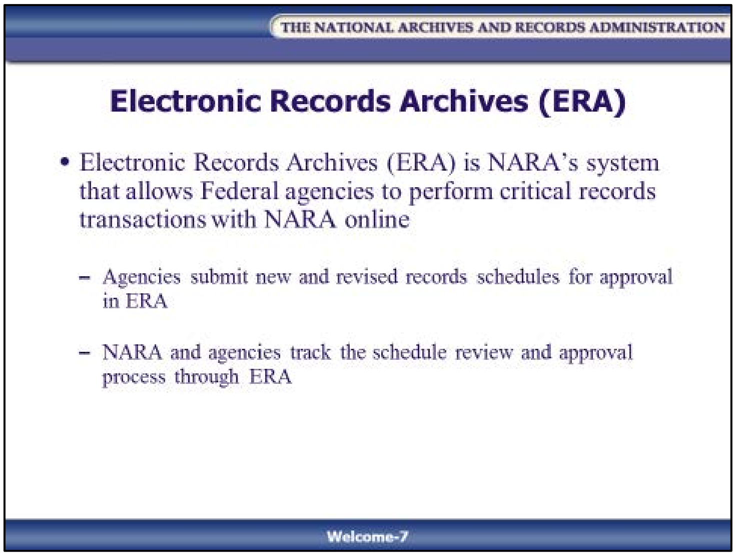

The Electronic Records Archives, or ERA, is NARA's online system through which Federal agencies work with NARA to perform critical records transactions, including the submission of records schedules for approval and the authorization of the transfer of permanent records to NARA.

Especially relevant to this course are two ERA functions:

Agencies use ERA to submit new and updated records schedules to NARA for approval

Agencies and NARA staff use ERA to track the progress of schedules as they move through the appraisal and approval process.

You can learn more about ERA at *https://www.archives.gov/era*.

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Course Outline

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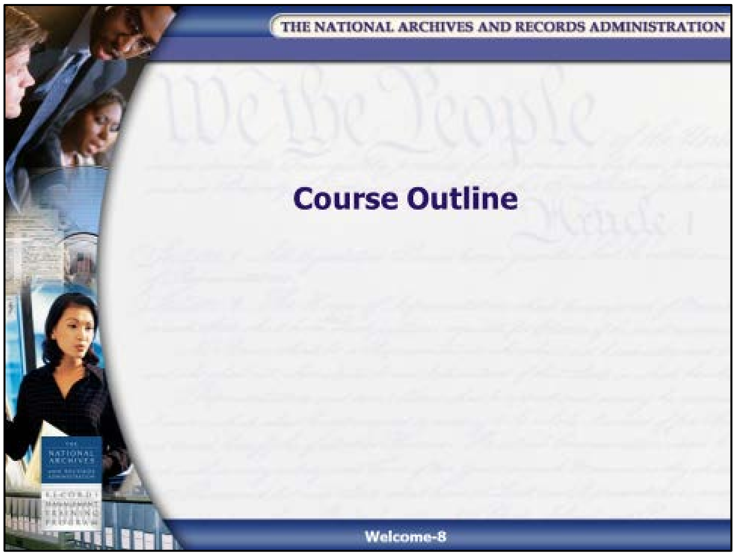

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NARA's Knowledge Areas (KAs) and Certificate of Federal Records Management Training

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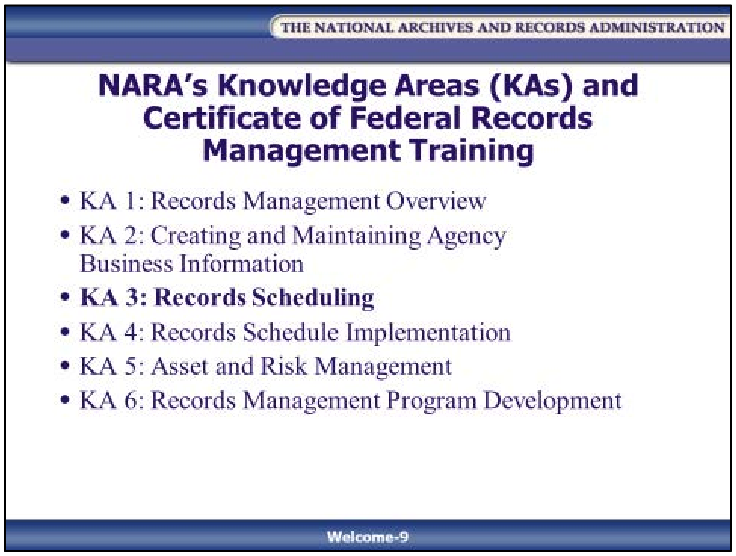

With the constant changes in information technology and Federal recordkeeping, National Archives and Records Administration (NARA) is pursuing ways to ensure that records professionals have the knowledge and skills to do their jobs effectively. NARA offers an optional program that certifies individuals after successful completion of training in Federal records management. **Knowledge Area 3: Records Scheduling** is one of the five Knowledge Areas (KA 2 to KA 6) of the Federal records management training certificate program.

After completing this course, you may elect to take an examination on the course material to demonstrate both understanding and the ability to apply the information presented. The test is conducted online via NARA's Learning Center at *http://nara.csod.com*.

For more information about the records management courses offered by NARA, see *http://www.archives.gov/records-mgmt/training/*.

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Course Objectives

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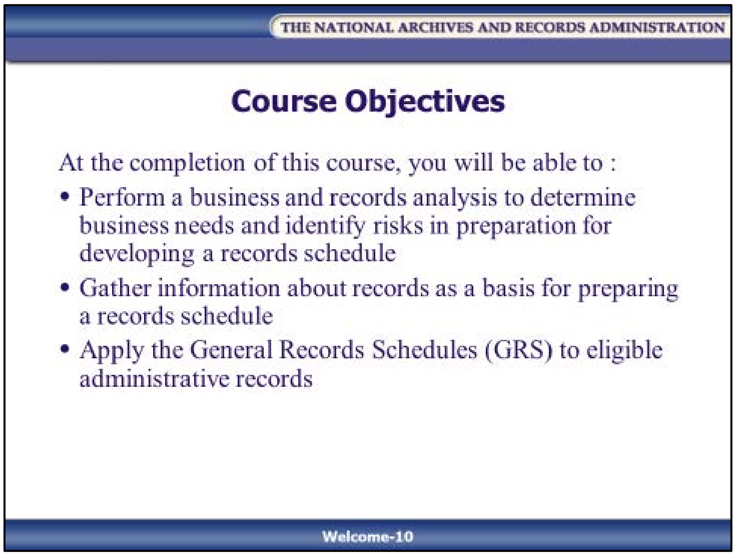

At the completion of this course, you will be able to:

- Perform a business and records analysis to determine business needs and identify risks in preparation for developing a records schedule
- Gather information about records as a basis for preparing a records schedule
- Apply the General Records Schedules (GRS) to eligible administrative records

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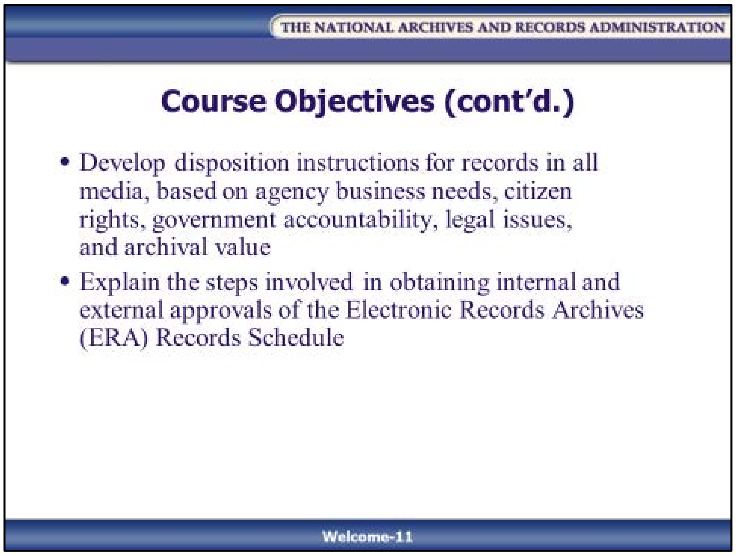
Slide Course Outline-4



- Develop disposition instructions for records in all media, based on agency business needs, citizen rights, government accountability, legal issues, and archival value
- Explain the steps in obtaining internal and external approvals of the Electronic Records Archives (ERA) Records Schedule

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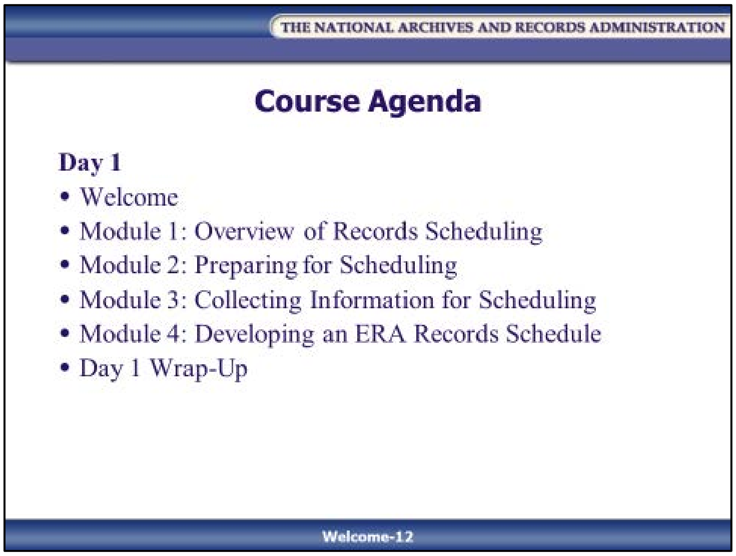
Course Agenda

Slide Welcome-12



Day 1

- Welcome
- Course Outline
- Module 1: Overview of Records Scheduling
- Module 2: Preparing for Scheduling
- Module 3: Collecting Information for Scheduling
- Module 4: Developing an ERA Records Schedule
- Day 1 Wrap-Up

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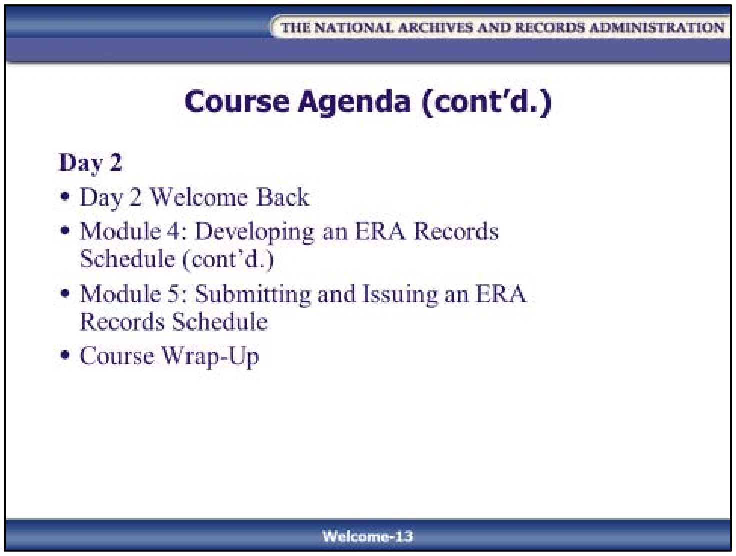

Day 2

- Day 2 Welcome Back
- Module 4: Developing an ERA Records Schedule (cont'd.)
- Module 5: Submitting and Issuing an ERA Records Schedule
- Course Wrap-Up

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Course Materials

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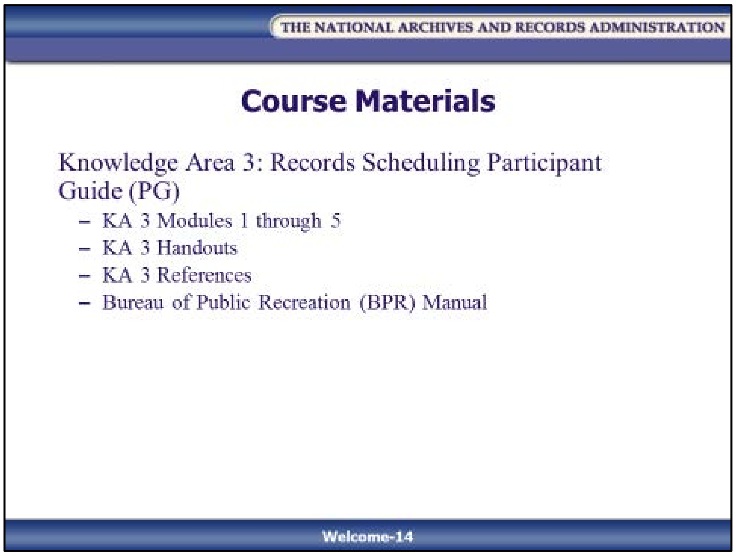
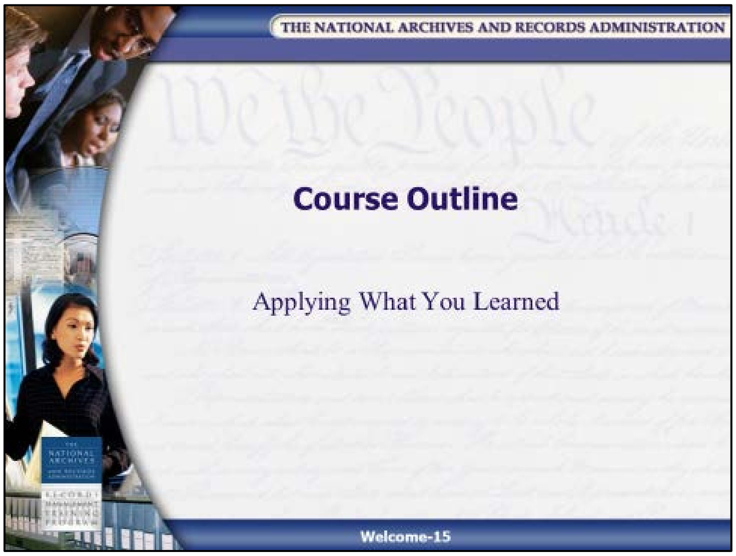


- Knowledge Area 3: Records Scheduling Participant Guide (PG)
  - KA 3 Modules 1 through 5
  - KA 3 Handouts
  - KA 3 References
  - Bureau of Public Recreation (BPR) Manual

NOTES

Applying What You Learned

Slide Welcome-15



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Action Items Worksheets

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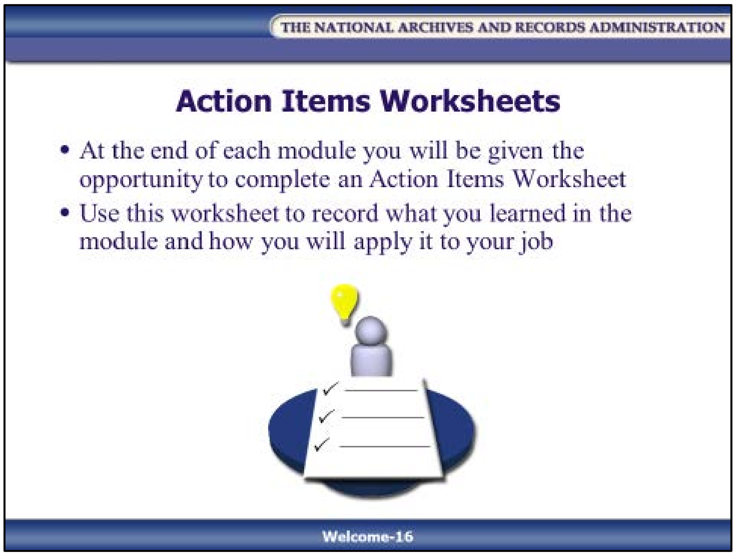

Training is useful only if you can apply it to your everyday responsibilities. It is important that you use the information and concepts you learn in this course to create a plan of action for when you return to your office.

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

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

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Why Are We Here?

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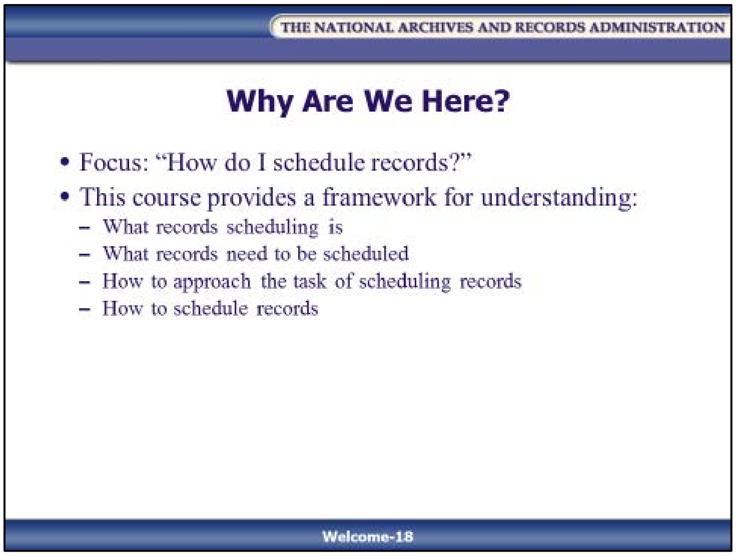
Slide Welcome-18



In KA 3, our focus is to answer the question: "How do I schedule records?"

This course provides a framework for understanding:

- What records scheduling is
- What records need to be scheduled
- How to approach the task of scheduling records
- How to schedule records

NOTES

Consider these two scenarios:

- Your agency is involved in the management of funds that are paid to various Native American tribes relating to the use of tribal lands, mineral deposits, and funding sources. Ten years from now, a particular tribe sues your agency because it believes that there has been financial mismanagement of the monies. A Federal judge orders discovery of all agency records pertaining to all Native American tribes, beyond those pertaining specifically to this case. Your agency has not properly managed or scheduled these records, and it appears that some records have been destroyed or deleted over the years. The judge fines the head of the agency and the General Counsel staff $10,000 and orders a freeze on all records dispositions throughout the agency, forcing the agency to manage all of its records as if they were permanent records.

- Twenty years from now, a satellite your agency developed and launched is threatening to re-enter Earth's atmosphere and spread debris across a large area. NASA believes it can re-boost the satellite, but needs the software source code to do it – but no one who worked on the software can be located. The only hope is to find the source code documentation in the agency's records. At one time, this might have been impossible, but, because your agency practiced good records management, the documents containing the source code are found. NASA is able to use the information to re-boost the satellite, with the result that the satellite continues safely orbiting the Earth.

NOTES

Review Activity: Key Terms Familiarity

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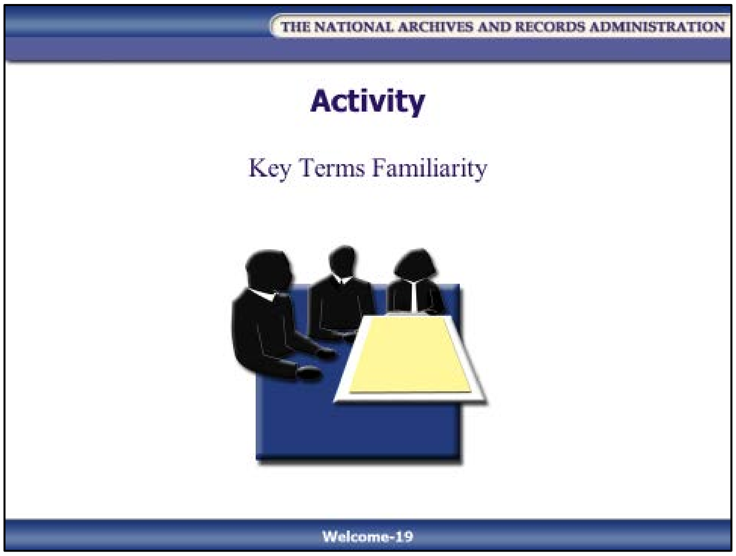

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Key Terms Familiarity Worksheet

Put a check next to each term that you know, understand, and could discuss with the class.

Table Course Outline-3: Key Terms Familiarity Worksheet

TERM	CHECK	NOTES
1. Record		
2. Nonrecord materials		
3. Permanent record		
4. Temporary record		
5. Lifecycle		

TERM	CHECK	NOTES
6. Record series		
7. Electronic records		
8. Information system		
9. Records schedule (disposition, authority, disposition manual)		
10. General Records Schedules (GRS)		
11. Unscheduled records		

TERM	CHECK	NOTES
12. Disposition		
13. Record retentions		
14. Cutoff		
15. Essential records (vital records)		
16. Special media		

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Module 1: Overview of Records Scheduling

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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Introduction and Objectives

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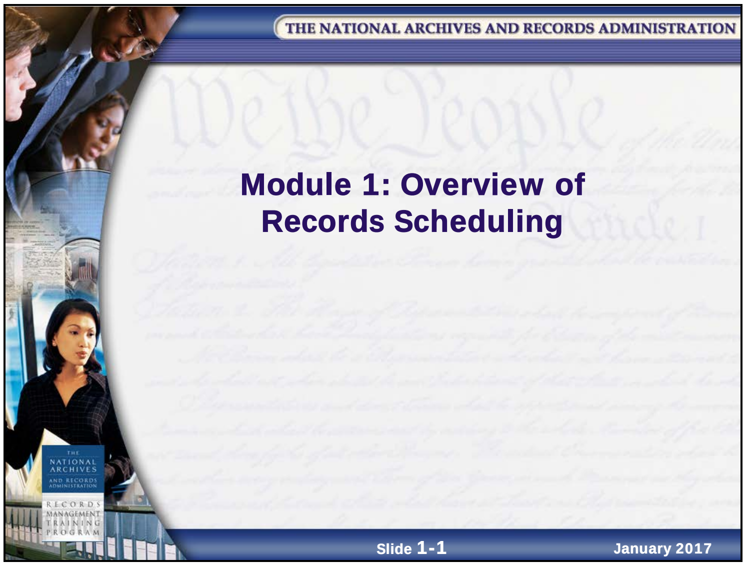

Overview

An effective records management program depends on the systematic creation and maintenance of agency records and a systematic approach to the disposition of records when they are no longer needed for current government business. These actions are achieved through the completion of a records schedule.

In Module 1, we explain what records scheduling is and explore a structured approach to records scheduling.

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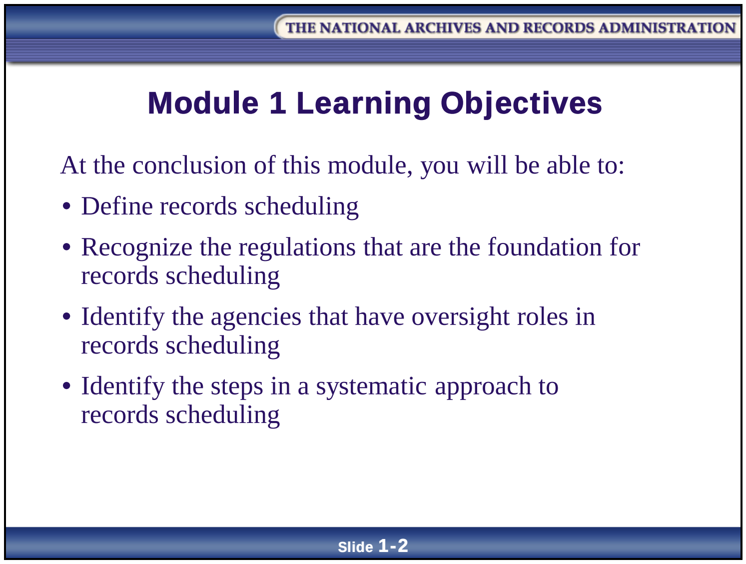
Objectives

Slide 1-2



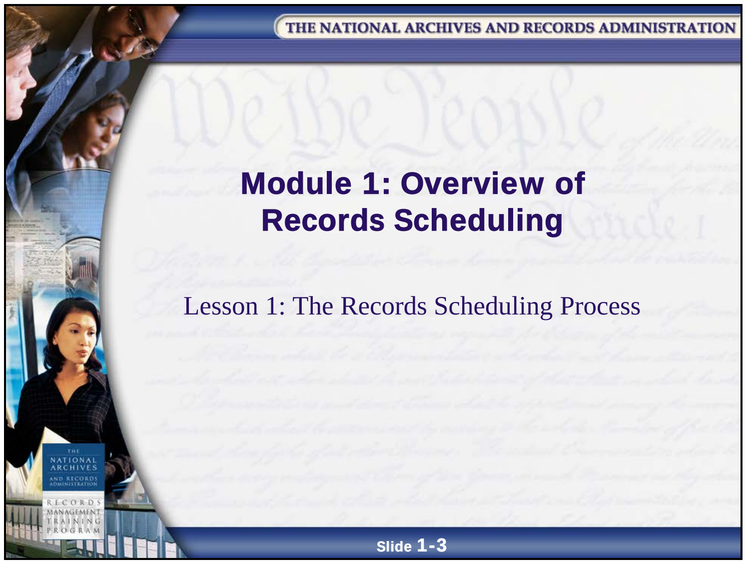
At the conclusion of this module, you will be able to:

- Define records scheduling
- Recognize the regulations that are the foundation for records scheduling
- Identify the agencies that have oversight roles in records scheduling
- Identify the steps in a systematic approach to records scheduling

NOTES

Lesson 1: The Records Scheduling Process

Slide 1-3



NOTES

What is Records Scheduling?

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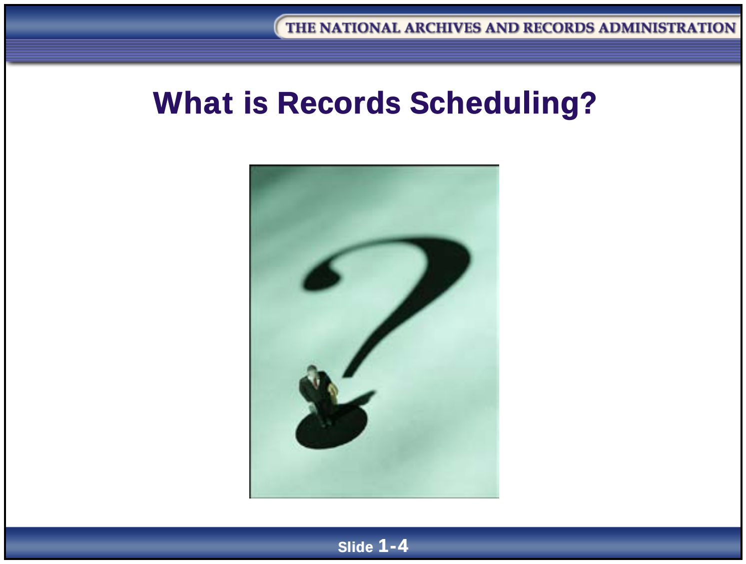

Records scheduling is:

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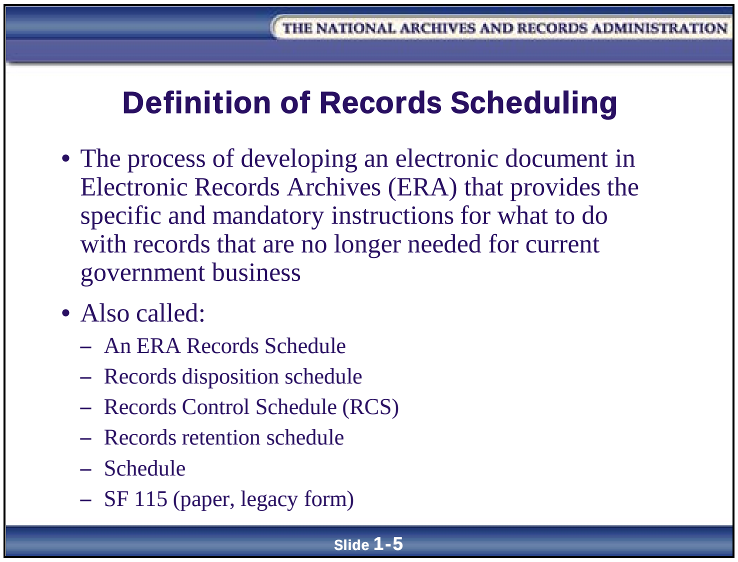
Definition of Records Scheduling

Slide 1-5



Records scheduling is the process of developing an electronic document that provides the specific and mandatory instructions for what to do with records after they are no longer needed for current government business. In the Federal government, records schedules are developed by agencies and submitted to the National Archives via the Electronic Records Archives (ERA) for approval.

A records schedule is also called:

- ERA Records Schedule
- Records disposition schedule
- Records Control Schedule
- Records retention schedule
- Schedule
- SF 115 (paper, legacy form)

NOTES

The National Archives and Records Administration (NARA) uses the term "records schedule" to mean:

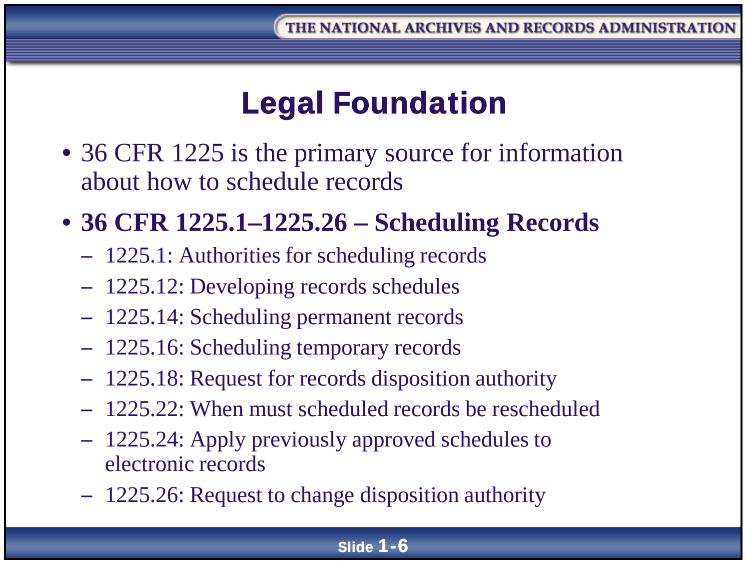
- ERA Records Schedule
- Legacy Standard Form (SF 115), Request for Records Disposition Authority
- General Records Schedules (GRS)
- Agency Records Schedules (manual)

Agency records schedules, often included as part of agency records management manuals, contain series and information system descriptions and disposition instructions for administrative, program, and nonrecord material, along with agency records management policies and procedures.

NOTES

Foundation for Records Scheduling

Slide 1-6



36 CFR 1225 is the primary source for information about how to schedule records – it is the foundation for records scheduling.

NOTES

36 CFR 1225.1–1225.26 – Scheduling Records

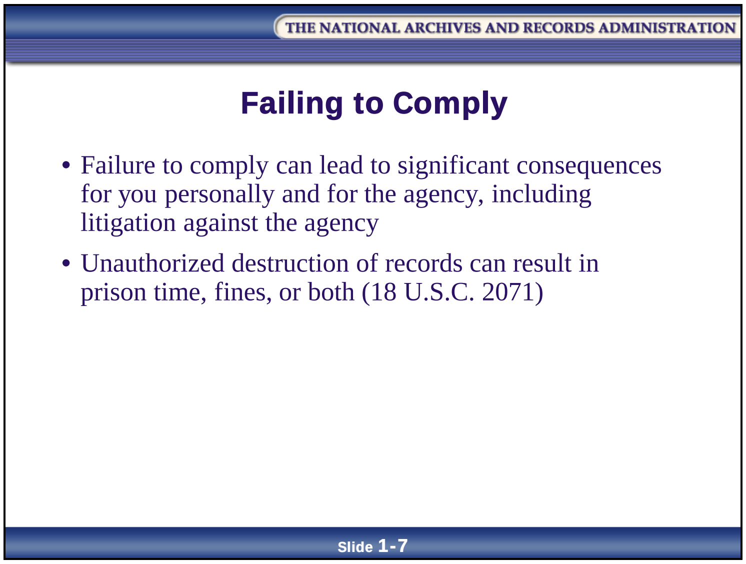
- 1225.1: Authorities for scheduling records
- 1225.12: Developing records schedules
- 1225.14: Scheduling permanent records
- 1225.16: Scheduling temporary records
- 1225.18: Request for records disposition authority
- 1225.22: When must scheduled records be rescheduled
- 1225.24: Apply previously approved schedules to electronic records
- 1225.26: Request to change disposition authority

NARA's regulations (36 CFR 1225.22.(a) and (b)) require each agency to develop a comprehensive records schedule within two years of the agency's establishment and to schedule records of a new program within one year of its implementation. NARA also recommends that as a good business practice, each agency review its comprehensive records schedule annually and update it as necessary.

NOTES

Failing to Comply

Slide 1-7



Failure to comply with the records scheduling requirements can lead to loss or unauthorized removal of records. Both actions can have significant consequences for you personally and for the agency, including litigation against the agency.

The unauthorized destruction of records can result in prison time, fines, or both (18 U.S.C. 2071). No Federal records can be destroyed or otherwise alienated from the government except in accordance with the procedures described in 36 CFR 1226. The procedures for handling unauthorized destruction or alienation of Federal records are outlined in 36 CFR 1230.

(Refer to NARA Bulletin 2013-03 – Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal located at *http://www.archives.gov/records-mgmt/bulletins/2013/2013-03.html*.)

NOTES

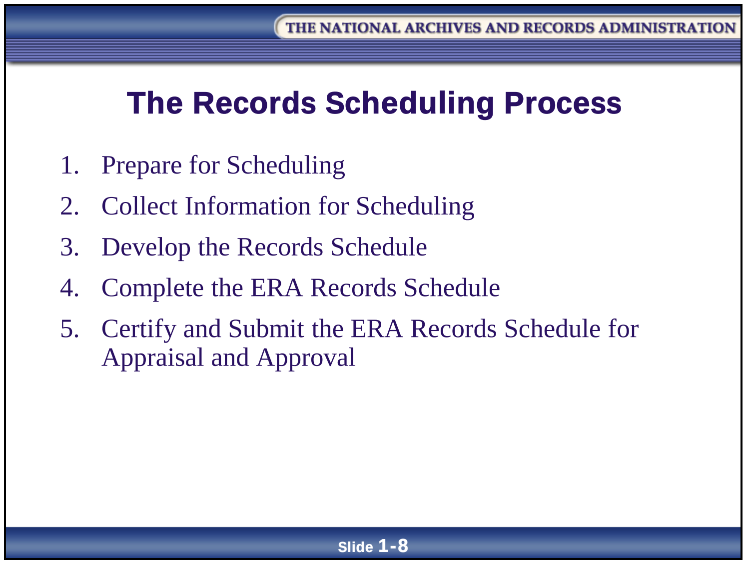
Scheduling and the Electronic Records Archives (ERA)

Records schedules are created online in the ERA system. ERA provides a structured format to meet NARA's scheduling requirements and for providing clear series and information system descriptions and disposition instructions. ERA allows for the tracking of major scheduling transactions once a schedule is formally submitted to NARA. Eventually, your agency will create an online collection of valid dispositions authorities that will serve as the basis of your agency's comprehensive manual.

NOTES

The Records Scheduling Process

Slide 1-8



1. Prepare for Scheduling

Perform business, records, and risk analyses:

Review the functions and recordkeeping requirements and practices of the program office(s) selected for records scheduling

- Examine organization charts, websites, and functional statements to determine the key functions and business processes in each program or organizational unit
- Consult with program managers, information technology (IT) managers, and records personnel
- Examine related laws and regulations to determine business functions, practices, and policies

NOTES

2. Collect Information for Scheduling

   Inventory series, electronic files, electronic systems, and records in all formats, including both record and nonrecord materials. Make a decision about the organizational structure of the records schedule.

3. Develop the Records Schedule

   – Evaluate the records contained in each series, system, or groupings to determine their uses and value
   – Make a recommendation as to the type of record – permanent or temporary – and then propose specific retention periods
   – Make a preliminary assessment of the appropriate disposition of the records in each series or system
   – Draft recommended file cutoffs, retention periods, and other disposition instructions for all records, along with necessary instructions for all nonrecord materials
   – Use the GRS for all applicable records
   – Assemble the draft schedule and clear it internally before ingesting the data into ERA

4. Complete the ERA Records Schedule

   Complete your draft ERA Records Schedule online via ERA Agency User Manual requirements (*http://www.archives.gov/era/*).

5. Certify and Submit the ERA Records Schedule for Appraisal and Approval

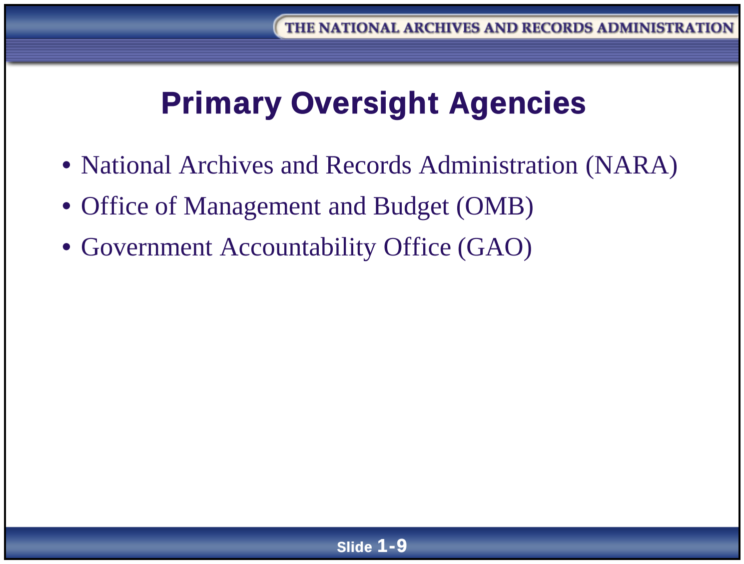
   Submit the ERA Records Schedule electronically for appraisal and to obtain final approval, formal appraisal from NARA and, if applicable, the Government Accountability Office (GAO).

   Once you have obtained approval from NARA and GAO, implement the schedule and then review and update the schedule as necessary, but at least annually.

NOTES

Primary Oversight Agencies

Slide 1-9



There are three primary agencies that have oversight of the records management process:

- National Archives and Records Administration (NARA)
- Office of Management and Budget (OMB)
- Government Accountability Office (GAO)

NARA and GAO, are particularly important to records scheduling.

NOTES

Oversight Agencies – NARA

Slide 1-10

The National Archives and Records Administration Act of 1984 amended the existing records management statutes to divide records management responsibilities between NARA and GSA. Under the Presidential and Federal Records Act Amendments of 2014, NARA is now completely responsible for adequacy of documentation, records disposition, and economy and efficiency in records management within the Federal government.

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Oversight Agencies – OMB

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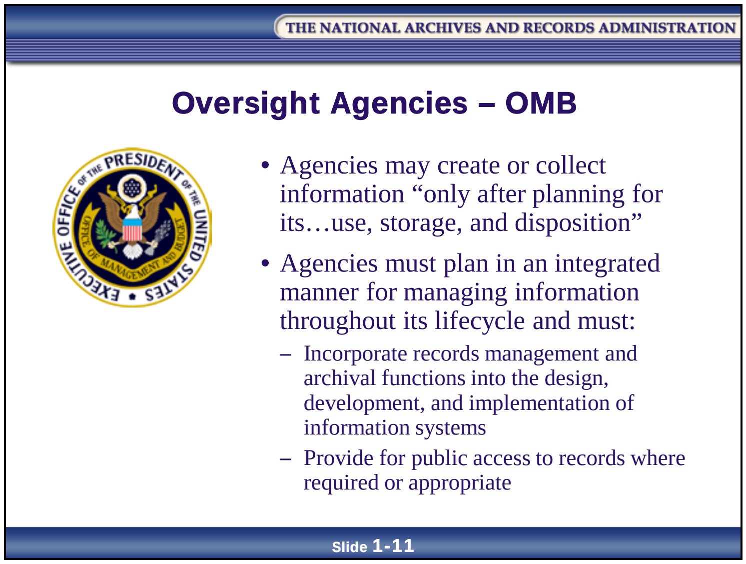

According to OMB Circular No. A-130, Public Law 104-106, the Clinger-Cohen Act (CCA), formerly the 1996 Information Technology Management Reform Act, is designed to improve the way the Federal Government acquires, uses, and disposes of information technology (IT) resources:

- Agencies may create or collect information “only after planning for its use, storage, and disposition”
- Agencies must plan in an integrated manner for managing information throughout its lifecycle and must:
  - Incorporate records management and archival functions into the design, development, and implementation of information systems
  - Provide for public access to records where required or appropriate

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Oversight Agencies – GAO

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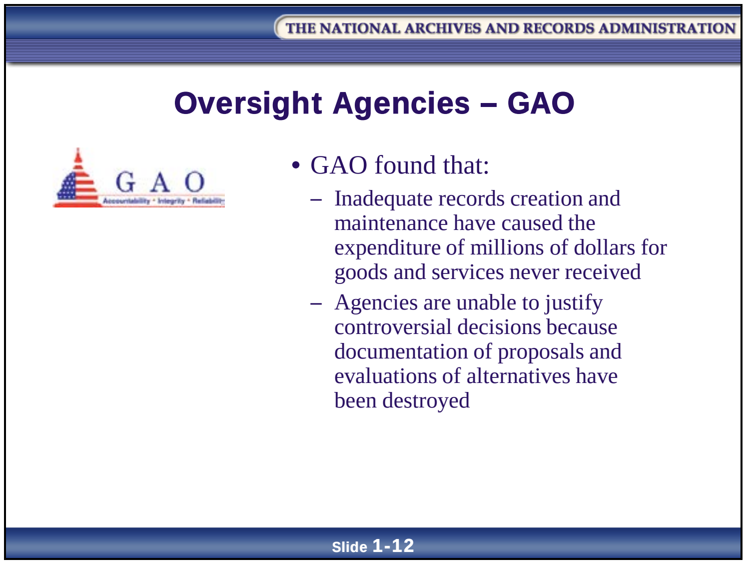

GAO found that failure to create or maintain complete and accurate records caused the expenditure of millions of dollars for goods and services never received.

The destruction of draft and working files left agencies unable to justify controversial decisions because they no longer had documentation of proposals and evaluations of alternative opinions and decisions. It is important to consider the informational value of these types of records when developing a schedule.

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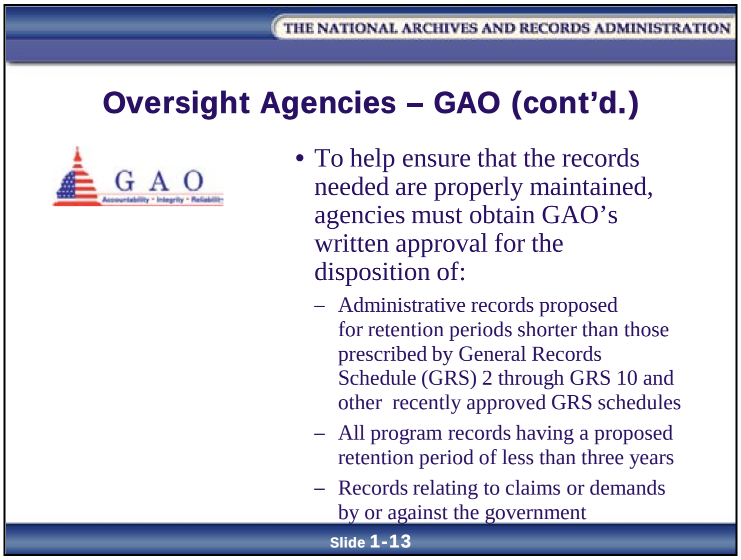

To help ensure that the records needed are properly maintained, GAO requires that agencies obtain its written approval for the disposition of items falling into three general categories:

- Administrative records proposed for retention periods shorter than those prescribed by GRS 2 through GRS 10 and other recently approved GRS schedules
- All program records having a proposed retention period of less than three years
- Records relating to claims or demands by or against the government

If GAO's approval is necessary, the agency must request it when submitting an ERA Records Schedule to NARA. While GAO's approval is pending, NARA processes the ERA Records Schedule but withholds approval until it receives GAO's written concurrence. Title 8 of the "GAO Policy and Procedures Manual for Guidance of Federal Agencies" contains further details on GAO requirements and related program information.

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Agency Roles and Responsibilities

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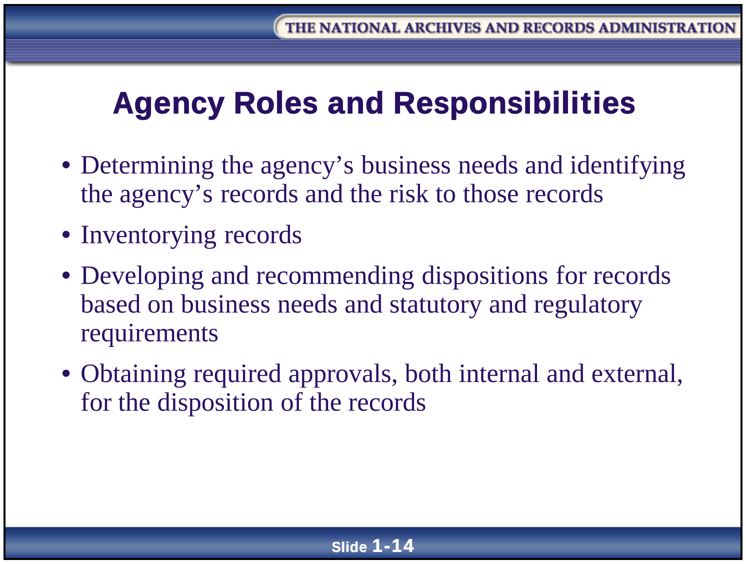

Federal employees and contractors involved with performing agency business create Federal records and therefore have recordkeeping responsibilities.

An agency's records scheduling responsibilities include:

- Determining the agency's business needs and identifying the agency's records and the risk to those records
- Inventorying records
- Developing and recommending dispositions for records based on business needs and statutory and regulatory requirements
- Obtaining required approvals, both internal and external, for the disposition of the records

NOTES

NARA's Roles and Responsibilities

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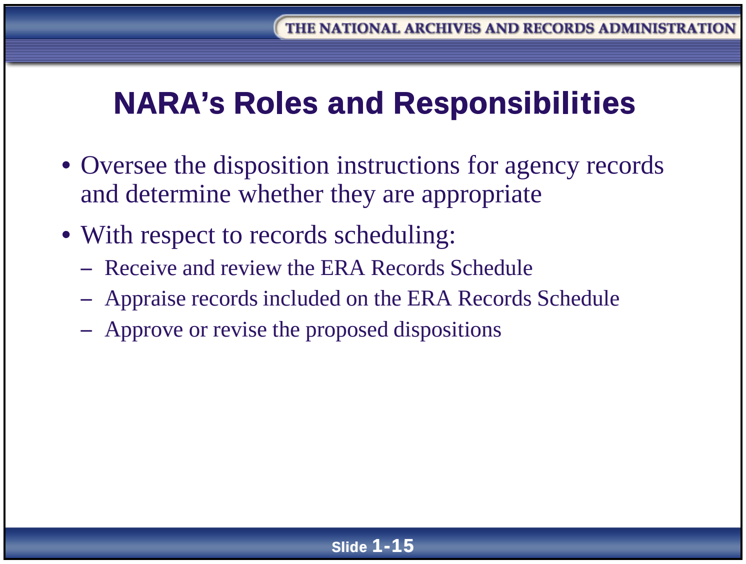


NARA oversees the disposition instructions for agency records and determines whether they are appropriate.

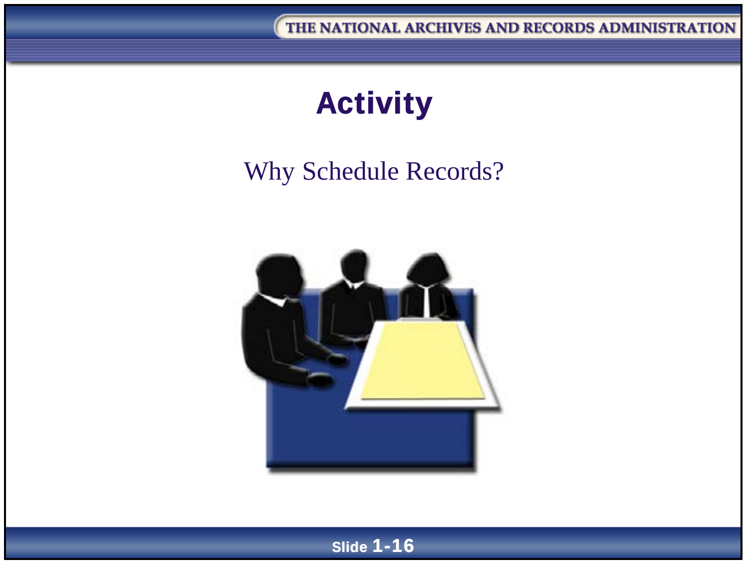
NARA's records scheduling responsibilities include:

- Receiving and reviewing the ERA Records Schedule
- Appraising records included on the ERA Records Schedule
- Approving or revising the proposed dispositions

NOTES

Activity: Why Schedule Records?

