

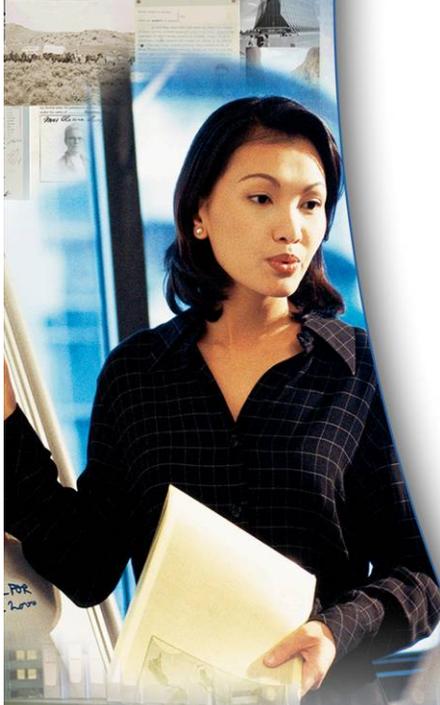
Participant Guide  
January 2017

# Knowledge Area 4: Records Schedule Implementation

## Welcome

THE  
NATIONAL ARCHIVES  
AND RECORDS  
ADMINISTRATION

RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM



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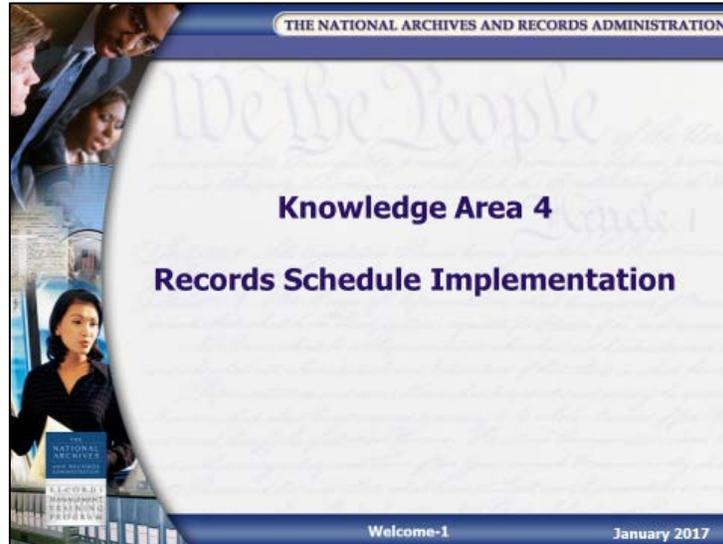
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# Administrative Items

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## Administrative Items

Slide Welcome-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Administrative Items

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

Welcome-2

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

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

### NOTES

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## 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.

### NOTES

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## Getting to Know You

Slide Welcome-3

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Getting to Know You: Time Machine

If you could hop in a time machine and take off for any time period at all, when and where would you go? Would you visit, or would you stay there, and why?

In your table groups, each person will have two minutes to share the following:

- Your name and organization
- Where you would go
- In which time period
- Whether you'd visit or want to stay
- Why

Welcome-3

If you could hop in a time machine and take off for any time period at all, when and where would you go? Would you visit, or would you stay there, and why?

In your table groups, each person will have two minutes to share the following:

- Your name and organization
- Where you would go
- In which time period
- Whether you'd visit or want to stay
- Why

Then, as a group, discuss what you have in common. Were there any shared times or places? What surprised you?

Now, elect a spokesperson for your group for this activity. The spokesperson will share one interesting thing about your group – one thing you have in common, one surprise, etc. – with the full class. Then, each group member will briefly tell his/her name, agency/organization, and city.

### NOTES

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## Your Records Management Experience

Slide Welcome-4

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Your Records Management Experience

How much records management experience do you have?

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

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

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

Welcome-4

How much records management experience do you have?

