

## Knowledge Area 3

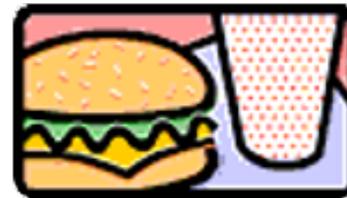
# Records Scheduling

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## Administrative Items

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



# Getting to Know You: Save the Records!

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

# Your Records Management Experience

How much records management experience do you have?

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

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

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

## About NARA

NARA is responsible for ensuring good management of modern records in all three branches of government.

NARA's National Records Management Program works with a network of Agency Records Officers to provide guidance to records management programs.



# Records Schedule Appraisal and Approval

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



## Electronic Records Archives (ERA)

- Electronic Records Archives (ERA) is NARA's system that allows Federal agencies to perform critical records transactions with NARA online
  - Agencies submit new and revised records schedules for approval in ERA
  - NARA and agencies track the schedule review and approval process through ERA

# Course Outline



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

- KA 1: Records Management Overview
- KA 2: Creating and Maintaining Agency Business Information
- **KA 3: Records Scheduling**
- KA 4: Records Schedule Implementation
- KA 5: Asset and Risk Management
- KA 6: Records Management Program Development

## Course Objectives

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

## Course Objectives (cont'd.)

- 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 involved in obtaining internal and external approvals of the Electronic Records Archives (ERA) Records Schedule

# Course Agenda

## Day 1

- Welcome
- 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

## Course Agenda (cont'd.)

### 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

# Course Materials

## 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

# Course Outline

## Applying What You Learned

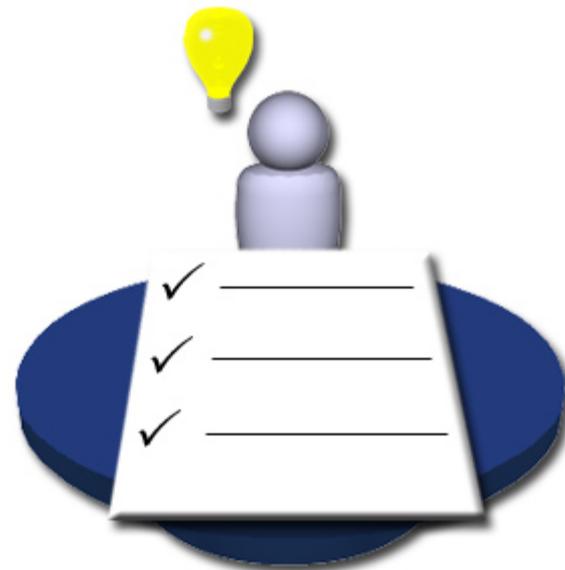


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## Action Items Worksheets

- At the end of each module you will be given the opportunity to complete an Action Items Worksheet
- Use this worksheet to record what you learned in the module and how you will apply it to your job





# Welcome

## Why Are We Here?

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# Why Are We Here?

- Focus: “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

# Activity

## Key Terms Familiarity



# Module 1: Overview of Records Scheduling

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# Module 1 Learning Objectives

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

# Module 1: Overview of Records Scheduling

## Lesson 1: The Records Scheduling Process

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# What is Records Scheduling?



## Definition of Records Scheduling

- The process of developing an electronic document in Electronic Records Archives (ERA) that provides the specific and mandatory instructions for what to do with records that are no longer needed for current government business
- Also called:
  - An ERA Records Schedule
  - Records disposition schedule
  - Records Control Schedule (RCS)
  - Records retention schedule
  - Schedule
  - SF 115 (paper, legacy form)

## Legal Foundation

- 36 CFR 1225 is the primary source for information about how to schedule records
- **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

## Failing to Comply

- Failure to comply can lead to significant consequences for you personally and for the agency, including litigation against the agency
- Unauthorized destruction of records can result in prison time, fines, or both (18 U.S.C. 2071)

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

## Primary Oversight Agencies

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

# Oversight Agencies – NARA



- NARA is responsible for adequacy of documentation, records disposition, and more.

**Federal agency records management programs must comply with regulations from NARA.**

## Oversight Agencies – OMB



- 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

# Oversight Agencies – GAO



- GAO found that:
  - Inadequate records creation and maintenance have caused the expenditure of millions of dollars for goods and services never received
  - Agencies are unable to justify controversial decisions because documentation of proposals and evaluations of alternatives have been destroyed

## Oversight Agencies – GAO (cont'd.)



- To help ensure that the records needed are properly maintained, agencies must obtain GAO's written approval for the disposition of:
  - Administrative records proposed for retention periods shorter than those prescribed by General Records Schedule (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

# Agency Roles and Responsibilities

- 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

## NARA's Roles and Responsibilities

- Oversee the disposition instructions for agency records and determine whether they are appropriate
- With respect to records scheduling:
  - Receive and review the ERA Records Schedule
  - Appraise records included on the ERA Records Schedule
  - Approve or revise the proposed dispositions

# Activity

Why Schedule Records?



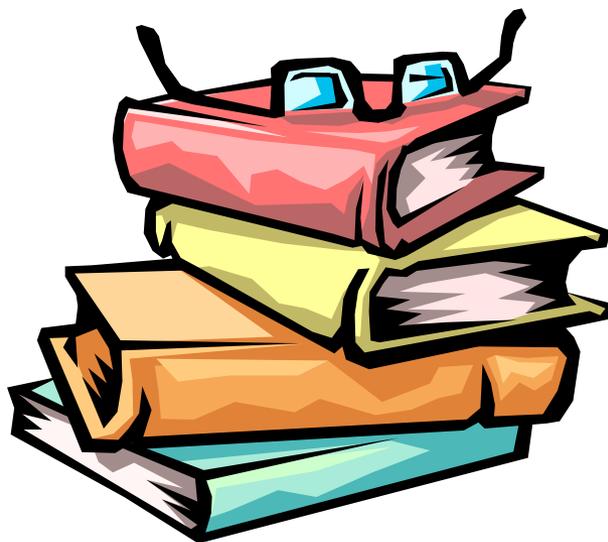
# Module 1: Overview of Records Scheduling

## Module 1 Review and Wrap-Up

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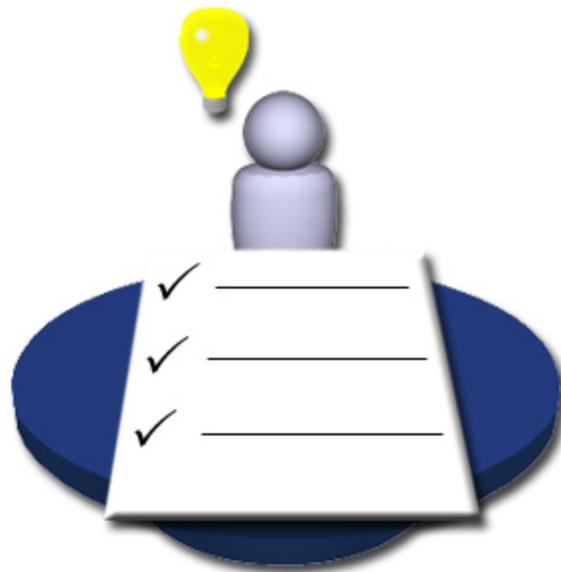
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# Module Review



# Applying What You Learned

## Module 1 – Action Items Worksheet



## Module 2: Preparing for Scheduling

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## Module 2 Learning Objectives

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

## Module 2 Learning Objectives (cont'd.)

- 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

## Module 2: Preparing for Scheduling

### Lesson 1: Analyzing Your Business

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# What is a Business Analysis?



## Definition of a Business Analysis

- 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

# Outcomes of a Business Analysis

- 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 for records
- Legal and statutory recordkeeping requirements

# General Guidance for Performing a Business Analysis

- Get management support
- Examine your organization's:
  - Founding legislation
  - Mission and functional statements
  - Strategic plan
  - Annual reports
  - Website
- Examine other laws and regulations related to your organization
- Interview key staff
- Look at the organizational chart

## General Guidance for Performing a Business Analysis (cont'd.)

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 is the nature of staff support activities?

## Determining the Recordkeeping Requirements and Practices

Answer the following questions:

- 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?

## Determining the Recordkeeping Requirements and Practices (cont'd.)

- 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 policy and procedures, if any, govern vital records, adequacy of documentation, personal papers of officials, and Privacy Act (PA) and Freedom of Information Act (FOIA) concerns?

# Determining the Business Needs

- Identify and document the role and purpose of the organization:
  - Structure
  - Functions
  - Business processes
- Analyze the business process:
  - Identify and document business functions, activities, and transactions
  - Establish the connections among functions, activities, and transactions
  - Identify and document the workflow and transactions
  - Determine whether records have multiple uses

## Definition of a Records Analysis

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.