Slide 1-16



NOTES

Why Schedule Records? Worksheet

Many people at your office may not understand records scheduling and therefore may be resistant to or, unknowingly, obstacles to scheduling their records. Let's see if you can explain, in a nutshell, records scheduling and why we schedule records.

Use the following questions to help you organize your thoughts and develop your elevator talk. Remember: An elevator talk is at most a minute long!

1. What is a records schedule?

2. Answer the following with respect to records scheduling:

   Who (schedules records)?

   What (is scheduled)?

   When (are records scheduled)?

Where (are records schedules developed)?

Why (do we schedule records)?

3. Write your elevator talk here:

Lesson Summary

In this lesson, you learned:

- What records scheduling is
- The foundation for records scheduling – 36 CFR 1225.1–1225.26 – Scheduling Records
- The main steps in the records scheduling process:
  1. Prepare for Scheduling
  2. Collect Information for Scheduling
  3. Develop the Records Schedule
  4. Complete the ERA Records Schedule
  5. Submit the ERA Records Schedule for Appraisal and Approval
- The agencies with oversight over the records management and records scheduling processes
- Records scheduling responsibilities for agencies and NARA

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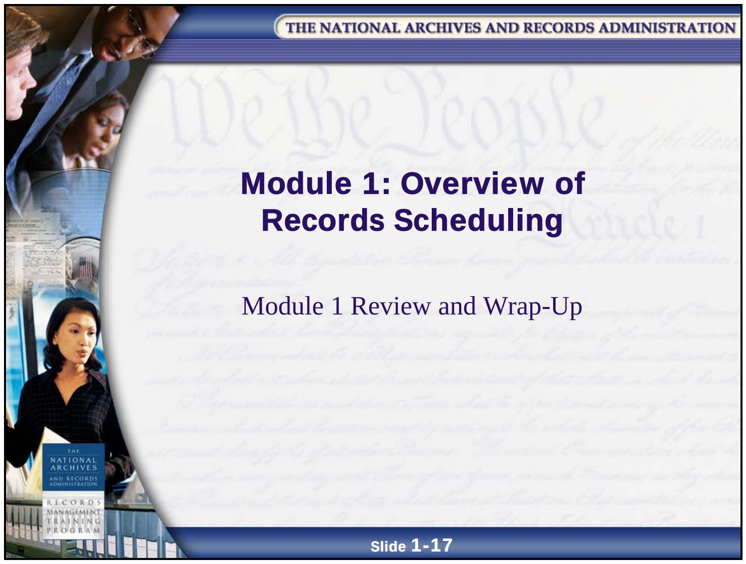
NOTES

Module 1 Review and Wrap-Up

Slide 1-17



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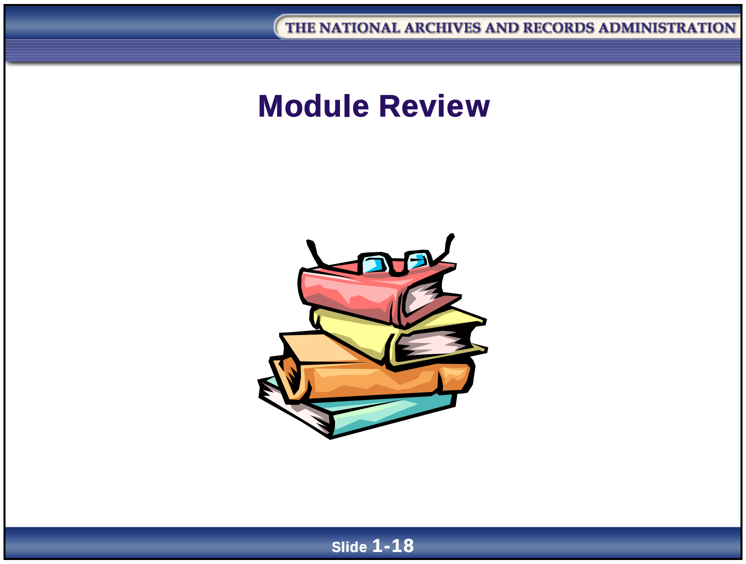
Module Review

Slide 1-18



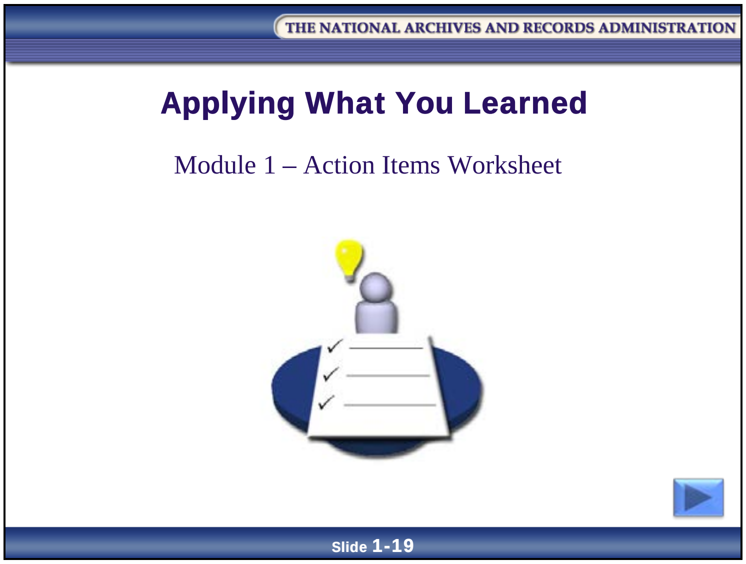
In Module 1, you learned:

- What records scheduling is
- The foundation for records scheduling – 36 CFR 1225.1–1225.26 – Scheduling Records
- The steps in the records scheduling process
- The agencies with oversight over the records scheduling process

NOTES

Applying What You Learned

Slide 1-19



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

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Module 1 – Action Items Worksheet

What did I learn about records schedules? List at least one thing you learned about records schedules that is relevant to your job role and responsibilities.
How will I apply what I learned about records schedules? List at least one thing you learned about records schedules that you will apply to your job, and explain how you will apply it.
What "aha!" moments did I have during this module? List any "aha!" moments you experienced during this module. (A records schedule, records disposition schedule, and records control schedule are the same thing?!? Aha!)

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Module 2: Preparing for Scheduling

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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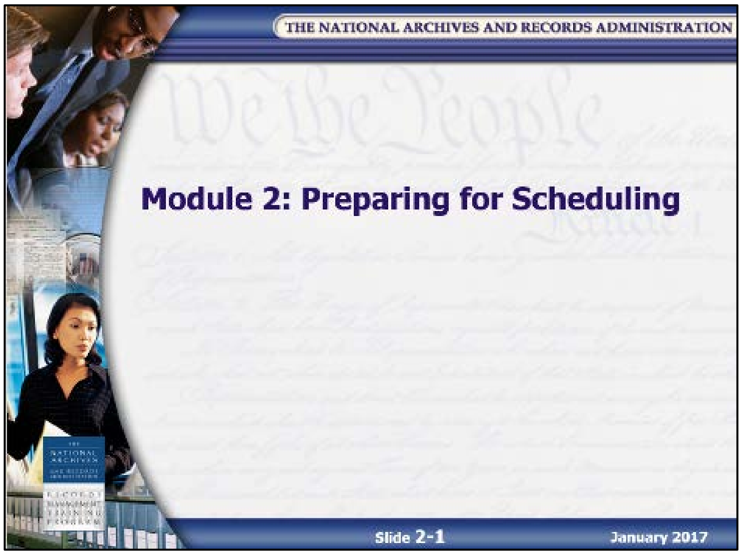
Introduction and Objectives

Slide 2-1



Overview

To prepare for scheduling, learn the agency's business and related records proposed for scheduling, including its functions and recordkeeping requirements and practices. You need to know the types of records and formats proposed for scheduling, including their retention and disposition requirements, and understand their importance to the agency's business and functions. This information is acquired through three types of analyses: business analysis, records analysis, and risk analysis.

Module 2 focuses on the critical thinking processes involved in performing the analyses needed to prepare for scheduling – business, records, and risk analyses – and explores the questions to ask and the information to collect during each analysis.

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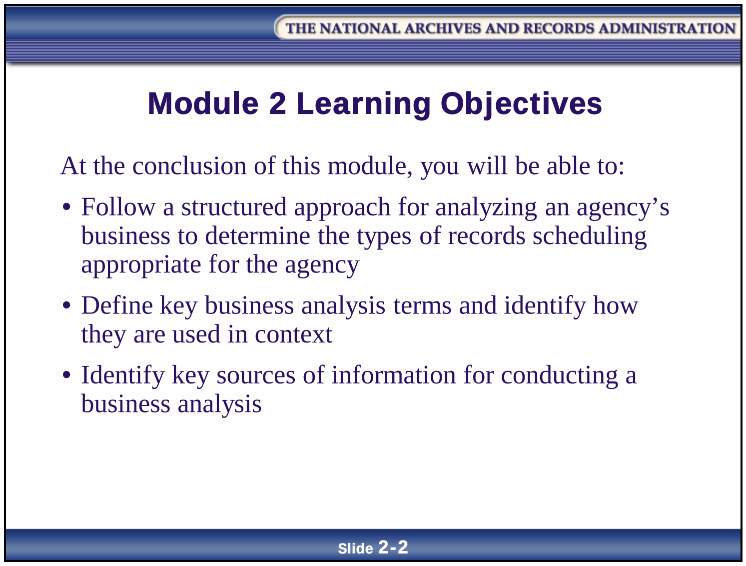
Objectives

Slide 2-2



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

- Follow a structured approach for analyzing an agency's business to determine the types of records scheduling appropriate for the agency
- Define key business analysis terms and identify how they are used in context
- Identify key sources of information for conducting a business analysis

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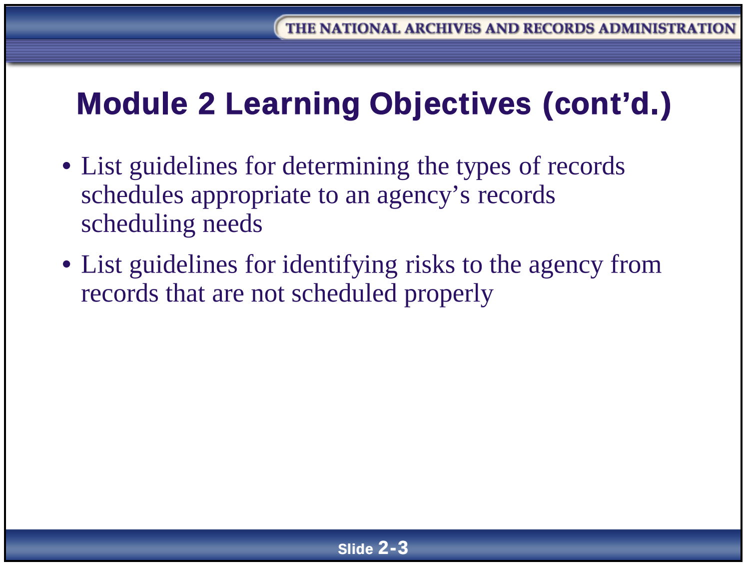

- List guidelines for determining the types of records schedules appropriate to an agency's records scheduling needs
- List guidelines for identifying risks to the agency from records that are not scheduled properly

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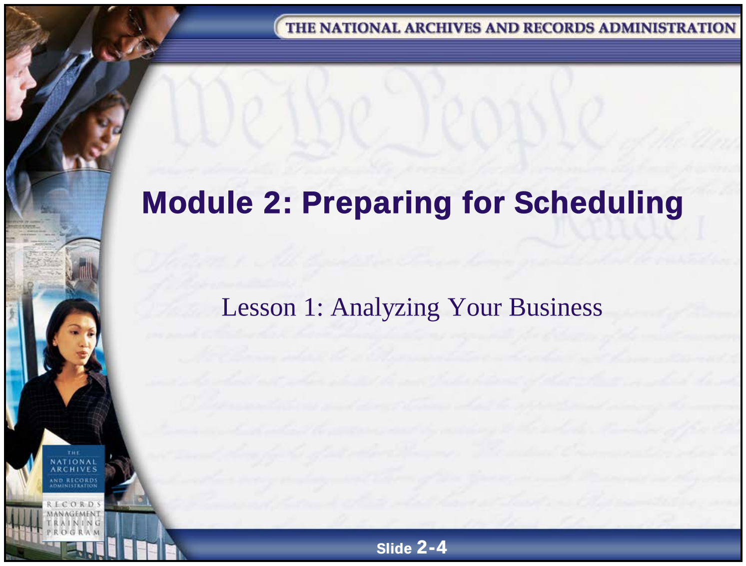
Lesson 1: Analyzing Your Business

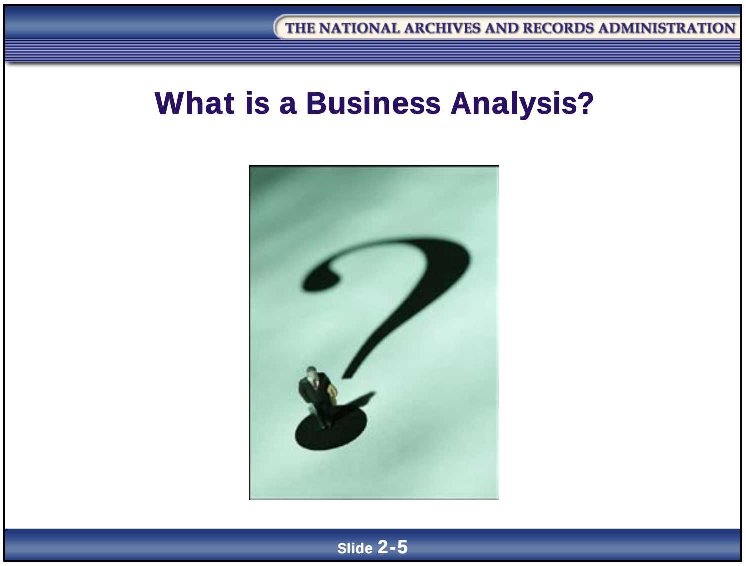
Slide 2-4



NOTES

What is a Business Analysis?

Slide 2-5

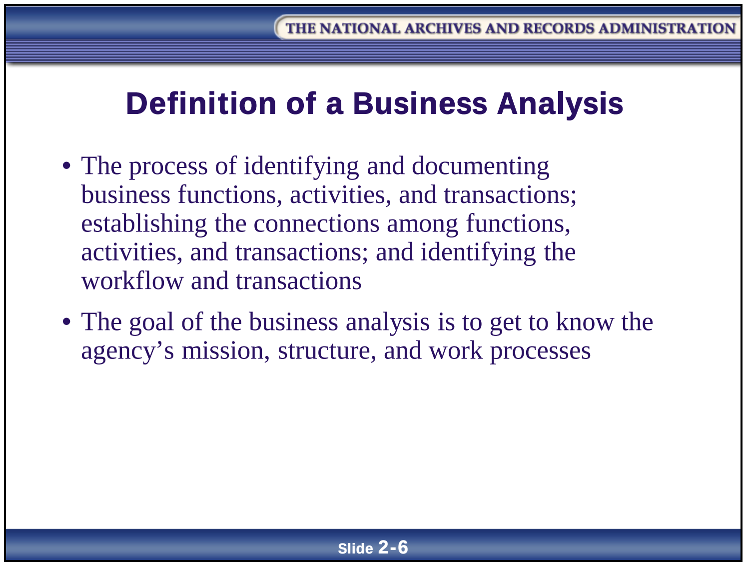


A business analysis is:

NOTES

Definition of a Business Analysis

Slide 2-6



A **business analysis** is the process of identifying and documenting business functions, activities, and transactions; establishing the connections among functions, activities, and transactions; and identifying the workflow and transactions.

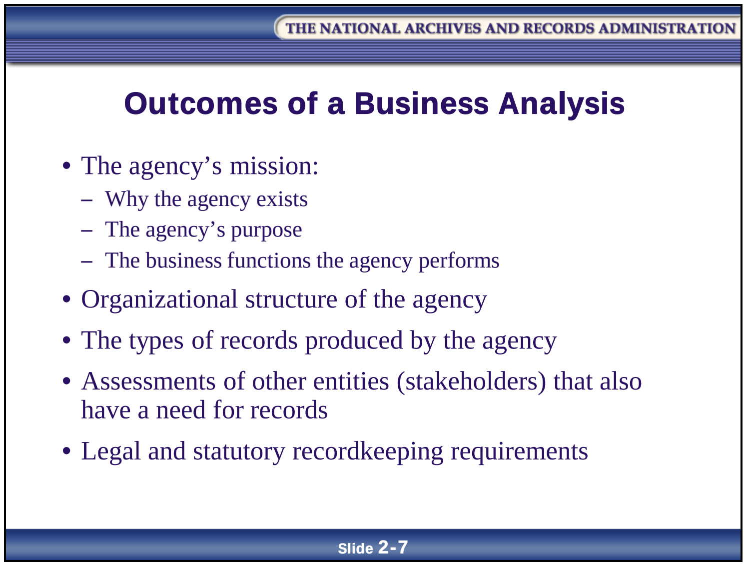
The goal of the business analysis is to get to know the agency's mission, structure, and work processes. By understanding the agency's purpose, its business processes and information flow, the Agency Records Officer (ARO) can infer where records are created and should be maintained. Therefore, the business analysis provides an overall picture of the scope of records to be scheduled.

The ARO uses the results of the business analysis, combined with the results of the records analysis and risk analysis (both will be discussed later in this module), to determine the value of the records. Once the value is determined, the retention and disposition requirements can then be determined.

NOTES

Outcomes of a Business Analysis

Slide 2-7



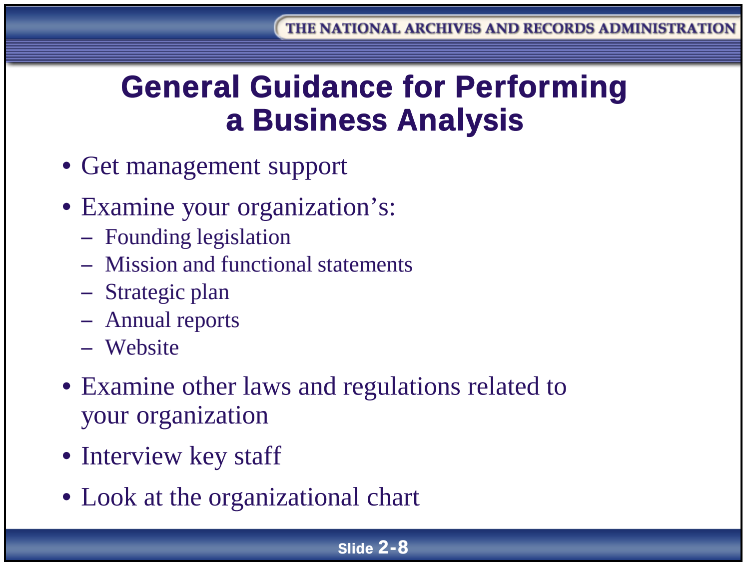
Included in a business analysis are the following outcomes:

- The agency's mission:
  - Why the agency exists
  - The agency's purpose
  - The business functions the agency performs
- Organizational structure of the agency
- The types of records produced by the agency
- Assessments of other entities (stakeholders) that also have a need or vested interests in the targeted records
  - Whom you interact with within agency
  - Whom you interact with outside your immediate office
  - Whom you interact with outside your agency
- Legal and statutory recordkeeping requirements

NOTES

Performing a Business Analysis

Slide 2-8



General Guidance for Performing a Business Analysis

When performing the business analysis, review the agency's functions as reflected in its structure, levels of authority, and program responsibilities. To help ensure success in performing a business analysis, complete the following steps:

- Get management support
- Examine your organization's:
  - Founding legislation
  - Mission and functional statements
  - Strategic plan
  - Annual reports
  - Website

NOTES

- Examine other laws and regulations related to your organization
- Interview key staff:
  - Program managers
  - Information technology (IT) managers
  - Records management personnel
  - Internal and external stakeholders
- Look at the organizational chart

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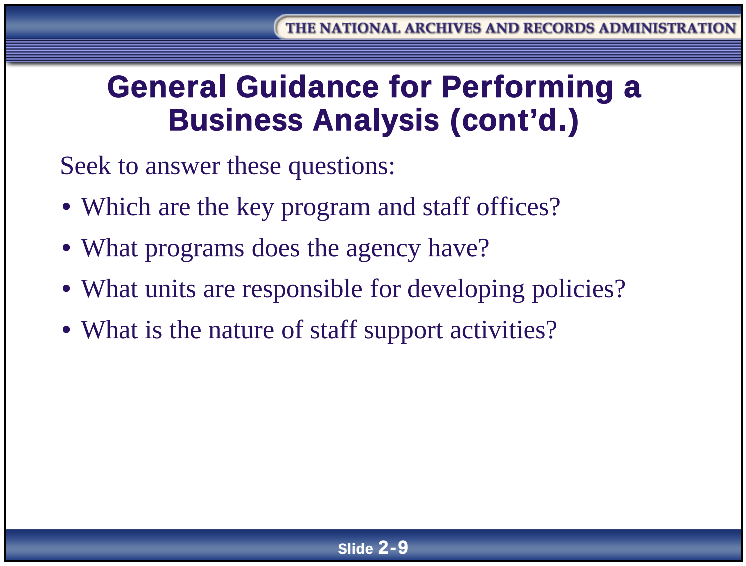


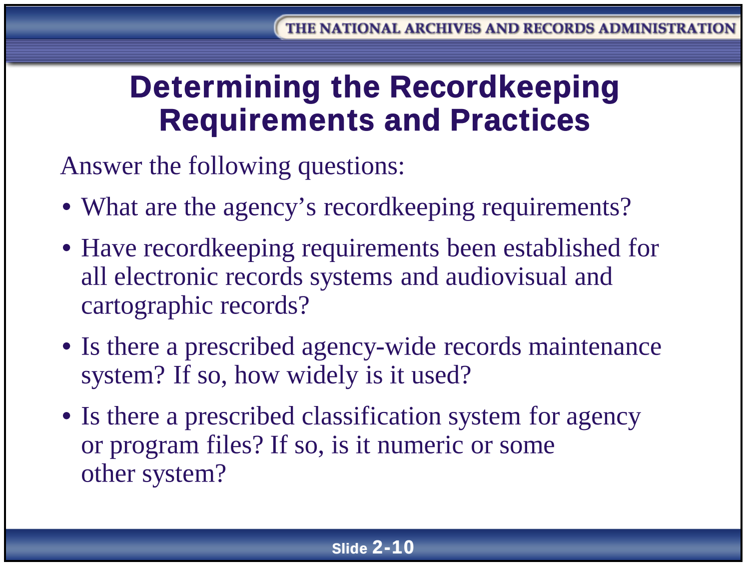
Seek to answer these questions:

- Which are the key program and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units implement these policies?
- What is the nature of staff support activities?

NOTES

Determining the Recordkeeping Requirements and Practices

Slide 2-10



When conducting a business analysis, answer the following records scheduling-related questions to determine the recordkeeping requirements and practices:

- What are the agency's recordkeeping requirements?
- Have recordkeeping requirements been established for all electronic records systems and audiovisual and cartographic records?
- Is there a prescribed agency-wide records maintenance system? If so, how widely is it used?
- Is there a prescribed classification system for agency or program files? If so, is it numeric or some other system?

NOTES

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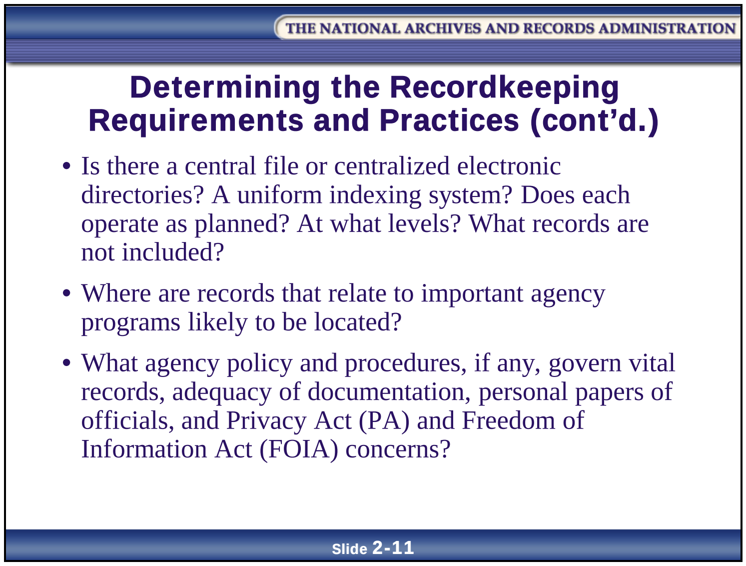
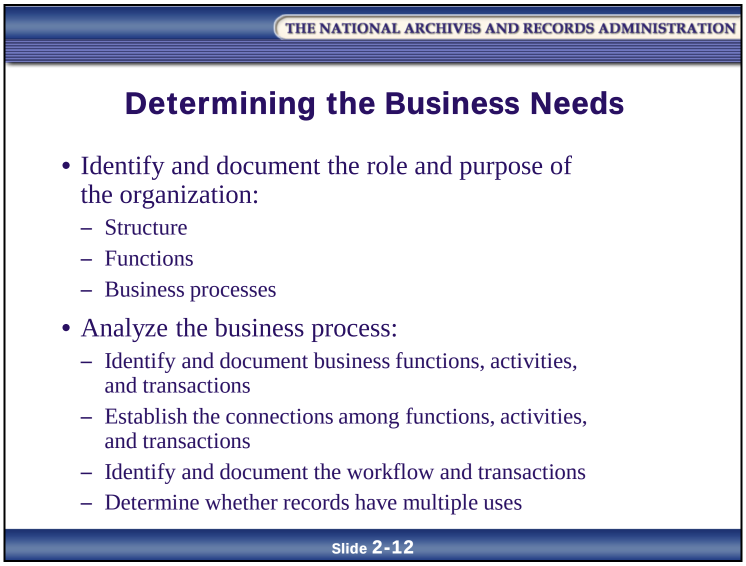


- Is there a central file or centralized electronic directories? A uniform indexing system? Does each operate as planned? At what levels? What records are not included?
- Where are records that relate to important agency programs likely to be located?
- What agency policies and procedures govern vital records (also referred to as essential records), adequacy of documentation, personal papers of officials, and Privacy Act (PA) and Freedom of Information Act (FOIA and eFOIA) concerns?

NOTES

Determining the Business Needs

Slide 2-12



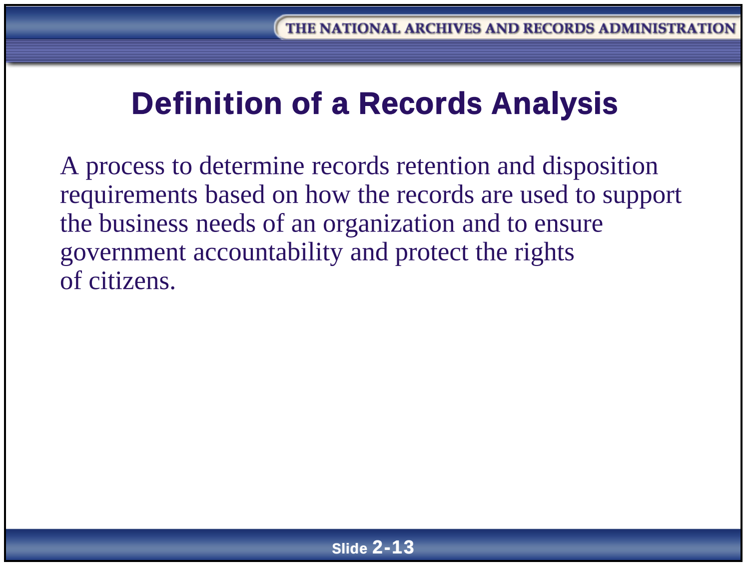
To determine your agency's business needs:

- Identify and document the role and purpose of the organization – its structure, functions, and business processes
- Analyze the business process:
  - Identify and document business functions, activities, and transactions
  - Establish the connections between functions, activities, and transactions
  - Identify and document the workflow and transactions
  - Determine whether records have multiple uses

NOTES

Definition of a Records Analysis

Slide 2-13



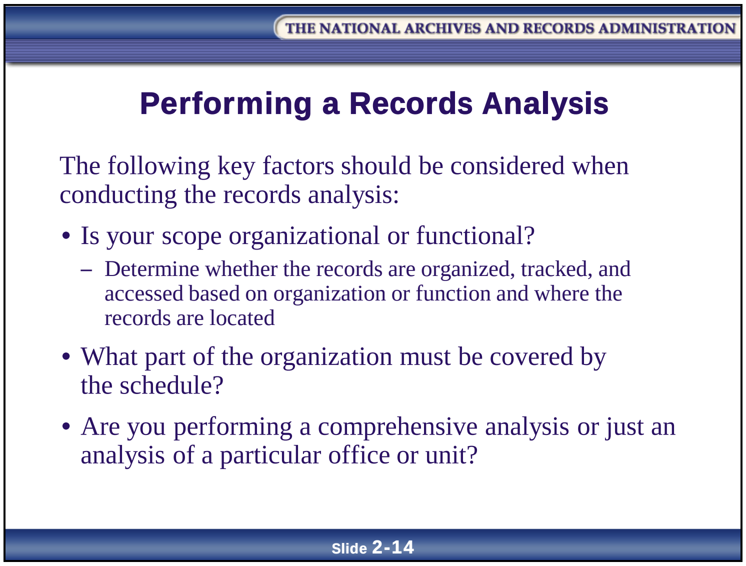
A **records analysis** is a process to determine records retention and disposition requirements based on how the records are used to support the business needs of an organization and to ensure government accountability and protect the rights of citizens.

The results of the records analysis, in combination with the results from the business analysis and the risk analysis (to be discussed shortly), are used to determine the value of the records, which, in turn, is used to determine the retention and disposition requirements.

NOTES

Performing a Records Analysis

Slide 2-14



The first step in performing a records analysis is to determine the goals, focus, and scope of the analysis.

Consider the following key factors when conducting a records analysis:

- Is your scope organizational or functional?
  - Determine whether the records are organized, tracked, and accessed based on organization or function. This also starts to give you an idea of where the records are located.
- What part of the organization must be covered by the schedule?
- Are you performing a comprehensive analysis or just an analysis of a particular office or unit?

NOTES

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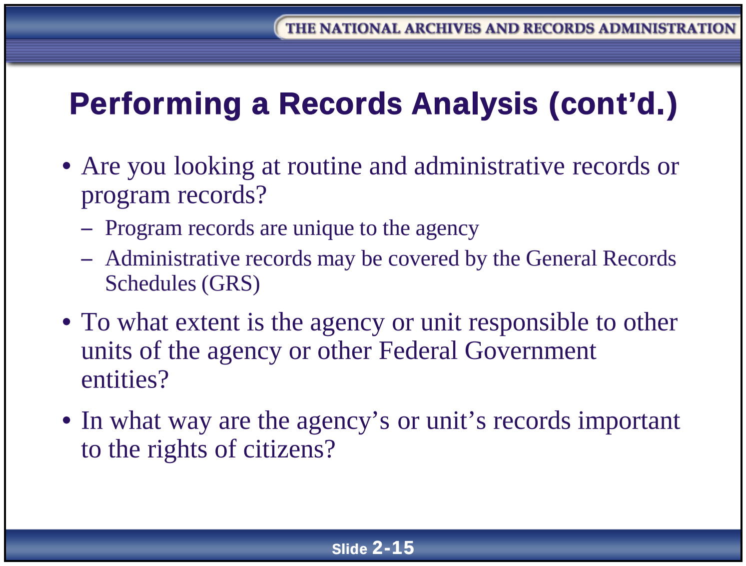
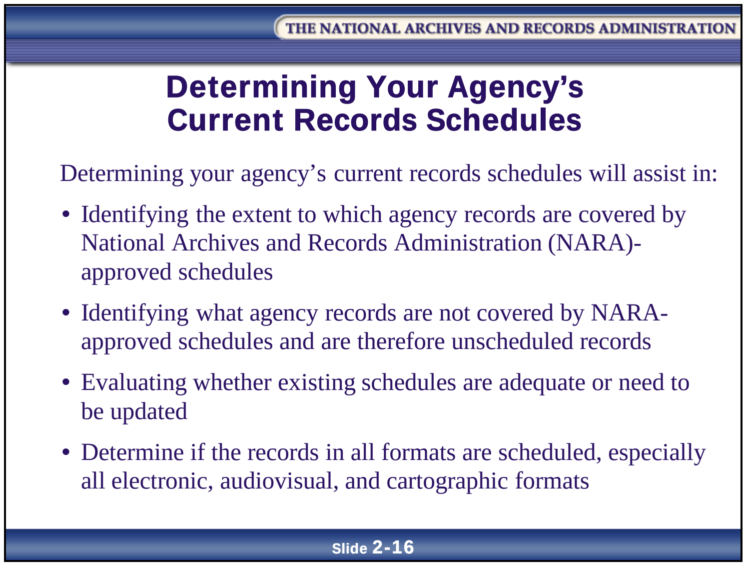


- Are you looking at routine and administrative records or program records?
  - Remember, program records are unique to the agency, but administrative records are common across agencies and may be scheduled by the General Records Schedules (GRS)
- To what extent is the agency or unit responsible to other units of the agency or other Federal Government entities?
- In what way are the agency's or unit's records important to the rights of citizens?

NOTES

Determining Your Agency's Current Records Schedules

Slide 2-16



As you prepare to undertake the records scheduling process, determine whether or not your agency already has National Archives and Records Administration (NARA)-approved records schedules covering all or some of the records. Approved records schedules can be located in NARA's Records Control Schedules (RCS) Repository located at *http://www.archives.gov/records-mgmt/RCS*.

Determining the status of your agency's approved records schedules assists in:

- Identifying which agency records are covered by NARA-approved schedules
- Identifying what agency records are not covered by NARA-approved schedules and are therefore unscheduled records
- Evaluating whether existing schedules are adequate or need to be updated
- Determine if the records in all formats are scheduled, especially all electronic, audiovisual, and cartographic formats

NOTES

Note: If the agency has scheduled its records one office or one function at a time, it may issue individual schedules, as they are approved, until all its records and nonrecord materials are covered. Currently, all draft schedules must be submitted to NARA electronically via Electronic Records Archives (ERA). When schedules are approved, they can be consolidated into a comprehensive schedule (also referred to as a "records manual").

A comprehensive records schedule or manual covers the records of an entire agency and may include:

- Legacy SF 115(s)
- ERA Records Schedule(s)
- GRS citations
- Disposition instructions for nonrecord materials
- Cross-reference procedures
- Filing guidance
- Classification procedures
- Agency Standard Operating Procedures (SOPs)

NOTES

Locating Your Agency's Current Records Schedules

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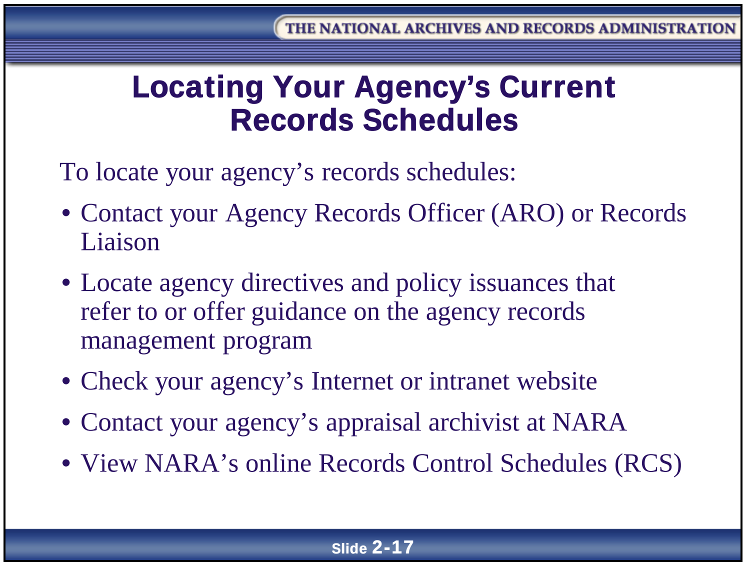


To locate your agency's records schedules:

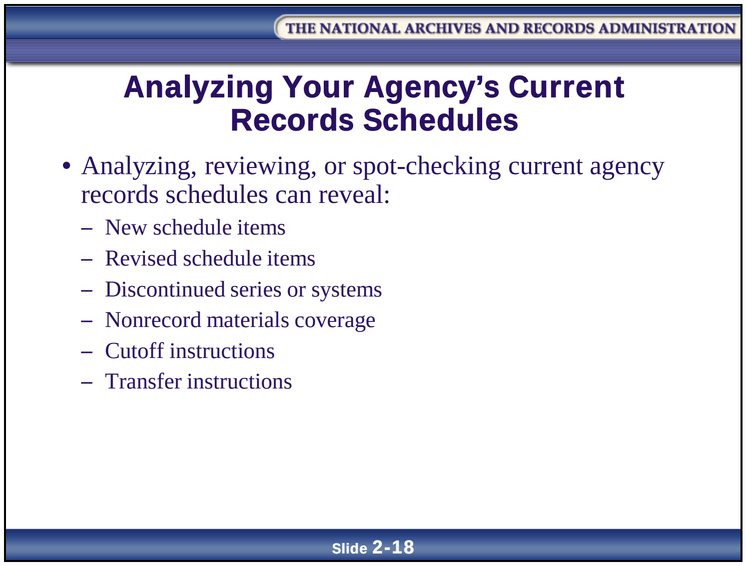
- Contact your ARO or Records Liaison
- Locate agency directives and policy issuances that reference or offer guidance pertaining to the agency records management program
- Check your agency's Internet and intranet websites, where records schedules may be posted
- Contact your agency's appraisal archivist at NARA
- View NARA's online RCS Repository located at *http://www.archives.gov/records-mgmt/RCS*

If you cannot locate copies of your records schedules, agency comprehensive records schedule, and agency records management directive internally, contact your agency's appraisal archivist at NARA.

NOTES

Analyzing Your Agency's Current Records Schedules

Slide 2-18



As agencies' business processes change, so do their records. Agencies need to review their records schedules at least annually and update them whenever necessary, including within six months of receipt of a NARA issuance of new or revised GRS items.

(Refer to **Reference 03 Important Changes in the New General Records Schedule** (located in the Reference Section of the PG) for the latest changes to the GRS.)

Analysis, reviews, or spot-checks of current agency records schedules can reveal situations affecting the schedule(s), including:

- **New Schedule Items.** Some series or systems may be missing from the schedule because they were overlooked during the inventory. Others result from the creation of new programs or new program responsibilities. While a new agency has two years to develop a comprehensive schedule, an established agency must schedule the records of a new program within one year of the program's implementation.

NOTES

- **Revised Schedule Items.** Schedule items typically need revision for one of three reasons:
  - **Lack of clarity.** The approved schedule may have items with unclear descriptions or imprecise disposition instructions. Agency staff may not be able to match schedule items to their records. Or they may find that the retention periods are based on a rare event or an incorrect cutoff date. Case files normally filed together may appear on the schedule as several series with different retention periods. Or a schedule item may need revision because a form number has been revised. Finally, unclear schedule descriptions may have resulted from incorrect inventory information. Whatever the source, the problem needs to be corrected promptly. An agency must submit an ERA Records Schedule to modify the retention period of a record series or system or to change the substance of the description.

    An ERA Records Schedule is unnecessary if the changes are merely editorial ones not affecting the final disposition or the description's substance.
  - **Inadequate retention periods for non-GRS items.** Experience may show that the original retention periods may have been too long or too short. Whatever the proposed change in retention period, it is necessary to submit an ERA Records Schedule to NARA to request approval along with a justification for the change.
  - **New or revised GRS items.** Whenever NARA issues a change to the GRS, the agency has six months to update its comprehensive schedule covering any applicable records. This update is unnecessary if the records have a GRS exception already approved by NARA.
- **Discontinued Series or Systems.** Some records described in the agency schedule may no longer accumulate because:
  - A function is transferred by statute or Executive Order to another agency. Before transferring the records, the creating agency should destroy all temporary records whose retention periods have expired. As soon as it loses custody of the remaining records, the agency should delete the relevant items from its schedule.
  - An agency program is terminated. After meeting its immediate needs, the agency should destroy all temporary records whose retention periods have expired and retire the remainder to a records center, unless all the records can be proposed for immediate destruction. The schedule items remain in effect until all applicable records are disposed of or transferred to the National Archives.

NOTES

- **Nonrecord Materials Coverage.** Since a comprehensive schedule also contains disposition instructions for nonrecord materials, it is the agency's responsibility to review these instructions for accuracy and clarity and make any necessary changes. A warning in the schedule against mixing nonrecord materials with official records is an important implementation instruction. Never mix nonrecord materials with official records or allow them to proliferate in expensive office space.
- **Cutoff Instructions.** Review the schedule for any necessary revisions to the disposition instructions for cutting off or breaking the accumulation of the records (cutoff at the end of the FY).
- **Transfer Instructions.** Review agency instructions for transferring records to agency storage areas, records centers, vendors, and to the National Archives to ensure compliance with agency needs and NARA regulations. Amend the schedule and related directives to acquire the appropriate transfer of eligible records to an approved storage area. If the agency needs to change its instructions for transferring records to records centers or the National Archives, another records schedule is not needed, but simply send NARA a letter of request citing the appropriate ERA Records Schedule or legacy SF 115 authorities.

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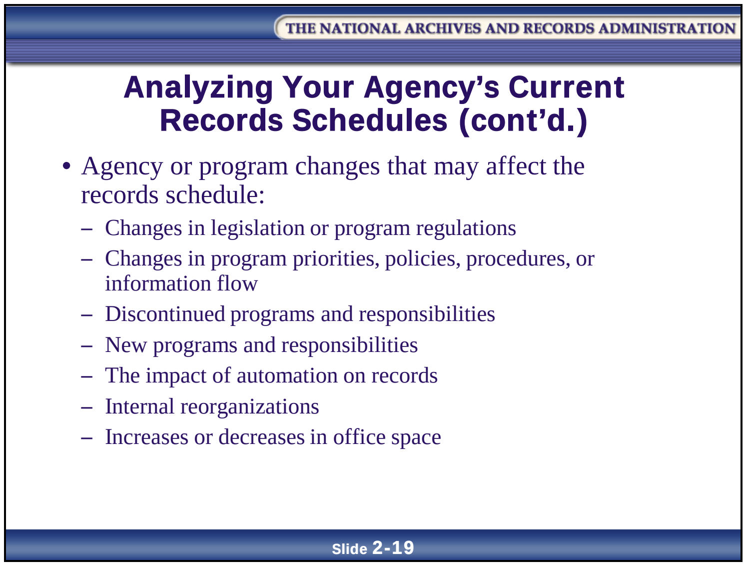


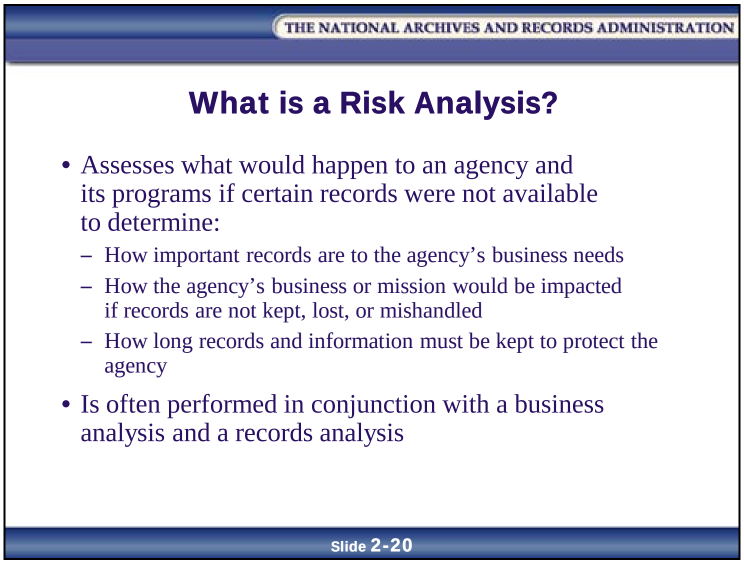
Also analyze any agency or program changes that may affect the schedule, as these changes can make it necessary to add, revise, or delete schedule items covering record series and systems. It may also be necessary to update instructions for handling nonrecord materials and for transferring records. Agency or program changes to look for include:

- Changes in legislation or program regulations
- Changes in program priorities, policies, procedures, or information flow
- Discontinued programs and responsibilities
- New programs and responsibilities
- The impact of automation on records, such as electronic and digital systems that replace paper-based systems
- Internal reorganizations affecting the nature, content, and importance of existing records, especially in agencies arranging their schedules organizationally
- Increases or decreases in office space

NOTES

Analyzing the Risk

Slide 2-20



What is a Risk Analysis?

A **risk analysis** assesses what would happen to an agency and its programs if certain records were not available. It is used to determine:

- How important records are to the agency's business needs
- How the agency's business or mission would be impacted if records are not kept, lost, or mishandled
- How long records and information must be kept to protect the agency

A risk analysis is often performed in conjunction with a business analysis and a records analysis prior to scheduling records. The results of all three analyses are used to determine the value of the records and, subsequently, the records' retention and disposition requirements.

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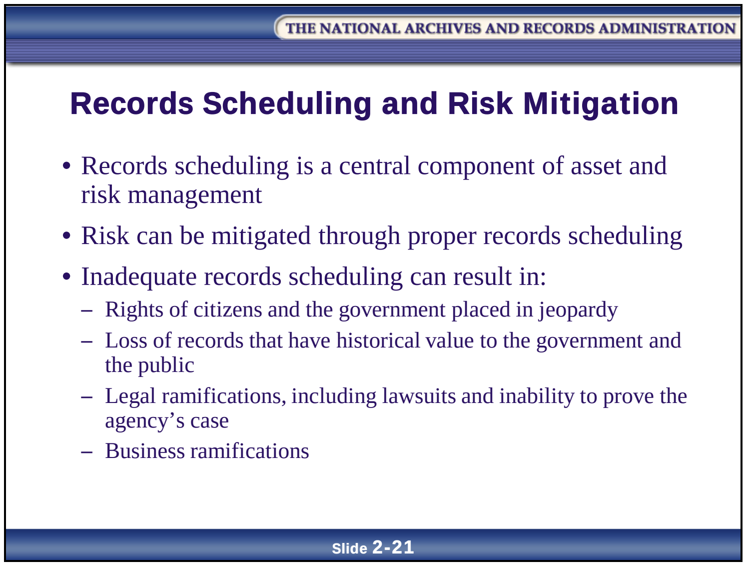
Records Scheduling and Risk Mitigation

Slide 2-21



Records scheduling is a central component of asset and risk management in Federal agencies. The ARO performs a risk analysis to identify risk and then uses the scheduling process to determine how long records need to be kept to mitigate those risks. Risks can be mitigated through proper records scheduling.

Inadequate records scheduling can result in the following risks:

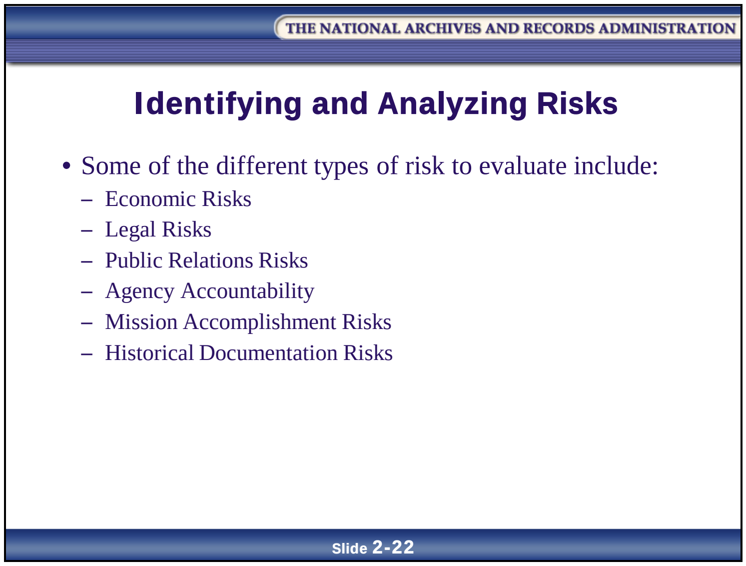
- Rights of citizens and the government placed in jeopardy
- Loss of records that have historical value to the government and the public
- Legal ramifications, including lawsuits and inability to prove the agency's case
- Business ramifications – are business processes being documented? Can records be found when needed? Are rules being followed?