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

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

- 80-100% of my time
- 50-79% of my time
- 25-49% of my time
- 10-24% of my time
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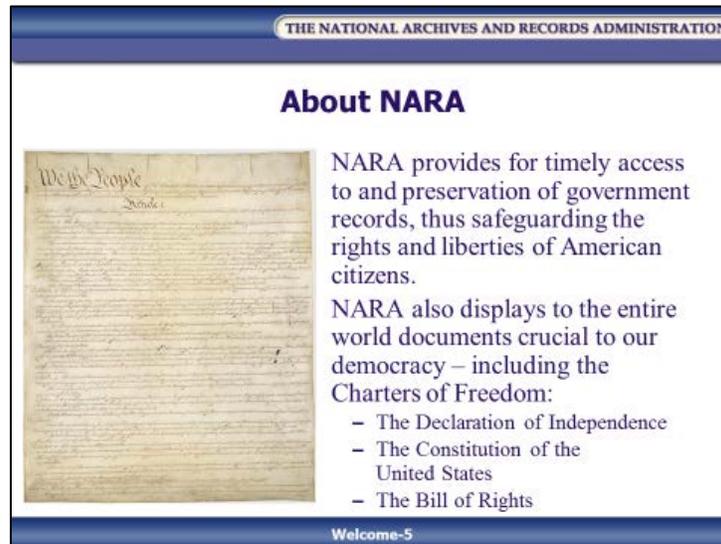
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# About NARA

Slide Welcome-5



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.

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

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

As part of that mission, NARA:

- Determines what evidence is essential for such documentation
- Ensures that government creates such evidence
- Makes it easy for users to access that evidence
- Is here to help you

## NOTES

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Slide Welcome-6

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### About NARA (cont'd.)

NARA holdings – documenting government activities and telling the story of the American experience – are vast:

- Millions of cubic feet of original textual materials (with billions of pieces of paper)
- Several million maps, charts, and architectural drawings
- Hundreds of thousands of films and sound and video recordings
- Millions of still photos and posters
- Electronic records comprising billions of data records



Welcome-6

Many people know the National Archives as the keeper of the Declaration of Independence, the Constitution, and the Bill of Rights. But we also hold in trust for the public the records of ordinary citizens – for example, military records of the brave men and women who have fought for our country, naturalization records of the immigrants whose dreams have shaped our nation, and millions of other documents that help tell the story of our government and our country.

In a democracy, records belong to the people, and for more than eight decades, NARA has preserved and provided access to the records of the United States of America. In short, NARA ensures continuing access to the essential documentation of the rights of American citizens and the actions of their government.

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Slide Welcome-7



Since 1950, NARA's Federal Records Centers Program (FRCP) has safeguarded the nation's records, including citizens' tax returns, Official Military Personnel Folders, passport applications, and top secret military records. Every day, NARA's Federal Records Centers (FRCs) deliver on the agency's mission to provide ready access to essential evidence.

Federal Records Centers:

- 24 facilities in nine (9) regions throughout the United States
- Total holdings estimated at 28 million cubic feet of records
- 13 million reference requests serviced annually
- 18,000 tons of paper recycled annually
- Staff of approximately 1,100 Federal employees
- Nearly 400 Federal agency customers

For more information about the FRCs, go to <http://www.archives.gov/frc/>.

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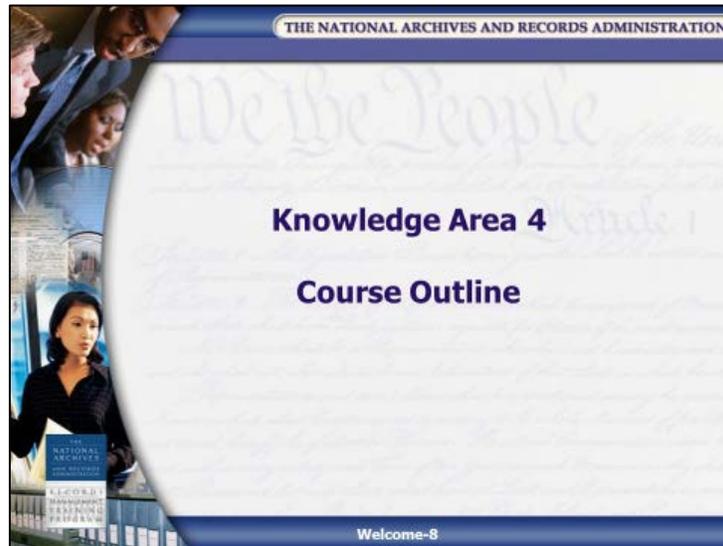
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# Course Outline