## Performing a Records Analysis

The following key factors should be considered when conducting the records analysis:

- Is your scope organizational or functional?
  - Determine whether the records are organized, tracked, and accessed based on organization or function and 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?

## Performing a Records Analysis (cont'd.)

- Are you looking at routine and administrative records or program records?
  - Program records are unique to the agency
  - Administrative records may be covered 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?

# Determining Your Agency's Current Records Schedules

Determining your agency's current records schedules will assist in:

- Identifying the extent to which agency records are covered by National Archives and Records Administration (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

## Locating Your Agency's Current Records Schedules

To locate your agency's records schedules:

- Contact your Agency Records Officer (ARO) or Records Liaison
- Locate agency directives and policy issuances that refer to or offer guidance on the agency records management program
- Check your agency's Internet or intranet website
- Contact your agency's appraisal archivist at NARA
- View NARA's online Records Control Schedules (RCS)

# Analyzing Your Agency's Current Records Schedules

- Analyzing, reviewing, or spot-checking current agency records schedules can reveal:
  - New schedule items
  - Revised schedule items
  - Discontinued series or systems
  - Nonrecord materials coverage
  - Cutoff instructions
  - Transfer instructions

## Analyzing Your Agency's Current Records Schedules (cont'd.)

- Agency or program changes that may affect the records schedule:
  - 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
  - Internal reorganizations
  - Increases or decreases in office space

## What is a Risk Analysis?

- Assesses what would happen to an agency and its programs if certain records were not available 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
- Is often performed in conjunction with a business analysis and a records analysis

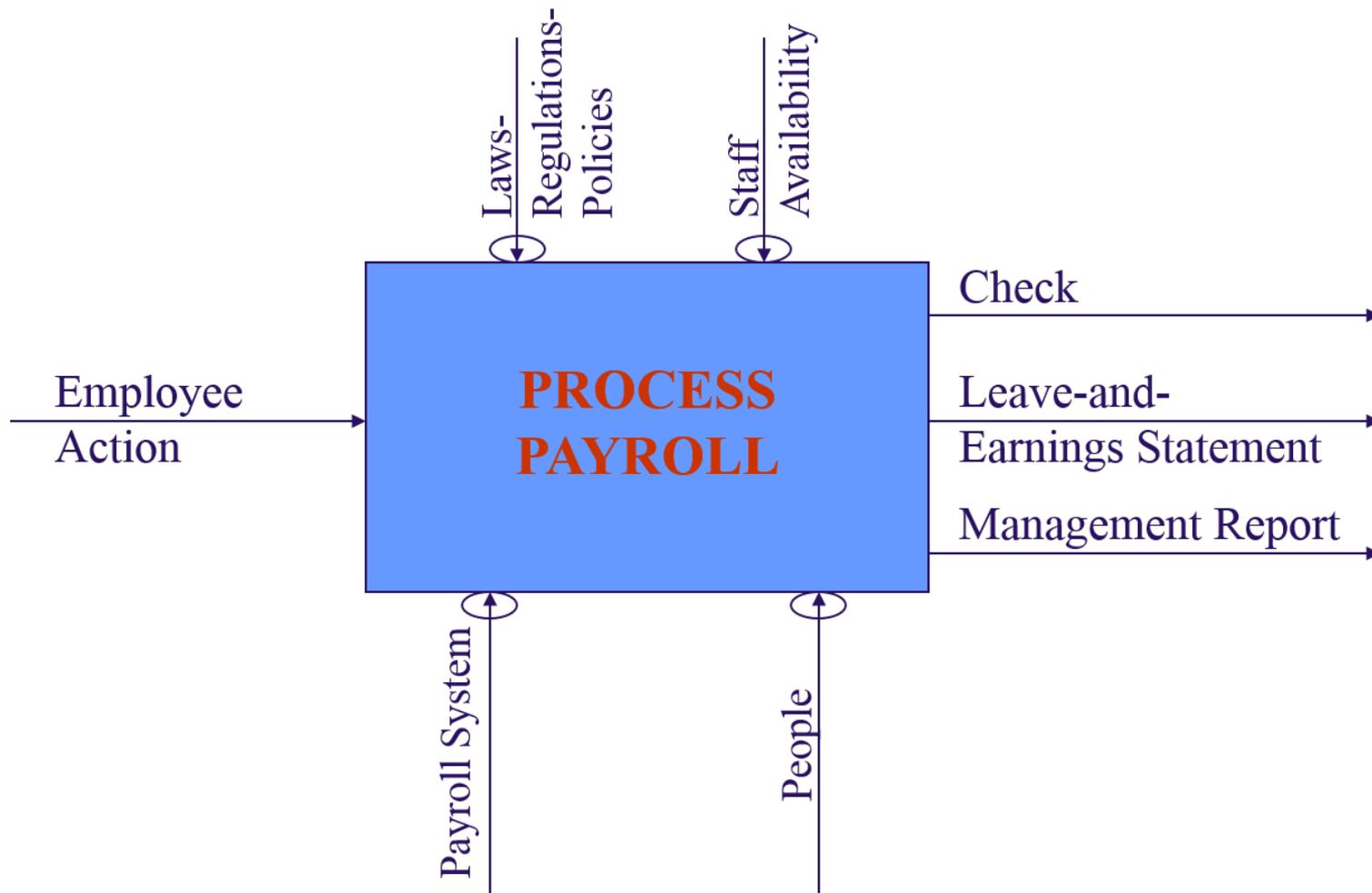
# Records Scheduling and Risk Mitigation

- Records scheduling is a central component of asset and risk management
- Risk can be mitigated through proper records scheduling
- Inadequate records scheduling can result in:
  - 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

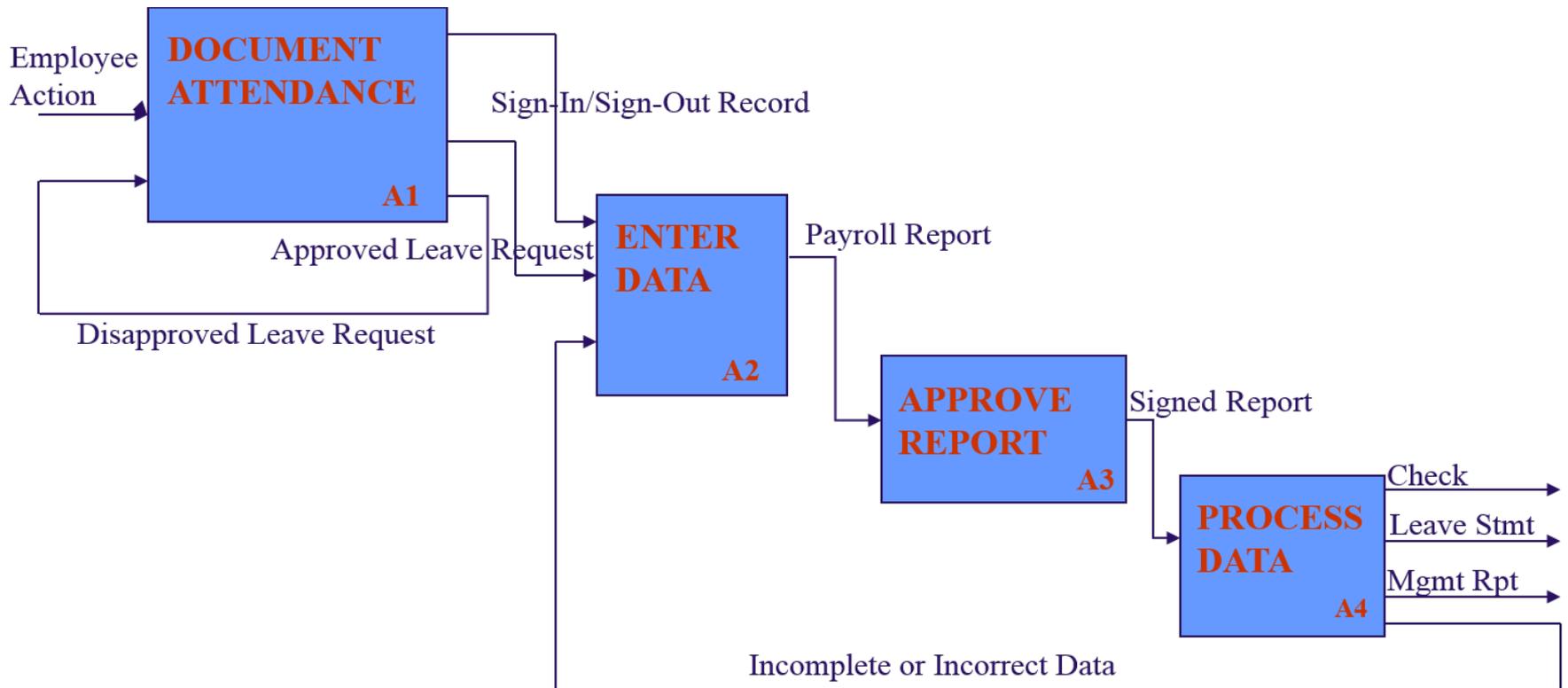
# Identifying and Analyzing Risks

- Some of the different types of risk to evaluate include:
  - Economic Risks
  - Legal Risks
  - Public Relations Risks
  - Agency Accountability
  - Mission Accomplishment Risks
  - Historical Documentation Risks