Proper creation, implementation, and maintenance of a records schedule directly mitigates risk by ensuring that records are available for as long as they are needed and that they are complete and accurate.

NOTES

Identifying and Analyzing Risks

Slide 2-22



When analyzing and identifying risk, ask: What are the records-related risks associated with the business function and how long must records be kept to mitigate those risks?

Some of the different types of risk to evaluate in your risk analysis include:

- **Economic Risks** – What are the potential unwanted costs to your agency? It can take a large amount of financial and other resources to recreate information or find missing information. It may not be possible to identify financial obligations owed to the government or obligations the government owes to other parties.
- **Legal Risks** – What legal problems could result? If information cannot be found or the information is incomplete, an agency can run the risk of not being able to defend its actions in court. It can also be held in contempt or sued for violating the Federal Records Act.

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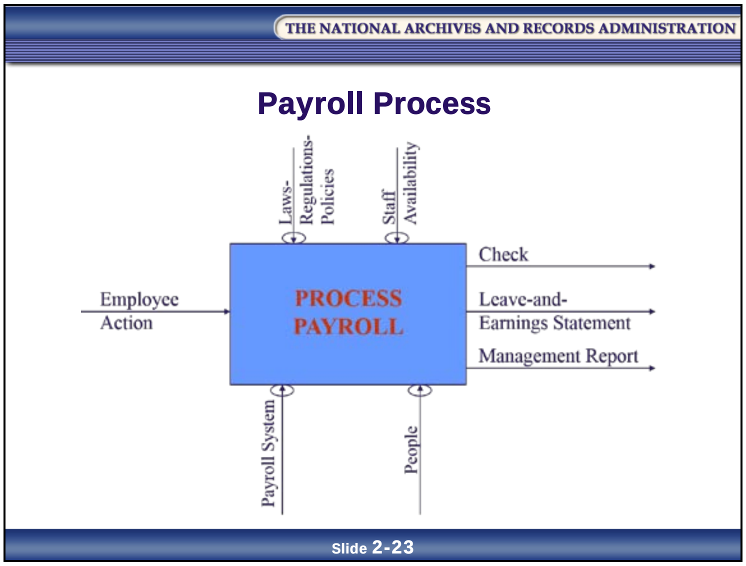
- **Public Relations Risks –** Will the integrity of your agency be questioned? Improper treatment of records can be perceived as a waste of taxpayer money or as part of an "I just know the government is hiding something" syndrome. For example, many people believe that the Warren Commission (the President's Commission on the Assassination of President Kennedy) did not look at all the information available.
- **Agency Accountability –** Do your records account for your agency's use of its funds and resources? The government works for its citizens, and they deserve to know how their money is being spent, how decisions are being made, and who is responsible for certain actions that may affect them.
- **Mission Accomplishment Risks –** Do your records support your agency's missions? The inability to access records needed to communicate and to document decision-making and procedural activities can cause the agency to fail in its mission. Agencies with multiple field offices are in particular danger of developing records management problems. For example, the National Aeronautics and Space Administration (NASA) Columbia Accident Investigation Board determined that NASA had extensive information-sharing problems. It was suggested that the lack of information sharing among NASA staff, contractors, Congress, and the public may have decreased NASA's ability to prevent the Columbia disaster.
- **Historical Documentation Risks –** Are your records integral to preserving the history of your program or agency? Improper records management can lead to the loss of institutional memory and inconsistent agency documentation on the decision-making process.

NOTES

Example: Business Analysis of Payroll Process

Slide 2-23



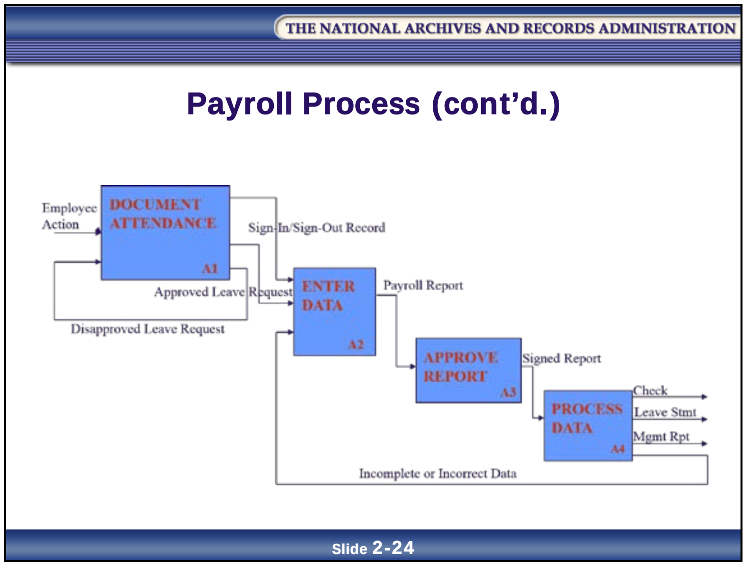
When conducting a business analysis, identify the business workflow and transactions of the program. This can best be achieved visually, through a business process model like the example as shown.

This example model shows a view of a large payroll process. All the external inputs and outputs (but not the ones internal to the model) roll up into this overview model.

- Left Side – Inputs: Employee Action
- Right Side – Outputs: Check, Leave-and-Earnings Statement, and Management Report
- Top – Process controls and constraints
- Bottom – Mechanisms that facilitate getting the process done

NOTES

Slide 2-24



Now let's look at the workflow (e.g., the internal processes) of the payroll process. The workflow rolls out into four high-level steps, as shown. Reading the diagram from left to right:

Document Attendance (A1)

a. Input – Employee Action
b. First Activity – Document Attendance. When an input goes into an activity, it is either consumed or processed.
c. Output – The employee action is processed into the outputs:
    i. Sign-In and Sign-Out Record or
    ii. Approved Leave Request (e.g., SF 71)
    iii. Disapproved Leave Request: The process for a Disapproved Leave Request sends it back to the first activity, where the employee has to do something with it again

NOTES

Enter Data (A2)

a. Input – Sign-In and Sign-Out Record and Approved Leave Request become inputs for the next activity
b. Second Activity – Enter Data. The data gathered from these inputs are processed, through the activity of entering data, into the output: a Payroll Report.
c. Out – Payroll Report

Approve Report (A3)

a. Input – Payroll Report becomes the input to the next activity
b. Third Activity – Approve Report
c. Output – Signed Report

Process Data (A4)

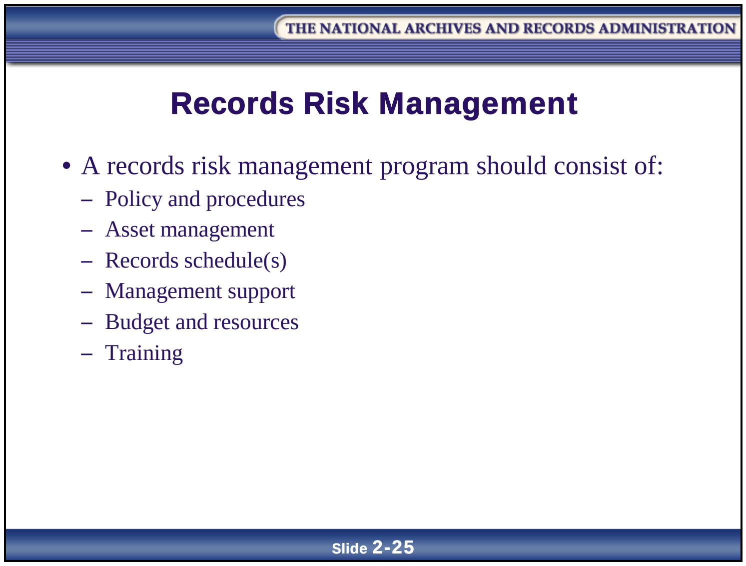
a. Input – Signed Report becomes the input to the next activity
b. Fourth Activity – Process Data. The data is then processed into outputs
c. Outputs – Payroll Checks, Leave Statements, and Management Reports

Once you have identified the workflow (i.e., the internal processes), then complete the records analysis and risk analysis.

NOTES

Records Risk Management

Slide 2-25



A records risk management program consist of:

- Policies and procedures to address the appropriate creation, maintenance, scheduling, and disposition of agency information in a usable, reliable format
- Asset management to reduce the risk that information will become a liability after its usefulness to the organization ends
- Records schedule(s) to manage the appropriate disposition of records and to ensure that records are kept available for as long as needed to conduct agency business
- Management support to make proper records management a critical priority
- Budget and resources to determine the best allocation of resources and make sure the resources are applied to the highest priority risk
- Training to ensure the accurate execution of policies and procedures, thereby minimizing risk to the program

NOTES

Lesson Summary

In this lesson, you learned:

- What a **business analysis** is
- The goal of the business analysis
- The outcomes of a business analysis
- The steps to take to ensure success when performing the business analysis
- The questions to ask when determining recordkeeping requirements and practices
- That determining business needs involves:
  - Identifying and documenting the role and purpose of the organization
  - Analyzing the business process
- What a **records analysis** is
- That when performing a records analysis, establish the scope, focus, and goals of the records analysis
- That analyzing your agency's current records schedules assists in:
  - Identifying what agency records are covered by NARA-approved schedules
  - Identifying what agency records are not covered by NARA-approved schedules and are therefore unscheduled records
  - Evaluating whether existing schedules are adequate or need to be updated
- How to locate your agency's current records schedules
- What can be revealed by analyzing, reviewing, or spot-checking current agency records schedules

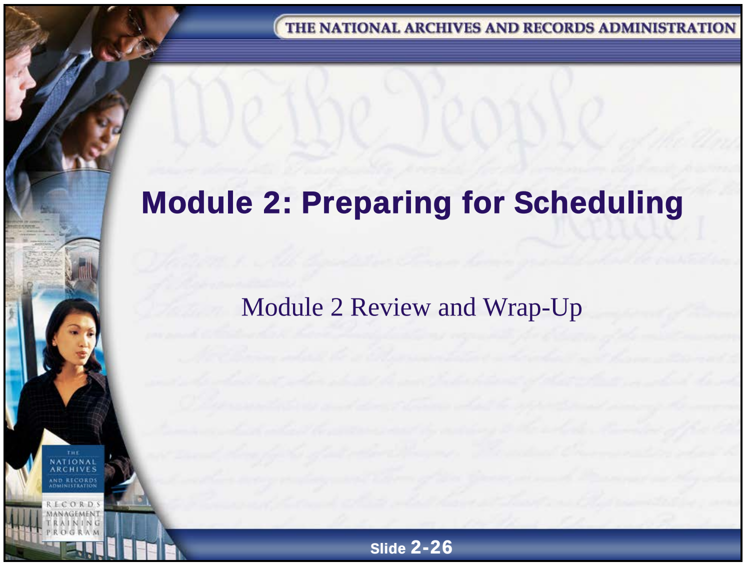
NOTES

- Agency or program changes that may affect the records schedule
- What a **risk analysis** is
- That a risk analysis is often performed in conjunction with a business analysis and a records analysis
- That many types of risk – and often multiple types of risk – can affect a program or an agency
- That some of the different types of risk to evaluate in your risk analysis include:
  - Economic Risks
  - Legal Risks
  - Public Relations Risks
  - Agency Accountability Risks
  - Mission Accomplishment Risks
  - Historical Documentation Risks
- That an effective records risk management program consist of:
  - Policies and procedures
  - Asset management
  - ERA Records Schedule(s) and legacy SF 115s
  - Management support
  - Budget and resources
  - Training

NOTES

Module 2 Review and Wrap-Up

Slide 2-26

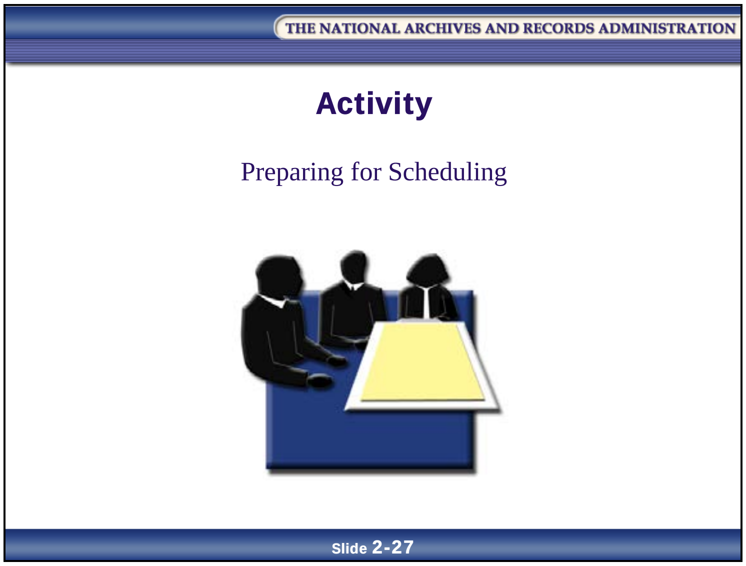


Overview

NOTES

Activity: Preparing for Scheduling

Slide 2-27



NOTES

Preparing for Scheduling: Organizational Analysis

The Scenario

You have been tasked to perform a business analysis, records analysis, and risk analysis for an organization within the BPR.

To perform these analyses, you will need the following materials, found in the BPR Manual:

- BPR Organization Chart (Tab 2)
- BPR Agency Information (Tab 3)

Use the Organization Information section and Record Information section of this worksheet to help you to perform your analyses:

- Record information about your assigned office in the Organization Information section
- Brainstorm the types of records you think you would find in your assigned office in the Record Information section

Remember, this worksheet was designed for training to help you to think through the process.

Note: It is impossible to construct an activity that completely replicates reality. Use the information provided as guidance and build on that information using your experience and imagination.

Organization Information

Name of Organization:
Organization's Mission:
Organization's Departments:
Major Business Functions:
Summary of Public Accountability:
What are the rights of citizens in relationship to the organization's business?
What are the recordkeeping requirements for this organization?

Record Information

Description of records likely to be found in this organization:	
Record Name:	**Potential risks to the organization:**
Record Name:	**Potential risks to the organization:**
Record Name:	**Potential risks to the organization:**
Record Name:	**Potential risks to the organization:**
Record Name:	**Potential risks to the organization:**
Record Name:	**Potential risks to the organization:**

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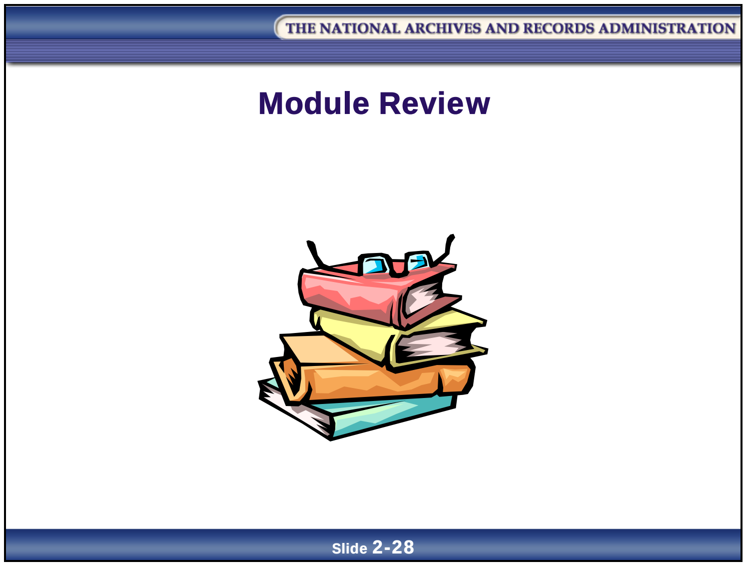
Module Review

Slide 2-28



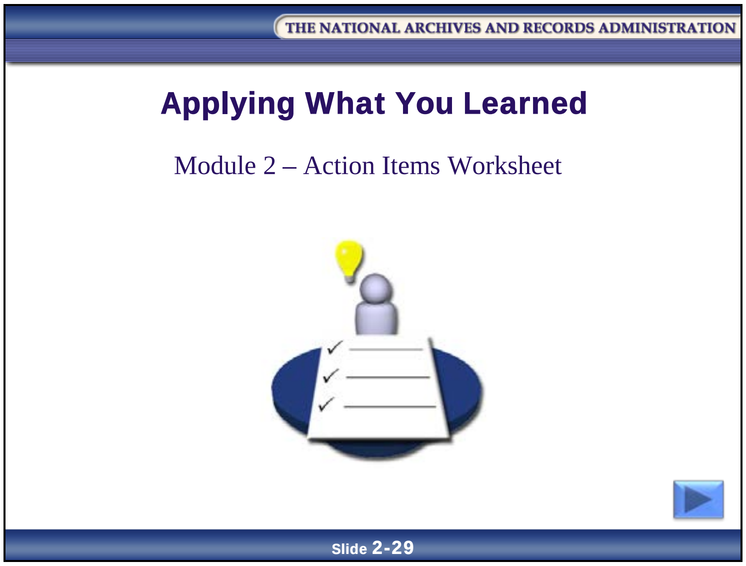
In Module 2, you learned:

- What a **business analysis** is
  - The outcomes of a business analysis
- The steps you should take to ensure success when performing the business analysis
- Questions to ask when performing a business analysis
- What a **records analysis** is
- Questions to ask when performing a records analysis
- What a **risk analysis** is
- Different types of risk and how each can affect an agency
- Strategies for managing risk associated with records management

NOTES

Applying What You Learned

Slide 2-29



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

NOTES

Module 2 – Action Items Worksheet

What did I learn about conducting a business analysis, records analysis, and risk analysis that will help me at my job? List at least one thing you learned about business analysis, records analysis, and risk analysis that is relevant to your job role and responsibilities.
How will I apply what I learned about conducting a business analysis, records analysis, and risk analysis to my job? List at least one thing you learned about business analysis, records analysis, and risk analysis that you will apply to your job and explain how you will apply it.
What “aha!” moments did I have during this module? List any “aha!” moments you experienced during this module. (“It is really important to understand the risks my agency faces with respect to records so that we can be sure that we are scheduling our records properly?!? Aha!”)

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Module 3: Collecting Information for Scheduling

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

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Table of Contents

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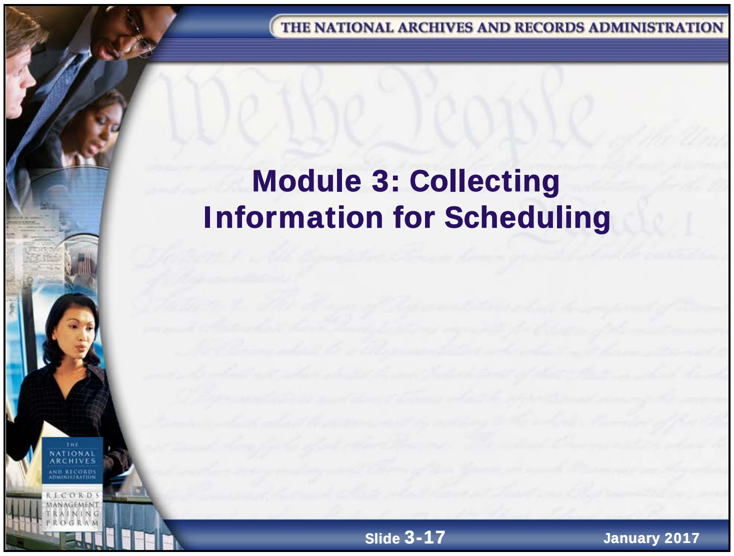
Introduction and Objectives

Slide 3-1



Overview

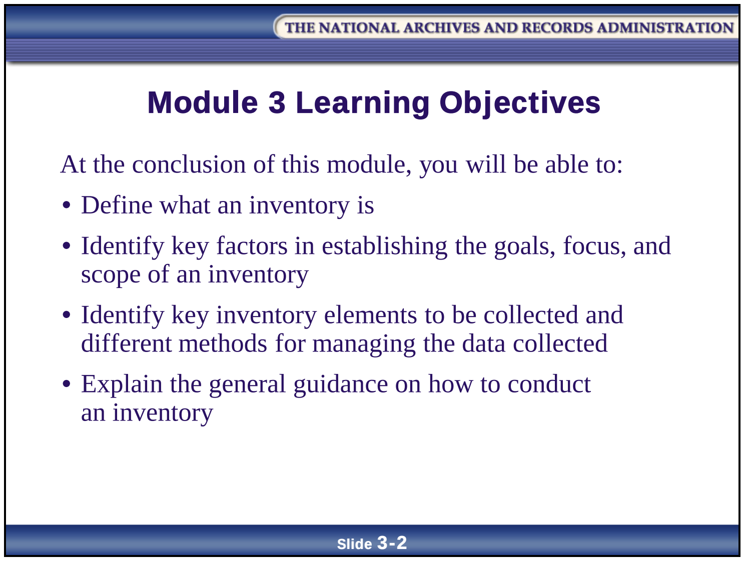
After reviewing its functions and recordkeeping requirements and practices, the agency is ready to collect information about the records it needs to schedule by conducting an inventory.

An inventory – also called a records inventory – is a specific type of information collection process used to gather the information needed to accurately and comprehensively schedule agency records.

NOTES

Objectives

Slide 3-2



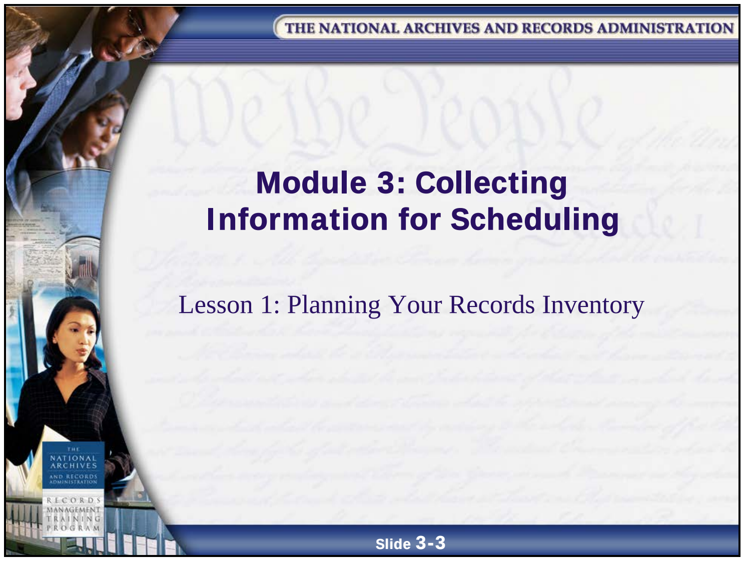
At the conclusion of this module, you will be able to:

- Define what an inventory is
- Identify key factors in establishing the goals, focus, and scope of an inventory
- Identify key inventory elements to be collected and different methods for managing the data collected
- Explain the general guidance on how to conduct an inventory

NOTES

Lesson 1: Planning Your Records Inventory

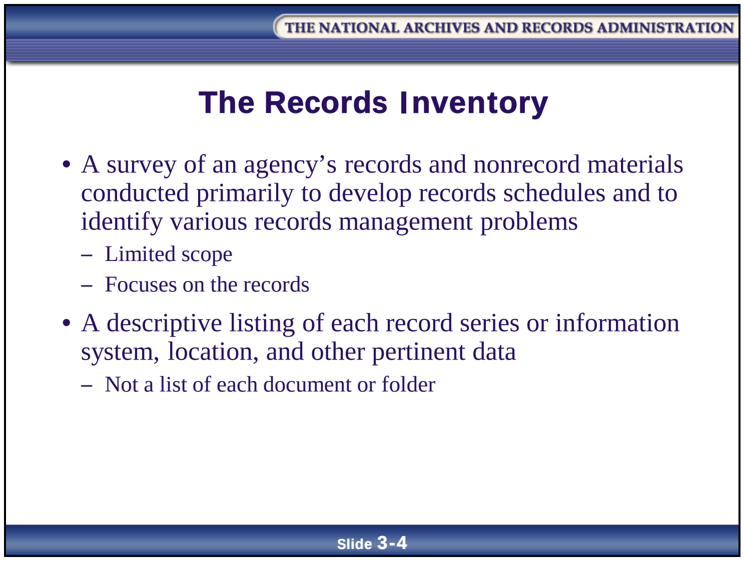
Slide 3-3



NOTES

The Records Inventory

Slide 3-4



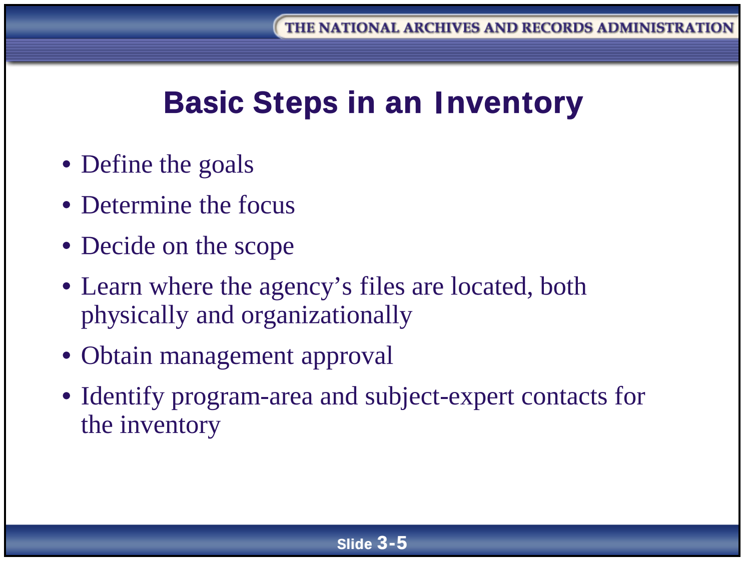
A records inventory is a survey of an agency's records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems. A records inventory has a limited scope, generally focusing on the records. The inventory is accomplished by describing, quantifying, and recording specific information about the records.

A records inventory is a very concise, yet comprehensive, descriptive listing of each record series or information system, together with an indication of the location and other pertinent data. It is not a list of each document, folder, or field of data within each record series, directory, or information system.

NOTES

Basic Steps in an Inventory

Slide 3-5

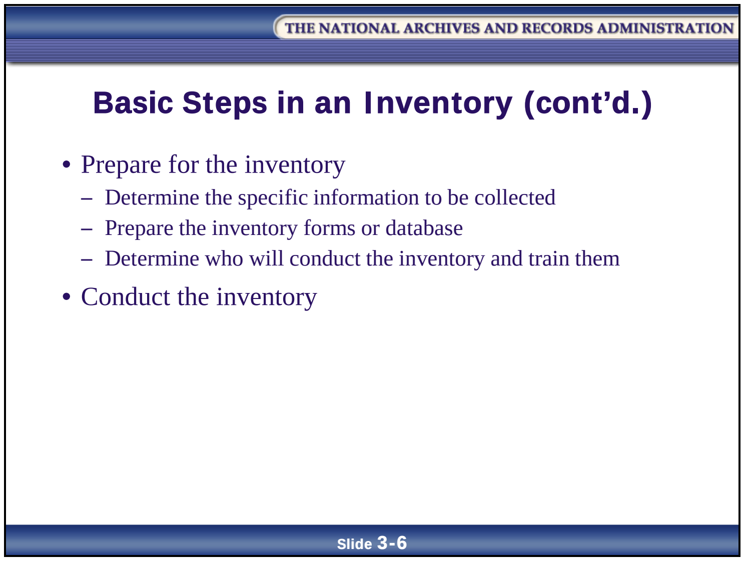


The basic steps for conducting an inventory are as follows:

- Define the goals
- Determine the focus
- Decide on the scope
- Learn where the agency's files are located, both physically and organizationally*
- Obtain management approval
- Identify program-area and subject-expert contacts for the inventory

NOTES

Slide 3-6



- Prepare for the inventory
  - Determine the specific information to be collected (the elements of the inventory)
  - Prepare the inventory forms or database
  - Determine who will conduct the inventory and train them, if necessary
- Conduct the inventory

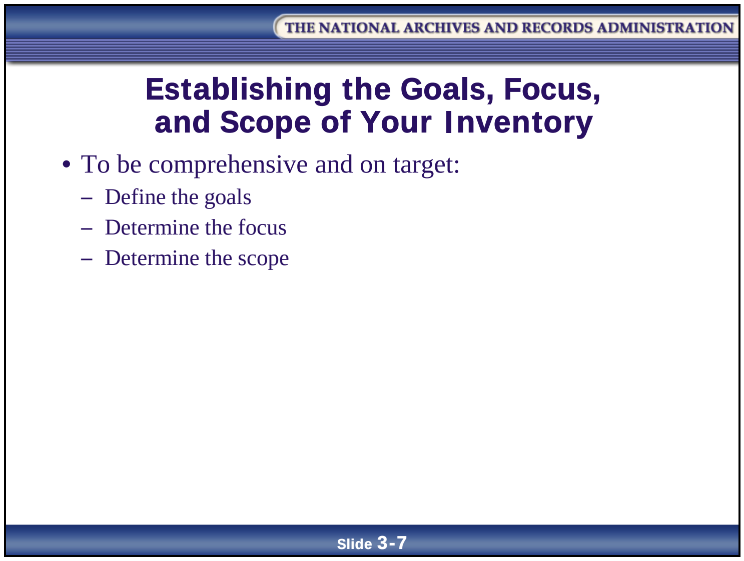
Each of these steps will be explored in detail in this module.

*A Secretary's speech may be in the Secretary's files, another copy in the Office of Public Affairs, and a third copy may be in the General Counsel's office. Each copy and each format need to be identified for scheduling purposes.

NOTES

Establishing the Goals, Focus, and Scope of Your Inventory

Slide 3-7

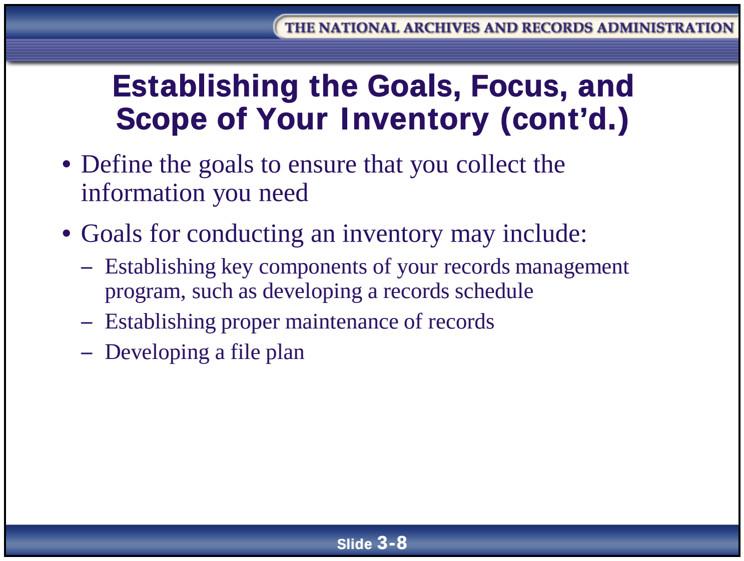


For a comprehensive inventory, define the goals, determine the focus, and decide on the scope with deadlines.

NOTES

Goals

Slide 3-8



An inventory can be conducted for a variety of reasons, including:

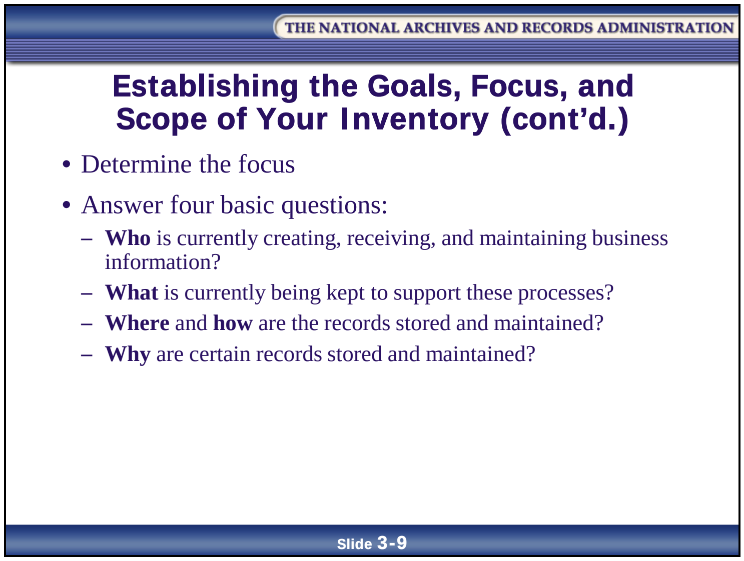
- Establishing key components of your records management program, such as developing a records schedule
- Establishing proper maintenance of records
- Developing a file plan

Clearly define the overall purpose or goals of your inventory. Ensure that when completed, the collected information is the information needed for data analysis.

NOTES

Focus

Slide 3-9



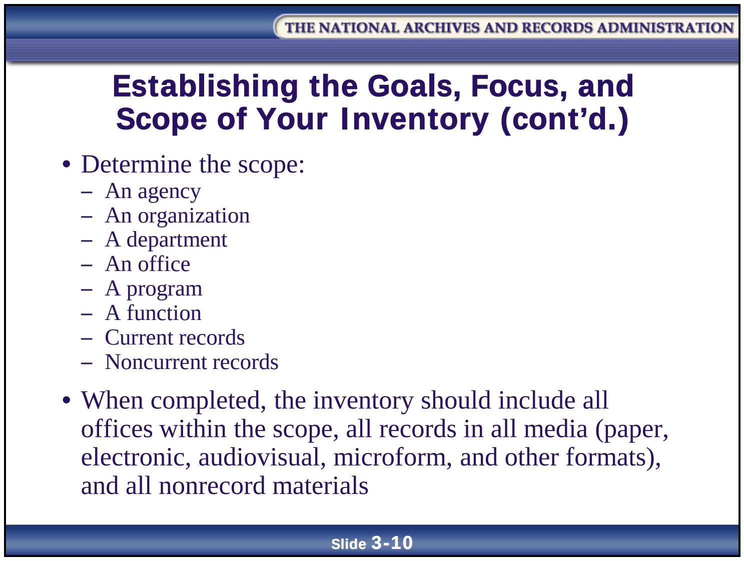
Regardless of the specific goals of your inventory, the focus is on answering four basic questions:

- **Who** is currently creating, receiving, and maintaining business information?
- **What** is currently being kept to support these processes?
- **Where** and **how** are the records stored and maintained?
- **Why** are certain records stored and maintained?

NOTES

Scope

Slide 3-10



Before beginning an inventory, determine the scope – how far-reaching the inventory will be.

Depending on the goal of the inventory, the inventory's scope may cover:

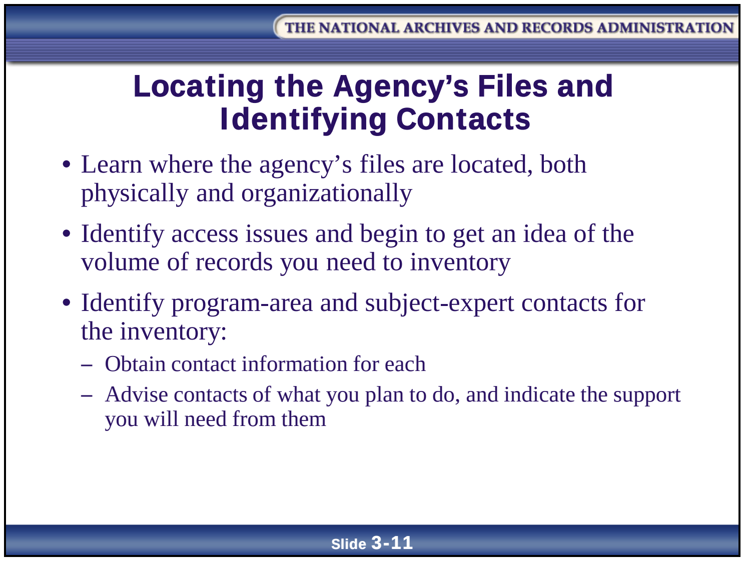
- An agency
- An organization
- A department
- An office
- A program
- A function
- Current records
- Noncurrent records

When completed, ensure that the inventory includes all offices within the scope, all records in all media (including paper, electronic, audiovisual, and other formats), and all nonrecord materials. When developing a functional schedule, the inventory includes all the relevant records in all the offices related to the function.

NOTES

Locating the Agency's Files and Identifying Contacts

Slide 3-11



Because you need to view the agency's files to inventory them, you will need to locate the files and identify those responsible for and in control of the files.

Learn where the agency's files are located, both physically and organizationally. Identify access issues and start thinking about the estimated volume of records covered in the inventory's scope.

Identify program-area and subject-expert contacts for the inventory. Obtain contact information for each, and advise them of what you plan to do and of the support you will need from them.

NOTES

Obtain Management Approval

Slide 3-12

It is important to obtain management support for the entire inventory process.

There is a cost associated with conducting an inventory, and inventories are also resource intensive – resources are needed to collect and analyze the data. Additionally, in most cases, records staff or consultants need authority to go through office files. All of this requires management approval.

In order to grant approval, senior management must first understand the scope, purpose, and use of the inventory in support of improved records and information management. This information is best provided to management via a written plan for collecting the inventory information.

NOTES

Develop the plan for collecting the inventory information and present it to management for review, feedback, and approval. Be sure to state the business objectives the agency will achieve. These objectives are usually economic or legal – for example, gaining savings in storage costs by reducing the volume of records and reducing legal vulnerabilities by enforcing proper security procedures.

When obtaining commitment from top management, ask for written commitment that shows management support and project direction and authorizes records staff (or consultants) to proceed. Issuing a directive that states the objectives of the inventory and asks for the cooperation of staff is critical to the success of the inventory.

NOTES

Lesson Summary

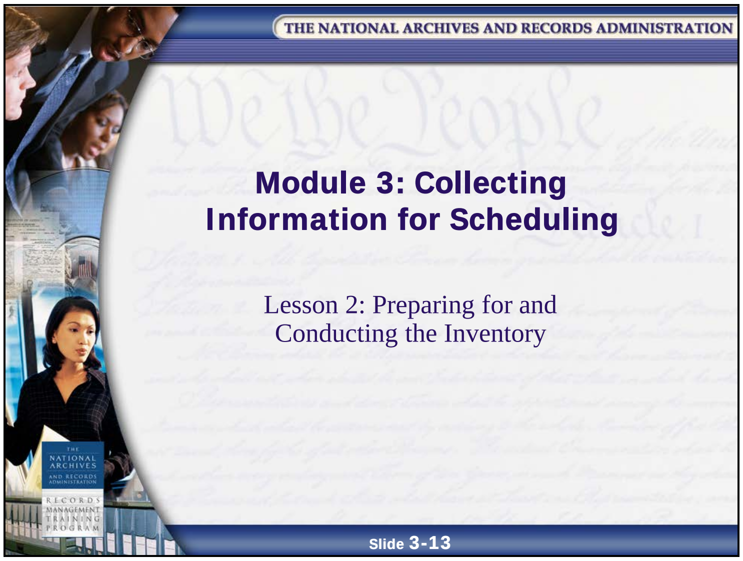
In this lesson, you learned:

- What an inventory is (also called a records inventory)
- The basic steps for conducting an inventory include:
  - Defining the goals
  - Determining the focus
  - Deciding on the scope
  - Locating all agency files (copies in various offices, in storage, in warehouses and in Federal Records Centers [FRCs])
  - Obtaining management's approval

NOTES

Lesson 2: Preparing for and Conducting the Inventory

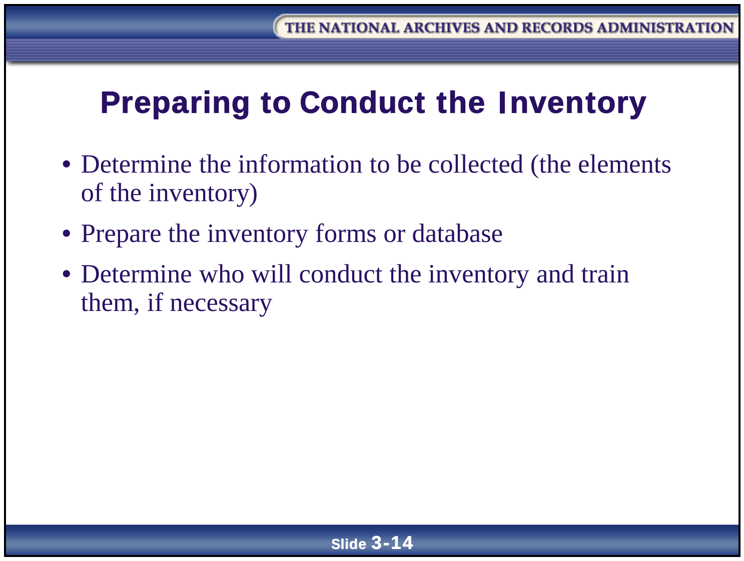
Slide 3-13



NOTES

Preparing to Conduct the Inventory

Slide 3-14



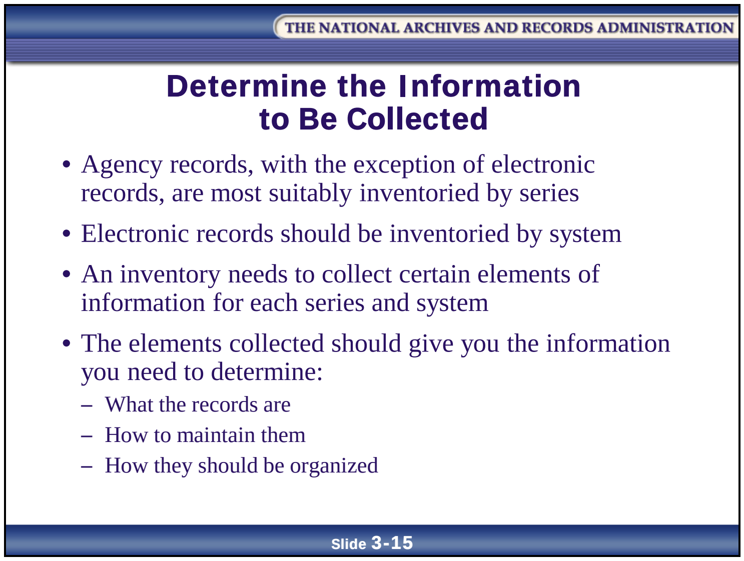
When preparing to conduct the inventory, you will need to:

- Determine the specific information to be collected (the elements of the inventory)
- Prepare the inventory forms or database
- Determine who will conduct the inventory and train them, if necessary

NOTES

Determine the Information to Be Collected

Slide 3-15



Agency records, with the exception of electronic records, are most suitably inventoried by series. Electronic records are inventoried by the entire information system.

It is best to collect information elements in a systematic format to ensure that all of the required elements are collected. Depending on the technology chosen, you may capture the inventory information:

- Manually (in paper format)
- Electronically (usually in a database or spreadsheet format)
- Combination (a combination of manual and electronically formats)

To be useful, an inventory needs to collect certain elements of information for each series and system. Ultimately, the elements collected highlight the information needed to determine:

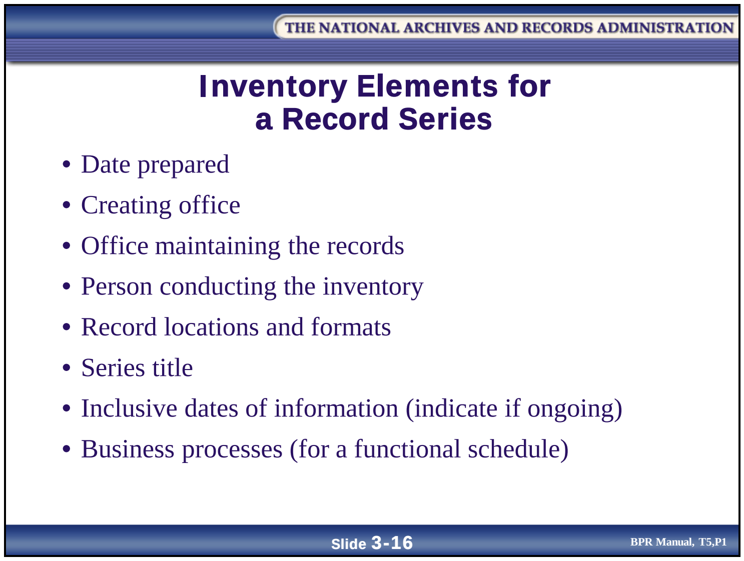
- What the records are
- How to maintain them
- How they should be organized

The following lists of key inventory elements are recommended by NARA; however, you can add other items to meet your inventory's goal and scope.

NOTES

Inventory Elements for a Record Series

Slide 3-16



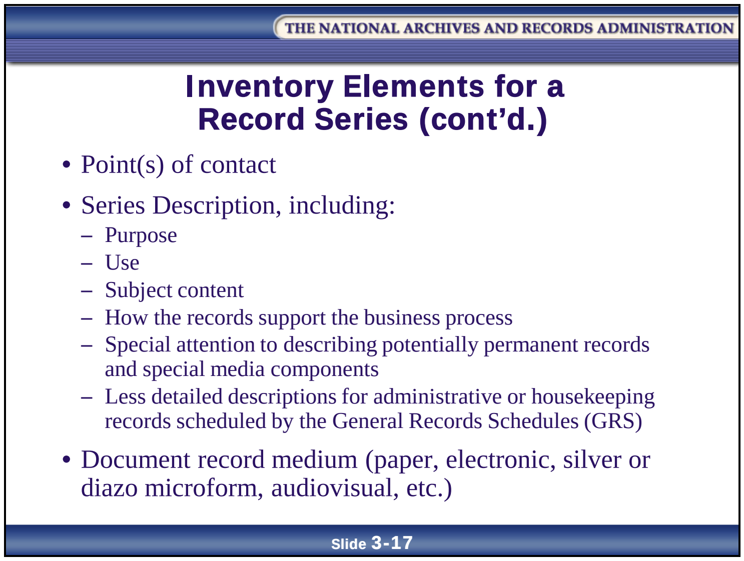
Specific inventory elements to capture for a record series include:

- Date prepared
- Creating office
- Office(s) maintaining the records
- Person conducting the inventory
- Record locations and formats
- Series title
- Inclusive dates of information in the series (also indicate if the series is ongoing)
- Business processes (for a functional schedule)

Also see **Handout 3.04** – Series Inventory Form

NOTES

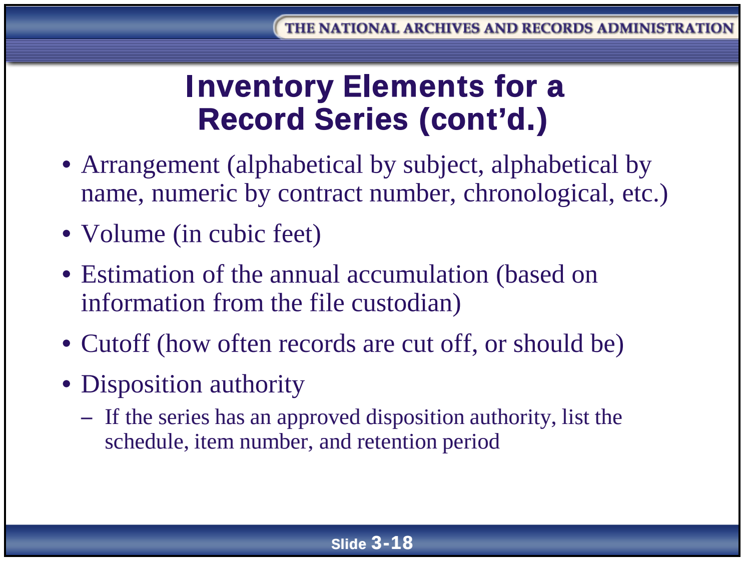
Slide 3-17



- Point(s) of contact
- Series Description
  - A clear series description is a basic element in the success of the inventory and schedule, and it is necessary for later validation and for later records appraisal by NARA. A quality series description contains enough information to show the purpose, use, and subject content of the records and how they support the business process.
  - Give special attention to describing potentially permanent records and special media components (e.g., for audiovisual records, capture the format, such as digital photos or 16 mm). Remember that for analog photographic records, both the negatives and prints are records components, and both need to be inventoried and scheduled.
  - Less detailed descriptions can be given to administrative or housekeeping records, especially those described and scheduled as part of the GRS
- Document record medium and formats (paper, silver or diazo microform, audiovisual, electronic, DVDs, etc.)