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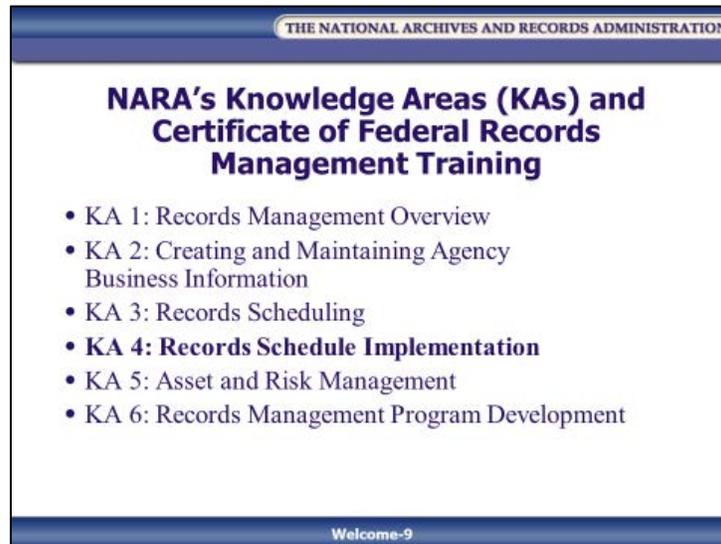
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## NARA's Knowledge Areas (KAs) and Certificate of Federal Records Management Training

Slide Welcome-9



With the constant changes in information technology and Federal recordkeeping, 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 4: Records Schedule Implementation** is one of the five Knowledge Areas (KA 2 to KA 6) in NARA's Federal records management training certificate program.

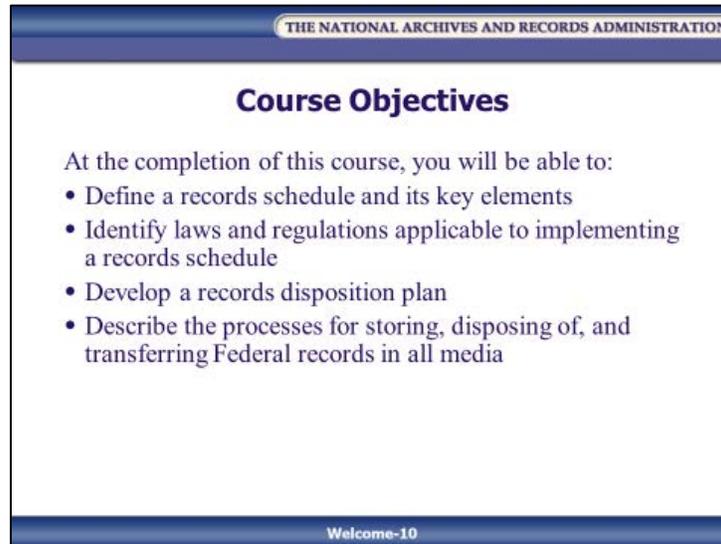
After completing this course, you may elect to take an examination on the course material to demonstrate both understanding and the ability to apply the information presented. The test is conducted online via NARA's Learning Center at <http://nara.csod.com>. apply the information presented. The test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

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

### NOTES

## Course Objectives

Slide Welcome-10



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Course Objectives" is centered in a bold, dark blue font. The main content area is white and contains the text "At the completion of this course, you will be able to:" followed by a bulleted list of four objectives. The slide has a blue footer with the text "Welcome-10".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Course Objectives

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

- Define a records schedule and its key elements
- Identify laws and regulations applicable to implementing a records schedule
- Develop a records disposition plan
- Describe the processes for storing, disposing of, and transferring Federal records in all media

Welcome-10

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- Define a records schedule and its key elements
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- Describe the processes for storing, disposing of, and transferring Federal records in all media