# Payroll Process



# Payroll Process (cont'd.)



# Records Risk Management

- A records risk management program should consist of:
  - Policy and procedures
  - Asset management
  - Records schedule(s)
  - Management support
  - Budget and resources
  - Training

## Module 2: Preparing for Scheduling

### Module 2 Review and Wrap-Up

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# Activity

## Preparing for Scheduling

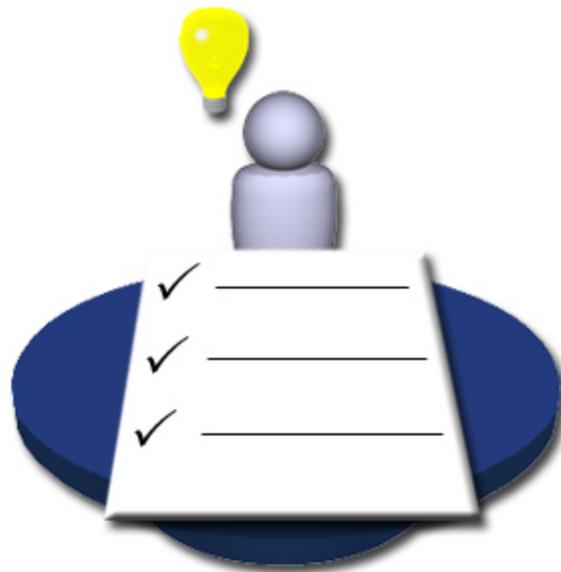


# Module Review



# Applying What You Learned

## Module 2 – Action Items Worksheet



## Module 3: Collecting Information for Scheduling

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## Module 3 Learning Objectives

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

# Module 3: Collecting Information for Scheduling

## Lesson 1: Planning Your Records Inventory

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# The Records Inventory

- A survey of an agency's records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems
  - Limited scope
  - Focuses on the records
- A descriptive listing of each record series or information system, location, and other pertinent data
  - Not a list of each document or folder

## Basic Steps in an Inventory

- 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

## Basic Steps in an Inventory (cont'd.)

- Prepare for the inventory
  - Determine the specific information to be collected
  - Prepare the inventory forms or database
  - Determine who will conduct the inventory and train them
- Conduct the inventory

## Establishing the Goals, Focus, and Scope of Your Inventory

- To be comprehensive and on target:
  - Define the goals
  - Determine the focus
  - Determine the scope

## Establishing the Goals, Focus, and Scope of Your Inventory (cont'd.)

- Define the goals to ensure that you collect the information you need
- Goals for conducting an inventory may include:
  - Establishing key components of your records management program, such as developing a records schedule
  - Establishing proper maintenance of records
  - Developing a file plan

## Establishing the Goals, Focus, and Scope of Your Inventory (cont'd.)

- Determine the focus
- Answer 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?

## Establishing the Goals, Focus, and Scope of Your Inventory (cont'd.)

- Determine the scope:
  - An agency
  - An organization
  - A department
  - An office
  - A program
  - A function
  - Current records
  - Noncurrent records
- When completed, the inventory should include all offices within the scope, all records in all media (paper, electronic, audiovisual, microform, and other formats), and all nonrecord materials

## Locating the Agency's Files and Identifying Contacts

- Learn where the agency's files are located, both physically and organizationally
- Identify access issues and begin to get an idea of the volume of records you need to inventory
- Identify program-area and subject-expert contacts for the inventory:
  - Obtain contact information for each
  - Advise contacts of what you plan to do, and indicate the support you will need from them

## Obtain Management Approval

- Develop a written plan for collecting the information
- State business objectives, such as:
  - Reducing storage costs by reducing the volume of records
  - Reducing legal vulnerabilities by enforcing proper security procedures
- Present the plan to management for review, feedback, and approval
- Ask for written commitment to:
  - Show management support
  - Define project direction
  - Authorize records staff (or consultants) to proceed
  - Ask for the cooperation of staff

# Module 3: Collecting Information for Scheduling

## Lesson 2: Preparing for and Conducting the Inventory



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## Preparing to Conduct the Inventory

- Determine the 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

## Determine the Information to Be Collected

- Agency records, with the exception of electronic records, are most suitably inventoried by series
- Electronic records should be inventoried by system
- An inventory needs to collect certain elements of information for each series and system
- The elements collected should give you the information you need to determine:
  - What the records are
  - How to maintain them
  - How they should be organized

## Inventory Elements for a Record Series

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

## Inventory Elements for a Record Series (cont'd.)

- Point(s) of contact
- Series Description, including:
  - Purpose
  - Use
  - Subject content
  - How the records support the business process
  - Special attention to describing potentially permanent records and special media components
  - Less detailed descriptions for administrative or housekeeping records scheduled by the General Records Schedules (GRS)
- Document record medium (paper, electronic, silver or diazo microform, audiovisual, etc.)

## Inventory Elements for a Record Series (cont'd.)

- Arrangement (alphabetical by subject, alphabetical by name, numeric by contract number, chronological, etc.)
- Volume (in cubic feet)
- Estimation of the annual accumulation (based on information from the file custodian)
- Cutoff (how often records are cut off, or should be)
- Disposition authority
  - If the series has an approved disposition authority, list the schedule, item number, and retention period

# Inventory Elements for Electronic Systems Records

- System name
- System control number
- Agency program supported by the system
- Agency program(s) or mission(s) to which the system relates
- Purpose of the system
- Contact information for program personnel who can provide additional information

# Inventory Elements for Electronic Systems Records (cont'd.)

- Data input and sources:
  - Primary data input sources and providers of the data to the system
  - Names of other systems providing data to this system
- Information content:
  - Main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics
  - Whether the system saves superseded information or contains microdata or summary data (macrodata)
- Major outputs:
  - Main products and the frequency of their preparation
  - Whether information is transferred to other systems

## Inventory Elements for Electronic Systems Records (cont'd.)

- The hardware and software environment (operating system and client architectures)
- Contact information for system managers
- Location of documentation (codebooks and file layouts)
- The location and volume of storage media containing identical or incomplete information:
  - Magnetic tapes or disks containing information identical to that in the system being inventoried
  - The number of tapes and disks and their storage capacity

# Inventory Elements of Audiovisual Records

- Series and Information System Descriptions
- Date of Records
- Arrangement
- Volume
- Nature and Frequency of Use
- Cutoff Instructions
- Current Disposition
- Recommendations for Disposition
- Comments
- Special supporting elements (negatives, finding aids, etc.)

# Methods of Collecting Inventory Information

- Questionnaire completed by staff members
  - Advantages:
    - Speed with which the questionnaires can be completed
    - Relatively small number of people needed to complete the inventory
  - Disadvantages:
    - Usually provides less accurate data than site survey
    - May require spot-checking key series
- Site survey or physical inventory (preferred)
  - Advantages:
    - Provides most accurate results
  - Disadvantages:
    - Requires the use of trained personnel
    - Time consuming and labor intensive

# Methods of Collecting Inventory Information (cont'd.)

- Interview
  - Advantages:
    - Can clarify information and clear up misunderstandings on the spot
  - Disadvantages:
    - Time intensive
    - May gather too much information, making it hard to summarize and extract needed data

# Prepare Information Collection Forms

- Plan to use a form to collect the information elements
- Determine level of technology:
  - Manual
  - Electronic
  - Combination
- Design your own form or use NARA forms:
  - Series Inventory Form
  - Audiovisual Records Series Inventory Form
  - Information System Description Form

# Prepare Information Collection Forms (cont'd.)

<b>SERIES INVENTORY FORM</b>	
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
10. VOLUME (in cubic feet)	15. DUPLICATION Are documents in this series available in another place or medium?  Yes No (If yes, explain where and in what medium)
11. ANNUAL ACCUMULATION (in cubic feet or inches)	16. FINDING AIDS (if any)
12. CUT-OFF (e.g., end of FY)	17. RESTRICTIONS ON ACCESS AND USE
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.)	18. CONDITION OF PERMANENT RECORDS Good Fair Poor Comments

# Prepare Information Collection Forms (cont'd.)

## 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)

# Prepare Information Collection Forms (cont'd.)

## 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		

**Bibliographic note:** Web version based on form on page A-1 of *Managing Audiovisual Records, Second Edition, National Archives and Records Administration Instructional Guide Series*, College Park, MD (1996), 21 pp.