NOTES

Slide 3-18



- Arrangement (alphabetical by subject, alphabetical by name, numeric by contract number, chronological, etc.)
- Volume – For textual files, express volume in terms of cubic feet, where one standard FRC storage box equals about one cubic foot. The volume for an entire series is the volume of records accumulated per year multiplied by the number of years until the cutoff. For electronic files, volume is usually referred to as megabytes (MB), Gigabytes (GB), or Terabyte (TB). (Refer to **Handout 3.01** – Guidelines for Estimating Record Volume, located in the Handouts section of your PG, for more information on estimating the volume of both textual and electronic records).
- Annual accumulation – Based on information from the records custodian, estimate the annual rate of accumulation
- Cutoff – List how often records are recommended for cut off (closed or broken at regular intervals to permit disposal or transfer)

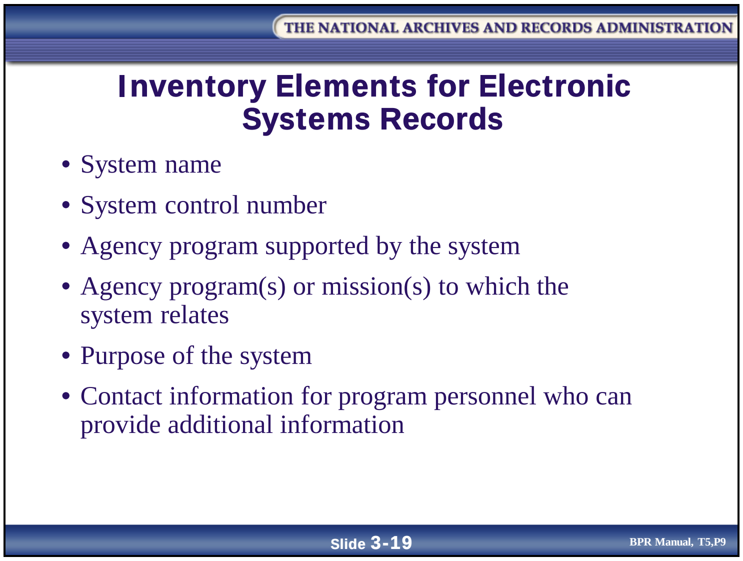
NOTES

- Reference activity – How often are the records used per month?
- Vital records status – Are these records vital records (also known as essential records)?
- Duplication – Are there other copies, perhaps in other formats? What are they used for? Where are they located? Are there backup files?
- Finding Aides – Is there a related spreadsheet, database, card file, or index to the inventoried records?
- Restrictions on access and use – Indicate national security, privacy, or other restrictions. This information is required to protect the information from unauthorized release. NARA requires agencies to indicate:
  - Any Privacy Act restrictions
  - Any Freedom of Information Act (FOIA) restrictions
- If previously scheduled, cite the approved dispositions as authorized by the GRS or a NARA-approved schedule (legacy SF 115 or ERA Record Schedule). Identify any unscheduled items and recommend a proposed disposition.
- Cite the physical condition of all permanently scheduled records and any potentially permanent records

NOTES

Inventory Elements for Electronic Systems Records

Slide 3-19



When conducting an electronic system inventory, collect the following elements:

- The name of the system – Indicate and spell out the commonly used name and acronym of the system (e.g., the Grain Monitoring System [GMS] or the State Energy Data System [SEDS])
- The system control number – Specify the internal control number assigned to the system for reference, control, and cataloging purposes
- The agency program(s) and mission(s) that are supported by the system along with any authorizing laws and directives

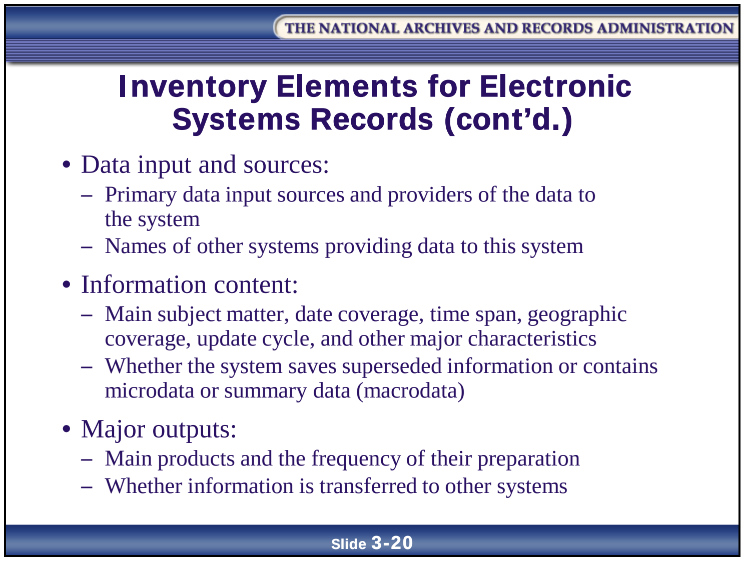
Also see **Handout 3.05** – Information System Description Form

NOTES

- The purpose of the system
  - Indicate the reasons for the system and the requirements it meets
- Data input and sources:
  - Describe the primary data input sources and the providers of the data to the system (e.g., broadcast license holders or corporations doing business in the United States)
  - Give the names of any other systems, either inside or outside the agency, that ingest data into the system being inventoried. Include contact information in case follow-up information is required.

NOTES

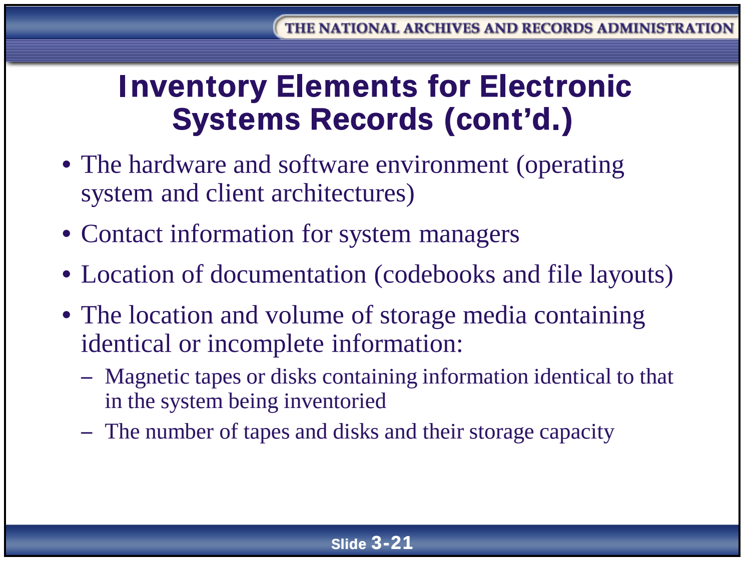
Slide 3-20



- Information content:
  - Indicate the main subject matter, dates covered, time span, geographic coverage, update cycle, and other major characteristics of the system
  - Indicate whether the system saves superseded information and whether it contains microdata or summary data (macrodata)
- Major outputs:
  - Show the system's main products (for example, reports, tables, charts, graphic displays, catalogs, correspondence, etc.) and the frequency of their preparation (for example, prepared weekly, monthly, or yearly)
  - Indicate whether the information is transferred to other systems
- The names, office and email addresses, telephone numbers, and locations of program personnel who can provide additional information about the program and the system
- If available, cite any previous disposition authorities, for input information, including paper-based and other electronic files, output reports, system documentation, and clearly identify all unscheduled system items

NOTES

Slide 3-21



- The hardware and software environment – Identify the network operating system used and the client architectures, e.g.,:
  - DEC 7000/10000 Module 600 AXP multiprocessor Server, Informix-SE database running under Digital Unix, Compaq Advanced Server for UNIX, DOS/Windows clients
  - AST Power Premium 486/50 Server, Data Ease for Windows 7.2, Novell NetWare 6.5 LAN, DOS/Windows clients
- System managers – List the name, office and email addresses, telephone number, related URLs and location of the system manager(s) or other system personnel who can provide more information about the system and the program it supports
- Location of the documentation needed to read and understand the files:
  - Show where the codebooks and file layouts are maintained
  - Indicate the name, office and email addresses, room number, related URLs and location of the source documentation

NOTES

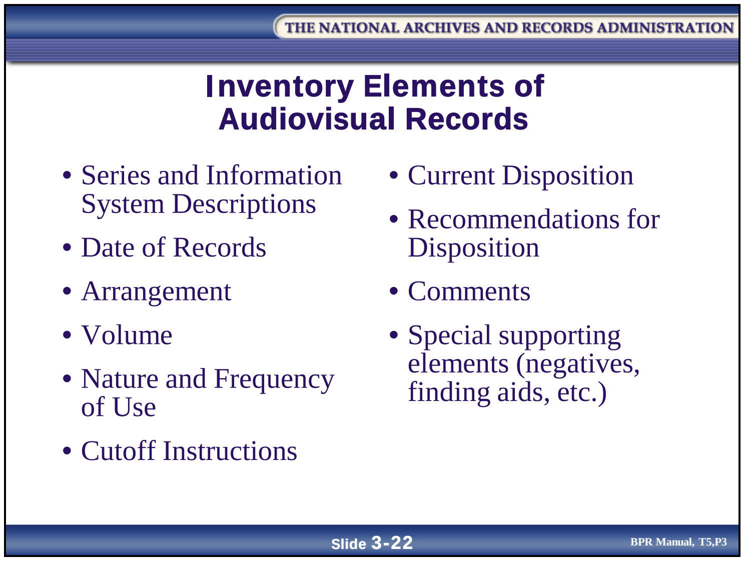
- The location and volume of any storage media containing identical or incomplete duplication of the information:
  - Show the location of any magnetic tapes, disks, servers, or specific location of records stored in the cloud for duplicative system information
  - Indicate the number of tapes, disks, servers, or cloud location and related storage capacity

An agency normally maintains existing descriptions of each information system. Contact your agency information technology (IT) staff to locate these types of documentation.

NOTES

Inventory Elements of Audiovisual Records

Slide 3-22



When conducting an inventory for audiovisual records, collect the following elements:

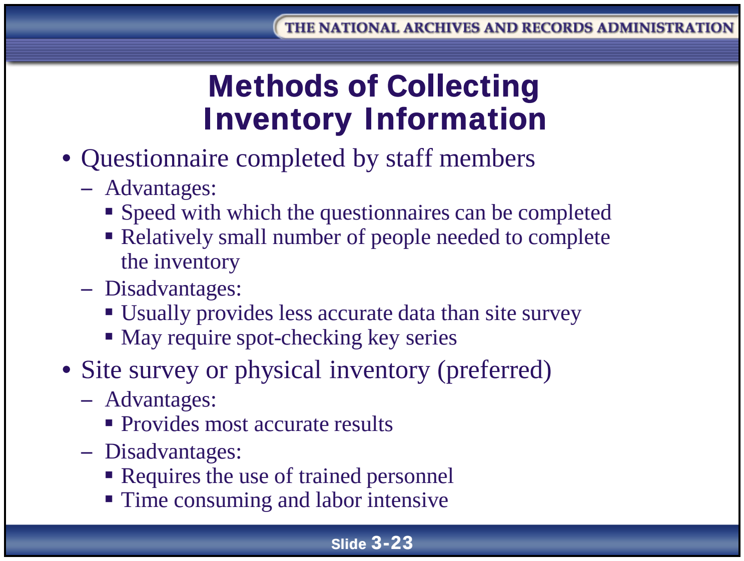
- Series and Information System Descriptions
- Dates of Records
- Arrangement
- Volume (cubic feet, megabytes)
- Nature and Frequency of Use
- Cutoff Instructions
- Current Disposition
- Recommendations for Disposition
- Comments
- Special supporting elements (negatives, finding aids, spreadsheets, software formats, etc.)

Also see **Handout 3.06 –** Audiovisual Records Form

NOTES

Methods of Collecting Inventory Information

Slide 3-23



Determine how the inventory information will be collected and choose tools that will provide expediency and efficiency. There are three main methods of collecting records inventory information:

- Questionnaire
- Site survey
- Interview

These three methods of collecting inventory information are not mutually exclusive and can be used in combination as necessary.

NOTES

Questionnaire

When collecting inventory information by this method, a questionnaire is sent to various staff members to account for and describe the information and files they create, use, and store.

Questionnaires have the advantage of making fewer demands on resources as they can be completed relatively quickly by a small number of people.

The primary disadvantage of a questionnaire is that it usually provides less accurate data than the site survey method. This risk can be mitigated by spot-checking key series to see if the completed questionnaire is accurate.

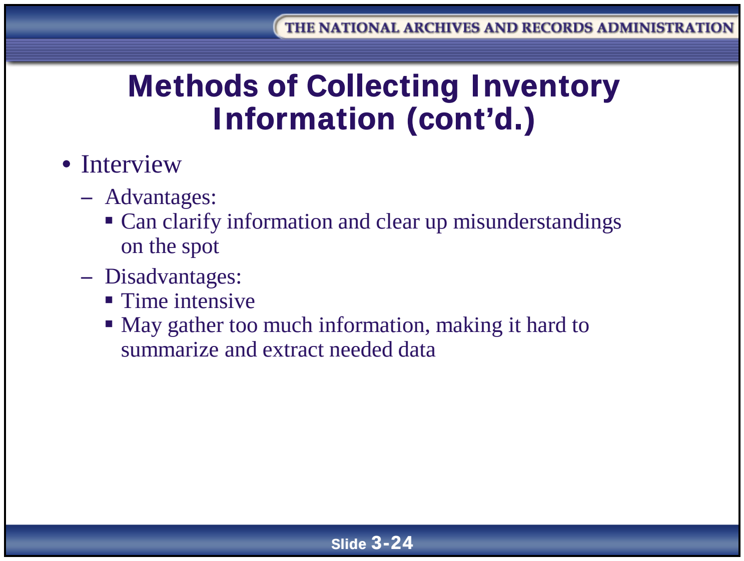
Site Survey

The site survey or physical inventory method is generally the preferred method of collecting inventory information. It involves the use of trained personnel to collect more reliable and complete information about an organization's records. Assign staff members to visit each file and work station, ask key questions, and complete the inventory forms on the identified records and business processes. A site survey is more time consuming and labor intensive than a questionnaire, but it provides the best results by giving a clearer, more accurate overview of the organization and its records.

NOTES

Interview

Slide 3-24



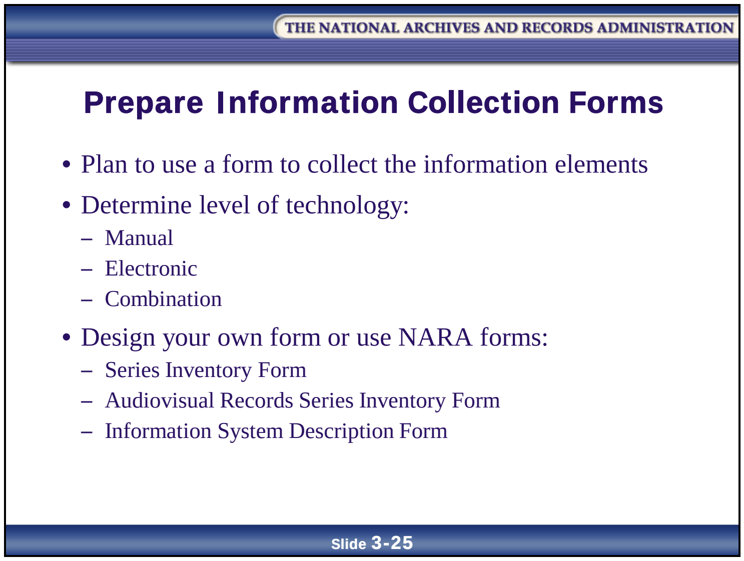
With the interview method, records management staff interview the program staff that create and use the record, as they can provide specific details about the records and related business processes. An advantage to the interview method is the ability to clarify information and clear up misunderstandings on the spot. Disadvantages are that interviews are time intensive and may gather too much information, making it hard to summarize and extract needed data. Additionally, interviewing is a skill and not all staff have the appropriate interview skills to collect the specific detailed information.

Interviewing can be the sole method used to collect inventory information or can be combined with a site survey or a questionnaire to enrich data.

NOTES

Prepare Information Collection Forms

Slide 3-25



It is best to collect the information elements in a systematic format to ensure that the records staff are collecting all of the elements needed throughout the inventory. Depending on the technology used to conduct the inventory, here are various methods to document the information:

- Manually (in paper format)
- Electronically (usually in a database or spreadsheet format)
- Combination (a combination of manual and electronic formats)

Agencies may develop their own inventory forms or use the following forms developed by NARA:

- The **Series Inventory Form** is used to inventory agency records that are textual and not electronic records
- The **Audiovisual Records Series Inventory Form** is used to collect the elements that are needed to schedule audiovisual records
- The **Information System Description Form** is used to inventory electronic systems records

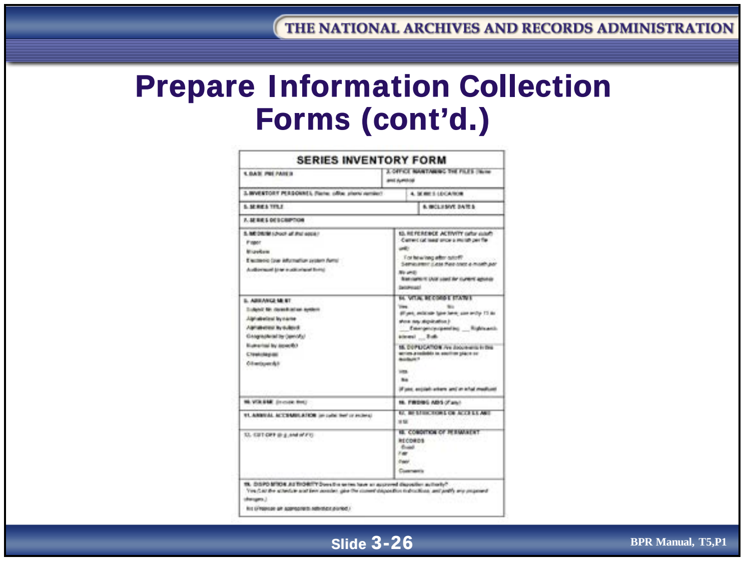
NOTES

Remember, an information system is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

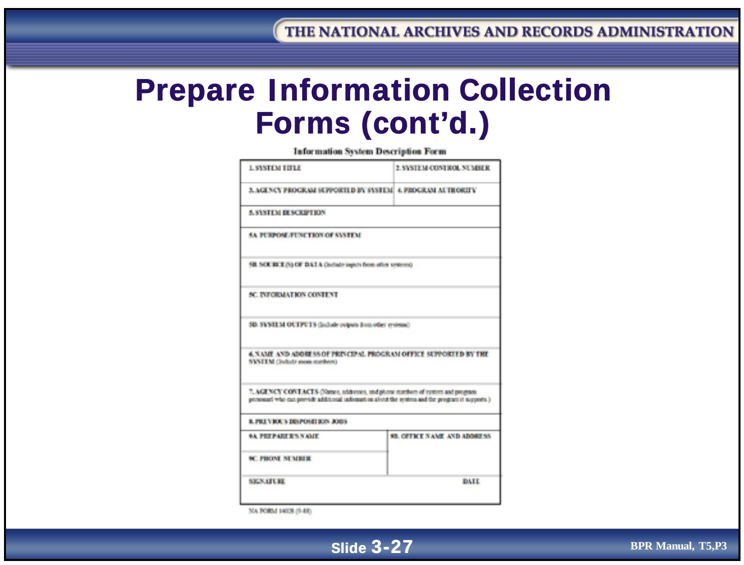
An agency normally maintains existing descriptions of each information system and any legacy systems. Look within the agency for various resources that would have this information, particularly the IT shop, office of the Chief Information Officer, and the program office.

NOTES

Slide 3-26

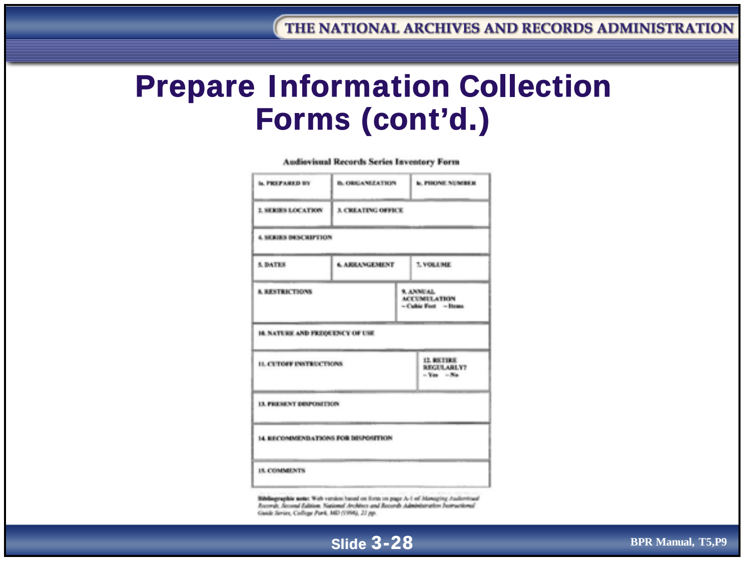


Slide 3-27



NOTES

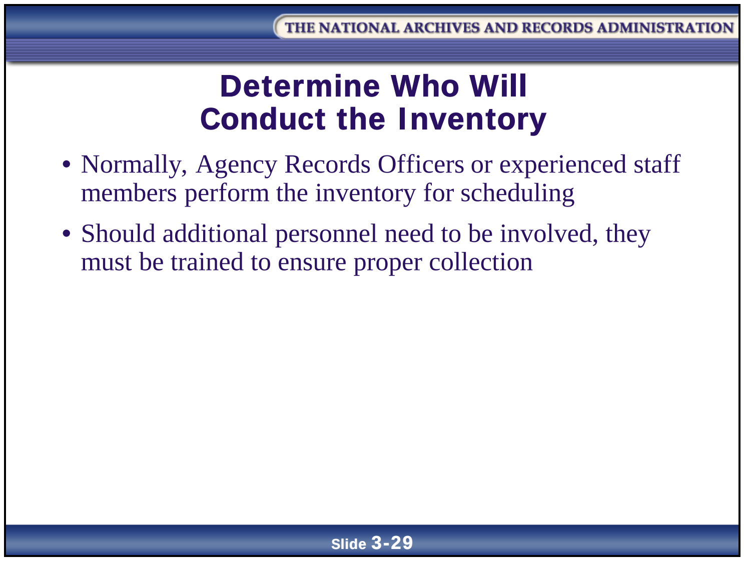
Slide 3-28



NOTES

Determine Who Will Conduct the Inventory

Slide 3-29

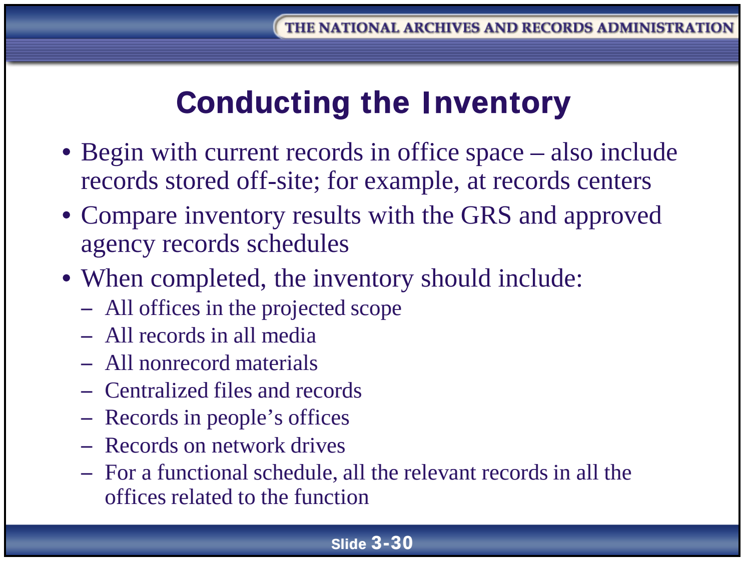


Normally, Agency Records Officers or experienced staff members complete the inventory. If additional personnel are needed, they must be trained to ensure proper information collection.

NOTES

Conducting the Inventory

Slide 3-30



A records inventory generally begins with current records in an office space and on existing electronic systems.

The inventory also needs to include records stored in other offices and stored off-site, such as at records centers and commercial storage facilities. Inventory results must be compared with the GRS and approved agency records schedules.

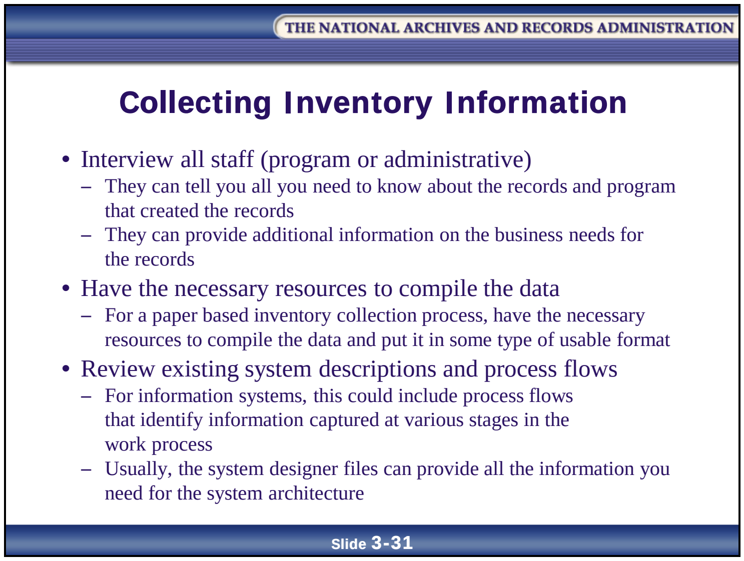
Remember, when completed, the inventory includes:

- All offices in the projected scope, all records in all media (including paper, electronic, audiovisual, microform, and other formats), and all nonrecord materials
- All records in centralized files and records in people’s offices, records on network drives, etc., to be complete
- For a functional schedule, all the relevant records in all the offices related to the function

NOTES

Collecting Inventory Information

Slide 3-31

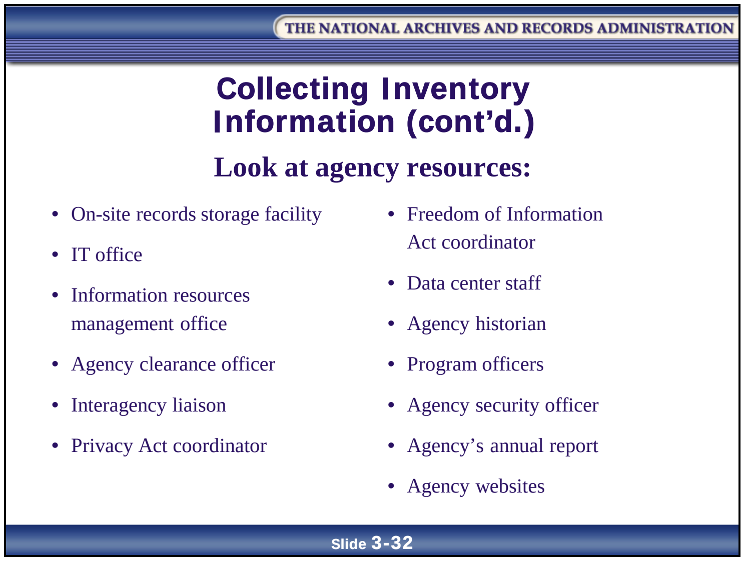


General guidance for collecting inventory information includes:

- **Interview all program staff who create and use the records** – Program staff are usually the subject experts about the records and related business functions. They also can provide additional information on records relationships with other stakeholders as well.
- **Have the necessary resources to compile the data** – If the inventory collection process is paper based, make sure you have the necessary resources on the back end to compile the data and put it in some type of usable format (e.g., to enter the information into a spreadsheet that can be searched, sorted, and manipulated)
- **Review existing system descriptions and process flows** – In many cases, the agency maintains existing descriptions and collections of information that can help support the inventory process. This is especially true of agency information systems. For information systems, this could include process flowcharts that identify information captured at various stages in the work process. Usually, the system designer files can provide all the information needed for the system architecture.

NOTES

Slide 3-32



- **Look at agency resources** – Look within the agency for various resources that may have information about the records. For example:
  - On-site records storage facility
  - IT office
  - Agency clearance officer
  - Interagency liaisons (serve as your agency's Office of Management and Budget desk officers) or other agency staff that works within your functional area
  - Privacy Act coordinator
  - Freedom of Information Act coordinator

NOTES

– Data center staff
– Agency historian
– Program officers
– Agency security officer
– Agency's annual report
– Agency websites

Take advantage of these resources to create the baseline of your information collection. After you have collected this information from these sources, be sure to validate it as you conduct the inventory.

NOTES

Lesson Summary

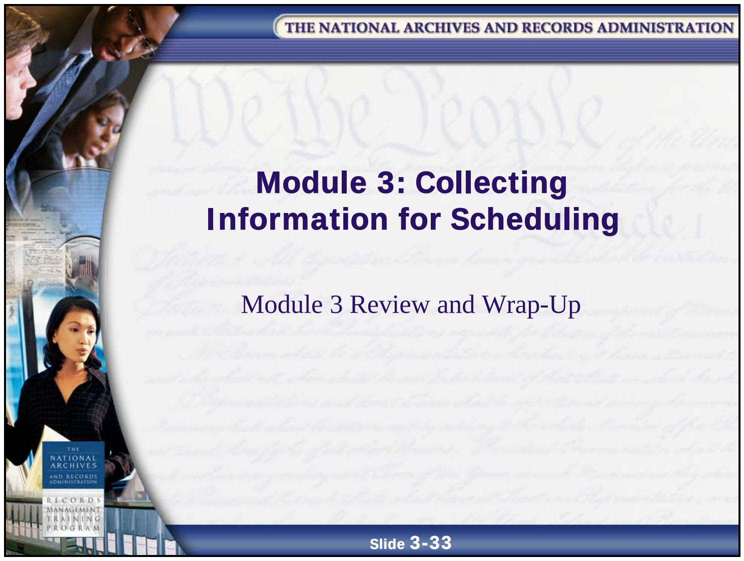
In this lesson, you learned:

- To prepare to conduct the inventory, follow these steps:
  - Determine the specific information to be collected (the elements of the inventory)
  - Prepare the inventory forms
  - Determine who will conduct the inventory and train them, if necessary
- That different types of records require different elements
- That it is best to use a form, database, or spreadsheet to collect inventory information
- That an agency may develop its own form, database, or spreadsheet to collect the inventory information
- That NARA maintains inventory forms that can be used to collect inventory information, including the
  - Series Inventory Form
  - Audiovisual Records Series Inventory Form
  - Information System Description Form
- That there are various methods to collect information, including a questionnaire, site survey, and interview
- That it is important to plan how to compile the inventory data and put it in some type of usable format, such as a spreadsheet
- That it is important to review general guidance on conducting the inventory and collecting the inventory information

NOTES

Module 3 Review and Wrap-Up

Slide 3-33

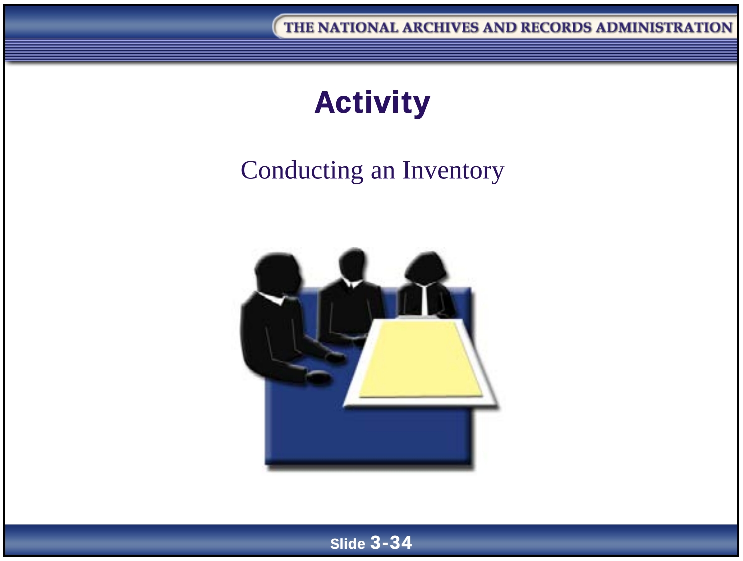


Overview

NOTES

Activity: Conducting an Inventory

Slide 3-34



NOTES

Conducting an Inventory Worksheet

You are participating in a records inventory for your assigned office in the BPR. The record set you are inventorying is physically located in the BPR Headquarters, 999 Bear Creek Rd., Lake Placid, CA, 92776.

Using **Handout 3.02 –** BPR Organization Records Set, locate the record set for your office.

Complete the appropriate form to inventory the electronic information system in your office. The blank inventory form is located on pages PG 3-45 of your PG.

Refer to the following items in the BPR Manual as needed:

- BPR Organization Chart (Tab 2)
- BPR Agency Information (Tab 3)
- BPR Vital Records Inventory (Tab 10)

Note: It is impossible to construct an activity that completely replicates reality. Use the information provided as guidance and build on that information, using your experience and imagination. **Note:** Based on the information provided, you may not be able to complete all the fields in the forms.

To determine if the records are Vital Records, review the BPR Vital Records Inventory (BPR Manual, Tab 10). If the series does not appear on the inventory then it is not considered to be vital by the agency COOP team.

Record Set # _______________

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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**

NA FORM 14028 (9-88)

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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	**6. 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)* ☐ 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)*
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. CUTOFF (*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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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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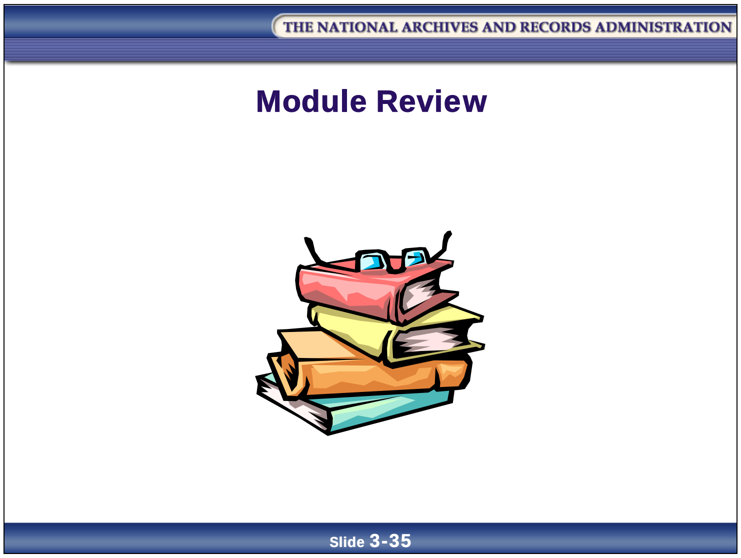
Module Review

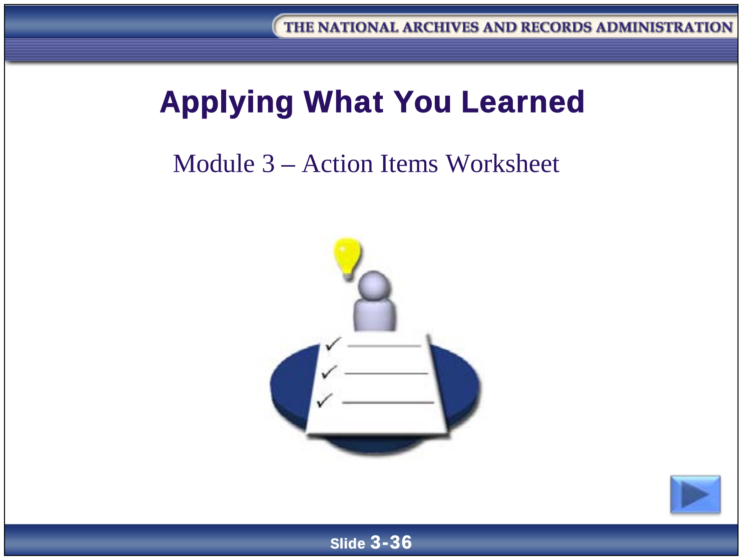


In Module 3, you learned:

- What a records inventory is
- The steps required to prepare to conduct an inventory
- The steps required to conduct an inventory
- That it is best to use a form or database to collect the inventory information – forms that you develop or the forms developed by NARA
- That the inventory data must be compiled and ingested in some type of usable format, such as a spreadsheet
- That the three main methods of collecting records inventory information are via a questionnaire, a site survey, and an interview

NOTES

Applying What You Learned



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

NOTES

Module 3 – Action Items Worksheet

What did I learn about collecting information for scheduling that will help me at my job? List at least one thing you learned about collecting information for scheduling that is relevant to your job role and responsibilities.
How will I apply what I learned about collecting information for scheduling to my job? List at least one thing you learned about collecting information for scheduling that you will apply to your job, and explain how you will apply it.
What "aha!" moments did I have during this module? List any "aha!" moments you experienced during this module. ("I need to think about how I am going to record this information beforehand so that I make sure I collect all of the information I need the first time?!? Aha!")

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Module 4: Developing an ERA Records Schedule

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

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Table of Contents

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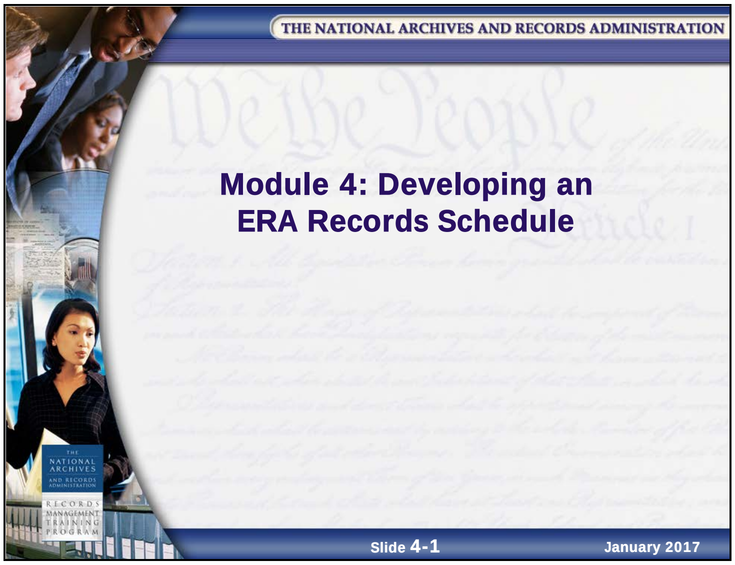
Introduction and Objectives

Slide 4-1



Overview

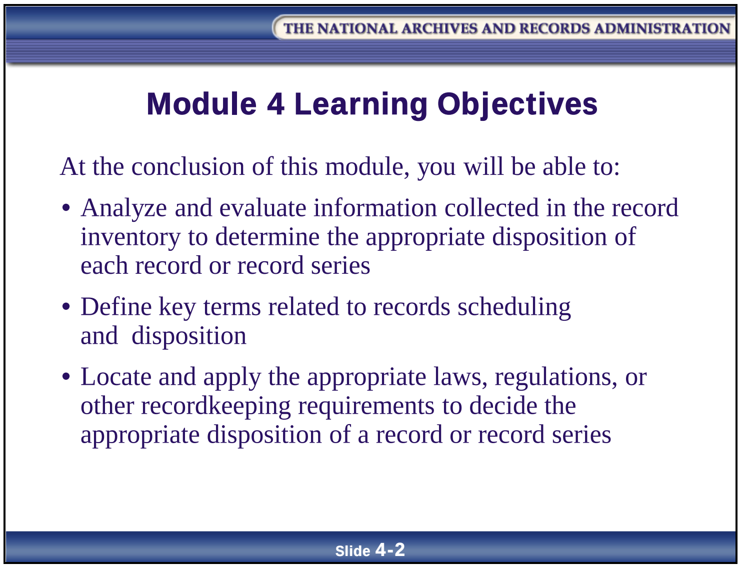
Once you have collected information about your agency's documents – including conducting the inventory – analyze the information and determine the appropriate description and disposition for each record. Then complete an ERA Records Schedule to request disposition authority for the records.

In Module 4, we cover how to approach analyzing your agency's records to determine the appropriate disposition for each record and then how to complete the ERA Records Schedule.

NOTES

Objectives

Slide 4-2

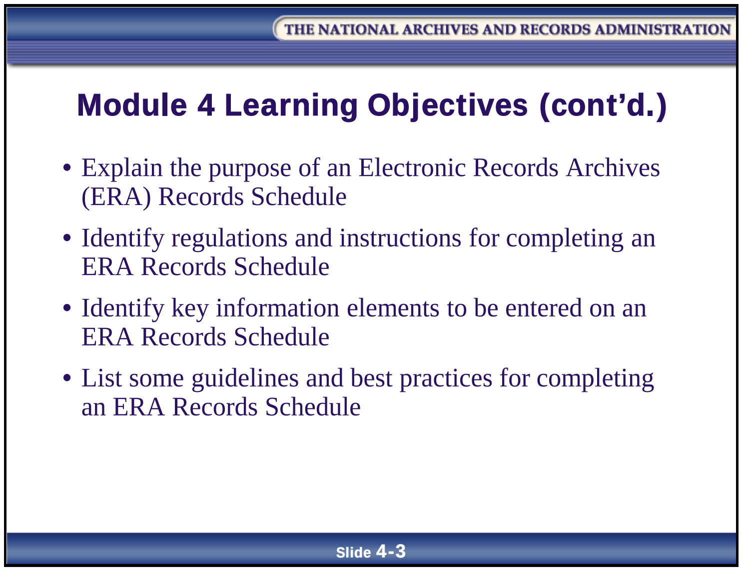


At the conclusion of this module, you will be able to:

- Analyze and evaluate information collected in the records inventory to determine the appropriate disposition of each record or records series
- Define key terms related to records scheduling and disposition
- Locate and apply the appropriate laws, regulations, or other recordkeeping requirements to decide the appropriate disposition of a record or record series

NOTES

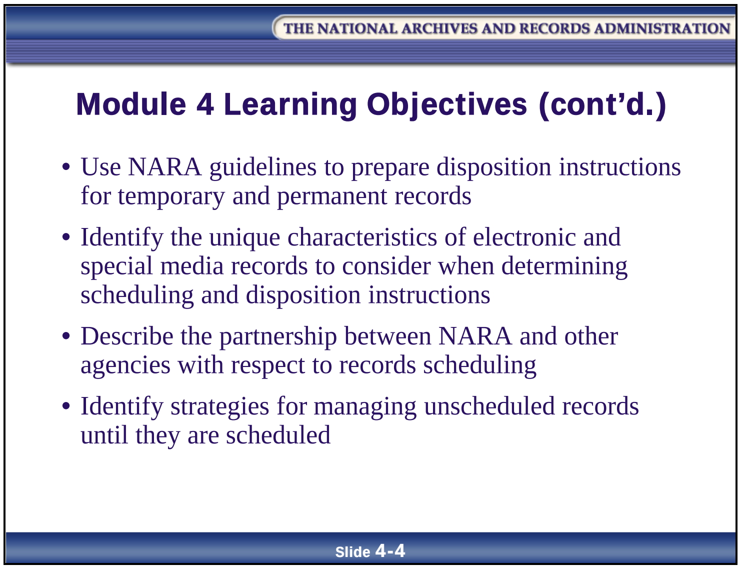
Slide 4-3



- Explain the purpose of the Electronic Records Archives (ERA) Records Schedule
- Identify regulations and instructions for completing an ERA Records Schedule
- Identify key information elements to be entered on an ERA Records Schedule
- List some guidelines and best practices for completing an ERA Records Schedule

NOTES

Slide 4-4

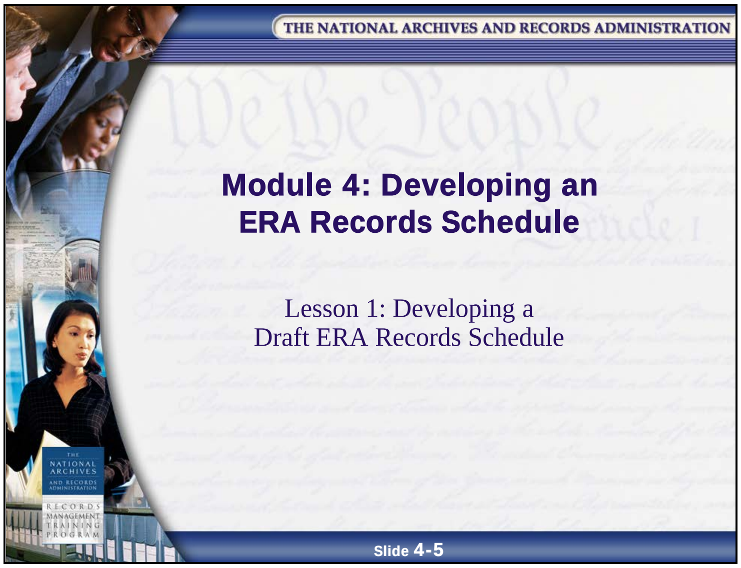


- Use NARA guidelines to prepare disposition instructions for temporary and permanent records
- Identify the unique characteristics of electronic and special media records to consider when determining scheduling and disposition instructions
- Describe the partnership between NARA and other agencies with respect to records scheduling
- Identify strategies for managing unscheduled records until they are scheduled

NOTES

Lesson 1: Developing a Draft ERA Records Schedule

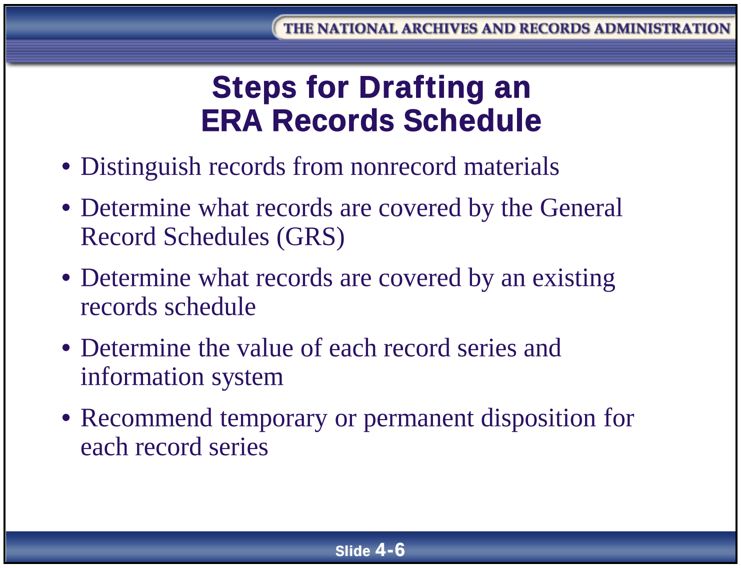
Slide 4-5



NOTES

Steps for Drafting an ERA Records Schedule

Slide 4-6

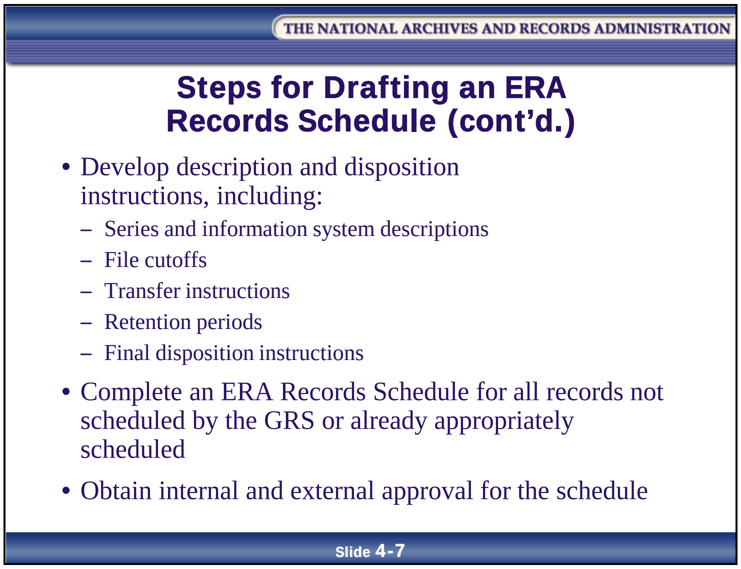


To develop a records schedule, first analyze the information collected in the records inventory. In analyzing the information:

- Distinguish records from nonrecord materials
- Determine what records are covered by the General Records Schedule (GRS)
- Determine what records are covered by an existing records schedule – see RCS
- Determine the value of each record series and information system
- Recommend temporary and permanent disposition for each record series

NOTES

Slide 4-7



- For each record series not covered by an approved schedule, or the GRS, develop description and disposition instructions, including:
  - Series and information system descriptions
  - File cutoffs
  - Transfer instructions
  - Retention periods
  - Final disposition instructions
- Complete an ERA Records Schedule for all records not scheduled by the GRS or already appropriately scheduled
- Obtain internal and external approval for the schedule

NOTES

The schedule will then be ready for submission to NARA for approval. The proposed records schedule is considered a draft until it is appraised and approved by NARA and, if required, by the Government Accountability Office (GAO).