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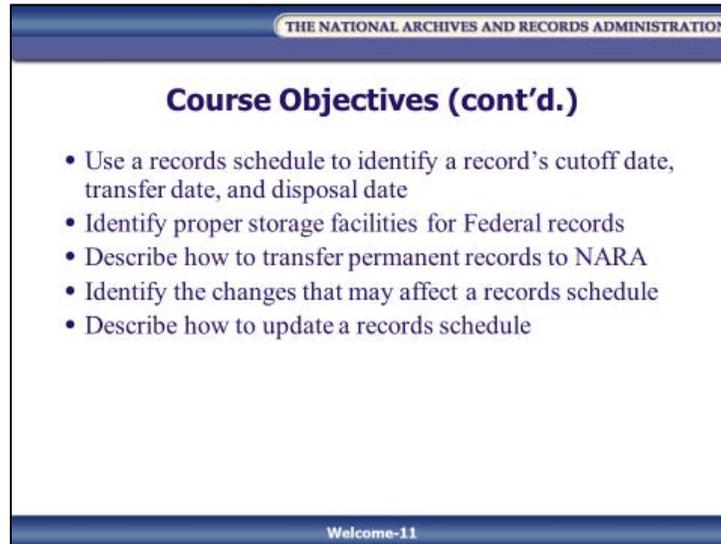
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Slide Welcome-11



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Course Objectives (cont'd.)" is centered. A bulleted list of five objectives follows. At the bottom of the slide, the text "Welcome-11" is displayed.

- Use a records schedule to identify a record's cutoff date, transfer date, and disposal date
- Identify proper storage facilities for Federal records
- Describe how to transfer permanent records to NARA
- Identify the changes that may affect a records schedule
- Describe how to update a records schedule

- Use a records schedule to identify a record's cutoff date, transfer date, and disposal date
- Identify proper storage facilities for Federal records
- Describe how to transfer permanent records to NARA
- Identify the changes that may affect a records schedule
- Describe how to update a records schedule

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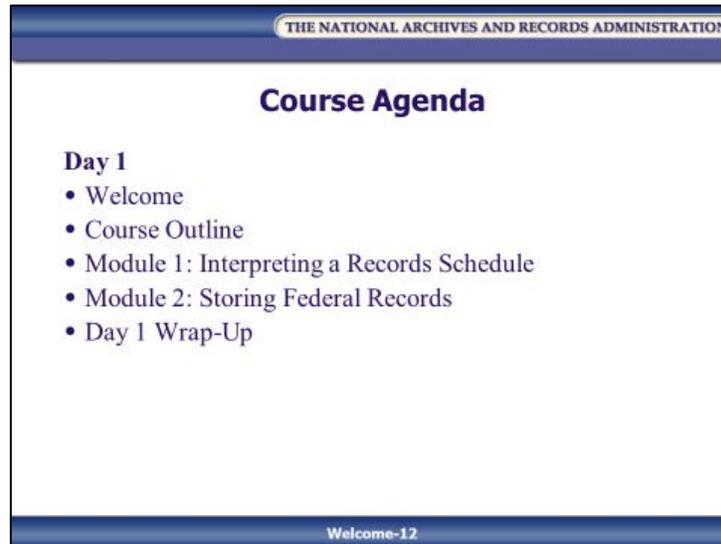
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## Course Agenda

Slide Welcome-12



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Course Agenda" is centered. Underneath the title, the text "Day 1" is followed by a bulleted list of five items: "Welcome", "Course Outline", "Module 1: Interpreting a Records Schedule", "Module 2: Storing Federal Records", and "Day 1 Wrap-Up". A blue footer at the bottom of the slide contains the text "Welcome-12".

Day 1

- Welcome
- Course Outline
- Module 1: Interpreting a Records Schedule
- Module 2: Storing Federal Records
- Day 1 Wrap-Up

### NOTES

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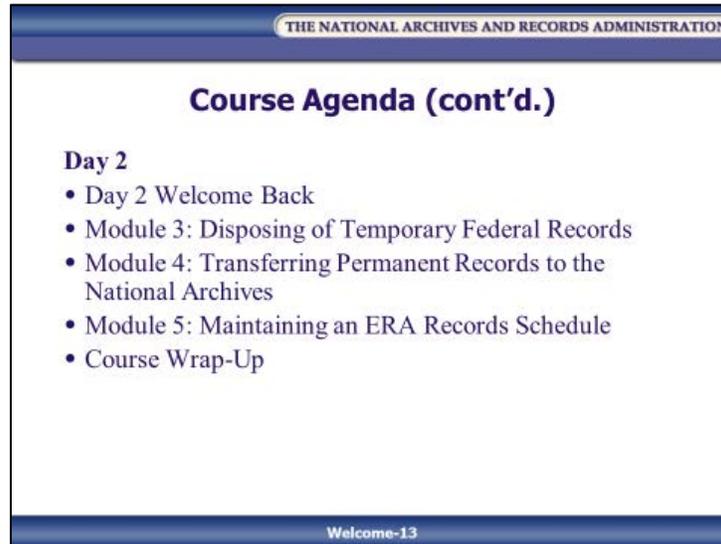
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Slide Welcome-13



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Course Agenda (cont'd.)" is centered. The main content is a bulleted list under the heading "Day 2". At the bottom of the slide, the text "Welcome-13" is displayed.