## Determine Who Will Conduct the Inventory

- Normally, Agency Records Officers or experienced staff members perform the inventory for scheduling
- Should additional personnel need to be involved, they must be trained to ensure proper collection

## Conducting the Inventory

- Begin with current records in office space – also include records stored off-site; for example, at records centers
- Compare inventory results with the GRS and approved agency records schedules
- When completed, the inventory should include:
  - All offices in the projected scope
  - All records in all media
  - All nonrecord materials
  - Centralized files and records
  - Records in people's offices
  - Records on network drives
  - For a functional schedule, all the relevant records in all the offices related to the function

# Collecting Inventory Information

- Interview all staff (program or administrative)
  - They can tell you all you need to know about the records and program that created the records
  - They can provide additional information on the business needs for the records
- Have the necessary resources to compile the data
  - For a paper based inventory collection process, have the necessary resources to compile the data and put it in some type of usable format
- Review existing system descriptions and process flows
  - For information systems, this could include process flows that identify information captured at various stages in the work process
  - Usually, the system designer files can provide all the information you need for the system architecture

# Collecting Inventory Information (cont'd.)

## Look at agency resources:

- On-site records storage facility
- IT office
- Information resources management office
- Agency clearance officer
- Interagency liaison
- Privacy Act coordinator
- Freedom of Information Act coordinator
- System of Records Notices
- Data center staff
- Agency historian
- Program officers
- Agency security officer
- Agency's annual report
- Agency websites

# Module 3: Collecting Information for Scheduling

## Module 3 Review and Wrap-Up

THE  
NATIONAL  
ARCHIVES  
AND RECORDS  
ADMINISTRATION

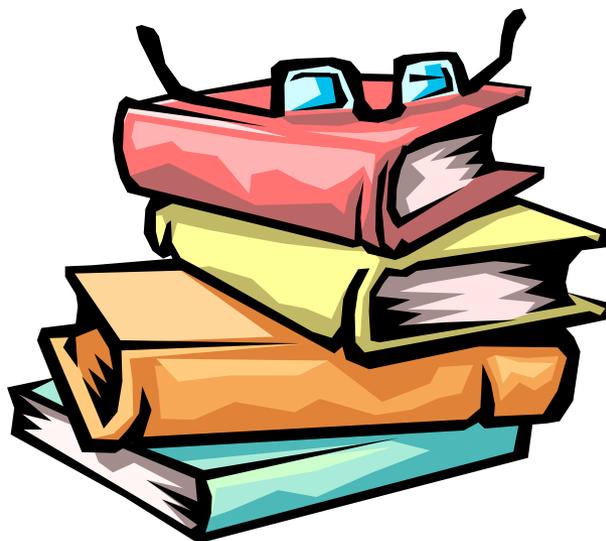
RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM

# Activity

## Conducting an Inventory



# Module Review



# Applying What You Learned

## Module 3 – Action Items Worksheet



Day 1  
Wrap

# Knowledge Area 3

## Day 1 Wrap-Up

THE  
NATIONAL  
ARCHIVES  
AND RECORDS  
ADMINISTRATION

RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM

# Course Agenda

## Day 1

- Welcome
- 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

## Course Agenda (cont'd.)

### 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

# Knowledge Area 3

## Day 2 Welcome Back

THE  
NATIONAL  
ARCHIVES  
AND RECORDS  
ADMINISTRATION

RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM

# Course Agenda

## Day 1

- Welcome
- 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

## Course Agenda (cont'd.)

### 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



## Module 4: Developing an ERA Records Schedule

THE  
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AND RECORDS  
ADMINISTRATION

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## Module 4 Learning Objectives

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

- Analyze and evaluate information collected in the record inventory to determine the appropriate disposition of each record or record 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

## Module 4 Learning Objectives (cont'd.)

- Explain the purpose of an 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

## Module 4 Learning Objectives (cont'd.)

- 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

# Module 4: Developing an ERA Records Schedule

## Lesson 1: Developing a Draft ERA Records Schedule

THE  
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## Steps for Drafting an ERA Records Schedule

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

## Steps for Drafting an ERA Records Schedule (cont'd.)

- 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

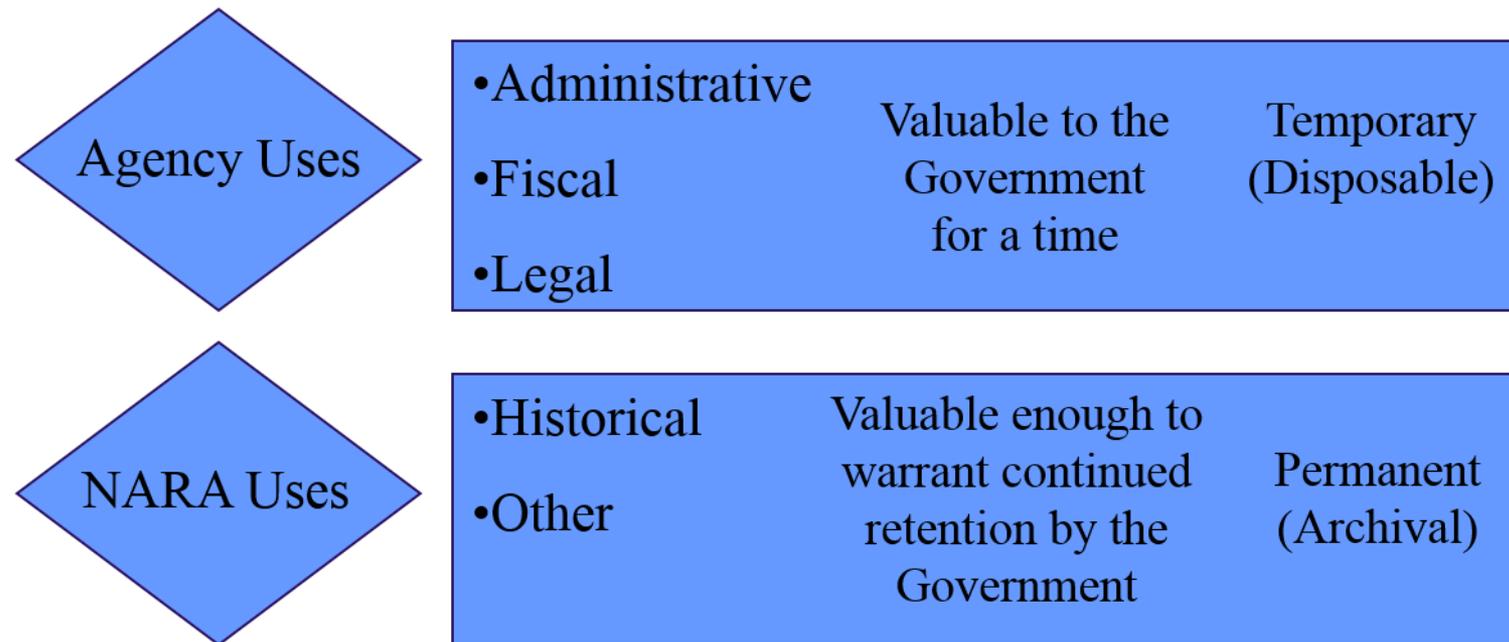
## Identify the Records and the Nonrecord Materials

- Determine whether each inventory item listed is a records or nonrecord materials
- 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

## Temporary or Permanent Record?

- Determine whether to recommend temporary or permanent retention for each record series or information system
- The recommendation will be appraised and either approved or disapproved by NARA

# The Value of Records



## Value: The Agency's Viewpoint

- Records are valuable because they:
  - Are the basic tools by which the agency conducts or documents 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 of persons directly affected by the agency's activities
- Agency record values fall into three overlapping categories:
  - Administrative
  - Fiscal
  - Legal