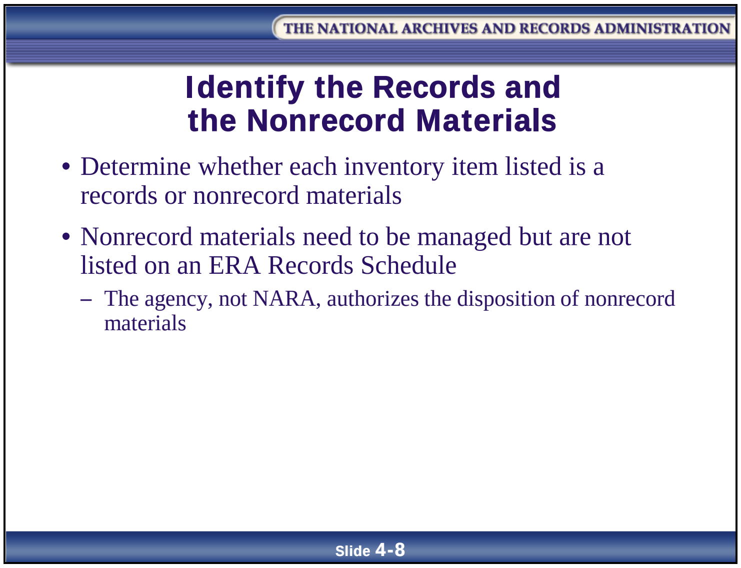
When analyzing the inventory, it is helpful to keep in mind these characteristics of Federal records:

- Program records are generally more voluminous than administrative, or housekeeping, records
- Case files are generally far more voluminous than all other types of Federal records combined
- Comparatively few records are permanent, although the exact proportion varies from agency to agency and from office to office

NOTES

Identify the Records and the Nonrecord Materials

Slide 4-8



When analyzing inventory data, first determine whether each item listed in the inventory is a record or nonrecord materials.

Remember:

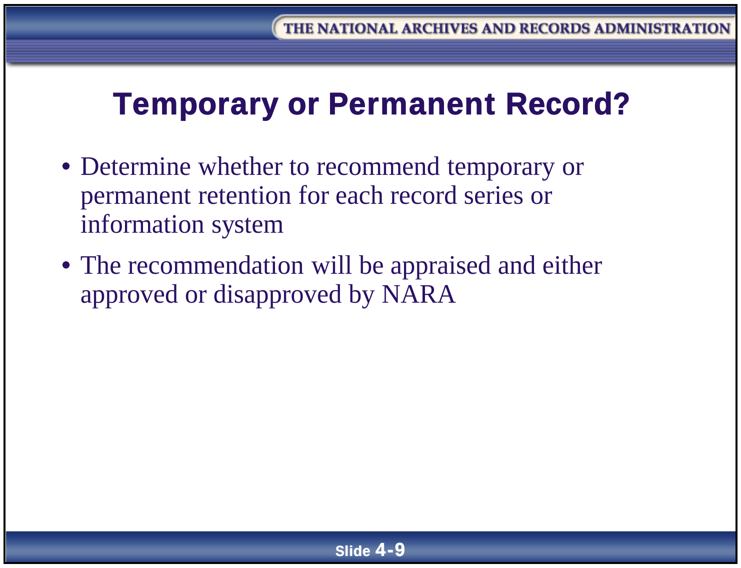
- all **recorded information**, regardless of **form or characteristics, made** or **received** by a Federal agency under Federal law or in connection with the transaction of public business and **preserved** or **appropriate for preservation** by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them."(44 U.S.C. 3301)
- **Nonrecord materials** are documentary materials excluded from the legal definition of records

Nonrecord materials need to be managed but are not listed on an ERA Records Schedule. The agency, not NARA, authorizes the disposition of nonrecord materials.

NOTES

Temporary or Permanent Record?

Slide 4-9



Next, it is important to determine whether to recommend temporary or permanent disposition for each record series and information system.

Remember:

- A **temporary record** is a record approved by NARA for disposal after a specified retention period
- A **permanent record** is a record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for the creating agency's administrative, legal, or fiscal purposes

Remember: At this point, the draft disposition statements are only proposed recommendations that will later be appraised and approved or disapproved by NARA.

The determination of temporary or permanent status is based on the value of the record.

Remember to review NARA's Appraisal Policy brochure to obtain additional information on NARA's decision process and understanding of how NARA determines permanent (or archival) value of Federal records. It is located at *http://www.archives.gov/publications/records-mgmt.html*.

NOTES

The Value of Records

Slide 4-10

All records have value to the agency creating or receiving them, or to other agencies. Some records also have permanent value and warrant preservation by NARA once the agency no longer needs them to conduct regular, current business.

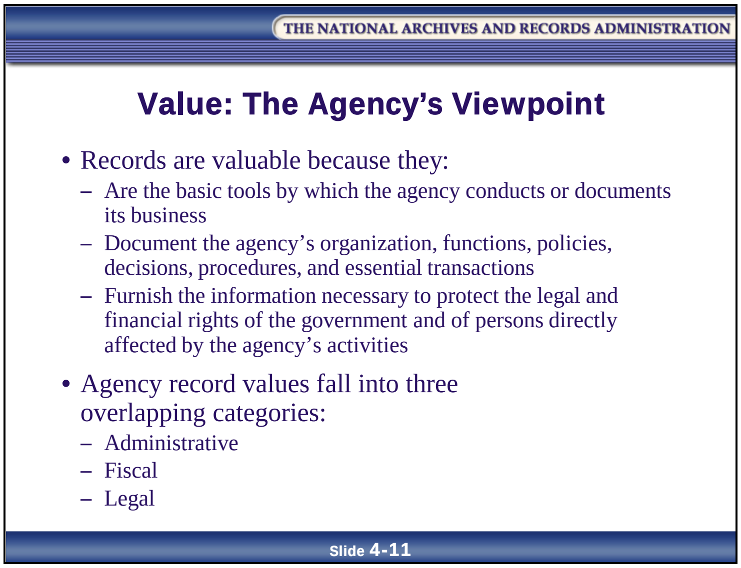
The value of a record is integral to determining whether it is categorized as a temporary or a permanent record and to determining the appropriate retention period for the record.

Understanding value as a criterion for deciding what happens to records can assist in proposing retention periods and dispositions that satisfy agency needs – and, most likely, address NARA's needs.

NOTES

Value: The Agency's Viewpoint

Slide 4-11



Records have value to an agency because they:

- Are the basic tools that an agency uses to conduct and document its business
- Document the agency's organization, functions, policies, decisions, procedures, and essential transactions
- Furnish the information necessary to protect the legal and financial rights of the government and persons directly affected by the agency's activities

NOTES

Agency record values fall into three overlapping categories: administrative, fiscal, and legal.

Administrative Value

Administrative value refers to the usefulness of the records in conducting the agency's current business. All records have administrative value because they are necessary to conduct the agency's current business. The duration of this value may be long or short. Some records, such as program directives, have long-term administrative value. Others, such as messenger service files, have short-term administrative value. Many records at operating levels have short-term administrative value because they are duplicated elsewhere or summarized at higher agency levels.

Fiscal Value

Fiscal value refers to the records' role in documenting an agency's financial transactions and obligations. They include budget and accounting records that document how expenditures were planned, disseminated, and spent.

Agencies such as the Office of Management and Budget, GAO, the Treasury Department, and the General Services Administration (GSA) prescribe the form and content of many fiscal records. In most instances, only the data in the records themselves differs from agency to agency.

Legal Value

Legal value refers to the records' role in documenting legally enforceable rights or obligations of the government and those of the persons directly affected by the agency's activities.

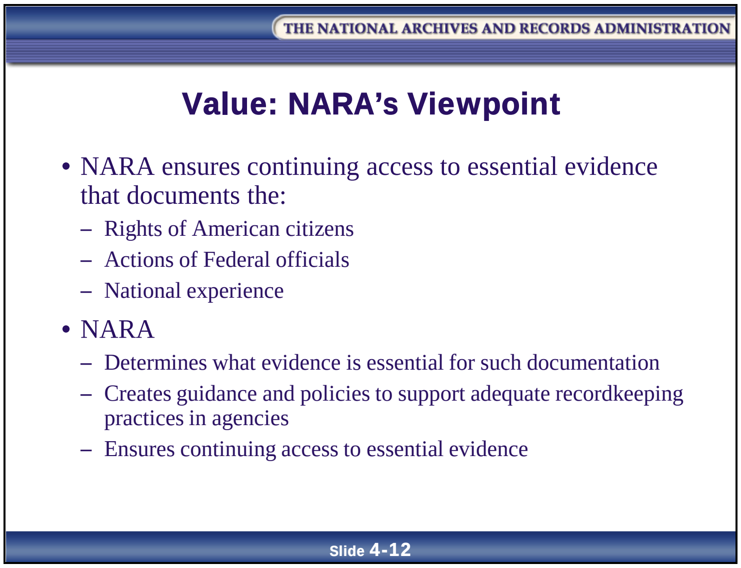
Records with legal value contain information that may support rights based on the provisions of statute or regulation. Legal value is often associated with records documenting such matters as benefits and property ownership. More recently, legal value is identified with records documenting environmental and potential health concerns, such as the handling or regulation of chemical and nuclear materials.

Based on statutes of limitation and fraud, other statutory provisions, and practical considerations such as lifespan, records with legal value may be disposable, although they may require a long retention period. Before recommending retention periods for records that may have legal value, seek the advice of the General Counsel.

NOTES

Value: NARA's Viewpoint

Slide 4-12



NARA's mission is to ensure, for the citizen and the public servant, for the President and for the Congress and the courts, ready access to essential evidence of government actions.

NARA enables officials and agencies to review their actions and be accountable to citizens by ensuring continuing access to essential evidence that documents the:

- Rights of American citizens – Records that document the rights of citizens and enable them to establish their identities, protect their rights, and claim their entitlements
- Actions of Federal officials – Records that document actions of Federal officials and enable them to explain past decisions, form future policy, and be accountable for consequences
- National experience – Records that document the national experience and provide the means for evaluating the effects of Federal actions on the nation and for understanding its history, science, and culture, including the man-made and natural environment

NOTES

To accomplish this, NARA:

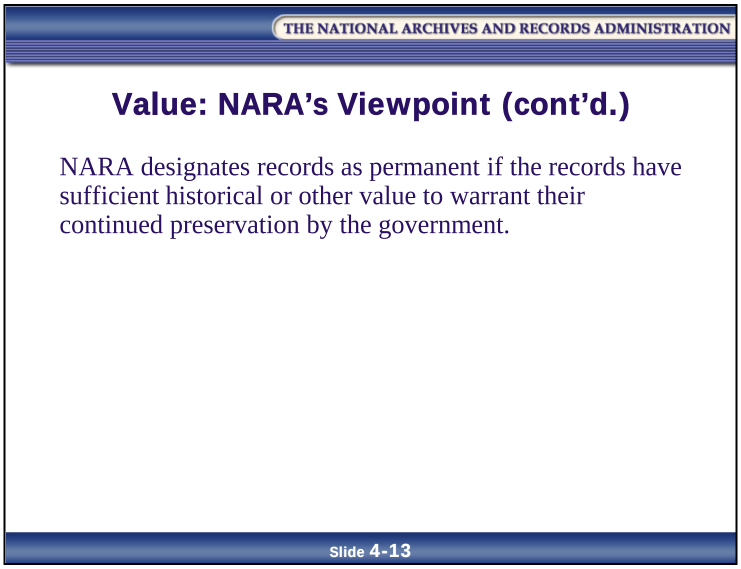
- Determines what evidence is essential for permanent documentation
- Creates guidance and policies to support adequate recordkeeping practices in agencies
- Ensures continuing access to essential evidence

To support its mission, NARA:

- Works with agencies to ensure that retention periods of temporary records are adequate – but not excessive – to meet agency needs and protect individual rights
- Makes sure that disposition instructions meet the requirements of other agencies having an interest in certain categories of records. For example, the Office of Personnel Management (OPM) has a vested interest in all Federal, civilian personnel records, and GAO has vested interests in government-wide program and financial records
- Cooperates with agencies to identify and properly schedule records having permanent value

NOTES

Slide 4-13



NARA designates records as permanent if the records have sufficient historical or other value to warrant their continued preservation by the government.

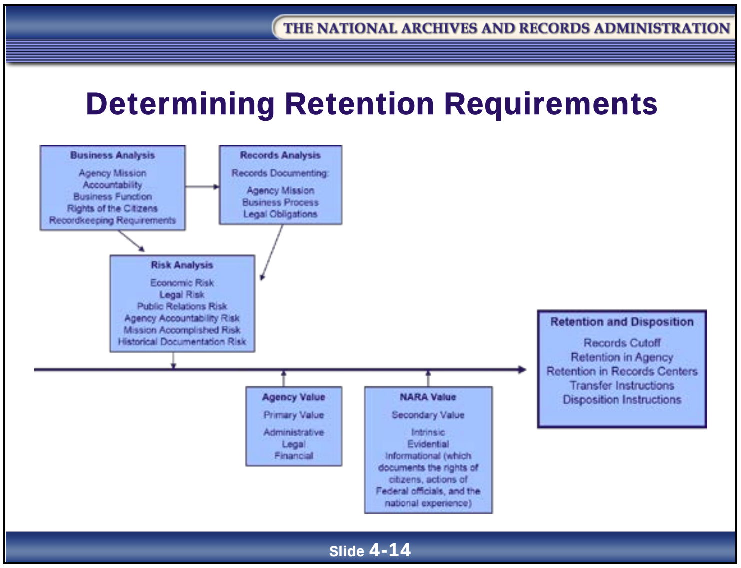
Records may be kept permanently because they:

- Document an agency's origins, organization, functions, and significant transactions and activities
- Document the persons, places, things, or matters dealt with by an agency
- Contain information with significant research or reference value

NOTES

Determining Retention Requirements

Slide 4-14



When determining retention requirements – and subsequent disposition – we are actually referring to several different items, including:

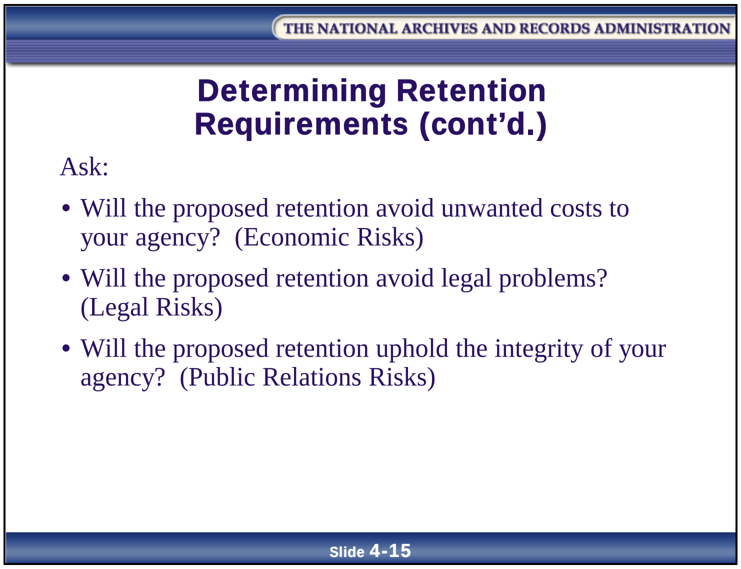
- Records cutoff
- Retention in agency
- Retention in records centers
- Transfer instructions
- Disposition instructions

Multiple factors contribute to determining retention requirements. As illustrated here, the results of a business analysis, records analysis, and risk analysis are all factors in the determination of retention, as is the value of the records both from the agency's viewpoint and from NARA's viewpoint.

Remember, retention is how long records are maintained before a disposition action.

NOTES

Slide 4-15

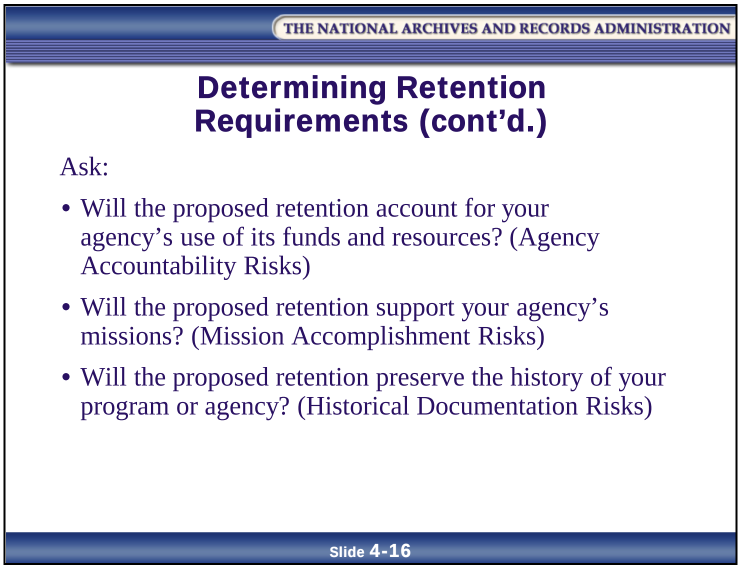


Questions to ask when determining retention include:

- Will the proposed retention avoid unwanted costs to your agency? (Economic Risks)
- Will the proposed retention avoid legal problems? (Legal Risks)
- Will the proposed retention uphold the integrity of your agency? (Public Relations Risks)

NOTES

Slide 4-16

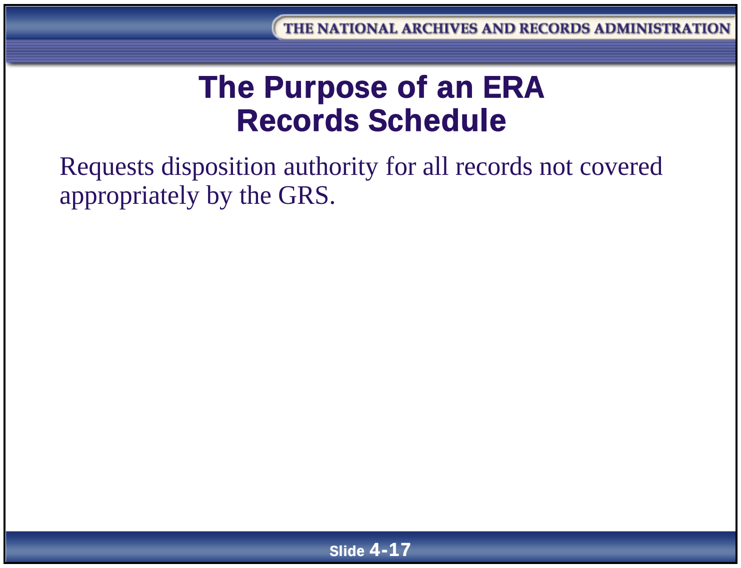


- Will the proposed retention account for your agency's use of funds and resources? (Agency Accountability Risks)
- Will the proposed retention support your agency's missions? (Mission Accomplishment Risks)
- Will the proposed retention preserve the history of your program or agency? (Historical Documentation Risks)

NOTES

The Purpose of an ERA Records Schedule

Slide 4-17



An ERA Records Schedule is used to request disposition authority for all records not covered appropriately by the GRS or an existing schedule.

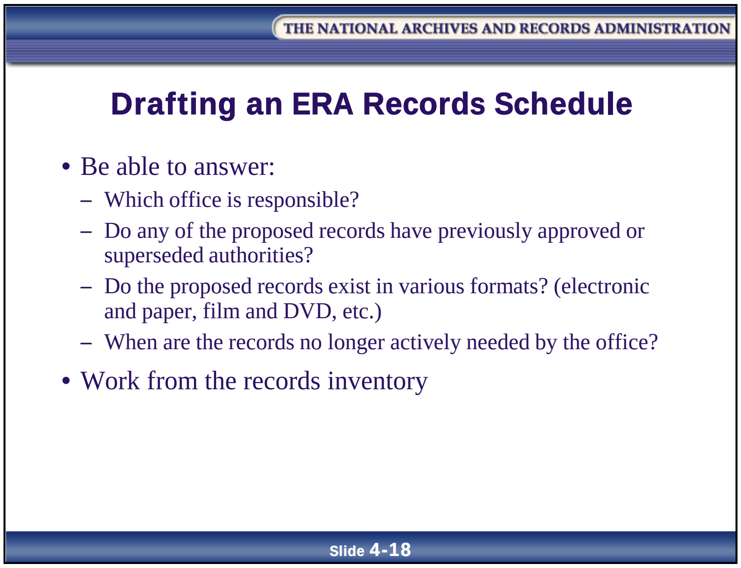
Usually the agency initiates a records schedule, but occasionally NARA can initiate drafting a schedule.

A records schedule is used to schedule record series, information systems, and other groups of records.

NOTES

Drafting an ERA Records Schedule

Slide 4-18



After you have analyzed your records and determined permanent or temporary disposition status, it is time to draft an ERA Records Schedule.

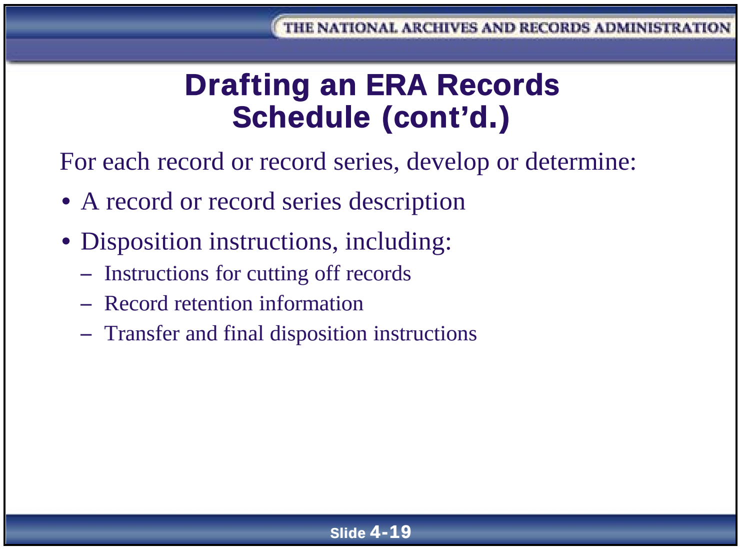
Be sure you can answer the following questions about each record series:

- Which office is responsible?
- Do any of the proposed records have previously approved or superseded authorities?
- Do the proposed records exist in various formats? (electronic files and paper, film and DVD, etc.)
- When are the records no longer actively needed by the office?

Work from the records inventory.

NOTES

Slide 4-19



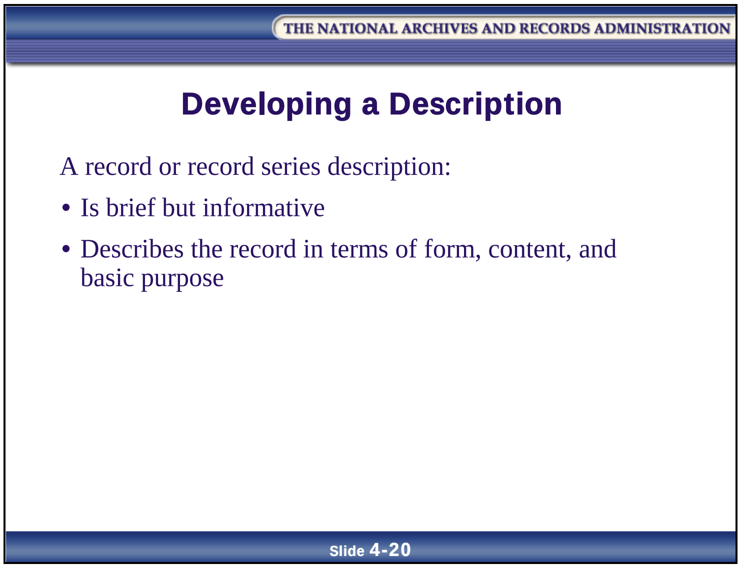
For each record series, develop or determine:

- A record series description
- Disposition instructions, including:
  - Instructions for cutting off records
  - Record retention information
  - Transfer and final disposition instructions

NOTES

Developing a Description

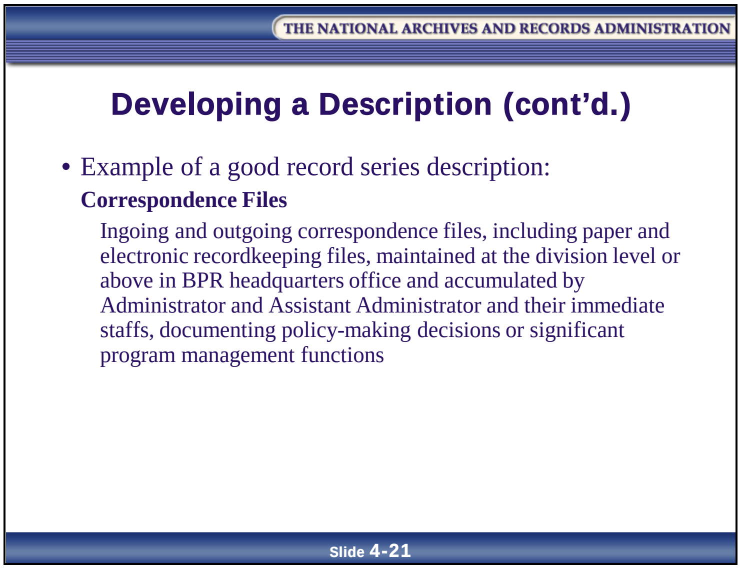
Slide 4-20



A record or record series description is a brief but informative description of the record in terms of its form, content, and basic purpose.

NOTES

Slide 4-21



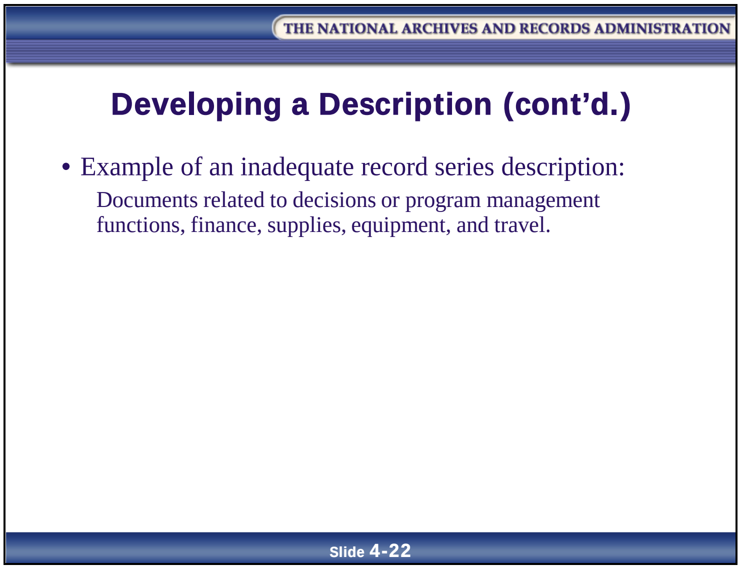
An example of a good record series description is:

Correspondence Files

Ingoing and outgoing correspondence files, including paper and electronic recordkeeping files, maintained at the division level or above in BPR headquarters office and accumulated by Administrator and Assistant Administrator and their immediate staffs, documenting policy-making decisions or significant program management functions

NOTES

Slide 4-22



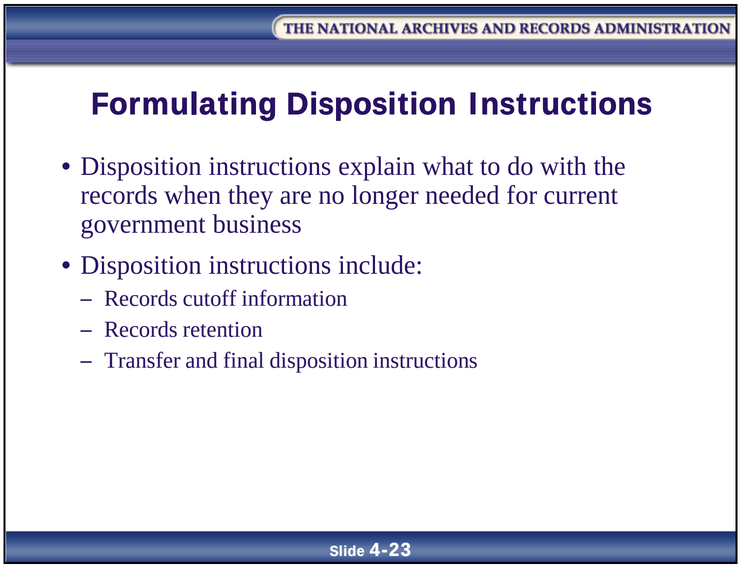
An example of an inadequate record series description is:

> Documents related to decisions or program management functions, finance, supplies, equipment, and travel

NOTES

Formulating Disposition Instructions

Slide 4-23



The disposition instructions explain what to do with the records when they are no longer needed for current government business.

Disposition instructions are based on information gathered and analyzed during the business and records analyses and the information collection phase.

Disposition instructions include:

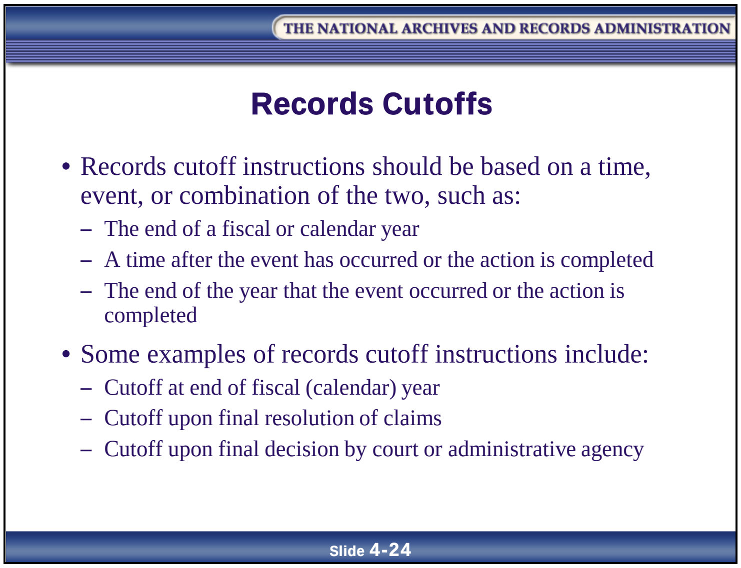
- Records cutoff information
- Records retention
- Transfer and final disposition instructions

You need to develop disposition instructions for nonrecord materials as well, although this information is for the agency records schedule and is not submitted to NARA.

NOTES

Records Cutoffs

Slide 4-24



A records cutoff is the breaking or closing of files at regular intervals, usually at the close of a fiscal or calendar year, to permit a disposition action, either disposal or transfer to a storage area. The cutoff of files also permits the establishment of new files.

A records cutoff should be based on a time, event, or combination of the two for example:

- The end of a fiscal or calendar year
- A time after the event has occurred or the action is completed
- The end of the year that that the event occurred or the action is completed

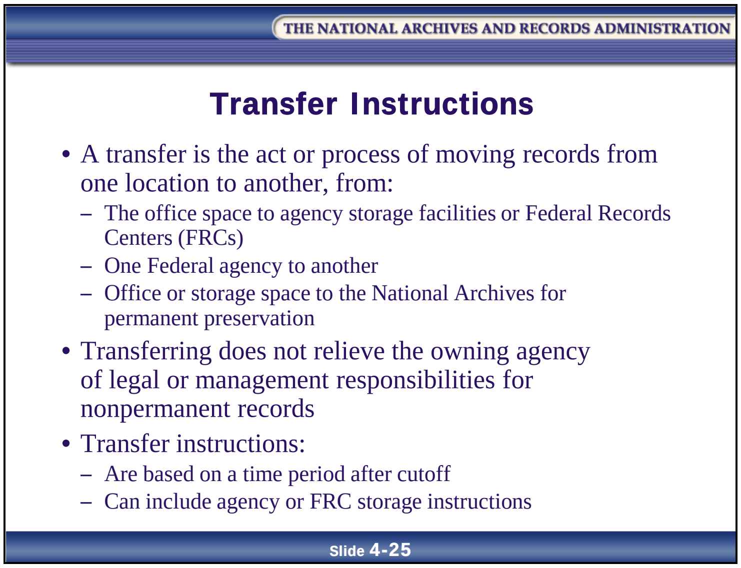
Some examples of records cutoff instructions include:

- Cutoff at end of fiscal (calendar) year
- Cutoff upon final resolution of claims
- Cutoff upon final decision by court or administrative agency

NOTES

Transfer Instructions

Slide 4-25



A **transfer** is the act or process of moving records from one location to another.

It generally means moving records from the office of creation to storage space, including the Federal Records Centers (FRCs), or from one agency to another or from the agency to the National Archives for permanent preservation.

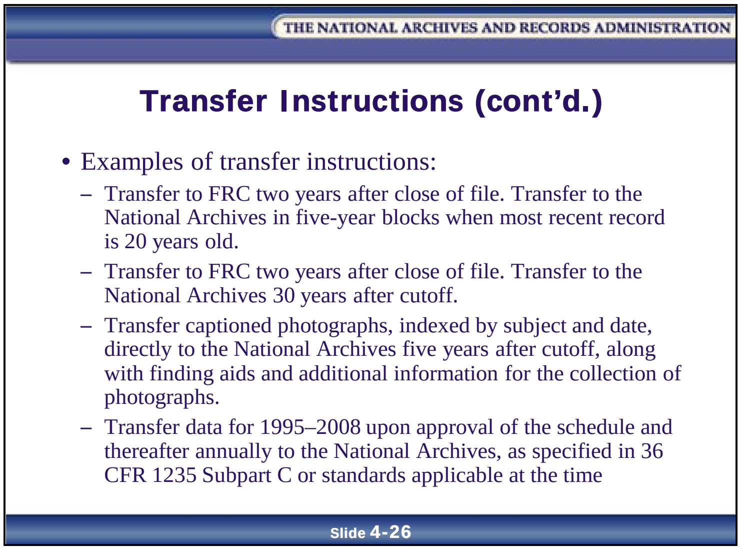
Transferring records for storage does not relieve the owning agency of legal or management responsibilities for the records. The final transfer of permanent records to NARA transfers legal ownership and responsibility for the records to NARA.

Transfer instructions:

- Are based on a time period after cutoff
- Can include agency or FRC storage instructions

NOTES

Slide 4-26



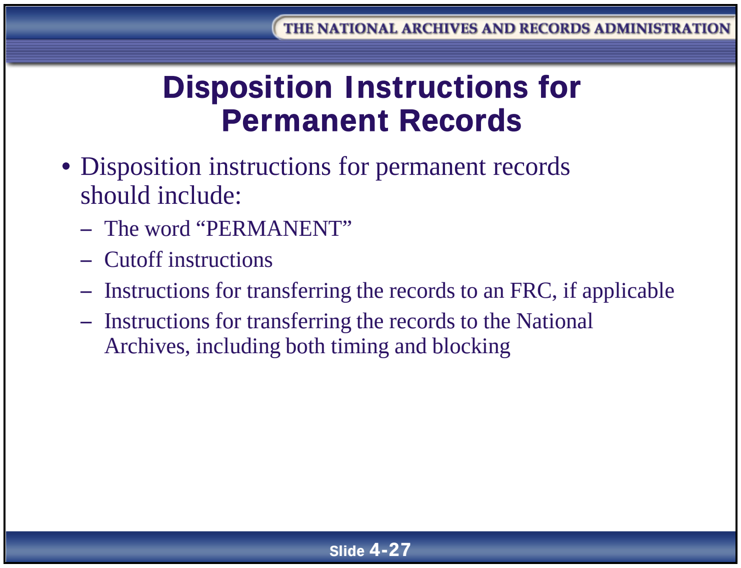
Some examples of transfer instructions include:

- Transfer to FRC two years after close of file. Transfer to the National Archives in five-year blocks when the most recent record is 20 years old.
- Transfer to FRC two years after close of file. Transfer to the National Archives 30 years after cutoff.
- Transfer captioned photographs, indexed by subject and date, directly to the National Archives five years after cutoff, along with finding aids and additional information for the collection of photographs
- Transfer data for 1995–2008 upon approval of the schedule and thereafter annually to the National Archives, as specified in 36 CFR 1235 Subpart C or standards applicable at the time

NOTES

Disposition Instructions for Permanent Records

Slide 4-27



If records are proposed as permanent, the disposition instructions need to include these elements:

- The word "PERMANENT"
  - Use the word "permanent" to designate record series or systems that may have sufficient value to warrant archival preservation by the National Archives. Lengthy retention periods are not equivalent to "permanent."
- Cutoff instructions
- Instructions for transferring the records to an FRC, if applicable
  - The timing of the transfer is based on the length of time after the cutoff, although it may be expressed either as "Transfer ___ years/months/days after cutoff" or "Transfer when ___ years old." The particular records storage center should be specified if it is an exception to the general rule.

NOTES

- Instructions for transferring the records to the National Archives, including both timing and blocking
  - Again, the timing is based on the length of time after the cutoff, although it may be expressed either as "Transfer ___ years after cutoff" or "Transfer when ___ years old"
  - Blocking means the chronological grouping of records consisting of one or more segments of cut-off records that belong to the same series and are dealt with as a unit for purposes of their efficient transfer. For example, transfer in five-year blocks when the latest record is 10 years old:
    - Transfer block 2000-2004 in 2015
    - Transfer block 2005 to 2010 in 2021, etc.

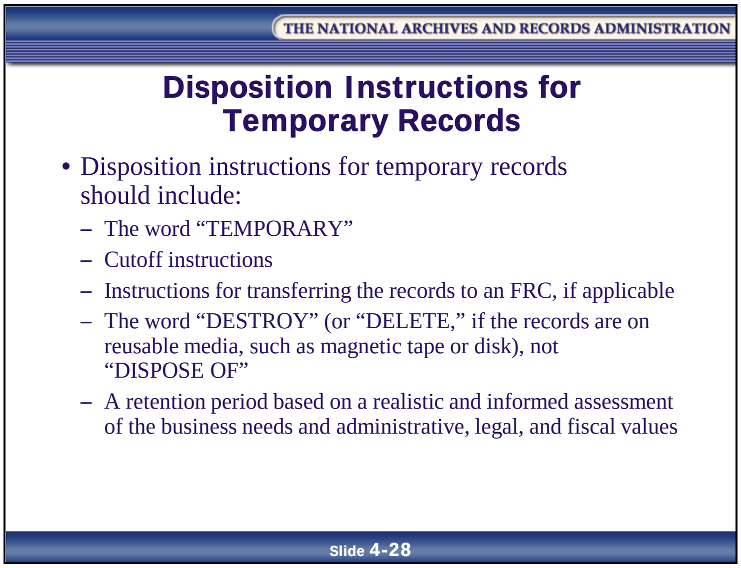
Some examples of complete disposition instructions for permanent records include:

- PERMANENT. Cut off at the end of the CY. Transfer captioned photographs, indexed by subject and date, directly to the National Archives three months after cutoff, along with finding aids and additional information for the collection of photographs. Transfer media in accordance with NARA standards applicable at the time of transfer.
- PERMANENT. Cut off when superseded or canceled. Keep inactive materials in office up to four years after cutoff, then transfer to FRC. Transfer to the National Archives in five-year blocks when the most recent record is 20 years old.
- PERMANENT. Transfer data for 1995–2008 upon approval of the schedule and thereafter at the end of the CY to the National Archives, as specified in 36 CFR 1235 Subpart C or standards applicable at the time.

NOTES

Disposition Instructions for Temporary Records

Slide 4-28



All records proposed for temporary disposition should be scheduled for a specific retention period. If the records are scheduled by the GRS, use the GRS and no additional scheduling requirements are needed.

If records are proposed as temporary, the disposition instructions need to include these elements:

- The word “TEMPORARY”
- Cutoff instructions
- Instructions for transferring the records to an FRC, if applicable
  - The transfer timing is based on the length of time after the cutoff, although it may be expressed either as “Transfer ___ years after cutoff” or “Transfer when ___ years old.” The particular records center should be specified if it is an exception to the general rule.

NOTES

- The word “DESTROY” (or “DELETE,” if the records are on reusable media, such as magnetic tape or disk)
  - The wording “DISPOSE OF” should be avoided because it does not necessarily mean destruction. It may include the donation of temporary records as provided for in 36 CFR 1226.26.
- A retention period
  - An effective retention period is based on a realistic and informed assessment of the business needs and administrative, legal, and fiscal values

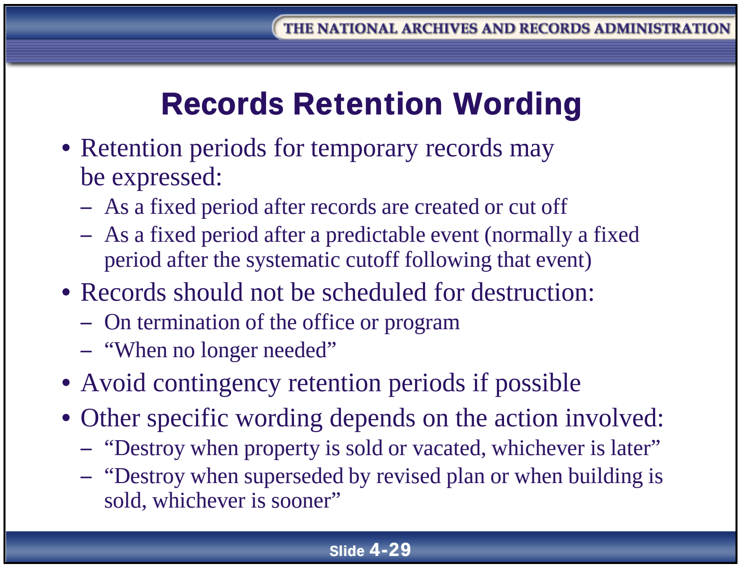
Some examples of complete disposition instructions for temporary records include:

- TEMPORARY. Cut off at the end of the FY. Keep inactive materials in office six years after cutoff, then transfer to FRC. Destroy 10 years after cutoff.
- TEMPORARY. Cut off upon final decision by court or agency. Keep inactive materials in office two years after cutoff, then transfer to FRC. Destroy seven years after cutoff.
- TEMPORARY. Delete extra copies when record copy is generated and filed in a recordkeeping system

NOTES

Records Retention Wording

Slide 4-29



Retention periods for temporary records may be expressed in two ways:

- As a fixed period after records in the series or system are created or cut off. For example, "destroy two years after cutoff."
  - It is important to be specific in your instructions. The phrase "destroy when two years old" could mean two years after creation or two years after cutoff.

NOTES

- As a fixed period after a predictable event (normally a fixed period after the systematic cutoff following that event)
  - The wording in this case depends on the kind of action involved. For example:
    - Destroy immediately on cutoff
    - Destroy X years/months/days after cutoff
    - Destroy between X years after cutoff and Y years after cutoff
    - Destroy no sooner than X years after cutoff, but longer retention is authorized
    - Destroy no later than X years after cutoff
    - Destroy X years after cutoff or when [event] occurs, whichever is sooner
    - Destroy X years after cutoff or when [event] occurs, whichever is later
    - Destroy X years after cutoff or X years after [event] occurs, whichever is sooner
    - Destroy X years after cutoff or X years after [event] occurs, whichever is later

In most cases, do not schedule temporary records for destruction on the termination of the program or office unless they are transitory records approved by the GRS or a specific agency schedule. The records may be needed for adequate documentation after the program ends. Normally, do not schedule temporary records for destruction "when no longer needed," because the disposition is seldom applied properly and the files accumulate when specific retention periods are not clearly defined.

Contingency Issues

Make every effort to establish retention periods that are fixed (or dependent on one event), rather than contingent on events.

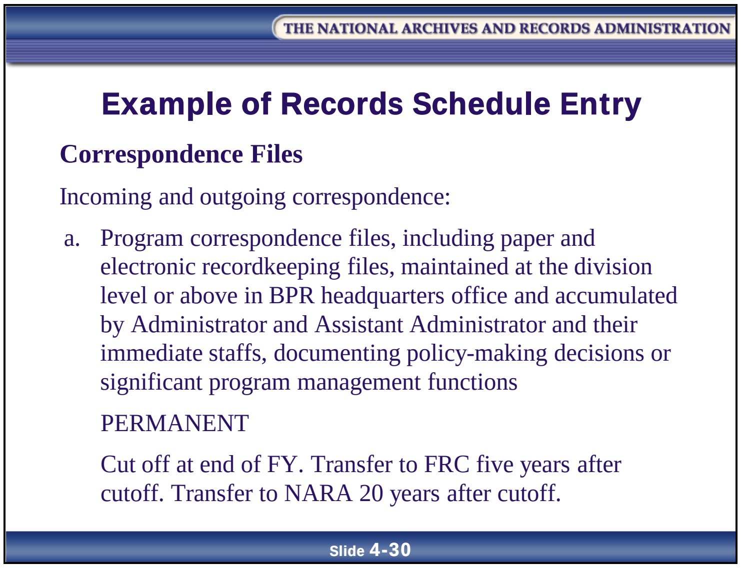
Retention periods that are dependent upon the occurrence of a **future** action or event are called contingent retention periods. The suggested wording to describe contingent retention periods depends on the nature of the **future** action involved. For example:

- "Destroy when property is sold or vacated, whichever is later"
- "Destroy when superseded by revised plan or when building is sold, whichever is sooner"

NOTES

Example of Records Schedule Entry

Slide 4-30



Correspondence Files

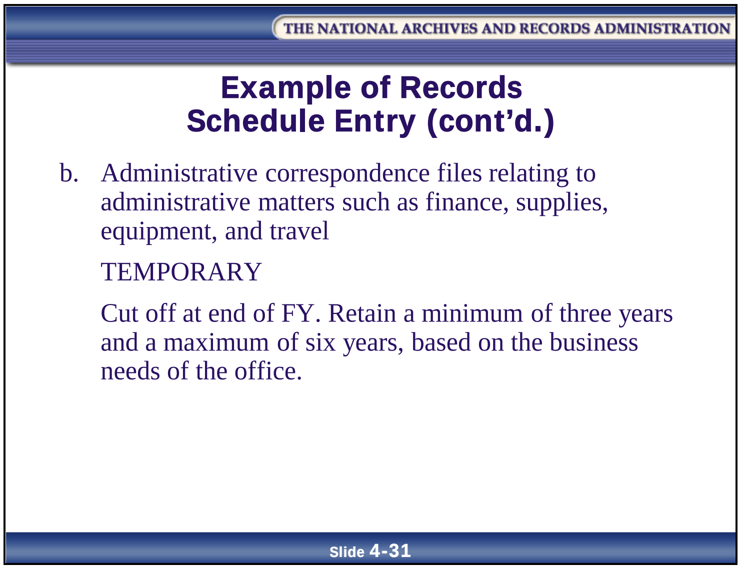
Incoming and outgoing correspondence:

a. Program correspondence file, including paper and electronic recordkeeping files, maintained at the division level or above in BPR headquarters office and accumulated by Administrator and Assistant Administrator and their immediate staffs, documenting policy-making decisions or significant program management functions

   PERMANENT. Cut off at end of FY. Transfer to FRC five years after cutoff. Transfer to NARA 20 years after cutoff.

NOTES

Slide 4-31



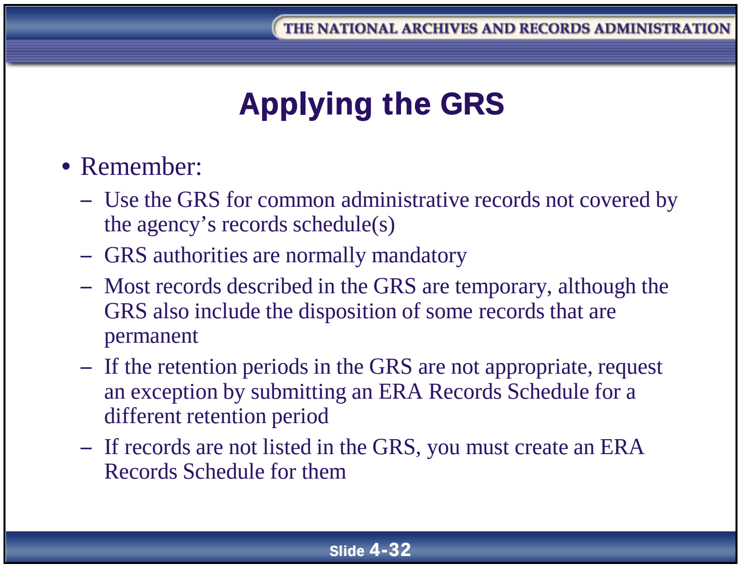
b. Administrative correspondence files relating to administrative matters such as finance, supplies, equipment, and travel

   TEMPORARY. Cut off at end of FY. Retain a minimum of three years and a maximum of six years, based on the business need of the office.