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

**Course Agenda (cont'd.)**

**Day 2**

- Day 2 Welcome Back
- Module 3: Disposing of Temporary Federal Records
- Module 4: Transferring Permanent Records to the National Archives
- Module 5: Maintaining an ERA Records Schedule
- Course Wrap-Up

Welcome-13

Day 2

- Day 2 Welcome Back
- Module 3: Disposing of Temporary Federal Records
- Module 4: Transferring Permanent Records to the National Archives
- Module 5: Maintaining an ERA Records Schedule
- Course Wrap-Up

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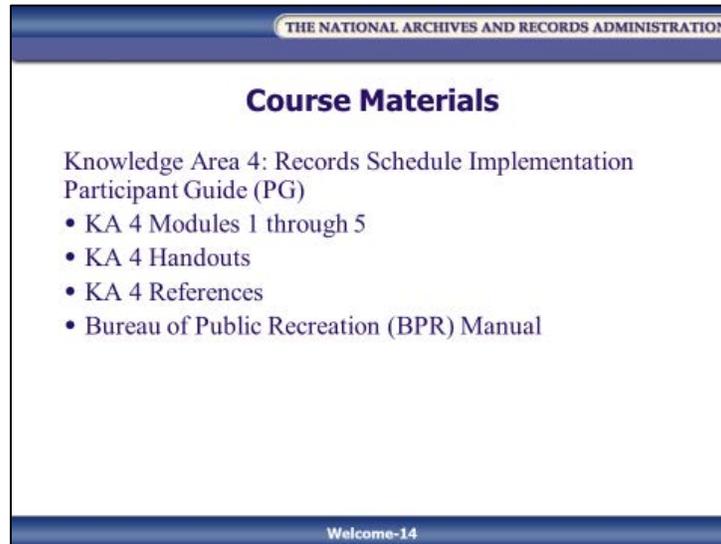
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## Course Materials

Slide Welcome-14

A slide from a presentation titled "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The slide is titled "Course Materials" and lists the following content: "Knowledge Area 4: Records Schedule Implementation Participant Guide (PG)", "KA 4 Modules 1 through 5", "KA 4 Handouts", "KA 4 References", and "Bureau of Public Recreation (BPR) Manual". The slide number "Welcome-14" is visible in the bottom right corner.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Course Materials

Knowledge Area 4: Records Schedule Implementation Participant Guide (PG)

- KA 4 Modules 1 through 5
- KA 4 Handouts
- KA 4 References
- Bureau of Public Recreation (BPR) Manual

Welcome-14

- KA 4: Records Schedule Implementation Participant Guide (PG):
  - KA 4 Modules 1 through 5
  - KA 4 Handouts
  - KA 4 References
  - Bureau of Public Recreation (BPR) Manual

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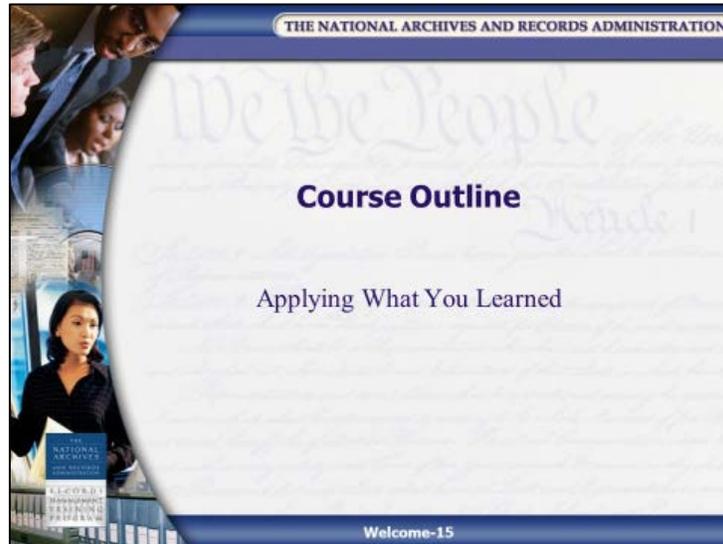
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# Applying What You Learned