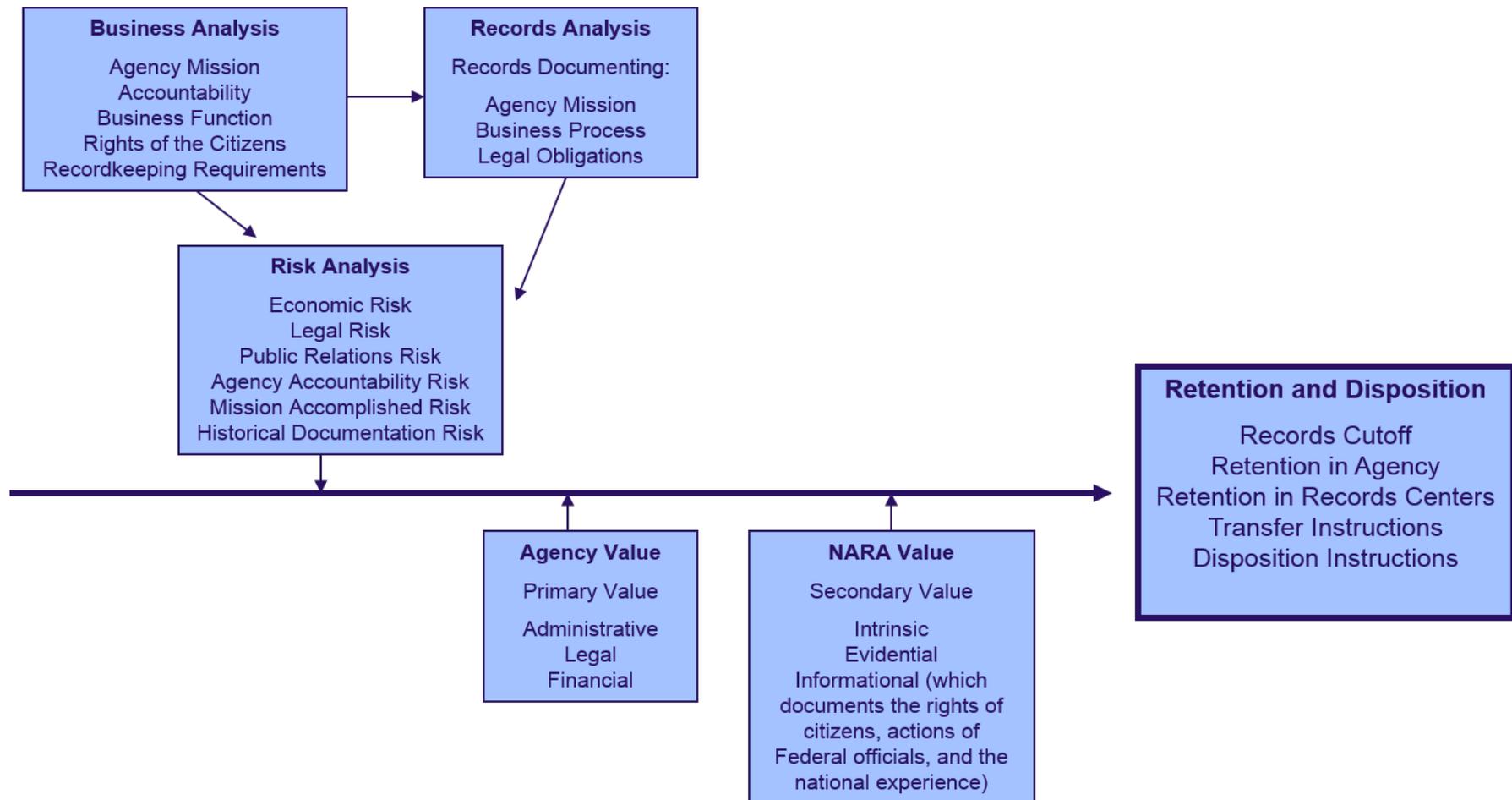
## Value: NARA's Viewpoint

- NARA ensures continuing access to essential evidence that documents the:
  - Rights of American citizens
  - Actions of Federal officials
  - National experience
- NARA
  - Determines what evidence is essential for such documentation
  - Creates guidance and policies to support adequate recordkeeping practices in agencies
  - Ensures continuing access to essential evidence

## Value: NARA's Viewpoint (cont'd.)

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

# Determining Retention Requirements



## Determining Retention Requirements (cont'd.)

Ask:

- 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)

## Determining Retention Requirements (cont'd.)

Ask:

- Will the proposed retention account for your agency's use of its 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)

# The Purpose of an ERA Records Schedule

Requests disposition authority for all records not covered appropriately by the GRS.

## Drafting an ERA Records Schedule

- Be able to answer:
  - 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 and paper, film and DVD, etc.)
  - When are the records no longer actively needed by the office?
- Work from the records inventory

## Drafting an ERA Records Schedules (cont'd.)

For each record or record series, develop or determine:

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

## Developing a Description

A record or record series description:

- Is brief but informative
- Describes the record in terms of form, content, and basic purpose

## Developing a Description (cont'd.)

- Example of a good record series description:

### **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

## Developing a Description (cont'd.)

- Example of an inadequate record series description:  
Documents related to decisions or program management functions, finance, supplies, equipment, and travel.

# Formulating Disposition Instructions

- Disposition instructions explain what to do with the records when they are no longer needed for current government business
- Disposition instructions include:
  - Records cutoff information
  - Records retention
  - Transfer and final disposition instructions

## Records Cutoffs

- Records cutoff instructions should be based on a time, event, or combination of the two, such as:
  - 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 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

## Transfer Instructions

- A transfer is the act or process of moving records from one location to another, from:
  - The office space to agency storage facilities or Federal Records Centers (FRCs)
  - One Federal agency to another
  - Office or storage space to the National Archives for permanent preservation
- Transferring does not relieve the owning agency of legal or management responsibilities for nonpermanent records
- Transfer instructions:
  - Are based on a time period after cutoff
  - Can include agency or FRC storage instructions

## Transfer Instructions (cont'd.)

- Examples of transfer instructions:
  - Transfer to FRC two years after close of file. Transfer to the National Archives in five-year blocks when 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

# Disposition Instructions for Permanent Records

- Disposition instructions for permanent records should include:
  - The word “PERMANENT”
  - Cutoff instructions
  - Instructions for transferring the records to an FRC, if applicable
  - Instructions for transferring the records to the National Archives, including both timing and blocking

## Disposition Instructions for Temporary Records

- Disposition instructions for temporary records should include:
  - The word “TEMPORARY”
  - Cutoff instructions
  - Instructions for transferring the records to an FRC, if applicable
  - The word “DESTROY” (or “DELETE,” if the records are on reusable media, such as magnetic tape or disk), not “DISPOSE OF”
  - A retention period based on a realistic and informed assessment of the business needs and administrative, legal, and fiscal values

## Records Retention Wording

- Retention periods for temporary records may be expressed:
  - As a fixed period after records are created or cut off
  - As a fixed period after a predictable event (normally a fixed period after the systematic cutoff following that event)
- Records should not be scheduled for destruction:
  - On termination of the office or program
  - “When no longer needed”
- Avoid contingency retention periods if possible
- Other specific wording depends on the action involved:
  - “Destroy when property is sold or vacated, whichever is later”
  - “Destroy when superseded by revised plan or when building is sold, whichever is sooner”

# Example of Records Schedule Entry

## Correspondence Files

Incoming and outgoing correspondence:

- a. Program 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

**PERMANENT**

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

## Example of Records Schedule Entry (cont'd.)

- 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 needs of the office.

# Applying the GRS

- Remember:
  - Use the GRS for common administrative records not covered by the agency's records schedule(s)
  - GRS authorities are normally mandatory
  - Most records described in the GRS are temporary, although the GRS also include the disposition of some records that are permanent
  - If the retention periods in the GRS are not appropriate, request an exception by submitting an ERA Records Schedule for a different retention period
  - If records are not listed in the GRS, you must create an ERA Records Schedule for them

## Tailoring GRS Descriptions to Fit Agency Records

- When tailoring a GRS description:
  - 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

## OPM and GAO Records

- Agencies create and maintain records for the Office of Management and Budget (OPM) or the Government Accountability Office (GAO)
- The agency does not have full legal control over these records
- Examples of OPM Records:
  - Official Personnel Folders (OPFs)
  - The Individual Retirement Record (SF 2806)
- Example of GAO records:
  - GAO site audit records

# Activity

GRS or Not?



# Organizing an ERA Records Schedule

- To determine the appropriate arrangement for your records schedules, address three questions:
  1. What type of schedule best meets your agency's needs – organizational or functional?
  2. Which scheduling technique best fits your agency's needs – traditional or flexible?
  3. Will you use a media neutral schedule that captures record content, regardless of format?