NOTES

Applying the GRS

Slide 4-32



NARA issues the GRS to provide disposition authorities for records common to several or all Federal agencies. The GRS cover records documenting administrative, or housekeeping, functions, rather than program functions. Many of these administrative functions are regulated by oversight agencies, such as OPM and GAO.

Excluded from GRS coverage are those records maintained by oversight agencies that relate to the agencies' government-wide management of administrative functions.

Most records described in the GRS are temporary, although the GRS also include the disposition of some permanent records, mostly temporary commission records. The GRS authorize the destruction of temporary records and direct the transfer of select permanent records.

NOTES

Remember the following with respect to applying the GRS:

- Use the GRS for common administrative records not covered by the agency's records schedule(s)
- GRS authorities are normally mandatory
- If the retention periods in the GRS are not appropriate, you must request an exception to the GRS by submitting an ERA Records Schedule for a different retention period. This may require GAO approval as well.
- If records are not listed in the GRS, you must create an ERA Records Schedule for them

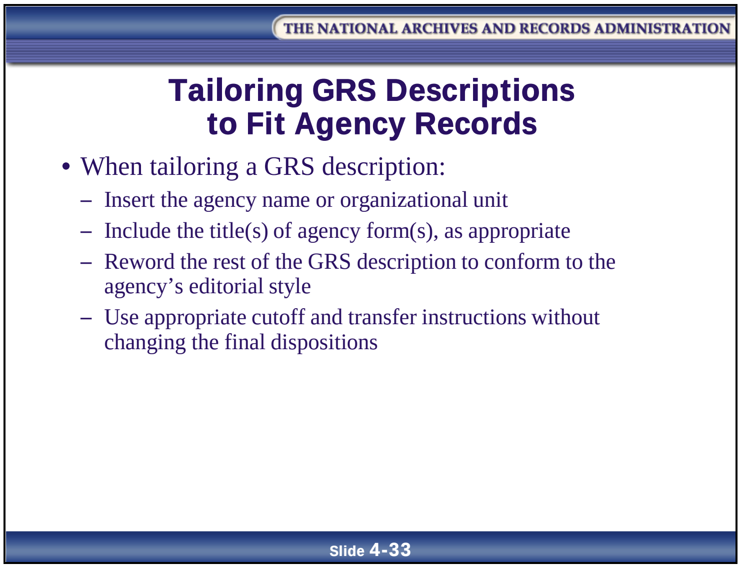
(**Refer** to *http://www.archives.gov/records-mgmt/grs/* for additional guidance concerning new updates to the GRS)

Information and Frequently Asked Questions (FAQs) About GRS Transmittal 24 can be located at *http://www.archives.gov/records-mgmt/grs/grs-transmittal-24.pdf*

NOTES

Tailoring GRS Descriptions to Fit Agency Records

Slide 4-33



Sometimes there is a need to modify broad GRS descriptions to fit your agency's records. After reviewing the agency's functions, records, terminology, and procedures, draft a tailored description to accurately reflect the actual records in your agency's custody.

When tailoring a GRS description, identify the appropriate GRS items, and tailor them accordingly:

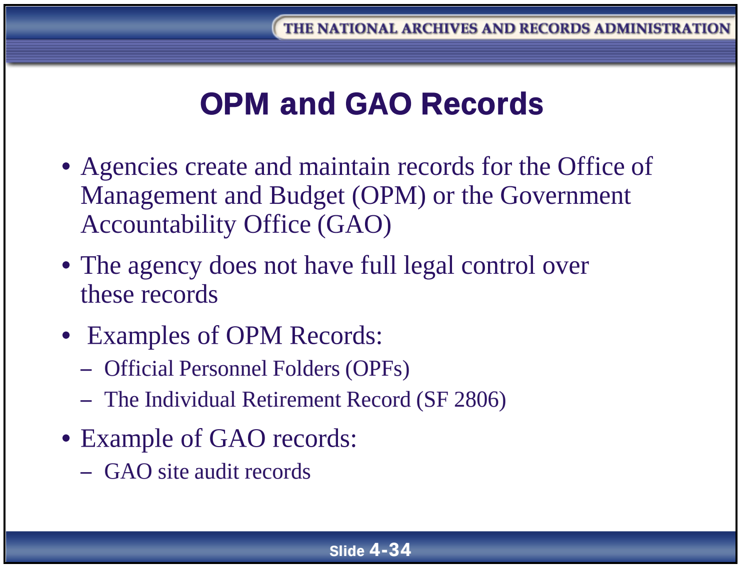
- Insert the agency name or organizational unit
- Include the title(s) of agency form(s), as appropriate
- Reword the rest of the GRS description to conform to the agency's editorial style
- Use appropriate cutoff and transfer instructions without changing the final dispositions

Add items to your agency schedule but do not submit to ERA. GRS authorities are already approved and do not need to be scheduled or appraised unless an exception is being requested. If a GRS exception is being requested, the GRS item must be tailored to fit the agency's business needs, and submitted via ERA Records Schedule process.

NOTES

OPM and GAO Records

Slide 4-34



Several record series are unique because the agency that creates and maintains them does not have full legal control over them and they require special care in their disposition. These series are:

- **Records of the Office of Personnel Management (OPM).** The two main examples of OPM records maintained in agencies are:
  - Official Personnel Folders (OPFs) – The OPFs document Federal employment for each employee, including service, rights, and benefits. They travel with each employee from agency to agency, beginning with first employment and ending with closure of the file upon separation. If an employee is rehired, the OPF is reopened, and the service file continues until separation. Authorized disposition instructions for OPFs appear in GRS 1.
  - The Individual Retirement Record (SF 2806) – This shows the amount deducted from pay for the retirement fund. The agency forwards this form, or its equivalent, to OPM when an employee transfers or is separated. The records are not scheduled by the GRS. Their disposition is prescribed by a NARA-approved OPM schedule.

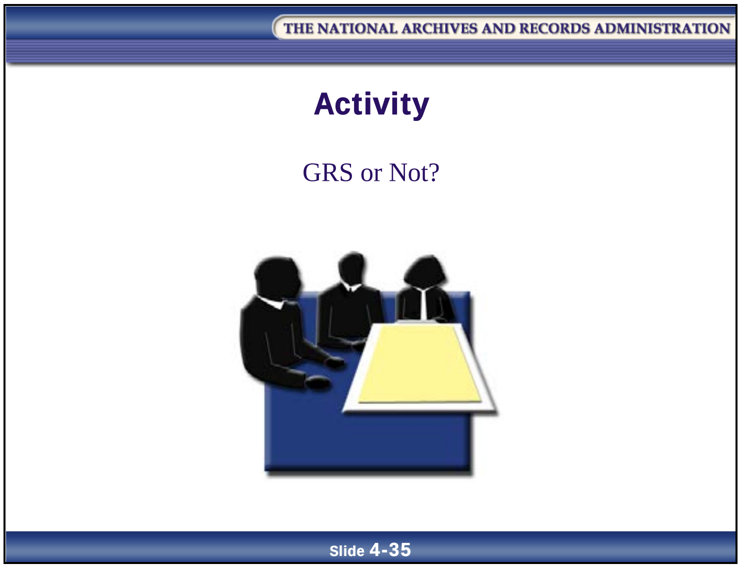
NOTES

- **Records of the Government Accountability Office (GAO).** Agency programs must deal with records of accountable officers that are held in agency space for GAO audit. These records reflect GAO's audit responsibility. It is necessary to distinguish the GAO site audit records from agency "memorandum" copies of accountable officers' records. For example:
  - GRS 1.1, item 010, covers the original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO
  - GRS 1.1, item 011, covers memorandum copies of accountable officers' returns (with some exceptions)
  - Title 8 of the "GAO Policy and Procedures Manual for Guidance of Federal Agencies" contains GAO requirements and related program information

NOTES

Activity: GRS or Not?

Slide 4-35



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GRS or Not? Worksheet

A colleague of yours has been given the task of cleaning out some file cabinets in a storage room. Some of the types of records she found are listed below. Using the General Records Schedules Table of Contents on page PG 4-45, help her to determine whether each type of record is likely covered by the GRS – and which schedule she should look at – or whether an ERA Records Schedule is required.

Type of Record	GRS Schedule	ERA Records Schedule
1. Motor vehicle maintenance records		
2. Housing leasing files		
3. Spacecraft stress-test results		
4. General travel and transportation files		
5. Building space and equipment service files		
6. Spacecraft engineering drawings		
7. Production reports from machine shop		
8. Mail and delivery service control files		
9. Property disposal correspondence files		
10. Raw data transmitted from Mars Rover (printed)		

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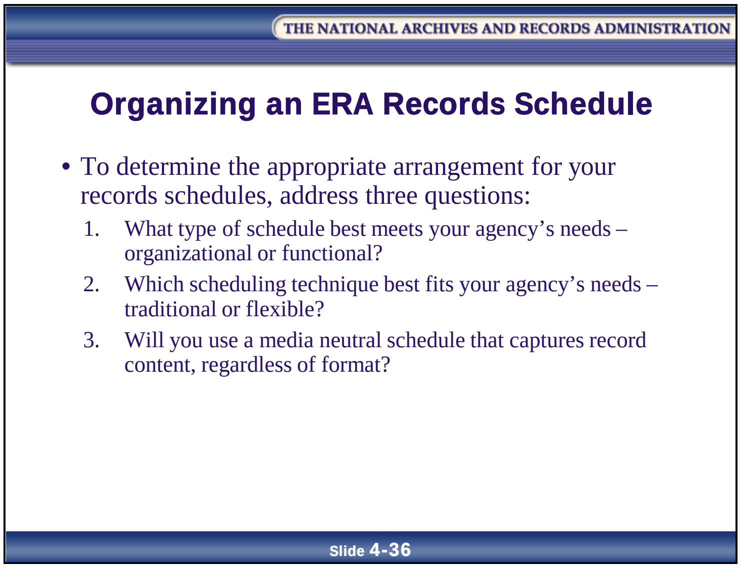
Organizing an ERA Records Schedule

Slide 4-36



After the disposition instructions are drafted and the GRS authorities are applied, it is time to organize the schedule and obtain agency approval.

To determine the appropriate arrangement for your records schedule, you will address three questions:

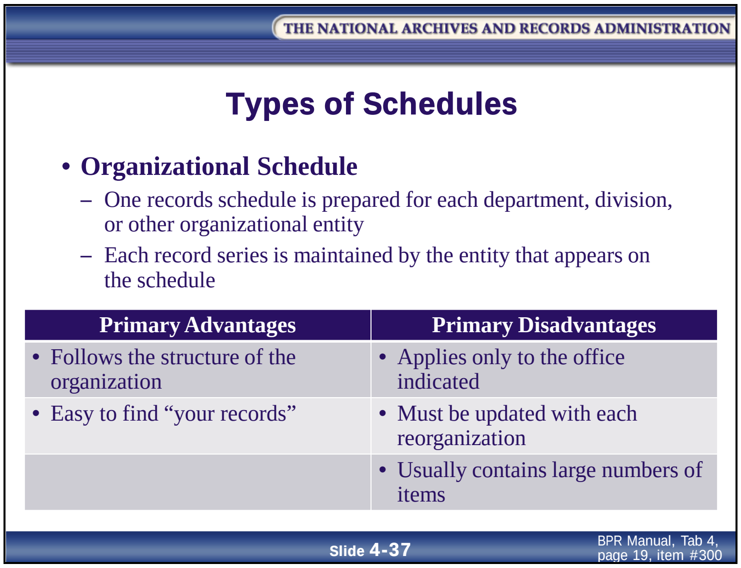
- What type of schedule best meets your agency's needs – organizational or functional?
- Which scheduling technique best fits your agency's needs – traditional or flexible?
- Will you use a media neutral schedule that captures record content, regardless of format?

  Remember, media neutral covers records that have the same information and possible retention period but are on different media. See page PG 4-61 for more information on media neutrality.

NOTES

Types of Schedules

Slide 4-37



There are two common types of records schedules:

- Organizational schedule
- Functional schedule

Remember, ERA Overview covers schedule item arrangement and is discussed further in this module.

NOTES

Organizational Schedule

With an organizational schedule, one records schedule is prepared for each department, division, or other organizational entity. Each record series is maintained by the entity that appears on the schedule.

The primary advantage of an organizational schedule is that, because it follows the structure of the organization, it is easy for individual officers to find their records on the schedule.

The primary disadvantages of an organizational schedule are as follows:

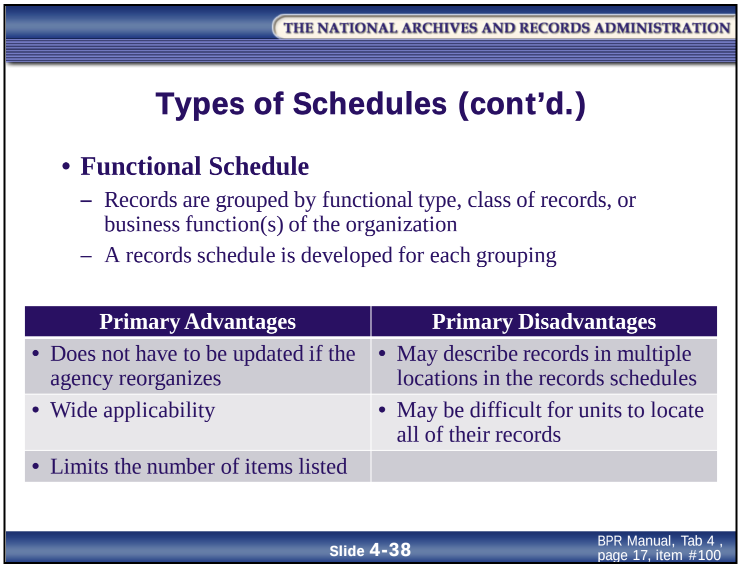
- Each records schedule has limited applicability because it applies only to the office indicated
- The records schedule must be updated each time the organization is reorganized
- Each records schedule usually contains a large number of items

(For an example of an organizational schedule, refer to the **BPR Manual**, Tab 4, Page 21, Item #300.)

NOTES

Functional Schedule

Slide 4-38



With a functional schedule, records are grouped by functional type, class of records, or business function(s) of the organization, and a records schedule is developed for each grouping. For example, legal records are all grouped together regardless of their location in an organization.

The primary advantages of a functional schedule are that the records schedule:

- Does not have to be updated if the agency reorganizes
- Has wide applicability
- Limits the number of items listed

The primary disadvantages of a functional schedule are:

- Organizational units may be responsible for more than one function, and therefore records will be described in multiple locations in the records schedule
- It may be difficult for units to locate all of their records

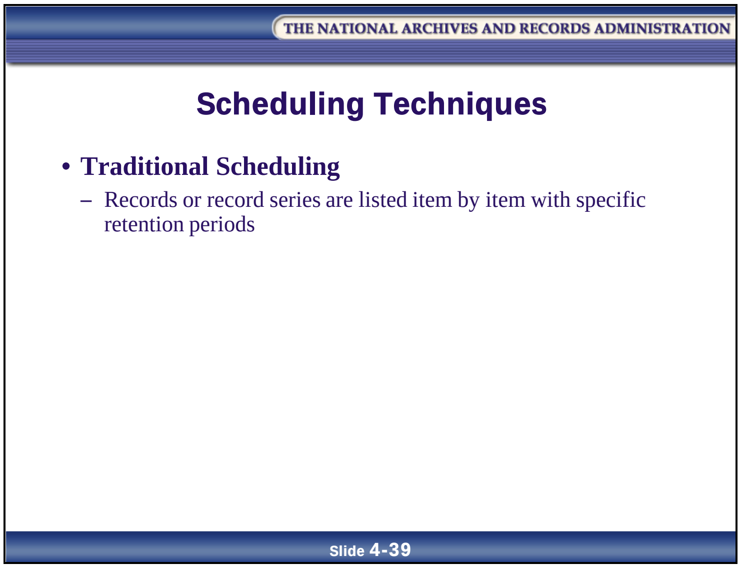
An agency can also consider a combination of an organizational and a functional records schedule if that supports the agency's goals.

(For an example of a functional schedule, refer to the **BPR Manual**, Tab 4, Page 17, Item #100.)

NOTES

Scheduling Techniques

Slide 4-39



Depending on the agency and the disposition instructions that are appropriate, consider scheduling records using one of the following scheduling techniques:

- Traditional
- Flexible

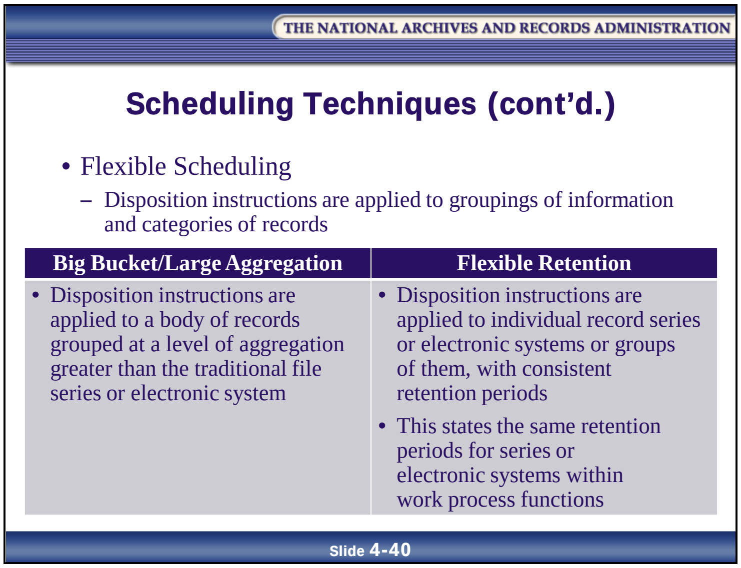
Traditional Scheduling

With traditional scheduling, the records or record series are listed item by item on the schedule, and specific retention periods for each record or record series are specified.

NOTES

Flexible Scheduling

Slide 4-40



Flexible scheduling provides for concrete disposition instructions that may be applied to groupings of information or categories of records. The flexibility is in defining the record groups that contain multiple record series and electronic systems.

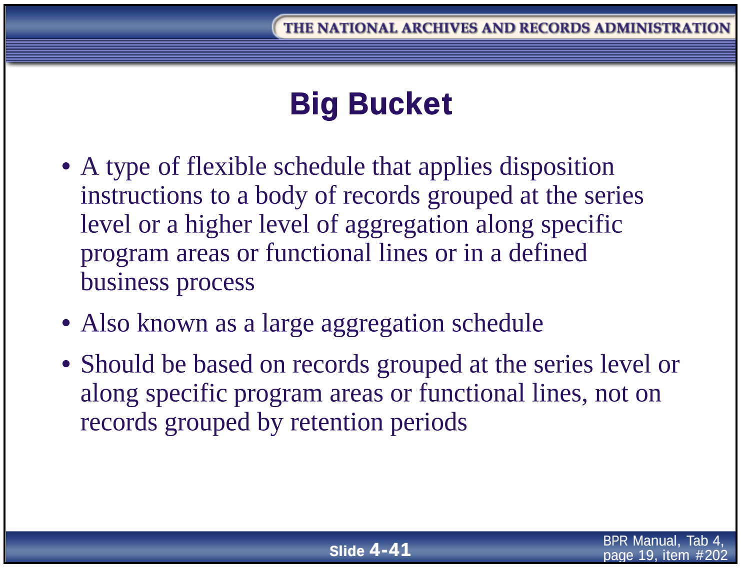
Unlike traditional scheduling, with flexible scheduling, each record series or electronic system is not scheduled individually; instead, disposition instructions are applied to all records in all media relating to a work process or group of related work processes or broad program area where the same retention period.

Two common types of flexible schedules are "Big Bucket" and flexible retention band.

NOTES

Big Bucket

Slide 4-41



A **Big Bucket schedule**, also known as a large aggregation schedule, is a type of flexible schedule that applies disposition instructions to a body of records grouped at:

- The series level
- Electronic systems
- Some higher level of aggregation
  - Along specific program areas
  - Functional lines
  - Defined business process
  - Have the same ultimate disposition

Keep in mind that this works when using the functional approach to scheduling, as opposed to an organizational approach.

NOTES

The goal of this type of flexible scheduling is to provide for the disposition of records at any level of aggregation in a way that supports the business needs of agencies while ensuring the creation of adequate and proper documentation necessary to protect legal rights and ensure government accountability.

A Big Bucket schedules based solely on retention periods are not ideal because:

- The wrong common denominator (retention) is used for the artificial series groups
- Context is lost. Records produced for the same process or function are note grouped, described, or appraised together
- The Big Bucket groups do not easily absorb changes to business process or organization

A key benefit of Big Bucket as a type of flexible scheduling is that it allows for broad disposition instructions covering similar series located throughout the agency. Instead of creating disposition instructions for each of the 10 Assistant Administrators that generate similar records, with Big Bucket, you can create a single series to cover all Assistant Administrators. Big Bucket covers like series and similar records by format, program, or agency-wide and usually reduces the number of approved disposition authorities.

(Refer to **Handout 4.01 –** Big Bucket Schedule, located in the Handouts section of your PG, for an example of a Big Bucket schedule. For an additional example of a Big Bucket schedule, refer to the **BPR Manual**, Tab 4, Page 19, Item #202.)

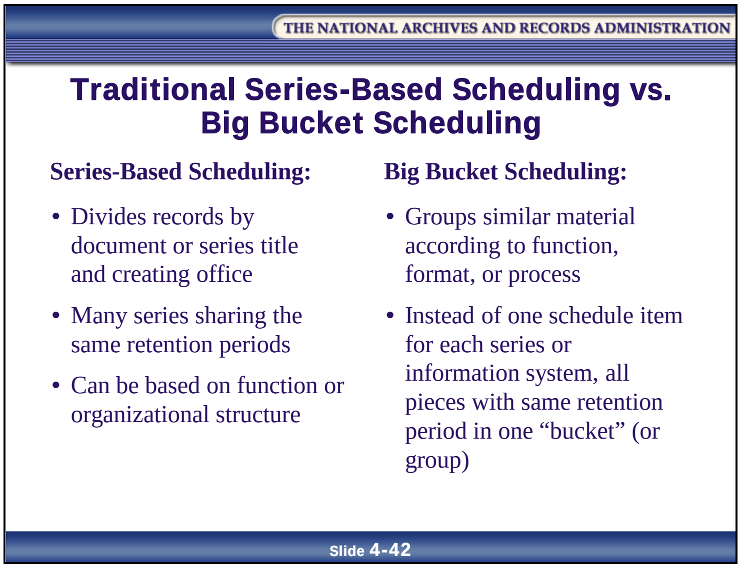
In order to implement a Big Bucket approach, a table known as a crosswalk is created, showing the original series-by-series disposal authorities and where each one fits into the subject categories or buckets.

(Refer to **Handout 4.02 –** Crosswalk for a Big Bucket Schedule, located in the Handouts section of your PG)

NOTES

Traditional Series-Based Scheduling vs. Big Bucket Scheduling

Slide 4-42



Series-Based Scheduling

- Divides records by document or series title (correspondence) and creating office (Office of the General Counsel [OGC])
- Many series share the same retention periods
- Can be based on function or organizational structure

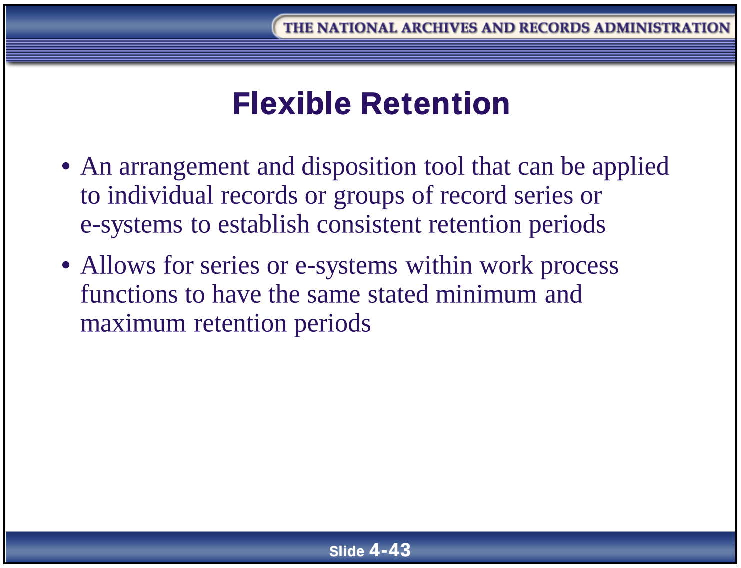
Big Bucket Scheduling

- Groups similar material according to function, format, or process
- Instead of one schedule item for each series or information system, all items with the same retention are grouped into one "bucket" (or group)

NOTES

Flexible Retention

Slide 4-43

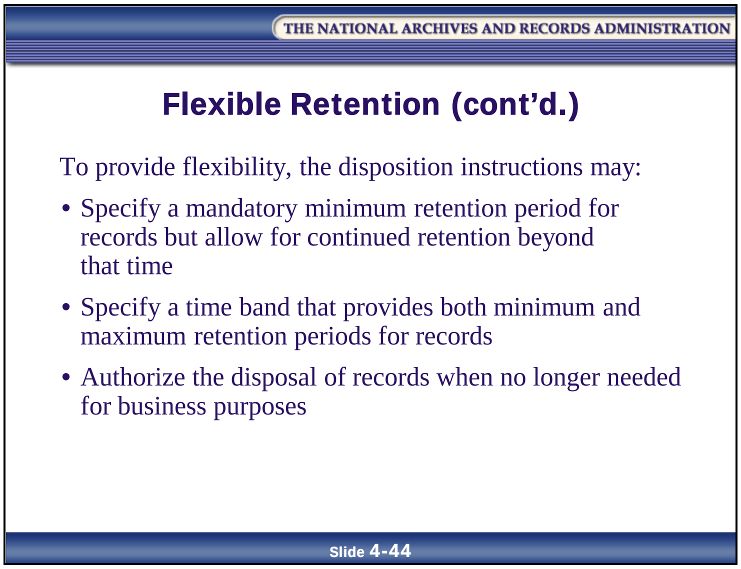


Flexible retention – also referred to as retention bands – is an arrangement and disposition tool that can be applied to individual or groups of record series or e-systems to establish consistent retention periods. This allows for series or e-systems within work process functions to have the same stated minimum and maximum retention periods.

Flexible retention is a flexible scheduling tool that can be used as a component of a Big Bucket or large aggregation schedule, or in a traditional series-based schedule, and that gives agencies the retention flexibility they need to manage their records.

NOTES

Slide 4-44



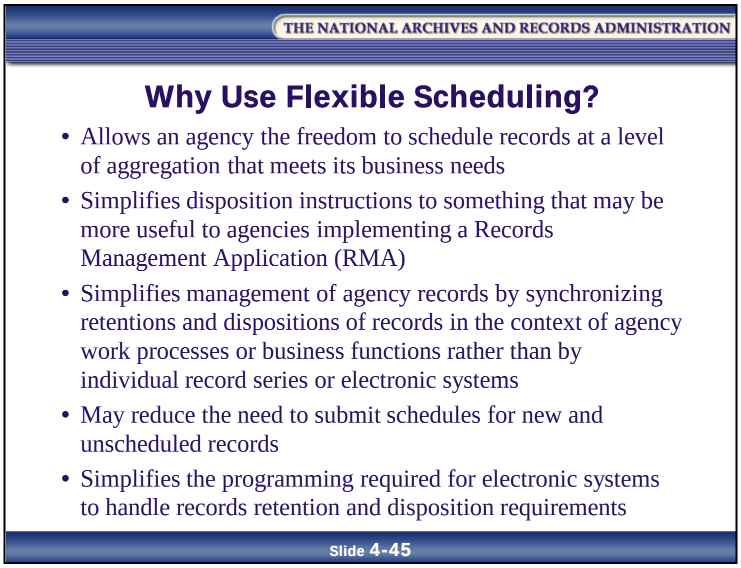
To provide flexibility, the disposition instructions in a flexible retention schedule may:

- Specify a mandatory minimum retention period for records but allow for continued retention beyond that time
  - Example: "Destroy when three years old. Longer retention is authorized if records are still needed for business purposes."
- Specify a time band that provides both minimum and maximum retention periods for records
  - Example: "Destroy when records are no less than three years old but no more than six years old"
- Authorize the disposal of records when no longer needed for business purposes
  - Example: "Destroy when records are no longer needed"
  - **Note:** This disposition is generally appropriate only in the case of transitory records, as defined in GRS 23, Item 7, and other records that contain minimal evidence of government operations.

NOTES

Why Use Flexible Scheduling?

Slide 4-45



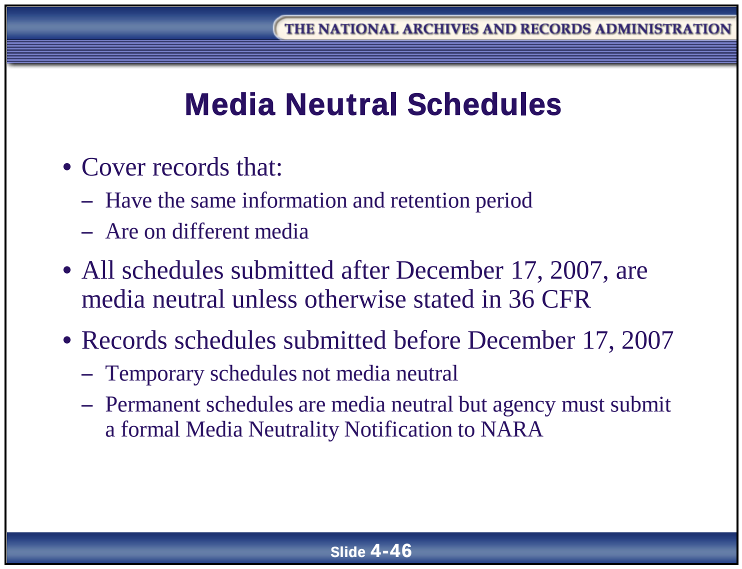
Flexible scheduling:

- Allows an agency the freedom to schedule records at a level of aggregation that meets its business needs
- Simplifies disposition instructions to something that may be more useful to agencies implementing a Records Management Application (RMA)
- Simplifies management of agency records by synchronizing retentions and dispositions of records in the context of agency work processes or business functions rather than by individual record series or electronic systems
- May reduce the need to submit schedules for new and unscheduled records
- Simplifies the programming required for electronic systems to handle records retention and disposition requirements

NOTES

Media Neutral Schedules

Slide 4-46



Media neutral schedules cover records that have the same information and retention period but are on different media.

All schedules submitted after December 17, 2007, are media neutral unless otherwise stated in 36 CFR. Temporary records schedules submitted before that date are not media neutral; if the office wants to convert to electronic records for that series, they must submit a new ERA Records Schedule.

NOTES

Permanent records scheduled before that date, do not need to be rescheduled; however, the agency must submit a formal notification. The regulations in 36 CFR 1225.24(a)(1) allow agencies to apply previously approved disposition authorities for permanent hard-copy records to electronic versions of the records, with notification to NARA.

(Refer to **Handout 4.03** – NARA Bulletin 2010-04 – Guidance Concerning Notifications for Previously Permanent Records, located in the Handouts section of the PG, for guidance on submitting notification.)

Frequently Asked Questions (FAQ) About Media Neutral Schedule Items can be located at *http://www.archives.gov/records-mgmt/faqs/media-neutral.html*.

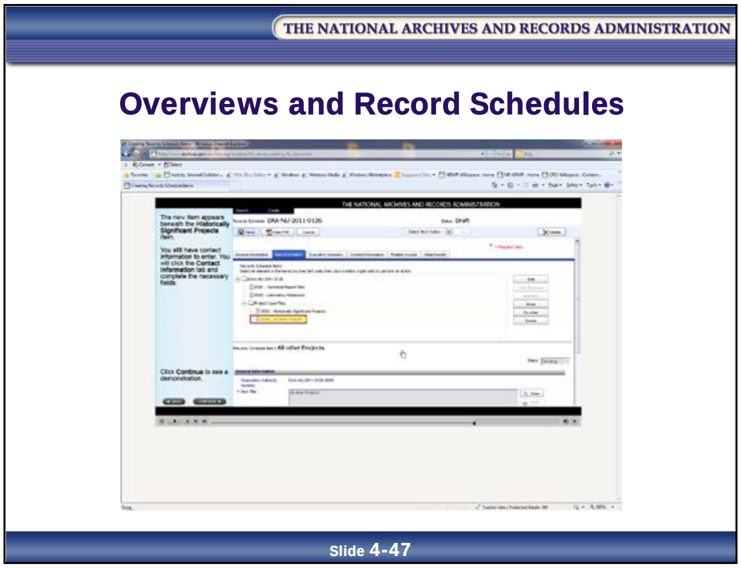
Frequently Asked Questions (FAQ) About Records Scheduling and Disposition can be located at *http://www.archives.gov/records-mgmt/faqs/scheduling.html*.

ERA Records Schedule information can be located at *http://www.archives.gov/records-mgmt/era/*.

NOTES

Overviews and Records Schedules

Slide 4-47



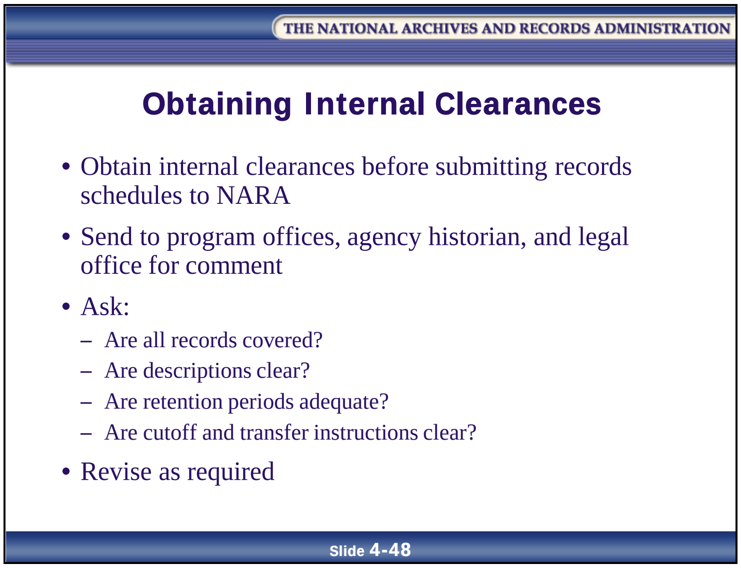
Determine schedule arrangement before entering schedule items into the ERA system. The ERA system allows you to create descriptive information that is shared by more than one schedule item that is called an Overview.

Once an Overview is created, you can add Records Schedule Items and other Overviews to create hierarchy levels. It is also possible to have multiple layers of Overviews. If you have a comprehensive schedule, you may create an Overview related to each office or program with Overviews associated to similar groupings of records. The only requirement is that each Overview must contain at least one item.

NOTES

Obtaining Internal Clearances

Slide 4-48



Before submitting the ERA Records Schedule to NARA for appraisal and approval, obtain clearances from your agency's program offices and request GAO's approval, if necessary.

Taking the time to obtain these internal clearances is necessary to avoid having to recall the ERA Records Schedule after it has been submitted to NARA or having to submit a new ERA Records Schedule to revise an inappropriate disposition.

To obtain internal clearances, send the completed draft schedule to liaisons in the program offices for circulation and comment. Send each office only its parts of the schedule for circulation and comment. During a program review of proposed schedule items, ask program officials to answer the following questions:

- Are all records, in all formats, covered?
- Are descriptions clear?
- Are retention periods adequate?
- Are cutoff and transfer instructions clear?

NOTES

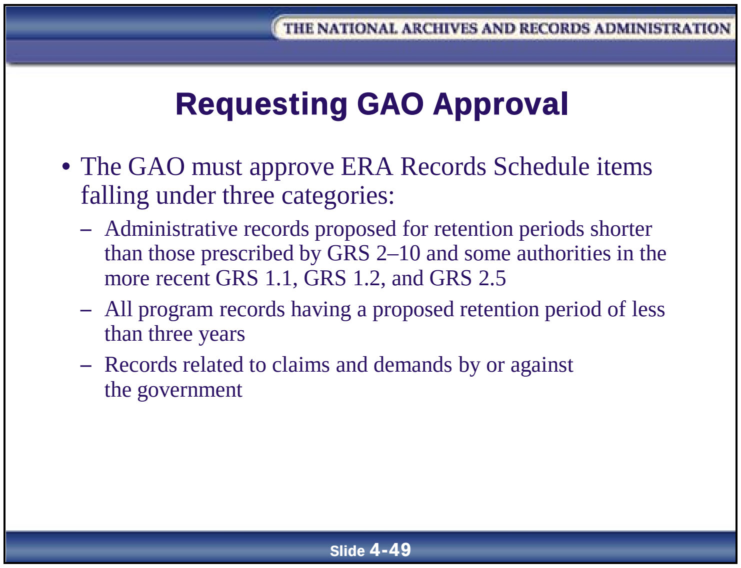
For a complete concurrence record, the Agency Records Officer (ARO) may request written comments from the agency historian and the General Counsel. These individuals can help identify records that have enduring value and ensure that legal requirements are met. The agency needs to obtain concurrence from all vested stakeholders.

After all comments are received, resolve any differences with the program officials or records custodians, and revise the draft records schedule as appropriate.

NOTES

Requesting GAO Approval

Slide 4-49

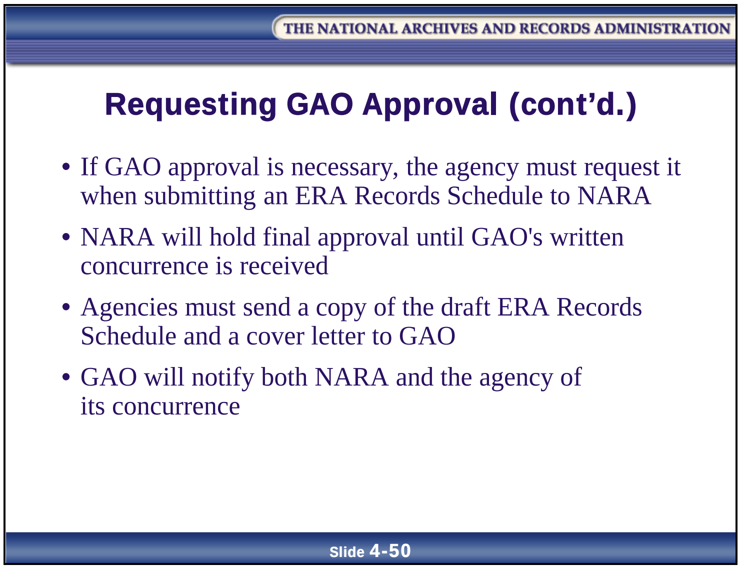


The GAO requires that agencies obtain written approval for ERA Records Schedule items falling under three categories:

- Administrative records proposed for retention periods shorter than those prescribed by GRS 2 through GRS 10 and some authorities in the more recent GRS 1.1, GRS 1.2, and GRS 2.5 (e.g., payroll and pay administration records; procurement, supply, and grant records; and travel and transportation records)
- All program records having a proposed retention period of less than three years
- Records related to claims and demands by or against the government

NOTES

Slide 4-50



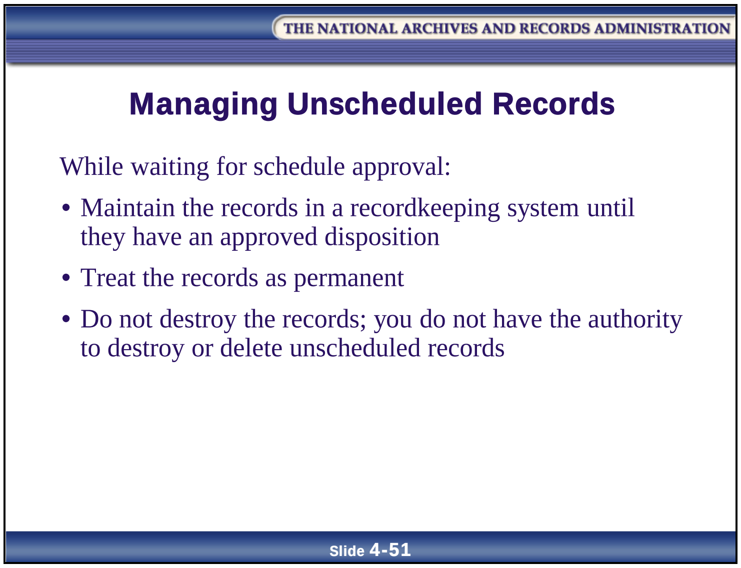
If GAO approval is necessary, the agency must request it when submitting an ERA Records Schedule to NARA. NARA will process the records schedule but will hold final approval until GAO's written concurrence is received.

To obtain GAO approval, the agency must send a copy of the draft records schedule and a cover letter to GAO. GAO will notify both NARA and the agency of its concurrence.

NOTES

Managing Unscheduled Records

Slide 4-51



Unscheduled records are records that have no NARA-approved disposition (36 CFR 1220.18).

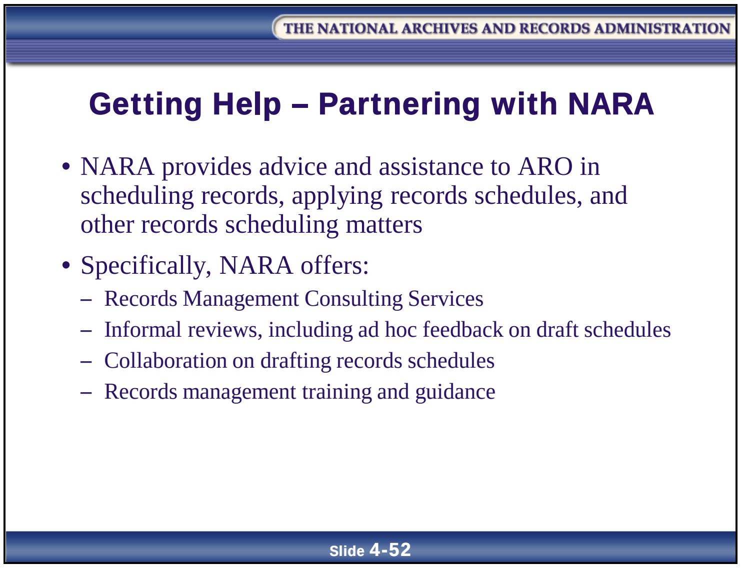
While waiting for schedule approval:

- Maintain the unscheduled records in a recordkeeping system until they have an approved disposition
- Treat the unscheduled records as permanent. Because there are special maintenance requirements for permanent records, treating unscheduled records as if they are permanent records ensures that they are properly maintained – particularly if the records are determined, ultimately, to be permanent.
- Do not destroy the unscheduled records. You do not have the authority to destroy or delete unscheduled records. Remember, there are legal ramifications for unauthorized destruction of Federal records (fines and prison.)

NOTES

Getting Help – Partnering with NARA

Slide 4-52



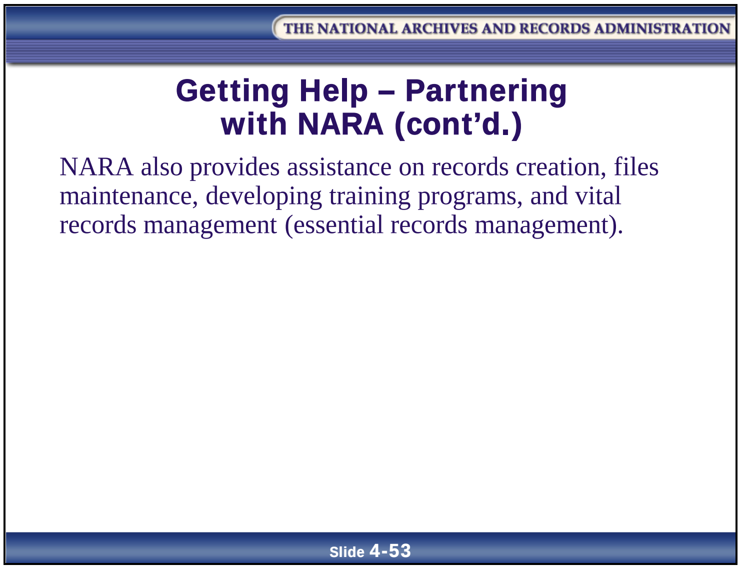
NARA provides advice and assistance to ARO in scheduling records, applying records schedules, and other records scheduling matters.

Specifically, NARA offers:

- Records Management Consulting Services
- Informal reviews, including ad hoc feedback on draft schedules
- Collaboration on drafting records schedules
- Records management training and guidance

NOTES

Slide 4-53



NARA also provides assistance on records creation, files maintenance, developing training programs, and vital records management (essential records management).

NOTES

Lesson Summary

In this lesson, you learned:

- That analyzing the inventory allows you to identify records and nonrecord materials and temporary and permanent records
- That records have different types of value, including administrative, fiscal, legal, historical, and other
- That GRS records descriptions may need to be tailored to fit your agency's records
- That you must specify record cutoffs and transfer instructions in disposition instructions
- That disposition instructions for permanent and temporary records require specific elements
- That retention periods will be specified as a fixed period or a fixed period after a predictable event
- That two ways to organize a records schedule are organizationally and functionally
- That traditional and flexible scheduling may be used in a records schedule
- That a draft ERA Records Schedule contains:
  - Overview
  - ERA Records Schedule data
- To obtain internal clearances before submitting a records schedule to NARA
- That, if necessary, request GAO approval with a copy of the ERA Records Schedule and a cover letter
- How to manage unscheduled records until the records schedule is approved
- That NARA can help with the scheduling process

NOTES

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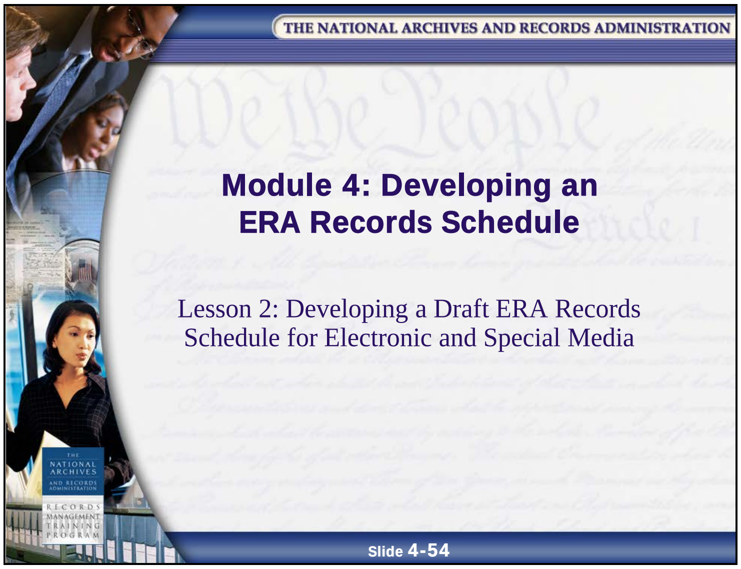
NOTES

Lesson 2: Developing a Draft ERA Records Schedule for Electronic and Special Media

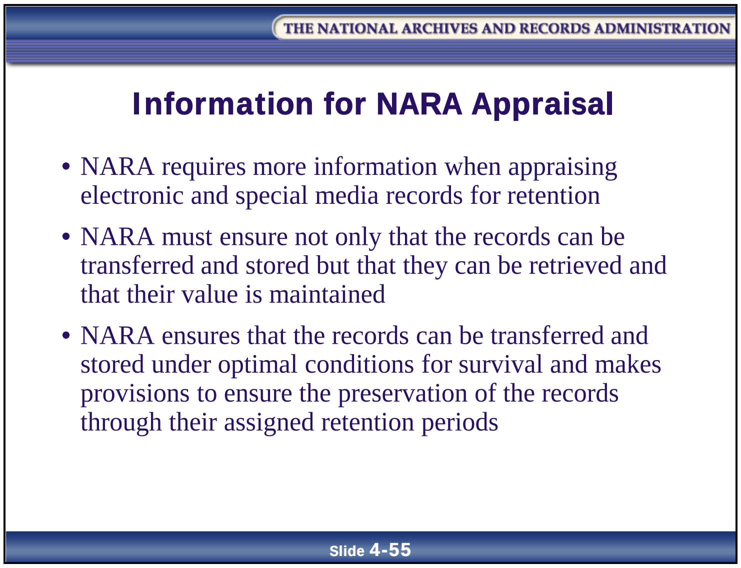
Slide 4-54



NOTES

Information for NARA Appraisal

Slide 4-55



NARA requires more information when appraising electronic and special media records for retention, particularly permanent retention, than it requires for paper-based records because of the related technical and substantive issues associated with electronic and special media records.