Slide Welcome-15



## NOTES

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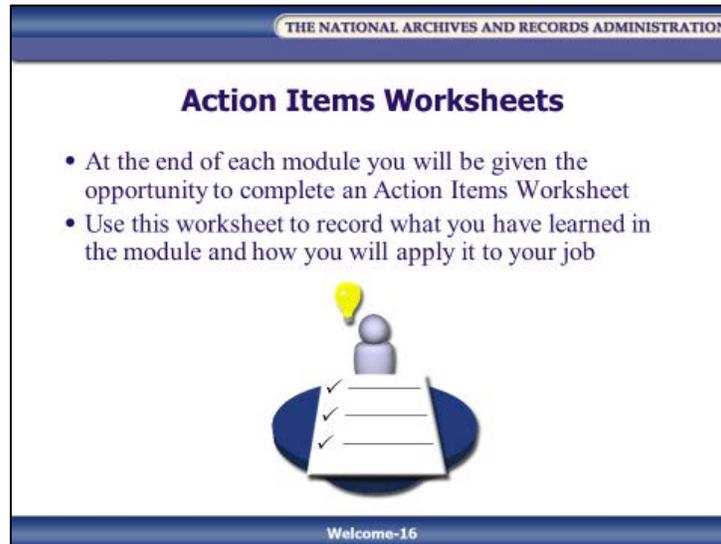
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## Action Items Worksheets

Slide Welcome-16



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

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

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

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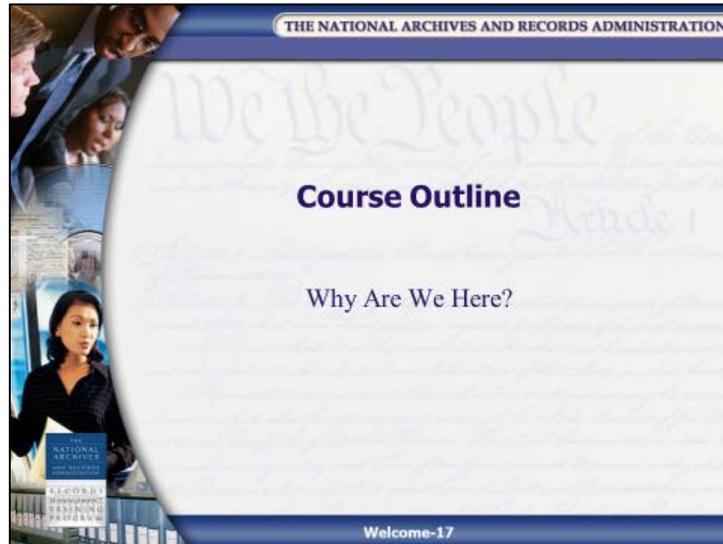
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# Why Are We Here?

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## NOTES

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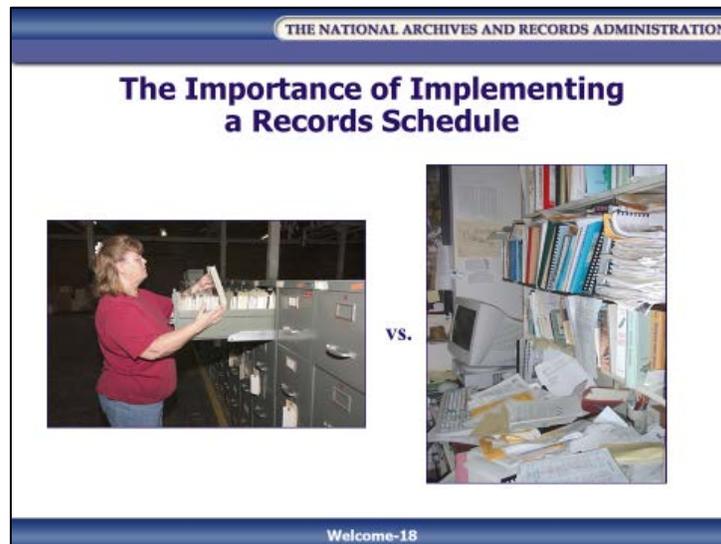
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## The Importance of Implementing a Records Schedule

Slide Welcome-18



Let's look at two scenarios illustrating the importance of implementing a records schedule. Scenario 1 demonstrates the positive consequences of properly implementing a records schedule. Scenario 2 demonstrates the negative consequences of not implementing a records schedule.