## Types of Schedules

- **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

Primary Advantages	Primary Disadvantages
<ul style="list-style-type: none"> <li>• Follows the structure of the organization</li> </ul>	<ul style="list-style-type: none"> <li>• Applies only to the office indicated</li> </ul>
<ul style="list-style-type: none"> <li>• Easy to find “your records”</li> </ul>	<ul style="list-style-type: none"> <li>• Must be updated with each reorganization</li> </ul>
	<ul style="list-style-type: none"> <li>• Usually contains large numbers of items</li> </ul>

## Types of Schedules (cont'd.)

- **Functional Schedule**

- Records are grouped by functional type, class of records, or business function(s) of the organization
- A records schedule is developed for each grouping

Primary Advantages	Primary Disadvantages
<ul style="list-style-type: none"> <li>• Does not have to be updated if the agency reorganizes</li> </ul>	<ul style="list-style-type: none"> <li>• May describe records in multiple locations in the records schedules</li> </ul>
<ul style="list-style-type: none"> <li>• Wide applicability</li> </ul>	<ul style="list-style-type: none"> <li>• May be difficult for units to locate all of their records</li> </ul>
<ul style="list-style-type: none"> <li>• Limits the number of items listed</li> </ul>	

# Scheduling Techniques

- **Traditional Scheduling**
  - Records or record series are listed item by item with specific retention periods

## Scheduling Techniques (cont'd.)

- Flexible Scheduling
  - Disposition instructions are applied to groupings of information and categories of records

### Big Bucket/Large Aggregation

- Disposition instructions are applied to a body of records grouped at a level of aggregation greater than the traditional file series or electronic system

### Flexible Retention

- Disposition instructions are applied to individual record series or electronic systems or groups of them, with consistent retention periods
- This states the same retention periods for series or electronic systems within work process functions

## Big Bucket

- A type of flexible schedule that applies disposition instructions to a body of records grouped at the series level or a higher level of aggregation along specific program areas or functional lines or in a defined business process
- Also known as a large aggregation schedule
- Should be based on records grouped at the series level or along specific program areas or functional lines, not on records grouped by retention periods

# Traditional Series-Based Scheduling vs. Big Bucket Scheduling

## Series-Based Scheduling:

- Divides records by document or series title and creating office
- Many series sharing 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 pieces with same retention period in one “bucket” (or group)

## Flexible Retention

- An arrangement and disposition tool that can be applied to individual records or groups of record series or e-systems to establish consistent retention periods
- Allows for series or e-systems within work process functions to have the same stated minimum and maximum retention periods

## Flexible Retention (cont'd.)

To provide flexibility, the disposition instructions may:

- Specify a mandatory minimum retention period for records but allow for continued retention beyond that time
- Specify a time band that provides both minimum and maximum retention periods for records
- Authorize the disposal of records when no longer needed for business purposes

## Why Use 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

## Media Neutral Schedules

- Cover records that:
  - Have the same information and retention period
  - Are on different media
- All schedules submitted after December 17, 2007, are media neutral unless otherwise stated in 36 CFR
- Records schedules submitted before December 17, 2007
  - Temporary schedules not media neutral
  - Permanent schedules are media neutral but agency must submit a formal Media Neutrality Notification to NARA

# Overviews and Record Schedules

The screenshot shows a web browser window titled "Creating Records Schedule Items - Windows Internet Explorer". The address bar shows the URL: [http://www.archives.gov/era/training/modules/RS\\_demo\\_creating\\_RS\\_items.htm](http://www.archives.gov/era/training/modules/RS_demo_creating_RS_items.htm). The browser's address bar also shows "Convert" and "Select" options.

The main content area is titled "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION" and displays the "Records Schedule: DAA-NU-2011-0126" with a status of "Draft". Below this, there are tabs for "General Information", "Item Information", "Executive Summary", "Contact Information", "Related Assets", and "Attachments".

The "Item Information" tab is active, showing a hierarchy tree on the left side. The tree includes:

- DAA-NU-2011-0126
  - 0001 - Technical Report Files
  - 0002 - Laboratory Notebooks
  - Project Case Files
    - 0003 - Historically Significant Projects
    - 0004 - All other Projects

Buttons for "Edit", "Add Overview", "Add Item", "Move", "Re-order", and "Delete" are visible on the right side of the tree. Below the tree, the "Records Schedule Item: All other Projects" is displayed with a status of "Pending".

The "General Information" section shows:

- Disposition Authority Number: DAA-NU-2011-0126-0004
- Item Title: All other Projects

At the bottom of the page, there are "BACK" and "CONTINUE" buttons. The browser's status bar at the bottom indicates "Trusted sites | Protected Mode: Off" and "100%".

## Obtaining Internal Clearances

- Obtain internal clearances before submitting records schedules to NARA
- Send to program offices, agency historian, and legal office for comment
- Ask:
  - Are all records covered?
  - Are descriptions clear?
  - Are retention periods adequate?
  - Are cutoff and transfer instructions clear?
- Revise as required

## Requesting GAO Approval

- The GAO must approve ERA Records Schedule items falling under three categories:
  - Administrative records proposed for retention periods shorter than those prescribed by GRS 2–10 and some authorities in the more recent GRS 1.1, GRS 1.2, and GRS 2.5
  - All program records having a proposed retention period of less than three years
  - Records related to claims and demands by or against the government

## Requesting GAO Approval (cont'd.)

- If GAO approval is necessary, the agency must request it when submitting an ERA Records Schedule to NARA
- NARA will hold final approval until GAO's written concurrence is received
- Agencies must send a copy of the draft ERA Records Schedule and a cover letter to GAO
- GAO will notify both NARA and the agency of its concurrence

# Managing Unscheduled Records

While waiting for schedule approval:

- Maintain the records in a recordkeeping system until they have an approved disposition
- Treat the records as permanent
- Do not destroy the records; you do not have the authority to destroy or delete unscheduled records

## Getting Help – Partnering with NARA

- 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

## Getting Help – Partnering with NARA (cont'd.)

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

## Module 4: Developing an ERA Records Schedule

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

THE  
NATIONAL  
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AND RECORDS  
ADMINISTRATION

RECORDS  
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## Information for NARA Appraisal

- NARA requires more information when appraising electronic and special media records for retention
- 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
- NARA ensures that the records can be transferred and stored under optimal conditions for survival and makes provisions to ensure the preservation of the records through their assigned retention periods

# Records Schedule Information for Electronic Records and Information Systems

- Disposition instructions must include:
  - An introductory paragraph describing the information system
  - Description and disposition of the following:
    - Input records (for databases)
    - Master data files (for databases)
    - Output records (for databases)
    - System documentation

## Records Schedule Information for Electronic Records and Information Systems (cont'd.)

- 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

## Records Schedule Information for Electronic Records and Information Systems (cont'd.)

- To assist NARA in determining whether records appraised as permanent can be transferred to NARA, the following information is required on the ERA Records Schedule:
  - For the technical analysis:
    - Structure of information
    - Types of storage used for the files
    - Migration and purge criteria
    - Physical storage methods and the capabilities of the creator
    - Analysis of documentation
    - File size and completeness
    - Measure of the integrity of the database

## Records Schedule Information for Electronic Records and Information Systems (cont'd.)

- To assist NARA in determining whether records appraised as permanent can be transferred to NARA, the following information is required on the ERA Records Schedule :
  - For other considerations:
    - Hardware and software dependence
    - Availability of documentation
    - Data migration strategies and controls
    - Storage condition
    - Ease of use

# Scheduling Special Media Records

Remember to schedule special media records in conjunction with related textual records.

- Microforms
- Cartographic, remote-sensing imagery, and geographic information system records
- Architectural records
- Audiovisual records

## Scheduling Special Media Records (cont'd.)

Include the following as appropriate:

- Photographs
- Captions and contextual information
- Finding aids
- Indexes
- Technical specifications (including information such as type and format of film)

# Disposition Instructions for Electronic and Special Media Records

- If the electronic or special media records are temporary, include the following components:
  - 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 Electronic and Special Media Records (cont'd.)

- If the electronic or special media records are permanent, include the following components:
  - Label: “PERMANENT”
  - Cutoff instructions
  - Instructions for transfer to a records storage facility
  - Permanent retention instructions
  - National Archives transfer instructions
  - Volume on hand, annual accumulation, arrangement, and inclusive dates
- Transfer permanent electronic and other special media records to NARA as soon as they are no longer needed for business needs to ensure that environmental and other special needs are met and maintained

# Finding Guidance for Developing a Records Schedule

- Various documents are available from NARA to help you manage electronic and special media records:
  - Electronic records – Management
  - Electronic records – Transfer
  - Audiovisual records
  - X-ray films
  - Microforms

# Activity

## Developing an ERA Records Schedule Critical Thinking



# Completed Form: AISS Inputs

*Records Schedule Critical Thinking Form*

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N	<b>AISS Inputs</b> Includes BPR Form 2020, Accident and Incident Report			Destroy after the information has been converted to an electronic medium and verified. (GRS 4.3, Item 010))
	X					
Permanent/ Temporary	P	T				
		X				
Covered by GRS? (#)	Y	N				
	X					

# Completed Form: AISS Outputs 1

*Records Schedule Critical Thinking Form*

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N	<b>AISS Outputs</b> Includes data for the Biennial Report on BPR Incidents and Accidents prepared under Congressional mandate	Close file upon publication of the report	Pre-accession to NARA 3 years after report is issued	PERMANAENT Transfer to NARA 10 years after report is issued
	X					
Permanent/ Temporary	P	T				
	X					
Covered by GRS? (#)	Y	N				
		X				