Through its appraisal process, NARA must ensure not only that the records can be transferred and stored but that they can be retrieved and that their value is maintained.

For example:

- An analog photograph without a caption identifying the subject of the photo, the occasion of the photo, and the photographer, along with the original negative, is an incomplete record
- A database can lose its fiscal value unless it is linked to its data dictionary
- A disk containing engineering drawings can lose all value if the disk can no longer be read

NOTES

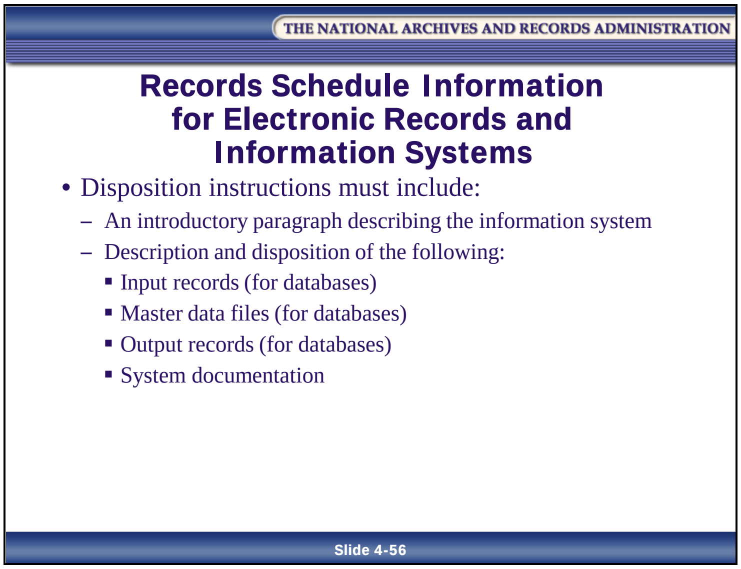
NARA uses the information provided for electronic and special media records on a records schedule to ensure that:

- The records can be transferred and stored under optimal conditions to ensure survival
- Adequate provisions are made to ensure the preservation of the records through their assigned retention periods

NOTES

Records Schedule Information for Electronic Records and Information Systems

Slide 4-56



Some electronic records are scheduled for disposal under the authorities prescribed by GRS, specifically GRS 3.1, GRS 3.2, GRS 4.1, and GRS 4.3. An ERA Records Schedule is required for all other electronic records, including those requiring retention periods differing from the GRS authority.

(For more information on scheduling electronic records using the GRS, go to the General Records Schedules information website at *http://www.archives.gov/records-mgmt/grs.html*)

Electronic records are scheduled as an information system, along with appropriate documentation and related indexes.

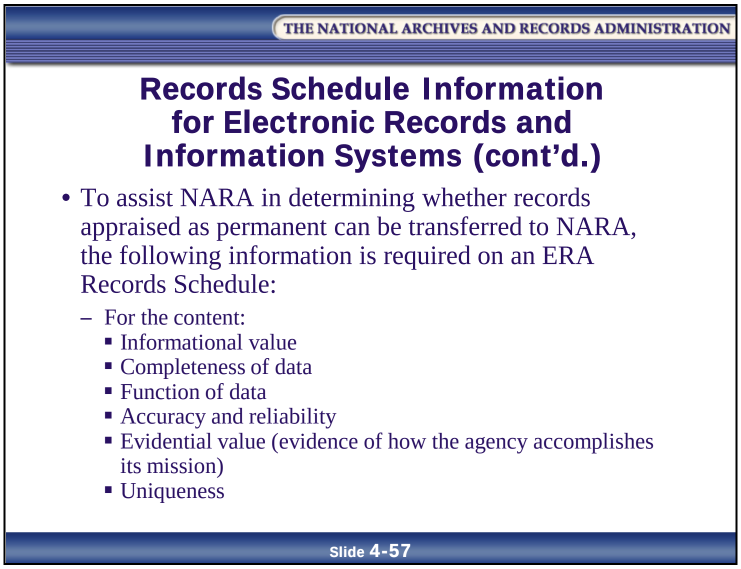
NOTES

Disposition instructions must include:

- An introductory paragraph describing the information contained in, the purpose of, and the technical attributes of the system
- Description and disposition of the following:
  - Input records (for databases)
  - Master data files (for databases)
  - Output records (for databases)
  - System documentation

NOTES

Slide 4-57

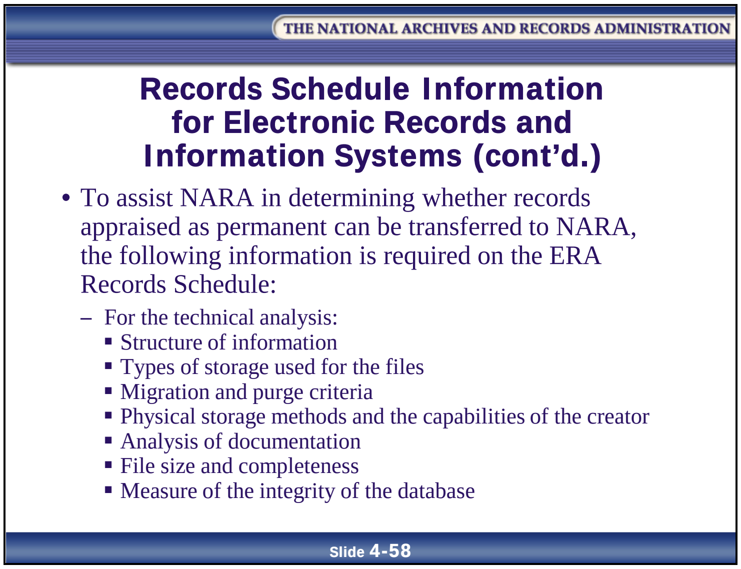


To assist NARA in determining whether records appraised as permanent can be transferred to NARA, the following information is required on an ERA Records Schedule:

- For the content:
  - Informational value
  - Completeness of data
  - Function of data
  - Accuracy and reliability
  - Evidential value (evidence of how the agency accomplishes its mission)
  - Uniqueness

NOTES

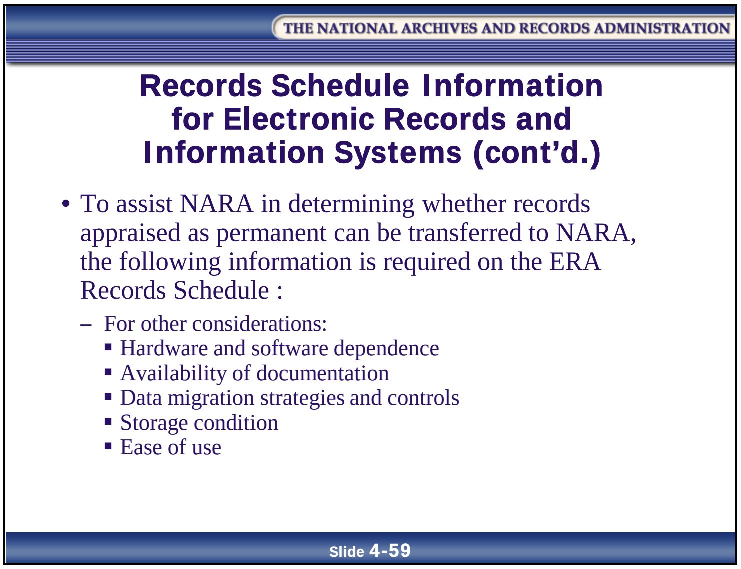
Slide 4-58



- For the technical analysis:
  - Structure of information
  - Types of storage used for the files
  - Migration and purge criteria (used to determine when information will be purged from the system or migrated to another system)
  - Physical storage methods and the capabilities of the creator
  - Analysis of documentation
  - File size and completeness
  - Measure of the integrity of the database

NOTES

Slide 4-59



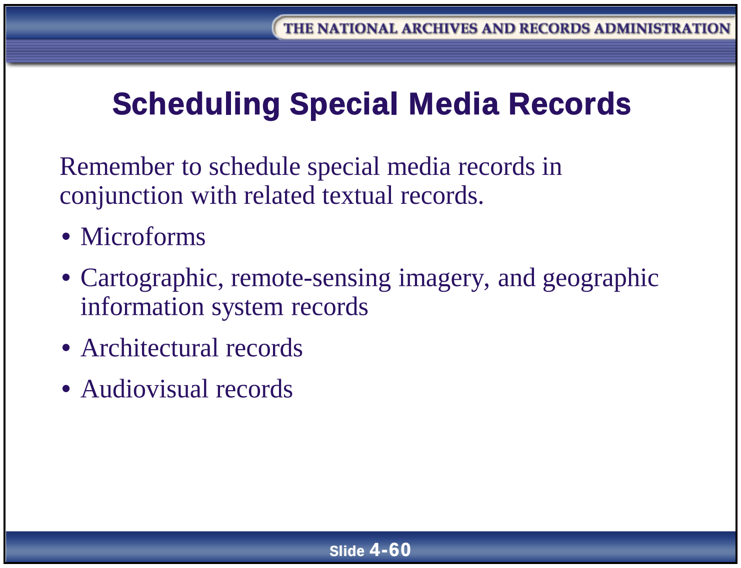
- For other considerations:
  - Hardware and software dependence
  - Availability of documentation
  - Data migration strategies and controls
  - Storage condition
  - Ease of use

Note: The above items apply to general electronic records. Coordinate closely with your ARO to determine additional requirements for some records, such as digital photography and geographic information systems. Additional requirements often apply to newer formats.

NOTES

Scheduling Special Media Records

Slide 4-60



Schedule special media records in conjunction with related textual records that pertain to the same activity, business process, project, or subject.

The information required on the records schedule varies, depending on the type of special media record.

- Microforms:
  - Schedule transfer of permanent microfilm to NARA as soon as possible
  - Include provisions for transferring all associated finding aids

NOTES

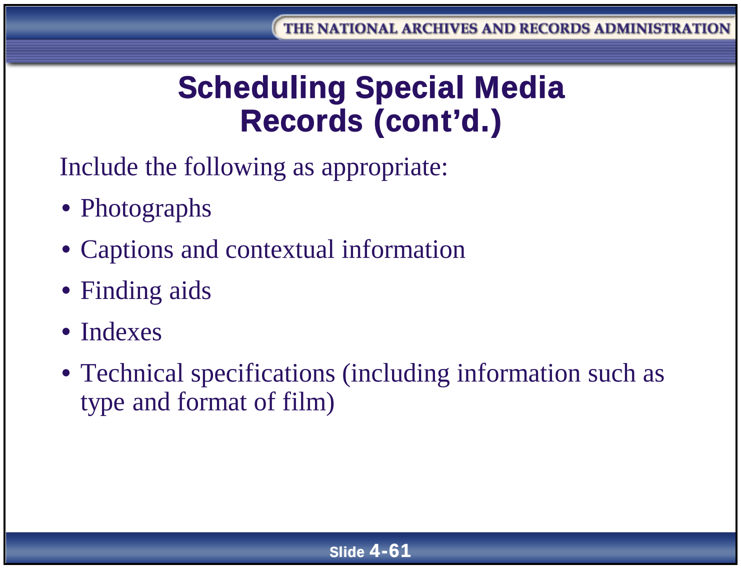
- Cartographic, remote-sensing imagery, and geographic information system records:
  - Identify separate series of digital and non-digital cartographic and remote-sensing imagery records
  - Describe each series as a single schedule item
  - Describe the subject matter and arrangement
  - Schedule all finding aids (file headings, numbers, descriptive symbols)
  - Identify the origin of records not produced by the agency (schedule records maintained by contractors)
  - Describe the physical and electronic formats of the records
  - Indicate the approximate number of maps and their cubic footage
  - Provide inclusive dates
  - List related indexes
  - Transfer cartographic and remote-sensing imagery records to NARA as soon as possible after business needs cease, to ensure proper environmental controls for long-term preservation
- Architectural records:
  - Identify separate series of digital and non-digital architectural and engineering records
  - Describe each series as a single item
  - Describe the subject matter and arrangement
  - State whether tracings or other types of reproductions are included
  - Indicate the size of the record
  - Indicate the origin of plans not produced by the agency (schedule records maintained by contractors)
  - Indicate the approximate number of drawings and their cubic footage
  - Provide inclusive dates
  - List related indexes
  - Transfer architecture records to NARA as soon as possible after business needs cease, to ensure proper environmental controls for long-term preservation

NOTES

- Audiovisual records:
  - Divide audiovisual records into series and analog or electronic formats
  - Give the working title of the series
  - Indicate the physical form and format of the records
  - Schedule all finding aids, including spreadsheets and electronic records
  - Specify the kind of copy (e.g., black-and-white or color photographs, reel-to-reel tapes)
  - Describe and match up all separate parts of an audiovisual collection (e.g., analog photographic prints and negatives)
  - Schedule permanent audiovisual records for transfer directly to NARA so that any special environmental needs can be provided for

NOTES

Slide 4-61



In addition, NARA needs the following information for each specific type of special media:

- Photographs – analog and digital
  - Captions and contextual information
  - Finding aids
  - (If digital) capture electronic documentation as cited in NARA's transfer guidance
- Other audiovisual records – hardcopy and digital
  - Finding aids
  - Technical specifications
- Cartographic and architectural records – hardcopy and digital
  - Finding aids
  - Indexes
  - Content
  - Technical specifications

NOTES

Disposition Instructions for Electronic and Special Media Records

Slide 4-62

If the electronic or special media records are **temporary**, include the following components in the disposition instructions:

- Label: "TEMPORARY"
- Cutoff instructions
- Instructions for transfer to records storage facility
- "DESTROY" or "DELETE" instructions
- A realistic retention period based on an assessment of administrative, legal, and fiscal values and business needs

Disposition instructions for a series of advisory opinions may read as follows:

- TEMPORARY. Cut off file at end of FY. Transfer to records storage facility two years after cutoff. Destroy 10 years after cutoff.

NOTES

Slide 4-63

If the electronic or special media records are **permanent**, include the following components in the disposition instructions:

- Label: "PERMANENT"
- Cutoff instructions
- Instructions for transfer to a records storage facility (if necessary and permitted)
- Permanent retention instructions
- National Archives transfer instructions
- A statement of the volume on hand, annual accumulation, arrangement, and inclusive dates

Note: Transfer permanent electronic and other special media records to NARA as soon as they are no longer needed for business needs in the agency. This will ensure that environmental and other special needs are met and maintained.

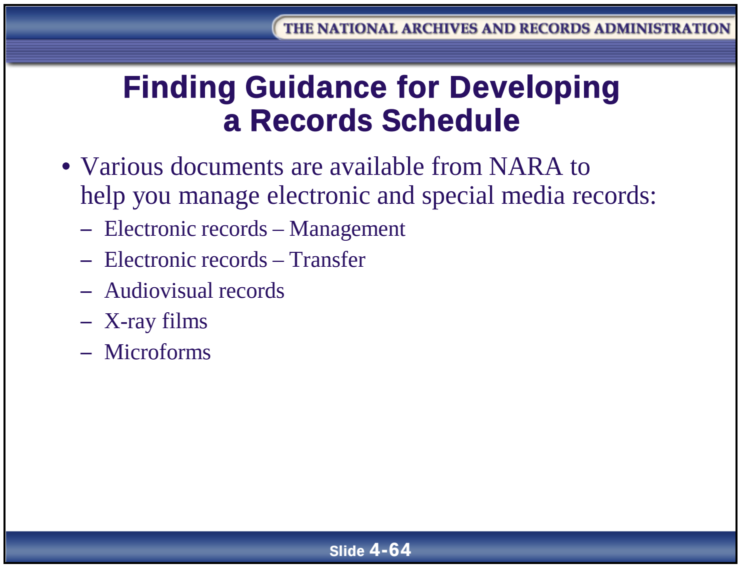
Disposition instructions for a series of master file photographic records may read as follows:

- PERMANENT. Cut off file at end of FY. Transfer to National Archives in five-year blocks when 10 years old (e.g., transfer 2010-2014 in 2025).

NOTES

Finding Guidance for Developing a Records Schedule

Slide 4-64



Various documents are available from NARA to help you properly manage electronic and special media records.

- Electronic records:
  - 36 CFR 1236 Electronic Records Management
- NARA Bulletin 2014-04 Revised Format Guidance for the Transfer of Permanent Electronic Records *http://www.archives.gov/records-mgmt/policy/guidance-regulations.html*
- Audiovisual records:
  - Managing Audiovisual Records instructional guide *http://www.archives.gov/records-mgmt/publications/managing-audiovisual-records.html*
  - 36 CFR 1237 Audiovisual Records Management

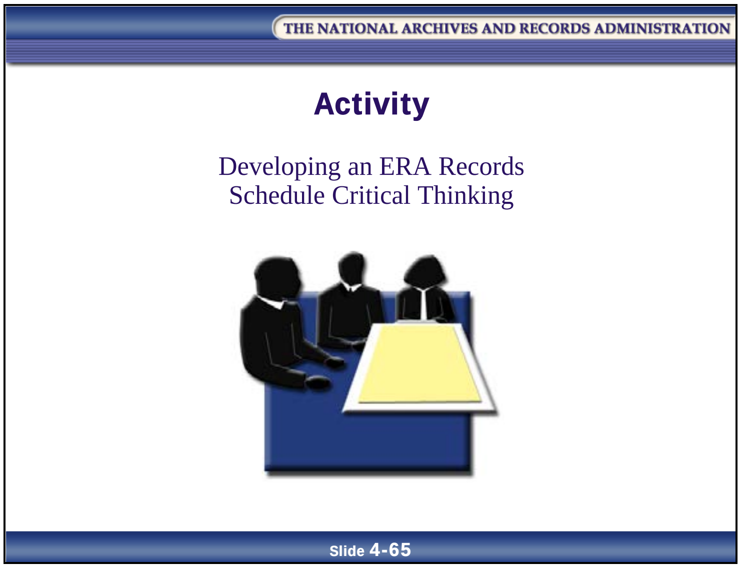
NOTES

- X-ray films:
  - Managing X-Ray Films as Federal Records (NARA) *http://www.archives.gov/records-mgmt/publications/managing-xray-films.html*
- Microforms:
  - 36 CFR 1238 Microform Records Management
- NARA's general records management webpages at *http://www.archives.gov/records-mgmt/* and NARA's Email Management webpage at *http://www.archives.gov/records-mgmt/email-mgmt.html*
- NARA's Toolkit for Managing Electronic Records at *http://www.archives.gov/records-mgmt/toolkit/*
- Guidance and Policy for Accessioning Records to the National Archives in the Washington, DC area covering textual, electronic and special media records *http://www.archives.gov/records-mgmt/accessioning/*

NOTES

Activity: Developing an ERA Records Schedule Critical Thinking

Slide 4-65



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NOTES

Developing an ERA Records Schedule
Critical Thinking Worksheet

You are tasked with analyzing the records inventory and identifying the information needed to create a draft records schedule for an information system for your assigned office within the BPR.

Using **Handout 3.03 –** BPR Series and System Inventory Spreadsheet, locate the information systems for your assigned office (offices are listed in the "Agency Program Supported by System or Records" column).

Complete a "Records Schedule Critical Thinking" Form for each group of your office's records that are unscheduled. (You can determine whether records are scheduled or unscheduled by checking the inventory and GRS citations in **Handout 4.06** "Quick Guide to Applying GRS to Electronic Information System Records.") You will need to complete a form for each component of an information system (i.e. inputs, master file, outputs, and system documentation).

Hint: The first steps in the process are designed to determine whether the records are covered by a GRS and then to look to see whether there is an existing agency schedule.

As necessary, refer to any of the following references:

- BPR Organization Chart (Tab 2)
- BPR Agency Information (Tab 3)
- BPR Records Management Handbook (Tab 4)

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Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

RECORD REFERENCE #			RECORD DESCRIPTION	RECORD CUTOFF	TRANSFER INSTRUCTIONS	DISPOSITION INSTRUCTIONS
RECORD/ NONRECORD MAT.	Y	N				
PERMANENT/ TEMPORARY	P	T				
COVERED BY GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

RECORD REFERENCE #			RECORD DESCRIPTION	RECORD CUTOFF	TRANSFER INSTRUCTIONS	DISPOSITION INSTRUCTIONS
RECORD/ NONRECORD MAT.	Y	N				
PERMANENT/ TEMPORARY	P	T				
COVERED BY GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

Records Schedule Critical Thinking Form

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N				
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				

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Lesson Summary

In this lesson, you learned:

- That NARA requires more information when appraising electronic and special media records for retention, particularly permanent retention, because of the technical and substantive issues associated with these types of records
- That electronic records are scheduled at the information-system level and require specific information components to be included
- That special media records require specific information components for scheduling, depending on the type of media
- That all special media records need to be scheduled in context with the related paper and electronic records
- That disposition instructions for electronic and special media records require:
  - "PERMANENT" or "TEMPORARY" label
  - Cutoff instructions
  - Instructions for transfer to records storage facility (if necessary and permitted)
  - "DESTROY" or "DELETE" instructions (temporary)
  - Permanent retention instructions (permanent) or a realistic retention period based on an assessment of administrative, legal, and fiscal values and business needs (temporary)
  - National Archives transfer instructions (permanent)
  - A statement of the volume on hand, annual accumulation, arrangement, and inclusive dates
- That permanent electronic and other special media records should be transferred to NARA as soon as they are no longer required for business needs in the agency to ensure that environmental and other special needs are met and maintained

NOTES

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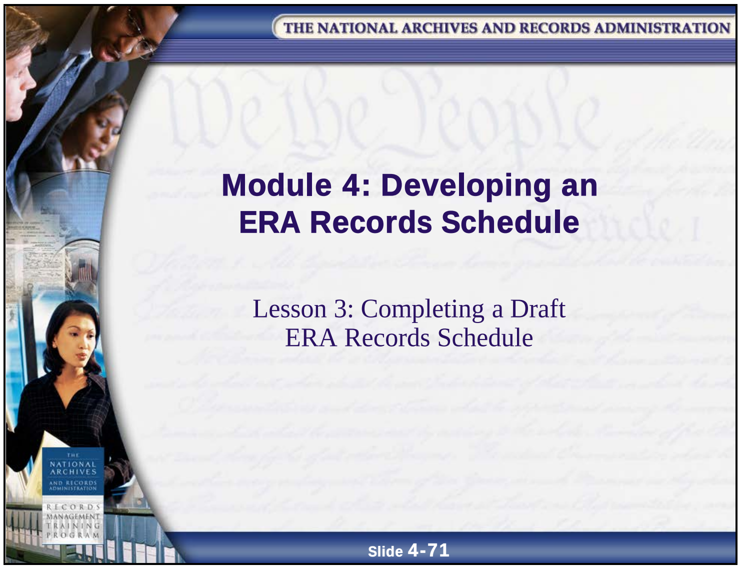
NOTES

Lesson 3: Completing a Draft ERA Records Schedule

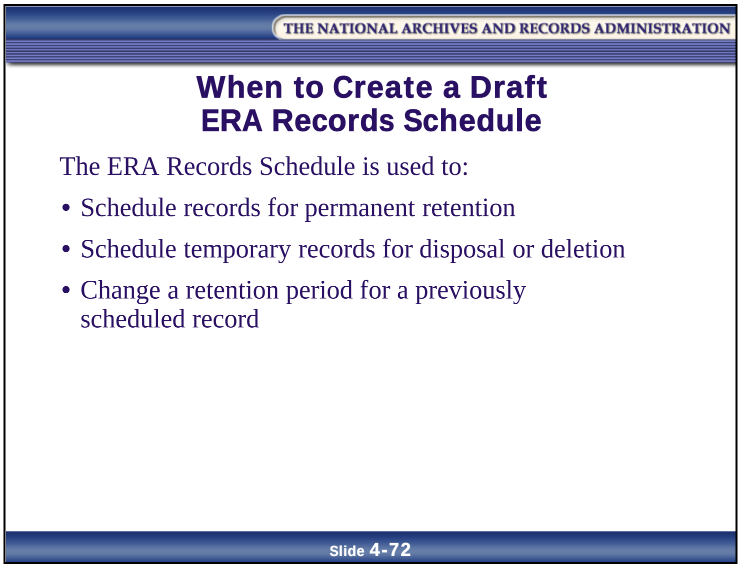
Slide 4-71



NOTES

When to Create a Draft ERA Records Schedule

Slide 4-72



The ERA Records Schedule requests disposition authority from the Archivist of the United States for all records not covered appropriately by the GRS.

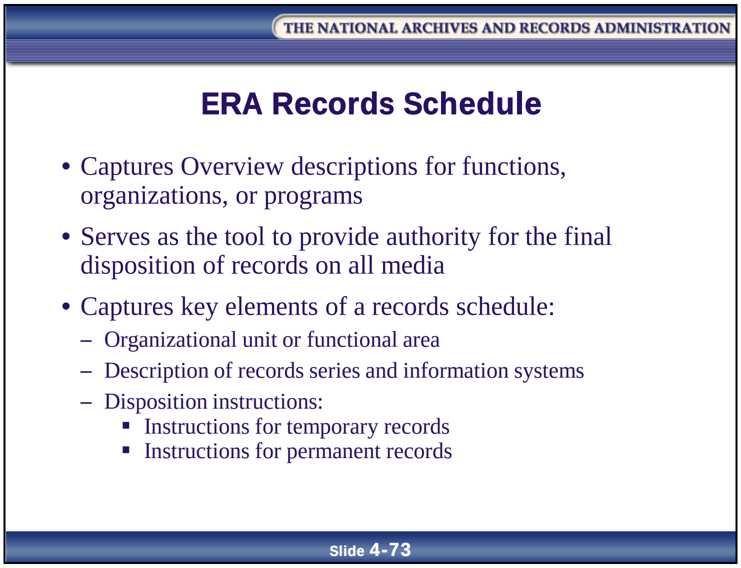
ERA Records Schedule is used to:

- Schedule records for permanent retention
- Schedule temporary records for disposal or deletion
- Change a retention period for a previously scheduled record

NOTES

ERA Records Schedule

Slide 4-73



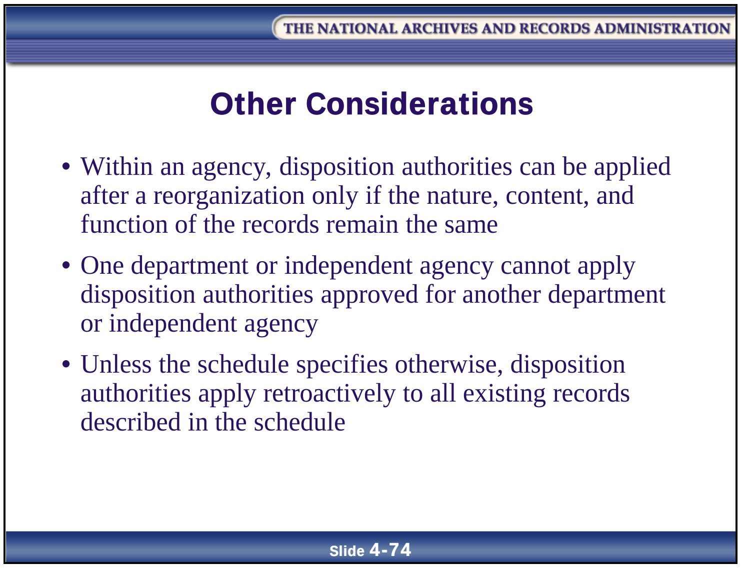
ERA Records Schedule:

- Captures Overview descriptions for functions, organizations, or programs
- Serves as the tool to provide authority for the final disposition of records on all media
- Captures the following key elements of a records schedule:
  - Organizational unit or functional area
  - Description of record series and information systems
  - Disposition instructions:
    - Instructions for temporary records
    - Instructions for permanent records

NOTES

Other Considerations

Slide 4-74



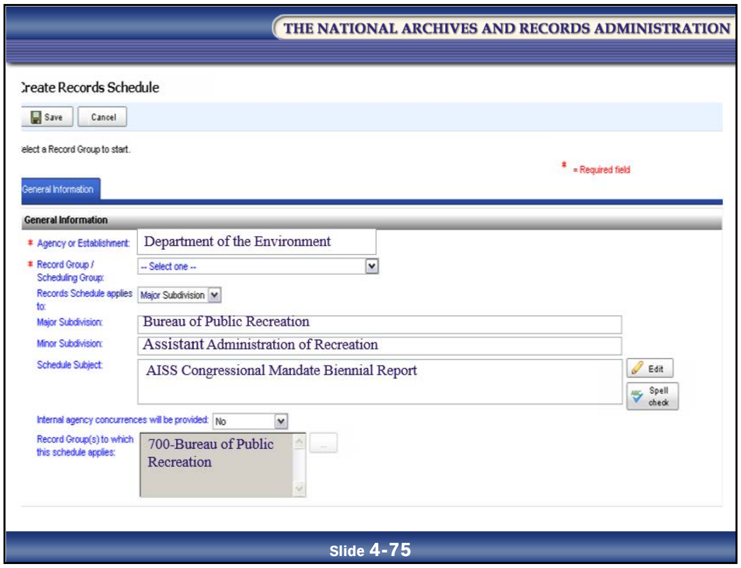
Also keep in mind:

- Within an agency, disposition authorities can be applied after a reorganization only if the nature, content, and function of the records remain the same. If the nature, content, and function of a record change, a new records schedule needs to be submitted to NARA for approval.
- One department or independent agency cannot apply disposition authorities approved for another department or independent agency except for those occasions when lines of business cross agency lines (for example, Interagency Fire schedule)
- Unless the schedule specifies otherwise, disposition authorities apply retroactively to all existing records described in the schedule, so you need to be sure to identify any previously approved and superseded authorities

NOTES

Exploring the Draft ERA Records Schedule

Slide 4-75



What is the originating agency?

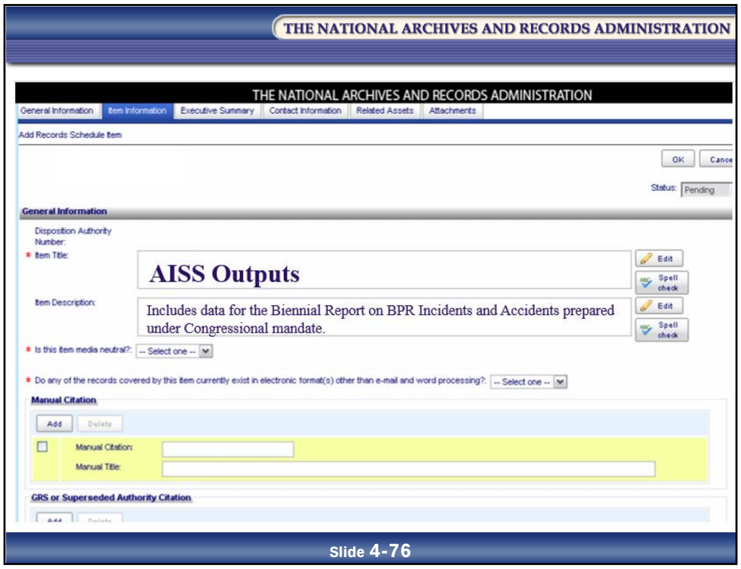
What are the major and minor subdivisions?

What is the schedule subject?

What is the schedule item?

NOTES

Slide 4-76

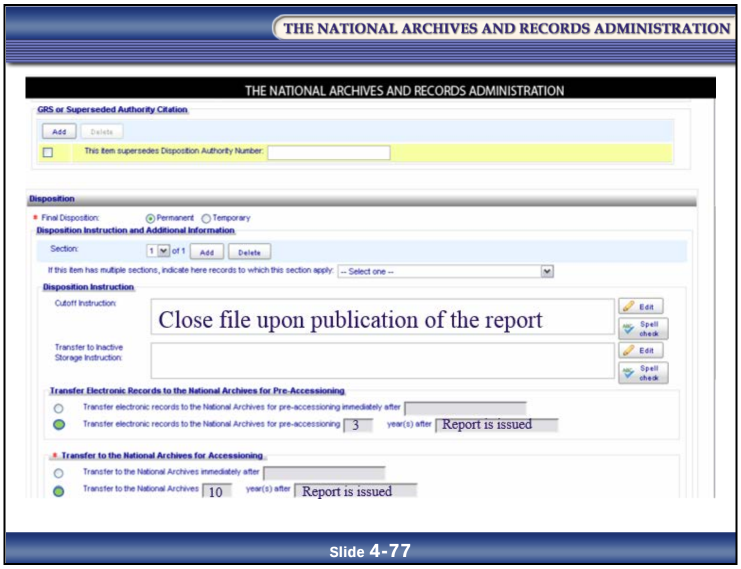


What records are being scheduled?

What is the description of the records?

NOTES

Slide 4-77

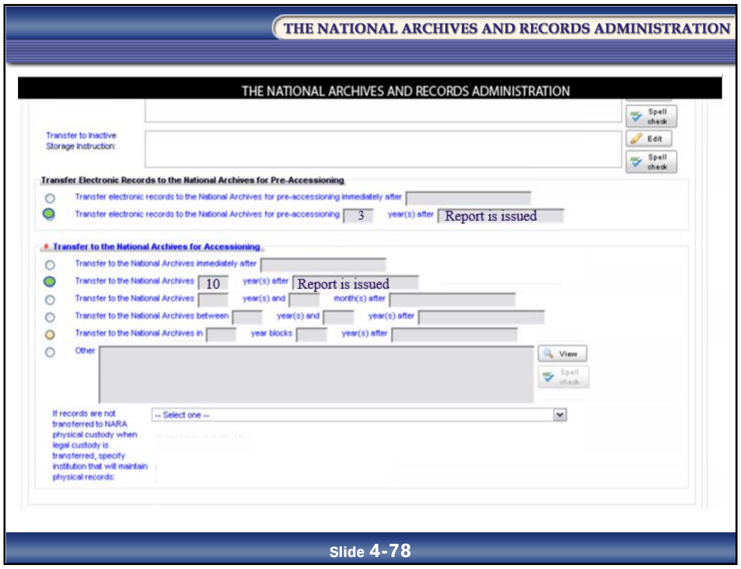


What is the final disposition?

What are the cutoff instructions?

NOTES

Slide 4-78



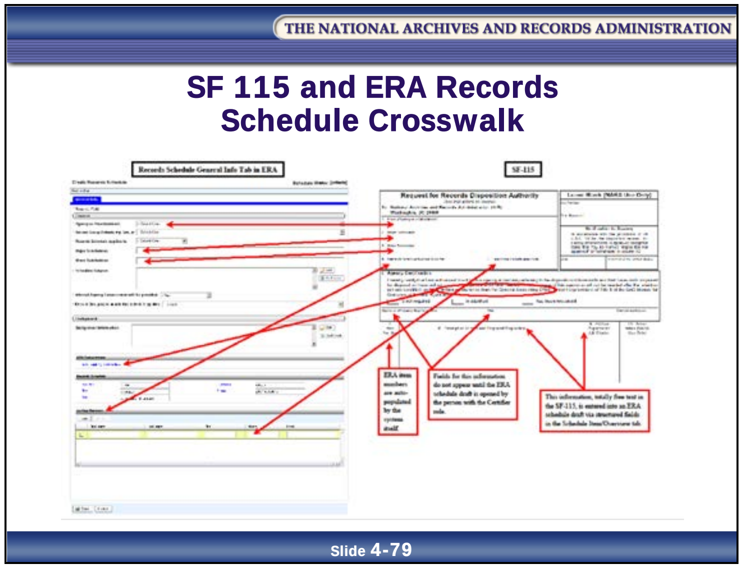
What is the transfer instruction for pre-accessioning?

What are the transfer instructions for accessioning to the National Archives?

NOTES

SF 115 to an ERA Records Schedule Crosswalk

Slide 4-79

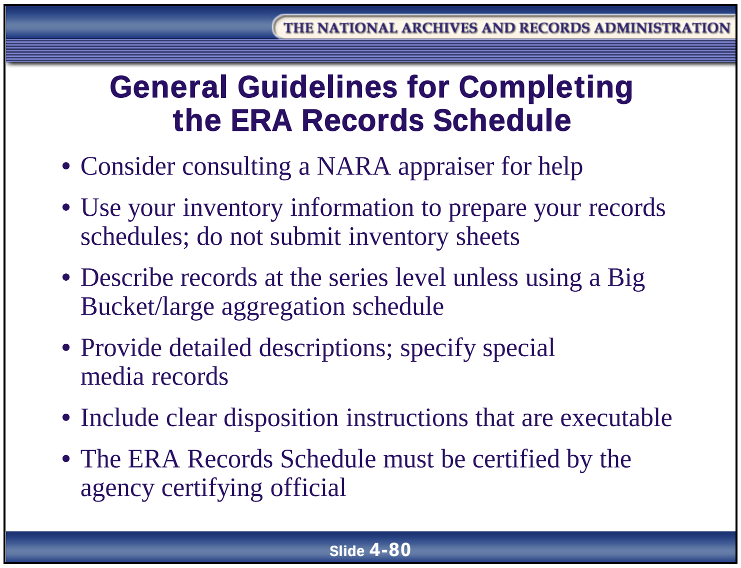


(Refer to **Handout 4.04 –** SF 115 and ERA Records Schedule Crosswalk)

NOTES

General Guidelines for Completing the ERA Records Schedule

Slide 4-80



The ERA Records Schedule is generally created by an agency Records Scheduler. That person may be the ARO or any user in the agency that has an account with the Records Scheduler role. Once the Records Scheduler completes the schedule, it must be submitted for certification by the Certifying Official in order for it to be submitted to NARA.

Following these general guidelines helps to ensure that an ERA Records Schedule is completed properly, thus avoiding unnecessary delays in processing.

- Consider consulting with a NARA appraiser before drafting your ERA Records Schedule for advice in preparing the schedule
- Use your inventory information to prepare your records schedule. Do not submit inventory sheets with or in place of the records schedule.
- Describe records at the series level and with all related components. For example, correspondence of the Assistant Secretary of the agency may include incoming and outgoing letters, attachments, and printouts of email messages.
- **Note:** If the schedule is for a Big Bucket or large aggregation schedule, it will not describe records at the series level

NOTES

- Describe electronic systems at the system level. NARA traditionally defines e-systems as having five components:
  - Electronic software programs – databases management programs, software applications, web services
  - Inputs – source data keyed in manually or electronically
  - Outputs – reports or electronic transfers downloads or queries
  - Master files – data or content “residing in” the system
  - System documentation – technical or narrative information about how the system captures, stores, and relates the stored data
- Always include disposition instructions that are clear and that can be executed in an automated environment. (If not now, at some point your agency will probably automate its processes. Keeping this in mind now may mean you do not have to redo your disposition instructions later.) “Destroy or delete 75 years after the end of the Republic” is not an appropriate disposition instruction.*
- The ERA Records Schedule must be certified by the agency certifying official

NARA created online tutorials providing information on how to complete and submit a draft ERA Records Schedule.

(Refer to **Handout 4.05**– Guidelines for Describing Electronic and Special Media Records)

The tutorials can be found at *http://www.archives.gov/records-mgmt/era/*.

NOTES

Lesson Summary

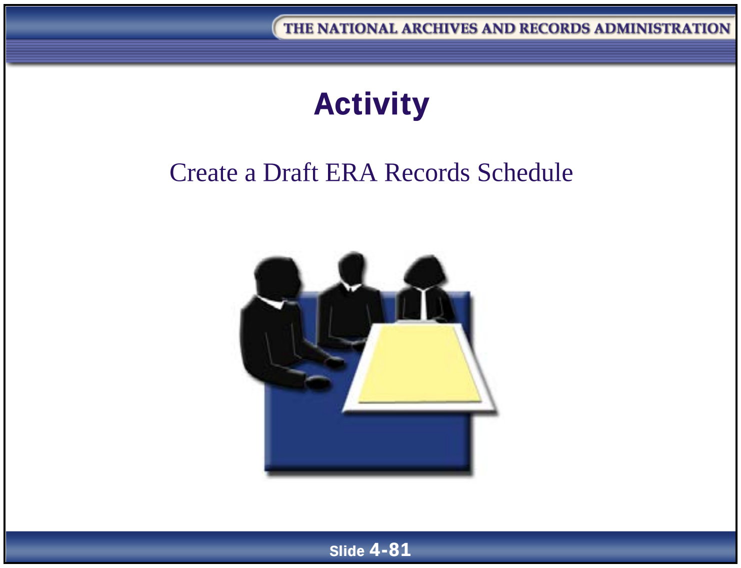
In this lesson, you learned that:

- The ERA Records Schedule requests disposition authority from the Archivist of the United States for all records not covered appropriately by the GRS
- The ERA Records Schedule is used to:
  - Schedule records for permanent retention
  - Schedule temporary records for disposal or deletion
  - Change a retention period for a previously scheduled record
- A tutorial for completing the ERA Records Schedule is available online

NOTES

Activity: Create a Draft ERA Records Schedule

Slide 4-81



NOTES

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Request for Records Disposition Authority

Records Schedule Number DAA - ________ - ________ - ________

Schedule Status Draft

Agency or Establishment Bureau of Public Recreation

Record Group / Scheduling Group Records of the Bureau of Public Recreation

Records Schedule applies to:
(Circle One): **Government-Wide** **Agency-Wide** **Department-Wide** **Major Subdivision**

Major Subdivision ________

Minor Subdivision ________

Schedule Subject ________

Internal agency concurrences will be provided No

Background Information

____
____
____
____

Item Count:

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
			0

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Outline of Records Schedule Items

Sequence Number	
1	**Item/Series Title:** ______ Disposition Authority Number: DAA - ______- ______- ______ - ______
2	**Item/Series Title:** ______ Disposition Authority Number: DAA - ______- ______- ______ - ______
3	**Item/Series Title:** ______ Disposition Authority Number: DAA - ______- ______- ______ - ______

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Records Schedule Items

Sequence Number
1

Item 1 Title: ______

Disposition Authority Number: DAA - ______ - ______ - ______ - ______

Description: ______

Final Disposition (Circle One): Temporary Permanent

Item Status Pending

Is this item media neutral? (Circle One): Yes No

Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing? (Circle One): Yes No

Do any of the records exist as structured electronic data? (Circle One): Yes No

GRS or Superseded Authority Citation (*If previously scheduled) ______

GAO Approval (Circle One): Required Not Required

Disposition Instruction

Cutoff Instruction ______

Transfer to Inactive Storage (*If applicable) ______

Retention Period ______

Transfer to the National Archives for Pre-Accessioning (Permanent Items ONLY)** ______

Transfer to the National Archives for Accessioning (Permanent Items ONLY)** ______

****Date Span of Initial Transfer** ______

****How frequently will your agency transfer to NARA?** ______

**	Estimated Current Volume	Annual Accumulation
Electronic/ Digital		
Paper		
Microform		
Hardcopy/Analog Special Media		

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Records Schedule Items

Sequence Number

2

Item 2 Title: ______________________________

Disposition Authority Number: DAA - ______- ______- ______- ______

Description: ______________________________

Final Disposition (Circle One): Temporary Permanent

Item Status Pending

Is this item media neutral? (Circle One): Yes No

Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing? (Circle One): Yes No

Do any of the records exist as structured electronic data? (Circle One): Yes No

GRS or Superseded Authority Citation (*If previously scheduled) ______________

GAO Approval (Circle One): Required Not Required

Disposition Instruction

Cutoff Instruction ______________

Transfer to Inactive Storage (*If applicable) ______________

Retention Period ______________

Transfer to the National Archives for Pre-Accessioning ______________

Transfer to the National Archives for Accessioning ______________

****Date Span of Initial Transfer** ______________

****How frequently will your agency transfer to NARA?** ______________

**	Estimated Current Volume	Annual Accumulation
Electronic/ Digital		
Paper		
Microform		
Hardcopy/Analog Special Media		

Electronic Records Archives Page 4 of 11 PDF Created on: 02/12/2014

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Sequence Number
3

Item 3 Title: ______

Disposition Authority Number: DAA - ______- ______- ______- ______

Description: ______

Final Disposition (Circle One): Temporary Permanent

Item Status Pending

Is this item media neutral? (Circle One): Yes No

Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing? (Circle One): Yes No

Do any of the records exist as structured electronic data? (Circle One): Yes No

GRS or Superseded Authority (*If previously scheduled) ______ **Citation**

GAO Approval (Circle One): Required Not Required

Disposition Instruction

Cutoff Instruction ______

Transfer to Inactive Storage (*If licable) ______

Retention Period ______

Transfer to the National Archives for Pre-Accessioning ______

Transfer to the National Archives for Accessioning ______

****Date Span of Initial Transfer** ______

****How frequently will your agency transfer to NARA?** ______

**	Estimated Current Volume	Annual Accumulation
Electronic/ Digital		
Paper		
Microform		
Hardcopy/Analog Special Media		

Electronic Records Archives Page 5 of 11 PDF Created on: 02/12/2014

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
	Draft		Records Manager	Bureau of Public Recreation
	Certify		Records Officer	Bureau of Public Recreation
	Appraiser Reviewed		Appraisal Archivist	National Archives and Records Administration
	Approved		Archivist of the United States	National Archives and Records Administration

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-

Executive Summary

Summary

(This page will be completed by your NARA Appraisal Archivist once records are appraised and schedule is sent forward for approval)

Permanent Item Numbers ______

Federal Register Notice ______

Publication Date ______

Copies Requested ______

Comments Received ______

Electronic Records Archives | Page 7 of 11 | PDF Created on: 02/12/2014

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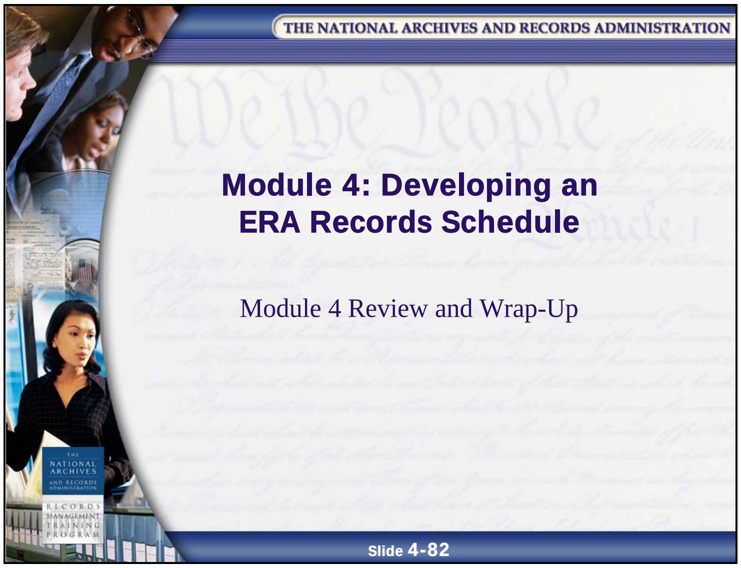
Module 4 Review and Wrap-Up

Slide 4-82

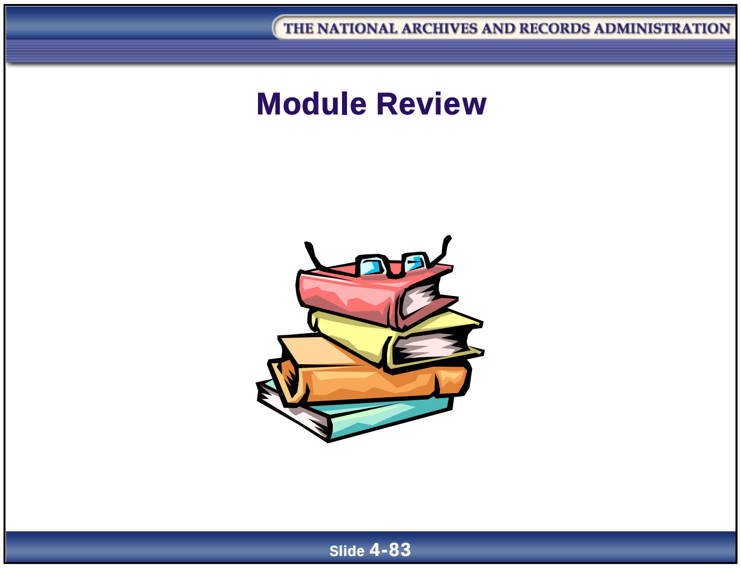


Overview

NOTES

Module Review

Slide 4-83



In Module 4, you learned:

- How to develop an ERA Records Schedule
- That a records schedule may be arranged organizationally or functionally or with ERA Overviews
- That a records schedule may use traditional or flexible scheduling
- That media neutral schedules apply to records with the same information and retention periods, regardless of their specific media
- That before submitting the records schedule to NARA, obtain approvals from your agency's program offices and stakeholders

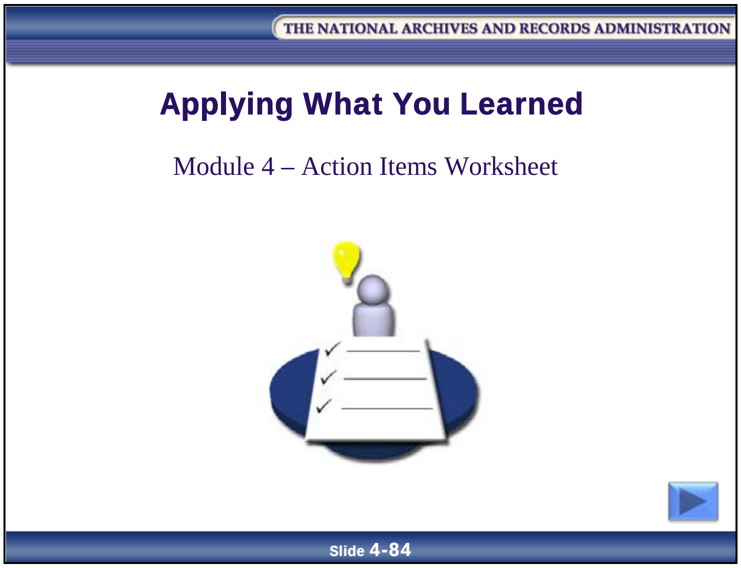
NOTES

- That it may be necessary to request GAO's approval for select records schedules
- That if records are unscheduled, they must be managed as if they were permanent records
- That technical and substantive issues affect the preservation and retention of electronic and special records
- That electronic records are scheduled at the information system level and require specific information components to be included
- That special media records require specific information components for scheduling, depending on the type of media
- The requirements for disposition instructions for electronic and special media records
- That permanent electronic and other special media records are recommended to be transferred to NARA at the earliest date to ensure environmental and other special needs are met and maintained
- The ERA Records Schedule requests disposition authority from the Archivist of the United States for all records not covered appropriately by the GRS or other previously approved records schedules
  - The purposes of the ERA Records Schedule

NOTES

Applying What You Learned

Slide 4-84



Reflect upon what you have learned in Module 4 and how you will apply it to your job.