- **Scenario 1:** An agency receives a FOIA request for all records related to its purchase of an expensive piece of equipment. Such equipment has been in use at the agency for 40 years, so a large volume of procurement records accumulated over the years. Fortunately, agency staff are easily able to fulfill the request since the eligible inactive records were destroyed through proper application of a records schedule. Only the most current and relevant records for this purchase remain in the agency's records.
- **Scenario 2:** Congress asked a number of Federal agencies (Forest Service, Bureau of Land Management, National Park Service, and others) involved in fighting forest fires to justify the funds spent in this effort. When fire program experts went to individual forest offices to examine records, they found that each agency and location was implementing the records schedules differently. As a result, some offices had destroyed the records on time, others had retained records way beyond their disposition date, and some had destroyed the important records too soon. The agencies had to conduct an intensive search of all offices and storage facilities nationwide and produce the information requested by Congress, resulting in a massive amount of resources redirected to the project.

### NOTES

## Key Laws and Regulations

Slide Welcome-19

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Laws and Regulations

The main laws and regulations governing NARA are:

- Presidential and Federal Records Act of 2014
- 44 U.S.C.
- 36 CFR, Chapter 12

Welcome-19

All of NARA's records management activities are mandated through Federal law and NARA regulations. The main laws and regulations governing NARA are:

- Presidential and Federal Records Act of 2014
- 44 U.S.C.
- 36 CFR, Chapter 12

Within each law and regulation there are sections specific to schedule implementation.

Throughout KA 4, whenever applicable, relevant laws and regulations are cited within the course content.

A complete list of laws, regulations, standards, and guidance is found in **Reference 01** – Knowledge Area 4 References in the Reference Tab of your PG.

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Participant Guide  
January 2017

## Knowledge Area 4: Records Schedule Implementation

### Module 1: Interpreting a Records Schedule

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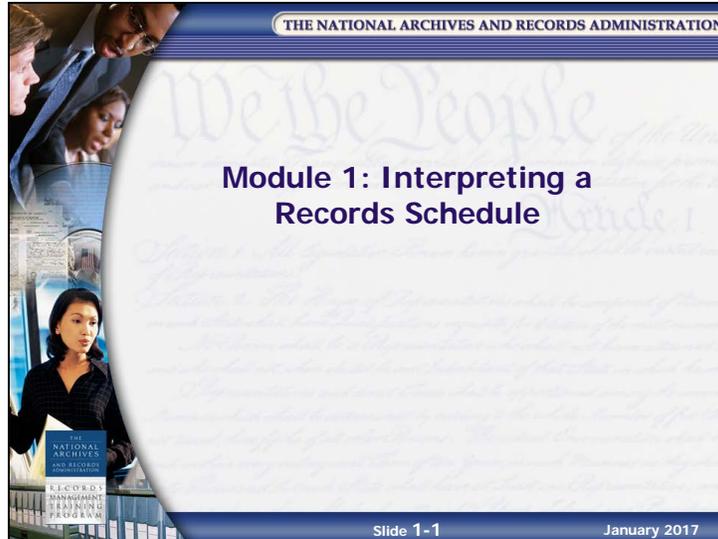
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# Introduction and Objectives

Slide 1-1



## Introduction

In Module 1, we cover the importance of records schedules and how to apply them to Federal records. We will learn the essential elements of records schedules, and how to determine the proper disposition of records by following the schedule's mandatory instructions.