# Completed Form: AISS Outputs 2

*Records Schedule Critical Thinking Form*

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N	<b>AISS Outputs</b> Includes ad hoc reports	Close file upon publication of the report		Varies File ad hoc reports and printouts with appropriate case file or related records. Follow the disposition instructions for related records
	X					
Permanent/ Temporary	P	T				
Covered by GRS? (#)	Y	N				
		X				

# Completed Form: AISS Masterfile

*Records Schedule Critical Thinking Form*

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N	<b>AISS Masterfile</b> Includes, but is not limited to: type of accident or incident, location and date of accident or incident, name of accident victim, office symbol, and reporting official	Cut off at the end of FY	Transfer pre-accession data annually to NARA as specified in 36 CFR 1235 Subpart C or standards applicable at the time of transfer	PERMANENT transfer date to NARA 10 years after cutoff
	X					
Permanent/ Temporary	P	T				
	X					
Covered by GRS? (#)	Y	N				
		X				

# Completed Form: AISS Documentation

*Records Schedule Critical Thinking Form*

Record Reference #			Record Description	Record Cutoff	Transfer Instructions	Disposition Instructions
Record/ Nonrecord Mat.	Y	N	<b>AISS Documentation</b> Includes user guides, specifications, codebooks, and record layouts and other documentation used to interpret the data in the Masterfile	Cut off annually at end of FY	Transfer documentation annually with the master database	PERMANENT transfer date to NARA 10 years after cutoff (GRS 3.1, Item 050)
	X					
Permanent/ Temporary	P	T				
	X					
Covered by GRS? (#)	Y	N				
	X					

## Module 4: Developing an ERA Records Schedule

### Lesson 3: Completing a Draft ERA Records Schedule

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## When to Create a Draft ERA Records Schedule

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

## 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 key elements of a records schedule:
  - Organizational unit or functional area
  - Description of records series and information systems
  - Disposition instructions:
    - Instructions for temporary records
    - Instructions for permanent records

## Other Considerations

- Within an agency, disposition authorities can be applied after a reorganization only if the nature, content, and function of the records remain the same
- One department or independent agency cannot apply disposition authorities approved for another department or independent agency
- Unless the schedule specifies otherwise, disposition authorities apply retroactively to all existing records described in the schedule

## Create Records Schedule

Select a Record Group to start.

\* = Required field

General Information

General Information

\* Agency or Establishment: Department of the Environment

\* Record Group / Scheduling Group: -- Select one --

Records Schedule applies to: Major Subdivision

Major Subdivision: Bureau of Public Recreation

Minor Subdivision: Assistant Administration of Recreation

Schedule Subject: AISS Congressional Mandate Biennial Report

 Edit

 Spell check

Internal agency concurrences will be provided: No

Record Group(s) to which this schedule applies: 700-Bureau of Public Recreation

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- General Information
- Item Information
- Executive Summary
- Contact Information
- Related Assets
- Attachments

Add Records Schedule Item

OK Cancel

Status: Pending

General Information

Disposition Authority Number:

\* Item Title:

**AISS Outputs**

Edit

Spell check

Item Description:

Includes data for the Biennial Report on BPR Incidents and Accidents prepared under Congressional mandate.

Edit

Spell check

\* Is this item media neutral? -- Select one --

\* Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? -- Select one --

Manual Citation

Add Delete

<input type="checkbox"/>	Manual Citation:	<input type="text"/>
	Manual Title:	<input type="text"/>

GRS or Superseded Authority Citation

Add Delete

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GRS or Superseded Authority Citation

Add Delete

This item supersedes Disposition Authority Number:

Disposition

Final Disposition:  Permanent  Temporary

Disposition Instruction and Additional Information

Section: 1 of 1 Add Delete

If this item has multiple sections, indicate here records to which this section apply: -- Select one --

Disposition Instruction

Cutoff Instruction:

Close file upon publication of the report

Edit  
Spell check  
Edit  
Spell check

Transfer to Inactive Storage Instruction:

Transfer Electronic Records to the National Archives for Pre-Accessioning

- Transfer electronic records to the National Archives for pre-accessioning immediately after
- Transfer electronic records to the National Archives for pre-accessioning  year(s) after

Transfer to the National Archives for Accessioning

- Transfer to the National Archives immediately after
- Transfer to the National Archives  year(s) after

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Transfer to Inactive  
Storage Instruction:

 Spell check

 Edit

 Spell check

**Transfer Electronic Records to the National Archives for Pre-Accessioning**

- Transfer electronic records to the National Archives for pre-accessioning immediately after [ ]
- Transfer electronic records to the National Archives for pre-accessioning [ 3 ] year(s) after [ Report is issued ]

**Transfer to the National Archives for Accessioning**

- Transfer to the National Archives immediately after [ ]
- Transfer to the National Archives [ 10 ] year(s) after [ Report is issued ]
- Transfer to the National Archives [ ] year(s) and [ ] month(s) after [ ]
- Transfer to the National Archives between [ ] year(s) and [ ] year(s) after [ ]
- Transfer to the National Archives in [ ] year blocks [ ] year(s) after [ ]

Other [ ]

 View

 Spell check

If records are not transferred to NARA physical custody when legal custody is transferred, specify institution that will maintain physical records:

-- Select one --

# SF 115 and ERA Records Schedule Crosswalk

Records Schedule General Info Tab in ERA

SF-115

Create Records Schedule Schedule Status: [criteria]

Enter EIR

**General Info**

\* Record Field: General

\* Agency or Establishment: [Select One]

\* Record Group/Schedule Orig. Den. #: [Select One]

\* Records Schedule applies to: [Select One]

Major Subdivisions: [Text Area]

Minor Subdivisions: [Text Area]

Schedule Subject: [Text Area]

Internal Agency Comments will be provided: [Select One]

\* Record Group(s) to which this schedule applies: [Select One]

**Background**

Background Information: [Text Area]

**GPO Comments**

\* [Text Area]

**Records Schedule**

Item No.	Description	Disposition
1		
2		
3		
4		
5		
6		

[Save] [Cancel]

**Request for Records Disposition Authority**  
(See Instructions on reverse)

To: National Archives and Records Administration (NARA)  
Washington, DC 20400

1. From (Agency or establishment):

2. Major Component:

3. Major Function:

4. Name of Person with whom to confer: \_\_\_\_\_ 5. Telephone (include area code): \_\_\_\_\_

6. Agency Certification  
I hereby certify that I am authorized in my capacity as [Title] of this agency to make any and all dispositions of the records and that the records proposed for disposal are described as follows: [Text Area]

7. [ ] is not required [ ] is attached [ ] has been requested

8. [ ] is not required [ ] is attached [ ] has been requested

9. [ ] is not required [ ] is attached [ ] has been requested

10. [ ] is not required [ ] is attached [ ] has been requested

**Leave Blank (NARA Use Only)**

Doc Number: \_\_\_\_\_

Date Received: \_\_\_\_\_

Notification to Agency  
In accordance with the provisions of 34 U.S.C. 10136, the disposition received, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Date: \_\_\_\_\_

Approval of the Disposition: \_\_\_\_\_

ERA item numbers are auto-populated by the system itself.

Fields for this information do not appear until the ERA schedule draft is opened by the person with the Certifier role.

This information, totally free text in the SF-115, is entered into an ERA schedule draft via structured fields in the Schedule Item/Overview tab.

## General Guidelines for Completing the ERA Records Schedule

- Consider consulting a NARA appraiser for help
- Use your inventory information to prepare your records schedules; do not submit inventory sheets
- Describe records at the series level unless using a Big Bucket/large aggregation schedule
- Provide detailed descriptions; specify special media records
- Include clear disposition instructions that are executable
- The ERA Records Schedule must be certified by the agency certifying official

# Activity

Create a Draft ERA Records Schedule



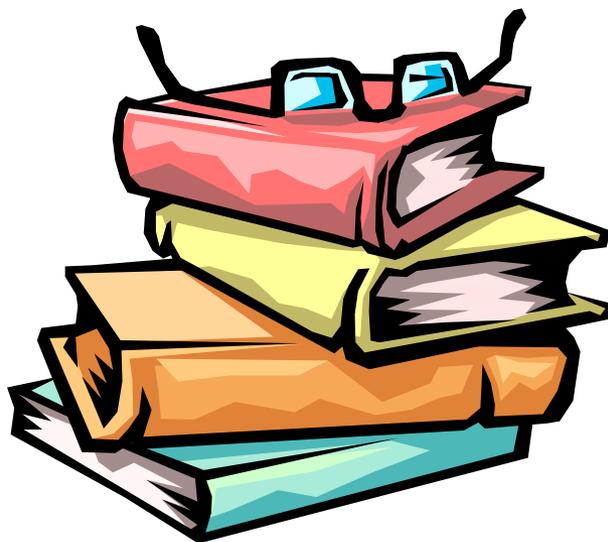
# Module 4: Developing an ERA Records Schedule