NOTES

Module 4 – Action Items Worksheet

What did I learn about developing a records schedule and completing an ERA Records Schedule that will help me at my job? List at least one thing you learned about developing a records schedule and completing an ERA Records Schedule that is relevant to your job role and responsibilities.
How will I apply what I learned about developing a records schedule and completing an ERA Records Schedule to my job? List at least one thing you learned about developing a records schedule and completing an ERA Records Schedule that you will apply to your job, and explain how you will apply it.
What "aha!" moments did I have during this module? List any "aha!" moments you experienced during this module. ("It is important to understand the mission of the agency to ensure that the disposition instructions are appropriate for the records?!? Aha!")

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Module 5: Submitting and Issuing an Electronic Records Archives Records Schedule

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

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Table of Contents

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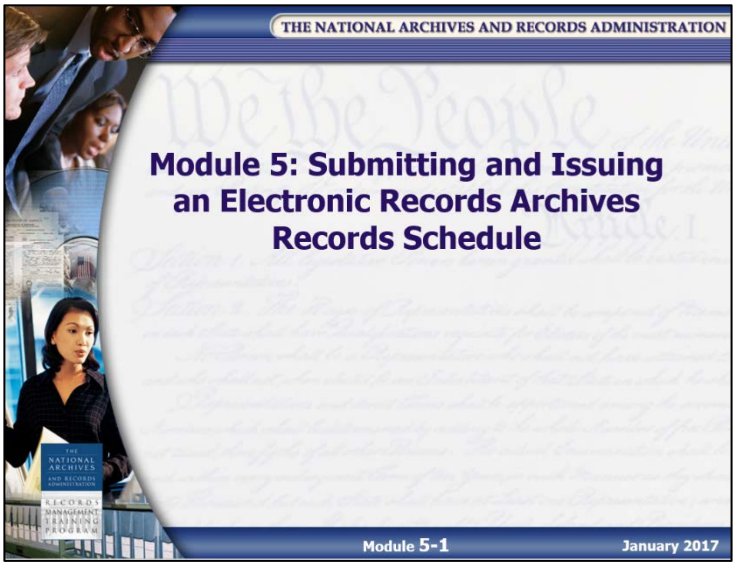
Introduction and Objectives

Slide 5-1



Overview

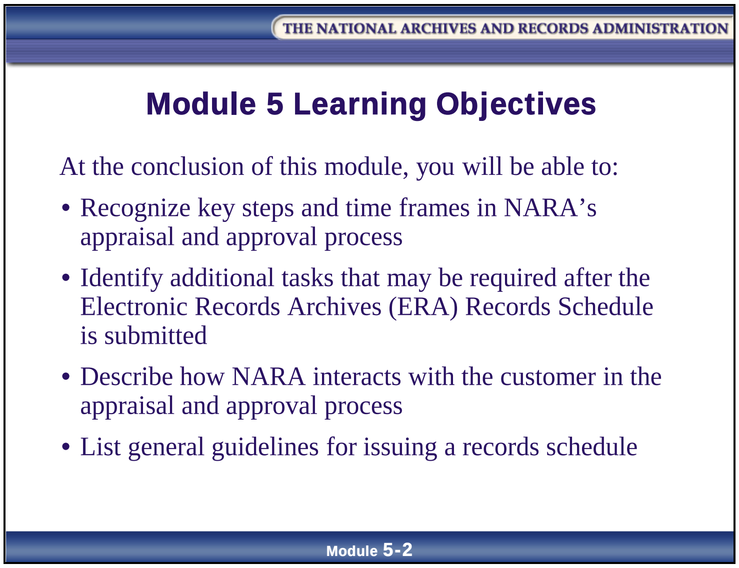
The disposition proposed on an Electronic Records Archives (ERA) Records Schedule must be appraised and then formally approved and signed by the Archivist of the United States.

In this module, we explore how to submit an ERA Records Schedule to NARA, look at NARA's appraisal and scheduling process, and then focus on issuing a records schedule.

NOTES

Objectives

Slide 5-2

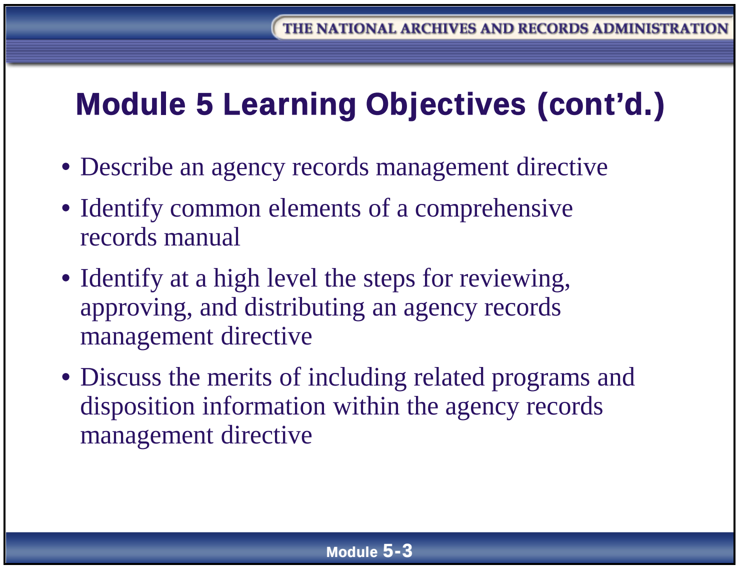


At the conclusion of this module, you will be able to:

- Recognize key steps and time frames in NARA's appraisal and approval process
- Identify additional tasks that may be required after the Electronic Records Archives (ERA) Records Schedule is submitted
- Describe how NARA interacts with the customer in the appraisal and approval process
- List general guidelines for issuing a records schedule

NOTES

Slide 5-3



- Describe an agency records management directive
- Identify the common elements of a comprehensive records manual
- Identify at a high level the steps for reviewing, approving, and distributing an agency records management directive
- Discuss the merits of including related programs and records disposition information within the agency records management directive

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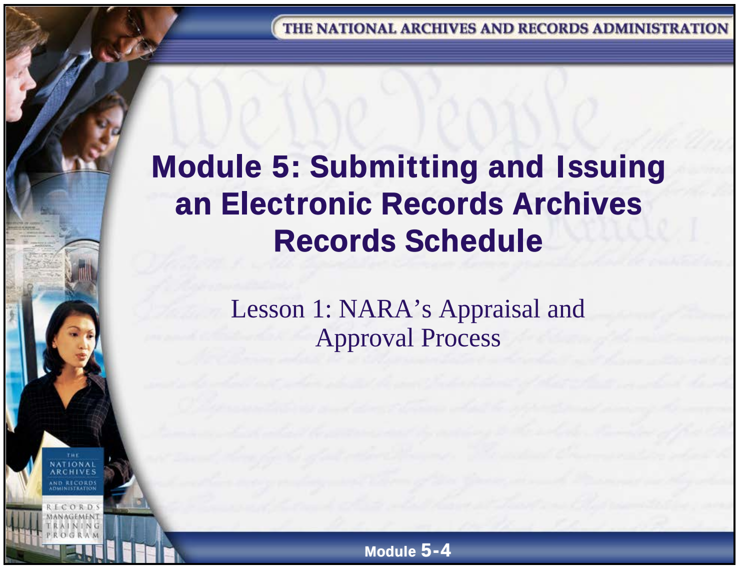
NOTES

Lesson 1: NARA's Appraisal and Approval Process

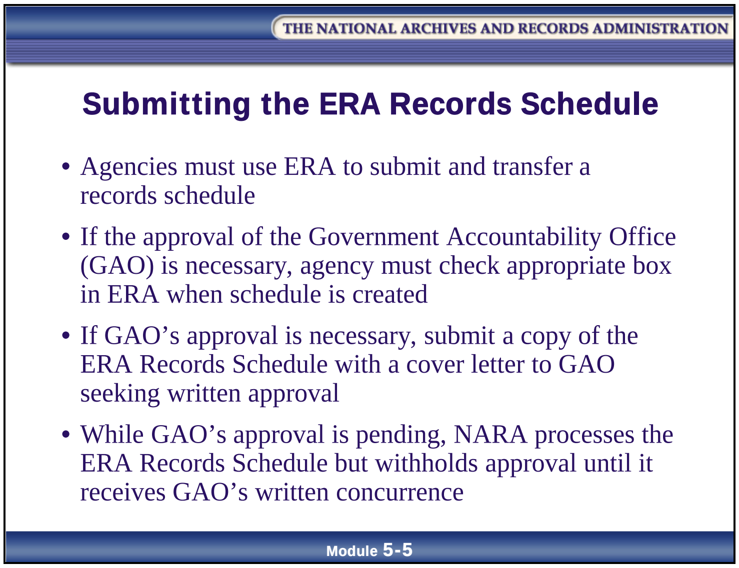
Slide 5-4



NOTES

Submitting the ERA Records Schedule

Slide 5-5



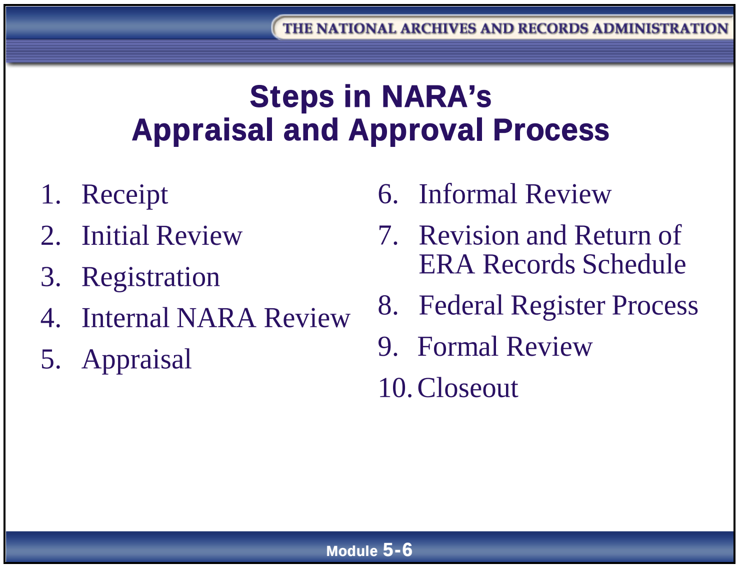
NARA, with the support of Office of Management and Budget (OMB), notified agencies that they must use ERA to submit records schedules and transfer requests electronically to NARA.

In addition, if the approval of the Government Accountability Office (GAO) is necessary, the agency must indicate this by checking the appropriate box in ERA when the schedule is created and submit a copy of the schedule with a cover letter to GAO seeking written approval. While GAO's approval is pending, NARA processes the records schedule but withholds approval until it receives GAO's concurrence.

NOTES

Steps in NARA's Appraisal and Approval Process

Slide 5-6



ERA's scheduling component is only for drafting, submitting, and final approval of a schedule. The appraisal process occurs outside the ERA system. After an agency submits its ERA Records Schedule(s) to NARA, the appraisal process begins. The general steps in the process are:

1. **Receipt –** The NARA Appraisal Archivist assigned to your agency is notified by ERA that a new draft schedule has been submitted for review.
2. **Initial Review –** The Appraisal Archivist checks for technical conformity and basic literacy of the schedule and ensures that the schedule meets the standards specified in 36 CFR 1225. ERA includes an option for schedules to be "returned for revision" to allow the agency to make required changes. ERA also includes an option for schedules to be "returned without action" to allow the agency to make required changes or for schedules that are completely withdrawn and returned to the agency.

NOTES

3. **Registration –** When a draft schedule is submitted in ERA, a job number is automatically created, and it begins with "DAA" (Disposition Authority Agency), which indicates a records schedule was "born in ERA." The DAA replaces the legacy N1 (internal NARA office symbol) schedule numbers typically seen on the legacy SF 115s. ERA formally registers the job, automatically assigns a formal job (schedule) number, and the formal appraisal process starts.
4. **Internal NARA Review –** NARA stakeholders review the records schedule. This review is extremely important in the appraisal process. NARA stakeholders know the research public, what types of records they request, and what records they may request in the future. They know what records are in their current holdings, how the records in the proposed records schedule might fit into their holdings, and if any records in the proposed schedule contain any research value to the public.
5. **Appraisal –** NARA conducts a very detailed analysis of the records covered by the schedule. The appraiser reviews the ERA Records Schedule to understand what records are submitted for disposition and how they fit into the agency business function, what regulation drives the program, and what has been done with these types of records in the past by other entities. An appraisal memorandum must be prepared for every schedule. Combined with the records schedule, it provides a description of the records and makes clear that the proposed dispositions are adequate. Often this review will include agency visits to review the records in the current office space. (Refer to **Handout 5.01 –** NARA Appraisal Policy 1441: Appendix 1, located in the Handouts section of your PG, for more information on NARA's appraisal process.)
6. **Informal Review –** After the appraisal memo is completed, the appraisal memo and a copy of the records schedule are reviewed by the NARA stakeholders that requested to review or participate directly in the appraisal. After review by the stakeholders, the package is returned to the appraiser and any differences of opinion on the proposed dispositions are discussed and resolved, usually with the appraiser, stakeholder, and the agency.

NOTES

7. **Revision and Return of ERA Records Schedule –** At any time during the appraisal process, your agency's Apraisal Archivist may utilize the "return for revision" option, requiring your agency to make changes to the schedule. In some cases, especially when the changes are minor, the NARA appraiser may make the changes on behalf of your agency. In these cases the appraiser will request agency concurrence for the changes via email.
8. **Federal Register Process –** According to law (44 U.S.C. 3303), NARA must publish in the Federal Register a notice of agency requests for disposal of records for all records proposed for temporary retention. From the date of publication, the public has 30 calendar days to ask for copies of the records schedule and the related appraisal memorandum. The requestor has an additional 30 calendar days to submit comments. The NARA appraiser works with the agency to resolve any issues arising from public comment. The Federal Register process is not necessary if all of the records listed on the records schedule are proposed for permanent retention or if the schedule increases the retention of a previously approved temporary series.
9. **Formal Review –** After the appraisal of the ERA Records Schedule is complete and, if needed, the Federal Register process is concluded, the records schedule is submitted to the Archivist of the United States for signature. Once the schedule is signed by the Archivist, its disposition instructions are mandatory.
10. **Closeout –** The schedule is formally closed out of NARA's ERA system. Once a schedule is approved, agencies can access their schedules through ERA. Upon receiving the approved records schedule, the agency can issue and apply the schedule authorities as part of its comprehensive records schedule. Within a few weeks of the schedule's approval, a PDF version of the final schedule is available online at the Records Control Schedule (RCS) Repository *http://www.archives.gov/records-mgmt/rcs/*.

NOTES

Lesson Summary

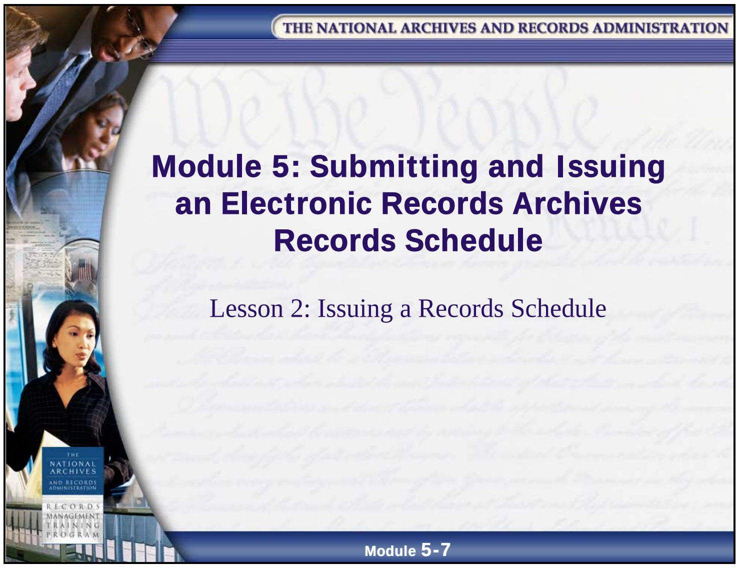
In this lesson, you learned that:

- When received by NARA, the ERA Records Schedule is reviewed for completeness
- The ERA Records Schedule is distributed through NARA for comments
- An appraiser archivist assesses the proposed dispositions based on the value of the records and on examination of the records
- NARA works with agencies to revise the ERA Records Schedule, if necessary
- All temporary records must go through the Federal Register process
- NARA works with the agency to revise the ERA Records Schedule regarding any issues arising from public comment, as required by the Federal Register process
- The Archivist of the United States signs the ERA Records Schedule, making the disposition instructions mandatory

NOTES

Lesson 2: Issuing a Records Schedule

Slide 5-7



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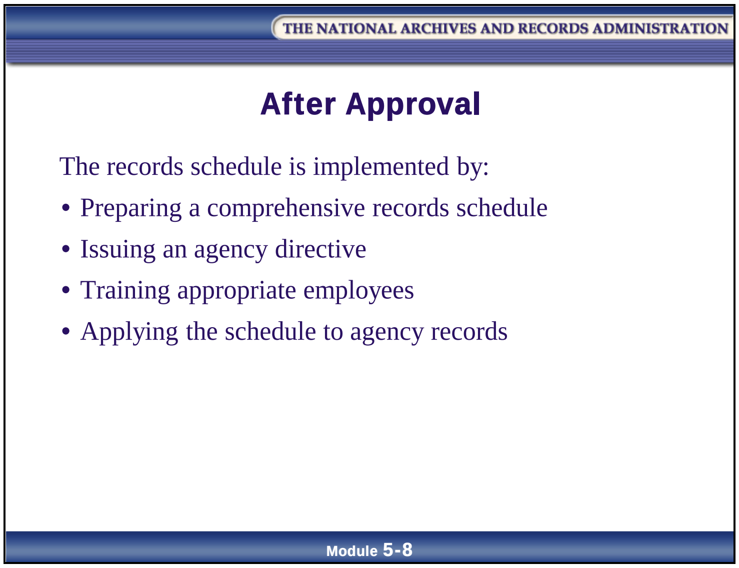
After Approval

Slide 5-8



Once an agency has an approved records schedule, it must implement the schedule.

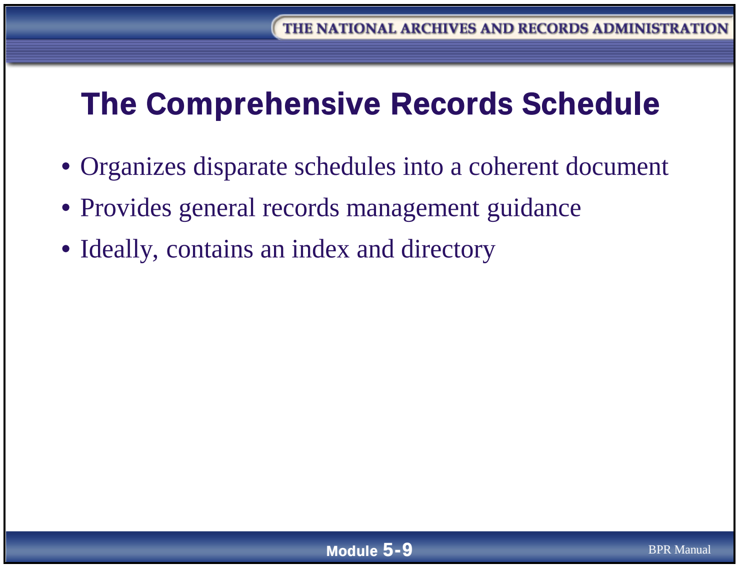
Implementing the schedule involves:

- Preparing a comprehensive records schedule
- Issuing the records schedule as part of an agency directive
- Training appropriate employees
- Applying the schedule to agency records

NOTES

The Comprehensive Records Schedule

Slide 5-9



It is important to have as comprehensive a records schedule or manual as possible to ensure that your agency is adequately managing its records.

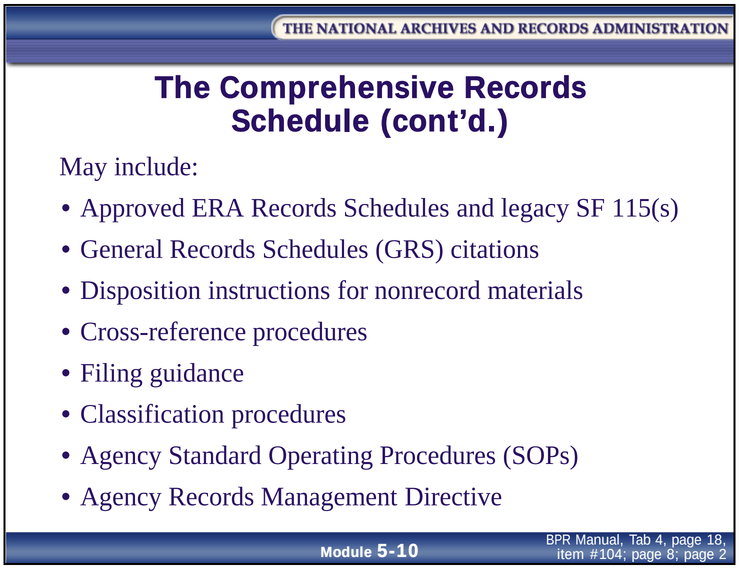
A comprehensive records schedule or manual:

- Organizes disparate records schedules into a coherent document
- Provides general records management guidance
- Ideally contains an index and directory

(Refer to your **BPR Manual** as an example of a comprehensive records schedule.)

NOTES

Slide 5-10



The comprehensive records schedule may include:

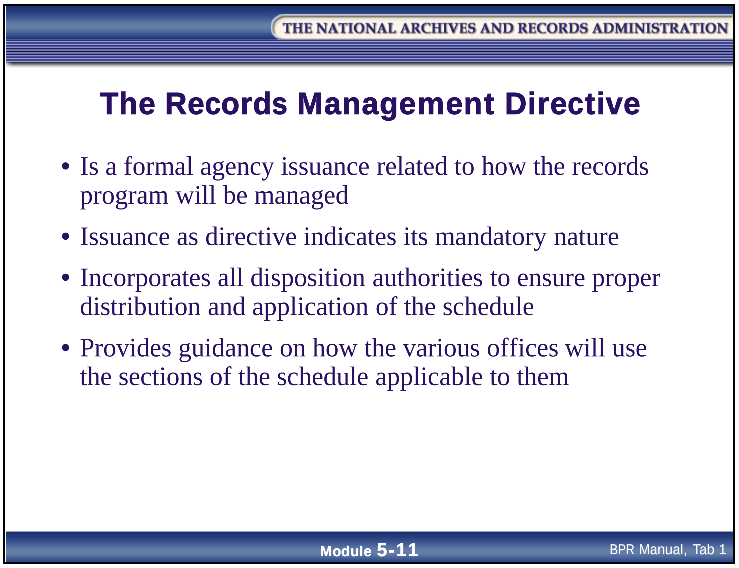
- Approved ERA Records Schedule(s)
- Legacy SF 115(s)
- General Records Schedules (GRS) citations
  (Refer to the **BPR Manual**, Tab 4, Page 18, Item #104, for a GRS citation described as part of the schedule)
- Disposition instructions for nonrecord materials
- Cross-reference procedures
- Filing guidance (Refer to the **BPR Manual**, Tab 4, page 8, "General File Maintenance Procedures," for an example of filing guidance that addresses how records are arranged, labeled, and housed)
- Classification procedures
- Agency Standard Operating Procedures (SOPs)
- Agency Records Management Directive

(Refer to the BPR Records Management Manual Table of Contents [Tab 4, page 2] as an example of what to include in an agency's comprehensive records schedule.)

NOTES

The Records Management Directive

Slide 5-11



An agency directive is a written instruction communicating policy and procedure in the form of orders, regulations, bulletins, circulars, handbooks, manuals, notices, numbered memoranda, and similar issuances. With respect to records scheduling, an agency directive is a formal issuance about how the records program will be managed.

Issuing the records schedule as a directive indicates its mandatory nature.

Incorporate all disposition authorities into the agency's directives system to ensure the proper distribution and application of the schedule. Cite GRS authorities, legacy SF 115s, and ERA Records Schedules along with specific item numbers (e.g., DAA-0015-2014-004, item 5) in the directive. Also cite any agency and Privacy Act restrictions for each series or system of records as authorized.

Provide guidance in the directive's introductory paragraph on how to implement the various sections of the schedules that apply to each office.

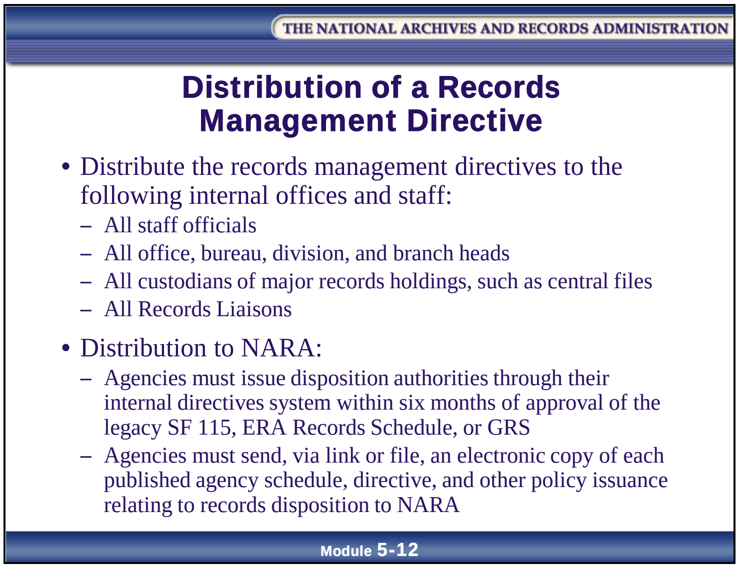
Before issuing records management and related procedural directives, the agency may wish to consult with NARA.

(Refer to the Records Management Manual Memo section [Tab 1] of your **BPR Manual** for an example of an agency directive.)

NOTES

Distribution of a Records Management Directive

Slide 5-12



Distribute the records management directive to the following internal offices and staff:

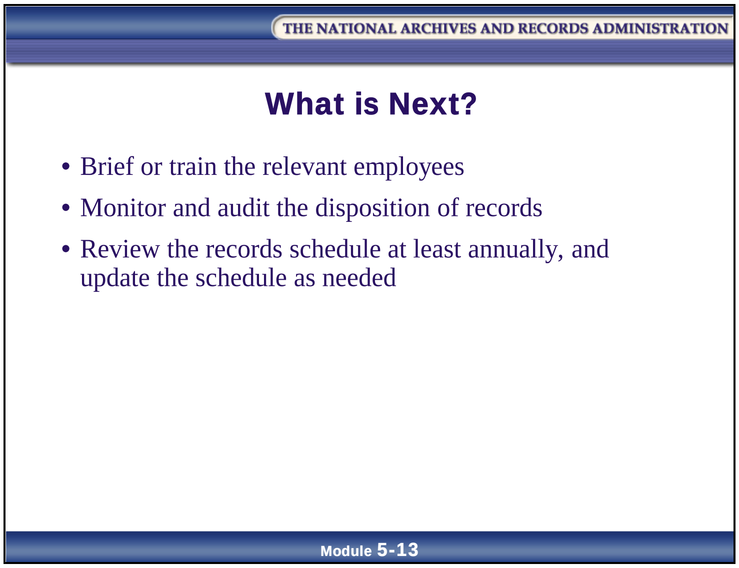
- All staff officials
- All office, bureau, division, and branch heads
- All custodians of major record holdings, such as central files and IT staff
- All Records Liaisons

In addition, agencies must issue disposition authorities through their internal directives system within six months of approval of the legacy SF 115s, ERA Records Schedules, or GRS to ensure proper distribution and application of the schedule. The directive must cite the legal authority (GRS or legacy SF 115s, ERA Records Schedules, and item numbers) for each schedule item covering the records. Agencies must send, via link or file, an electronic copy of each published agency schedule, directive, and other policy issuance relating to records disposition to NARA (36 CFR 1226.12).

NOTES

What is Next?

Slide 5-13



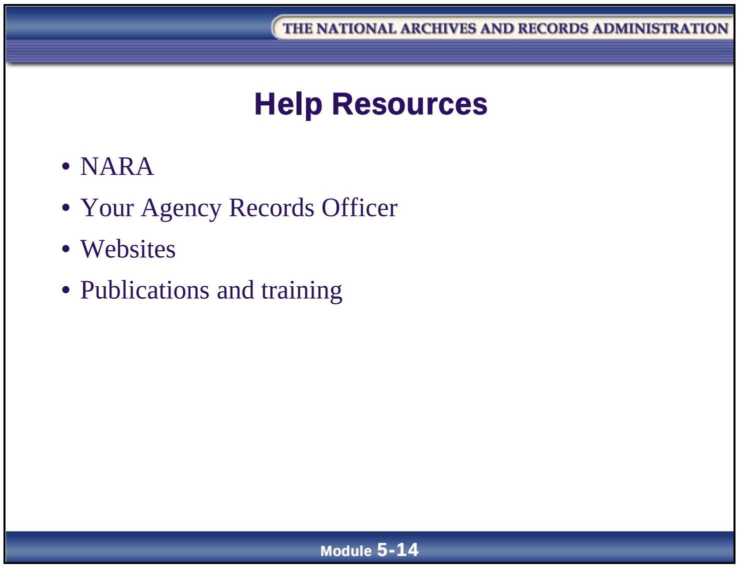
Once the new or revised comprehensive records schedule is issued, the agency must:

- Brief or train employees responsible for applying the schedule and carrying out other aspects of the records disposition program
- Monitor and audit the disposition of records to ensure that the records schedule and disposition instructions are being correctly applied
- Review the records schedule at least annually and update the schedule as needed, including within six months of the receipt of a NARA issuance of new or revised GRS items

NOTES

Help Resources

Slide 5-14



As we have stressed throughout the class, help is available:

- NARA
- Your Agency Records Officer
- Websites
- Publications and training

(Refer to **Reference 03** – Records Management Resources on the Internet, located in the References section of your PG, for a list of records management-related websites.)

NOTES

Lesson Summary

In this lesson, you learned that:

- Once an agency has an approved records schedule, it must implement the schedule, including issuing the records schedule through an agency directive
- A comprehensive records schedule (or manual):
  - Organizes disparate schedules into a coherent document
  - Provides general records management guidance
  - Ideally contains an index and directory
- With respect to records scheduling, an agency directive is a formal agency issuance related to how the records program will be managed
- A records management directive is distributed to (at least):
  - All staff officials
  - All office, bureau, division, and branch heads
  - All custodians of major record holdings, such as central files
  - All Records Liaisons
  - NARA
- You must review a records schedule annually and update it as needed

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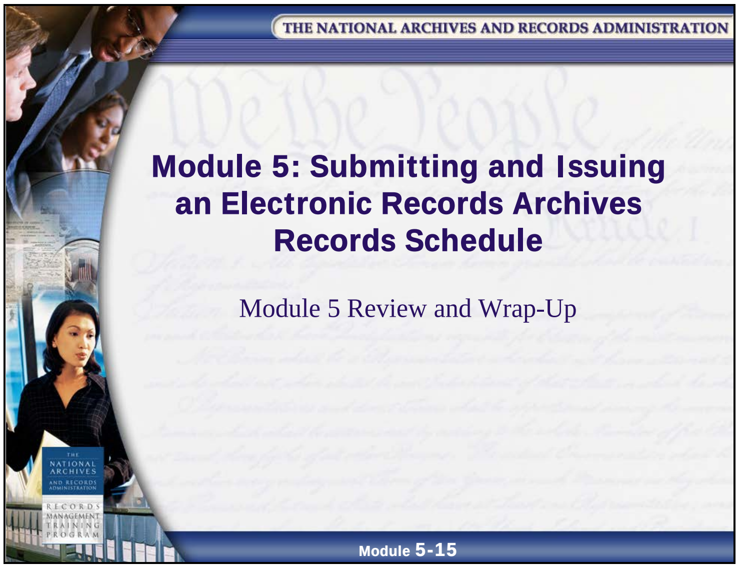
Module 5 Review and Wrap-Up

Slide 5-15



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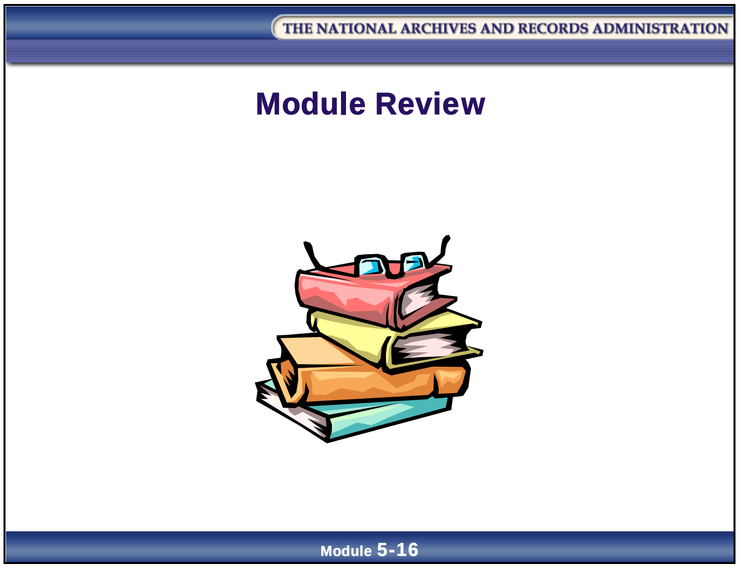
Module Review

Slide 5-16



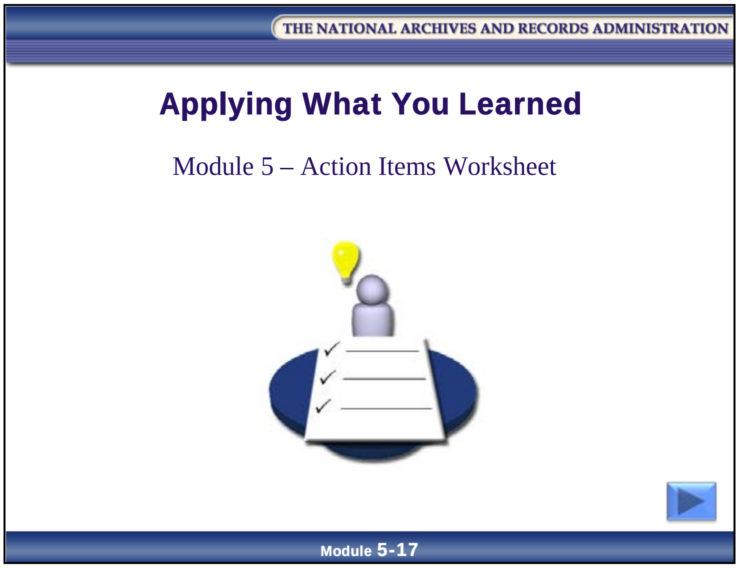
In Module 5, you learned:

- NARA's appraisal and scheduling process for ERA Records Schedules
- All temporary records must go through the Federal Register process
- The Archivist of the United States approves and signs the records schedule, making the disposition instructions mandatory
- Once an agency has an approved records schedule, it must implement the schedule, including issuing the schedule through an agency directive
- What a comprehensive records schedule is and how to prepare one
- What a records management directive is and how to disseminate it agency-wide
- That you must review the records schedule annually and update it as needed

NOTES

Applying What You Learned

Slide 5-17



Reflect upon what you have learned in Module 5 and how you will apply it to your job.

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Module 5 – Action Items Worksheet

What did I learn about submitting an ERA Records Schedule and issuing a records schedule that will help me at my job? List at least one thing you learned about submitting an ERA Records Schedule and issuing a records schedule that is relevant to your records management roles and responsibilities.
How will I apply what I learned about submitting an ERA Records Schedule and issuing a records schedule to my job? List at least one thing you learned about submitting an ERA Records Schedule and issuing a records schedule that you will apply to your job, and explain how you will apply it.
What "aha!" moments did I have during this module? List any "aha!" moments you experienced during this module. (For example, I need to be clear on the ERA Records Schedule so that NARA understands what my records are and why we are proposing these retention periods! Aha!)


THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 3: Records Scheduling

Course Wrap-Up

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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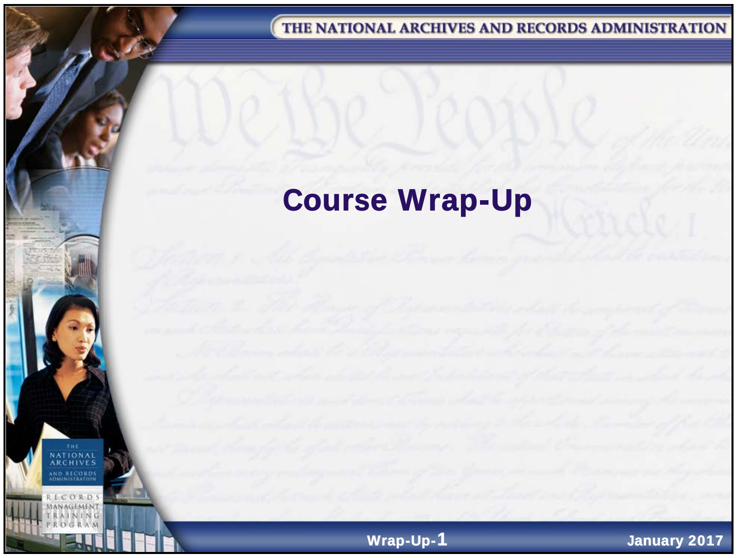
Getting Started

Slide Wrap-Up-1



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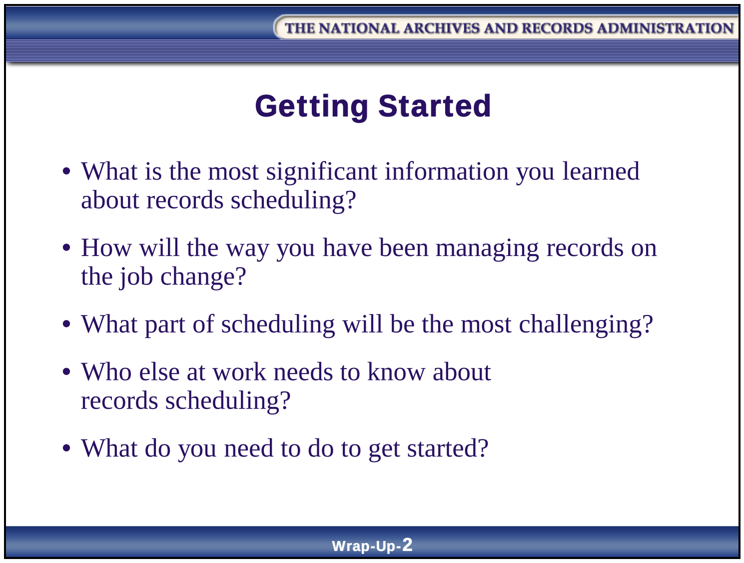
Getting Started

Slide Wrap-Up-2



1. What is the most significant information you learned about records scheduling?

NOTES

2. Now that you know about records scheduling, how will this information affect the way you manage records?

3. As you think about what you have learned about records scheduling, what part of the scheduling process do you think will be the most challenging in your work environment?

What about it will be a challenge?

NOTES

4. Are there other agency staff that need to know and understand records scheduling?

5. What three to five steps are needed to implement a records scheduling project in your agency?

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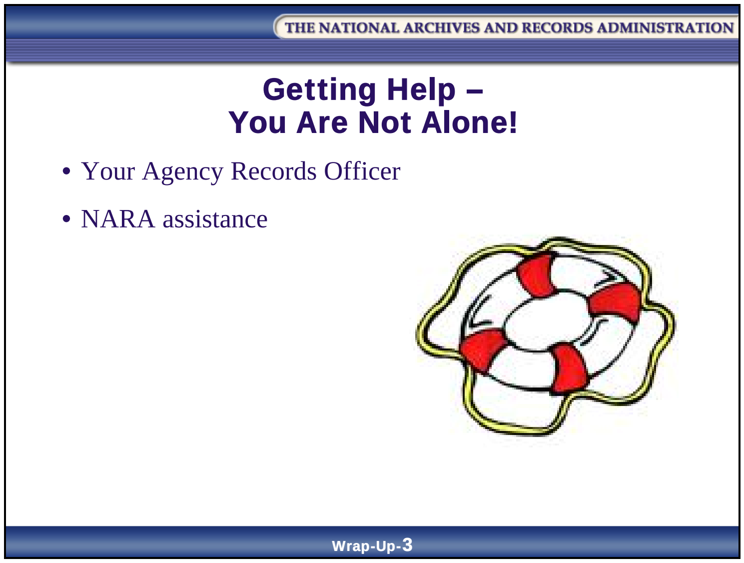
Where to Go for Help

Slide Wrap-Up-3



Help Resources

Help is available.

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

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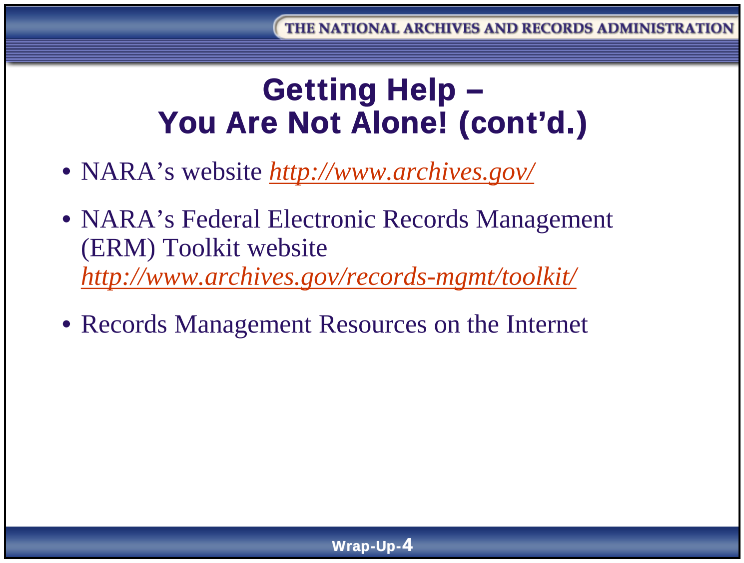
Slide Wrap-Up-4



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

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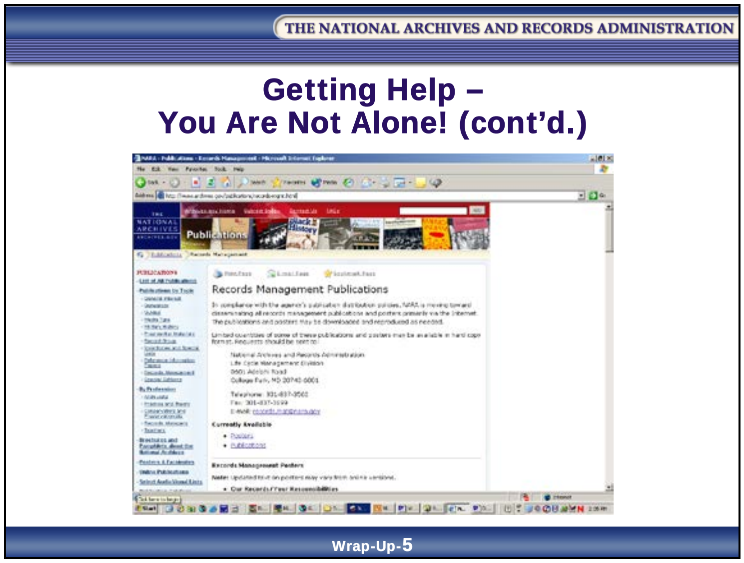
Slide Wrap-Up-5



- Publications

  NARA has a variety of records management publications and posters. The publications are available via the Internet. The publications and posters may be downloaded and reproduced as needed. Refer to NARA's website for publications *http://www.archives.gov/publications/records-mgmt.html*

  NARA's Records Management webinars, videos, and online briefings are located on NARA's YouTube page *http://www.youtube.com/playlist?list=PLugwVCjzrJsWbTAkNkRdOj_LsgsVpMHeZ*

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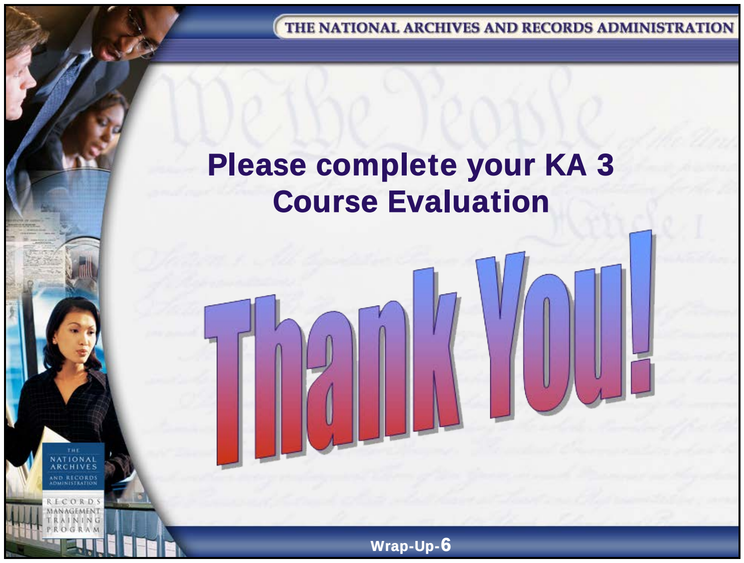
Course Evaluations

Slide Wrap-Up-6



Thank you for supporting NARA's Records Management Program. We value your opinion of our training course. Please take a few minutes to complete the course evaluation once it is available at NARA's Learning Center: *https://nara.csod.com*. Availability should be no later than 24 hours after the course's conclusion. Participants must complete and submit their course evaluation in NARA's Learning Center before they can receive their course certificate.

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