## Module 4 Review and Wrap-Up

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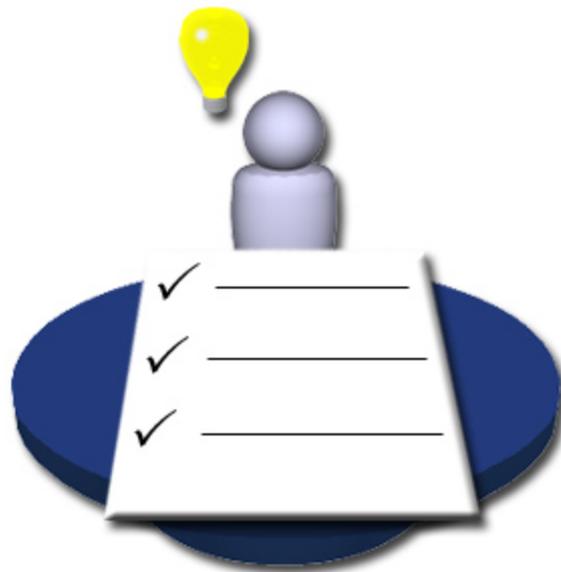
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# Module Review



# Applying What You Learned

## Module 4 – Action Items Worksheet



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

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## Module 5 Learning Objectives

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

## Module 5 Learning Objectives (cont'd.)

- Describe an agency records management directive
- Identify 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 disposition information within the agency records management directive

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

## Lesson 1: NARA's Appraisal and Approval Process

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## Submitting the ERA Records Schedule

- Agencies must use ERA to submit and transfer a records schedule
- If the approval of the Government Accountability Office (GAO) is necessary, agency must check appropriate box in ERA when schedule is created
- If GAO's approval is necessary, submit a copy of the ERA Records Schedule with a cover letter to GAO seeking written approval
- While GAO's approval is pending, NARA processes the ERA Records Schedule but withholds approval until it receives GAO's written concurrence

## Steps in NARA's Appraisal and Approval Process

1. Receipt
2. Initial Review
3. Registration
4. Internal NARA Review
5. Appraisal
6. Informal Review
7. Revision and Return of ERA Records Schedule
8. Federal Register Process
9. Formal Review
10. Closeout

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

## Lesson 2: Issuing a Records Schedule

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## After Approval

The records schedule is implemented by:

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

# The Comprehensive Records Schedule

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

## The Comprehensive Records Schedule (cont'd.)

May include:

- Approved ERA Records Schedules and legacy SF 115(s)
- General Records Schedules (GRS) citations
- Disposition instructions for nonrecord materials
- Cross-reference procedures
- Filing guidance
- Classification procedures
- Agency Standard Operating Procedures (SOPs)
- Agency Records Management Directive

# The Records Management Directive

- Is a formal agency issuance related to how the records program will be managed
- Issuance as directive indicates its mandatory nature
- Incorporates all disposition authorities to ensure proper distribution and application of the schedule
- Provides guidance on how the various offices will use the sections of the schedule applicable to them

## Distribution of a Records Management Directive

- Distribute the records management directives to the following internal offices and staff:
  - All staff officials
  - All office, bureau, division, and branch heads
  - All custodians of major records holdings, such as central files
  - All Records Liaisons
- Distribution to NARA:
  - Agencies must issue disposition authorities through their internal directives system within six months of approval of the legacy SF 115, ERA Records Schedule, or GRS
  - 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

## What is Next?

- Brief or train the relevant employees
- Monitor and audit the disposition of records
- Review the records schedule at least annually, and update the schedule as needed

# Help Resources

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

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

## Module 5 Review and Wrap-Up

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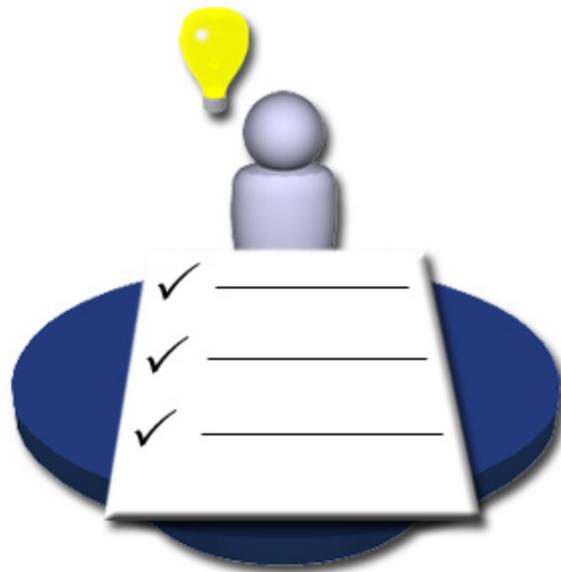
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# Module Review



# Applying What You Learned

## Module 5 – Action Items Worksheet



# Course Wrap-Up



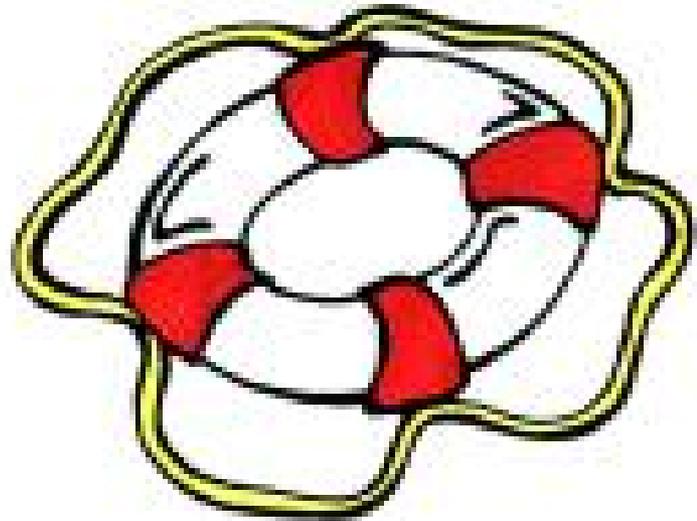
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## Getting Started

- What is the most significant information you learned about records scheduling?
- How will the way you have been managing records on the job change?
- What part of scheduling will be the most challenging?
- Who else at work needs to know about records scheduling?
- What do you need to do to get started?

## Getting Help – You Are Not Alone!

- Your Agency Records Officer
- NARA assistance



## Getting Help – You Are Not Alone! (cont'd.)

- NARA's website <http://www.archives.gov/>
- NARA's Federal Electronic Records Management (ERM) Toolkit website  
<http://www.archives.gov/records-mgmt/toolkit/>
- Records Management Resources on the Internet

# Getting Help – You Are Not Alone! (cont'd.)

The screenshot shows a Microsoft Internet Explorer browser window displaying the National Archives and Records Administration website. The address bar shows the URL: <http://www.archives.gov/publications/records-mgmt.html>. The page title is "NARA - Publications - Records Management - Microsoft Internet Explorer".

The website header includes navigation links: Archives.gov Home, Subject Index, Contact Us, and FAQs. The main content area is titled "Records Management Publications" and features a sidebar with various publication categories.

**PUBLICATIONS**

- List of All Publications
- Publications by Topic
  - General Interest
  - Genealogy
  - Guides
  - Media Type
  - Military History
  - Presidential Materials
  - Record Group
  - Inventories and Special Lists
  - Reference Information Papers
  - Records Management
  - Special Editions
- By Profession
  - Archivists
  - Practice and Theory
  - Conservators and Preservationists
  - Records Managers
  - Teachers
- Brochures and Pamphlets about the National Archives
- Posters & Facsimiles
- Online Publications
- Select AudioVisual Lists

**Records Management Publications**

In compliance with the agency's publication distribution policies, NARA is moving toward disseminating all records management publications and posters primarily via the Internet. The publications and posters may be downloaded and reproduced as needed.

Limited quantities of some of these publications and posters may be available in hard copy format. Requests should be sent to:

National Archives and Records Administration  
Life Cycle Management Division  
8601 Adelphi Road  
College Park, MD 20740-6001

Telephone: 301-837-3560  
Fax: 301-837-3699  
E-mail: [records.mgt@nara.gov](mailto:records.mgt@nara.gov)

**Currently Available**

- Posters
- Publications

**Records Management Posters**

**Note:** Updated text on posters may vary from online versions.

- Our Records/Your Responsibilities

The browser's taskbar at the bottom shows the Start button and several open applications, including Internet Explorer, Word, and various folders. The system clock indicates the time is 2:05 PM.

Please complete your KA 3  
Course Evaluation

Thank You!

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