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## Objectives

Slide 1-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Module 1 Learning Objectives

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

- Explain the purpose of a records schedule
- Define key terms related to records schedules
- Explain the GRS and agency schedules
- Discuss traditional schedules and flexible schedules
- Discuss the elements of a records disposition plan

Slide 1-2

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

- Explain the purpose of a records schedule
- Define key terms related to records schedules
- Explain the GRS and agency schedules
- Discuss traditional schedules and flexible schedules
- Discuss the elements of a records disposition plan

### NOTES

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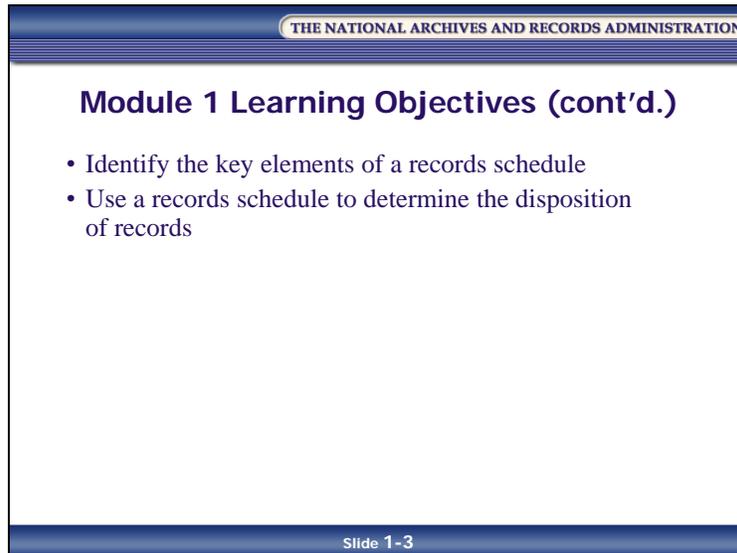
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Slide 1-3



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Module 1 Learning Objectives (cont'd.)" is displayed in bold. Two bullet points are listed: "Identify the key elements of a records schedule" and "Use a records schedule to determine the disposition of records". A blue footer at the bottom of the slide contains the text "Slide 1-3".

- Identify the key elements of a records schedule
- Use a records schedule to determine the disposition of records

**Note:** The Electronic Records Archives (ERA) is the National Archives and Records Administration's (NARA) mandatory system that allows Federal agencies to perform critical records management transactions with NARA online, including records scheduling and transferring permanent records. The SF 115, Request for Records Disposition Authority, is the legacy form used for the paper-based scheduling process. The terms ERA Records Schedule, legacy SF 115, records control schedule, records retention schedule, and the generic term records schedule are often used interchangeably. We will continue using the generic records schedule to cover references to all records schedules.

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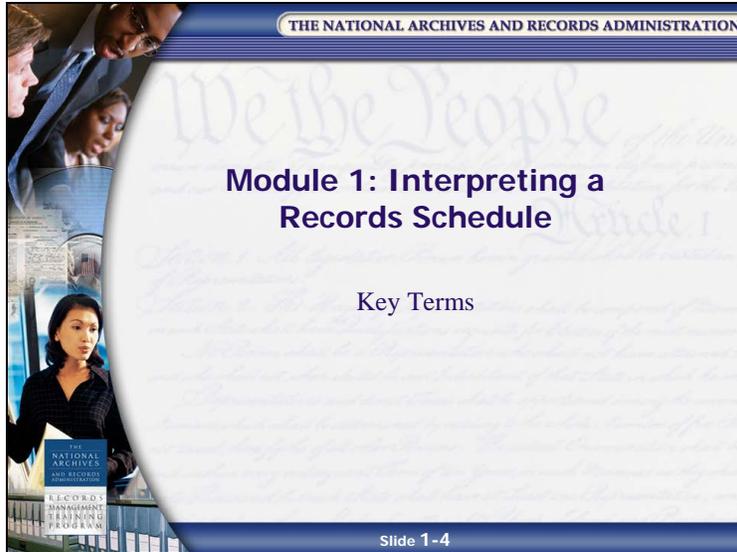
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# Key Terms

Slide 1-4



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## Key Term – Definition of a Federal Record

Slide 1-5

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Definition of a Federal Record

“...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)

Slide 1-5

The Presidential and Federal Records Act (FRA) of 2014 governs agencies’ records management responsibilities; defines Federal records as:

“...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)

- **Recorded Information** includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.
- **Form or characteristics** means paper, books, film, maps, photographs (analog or digital formats) including all book, paper, maps, photographs with analog, digital or electronic formats

### NOTES

- **Made** means the act of creating and recording information by agency employees, regardless of the method or medium involved. Information that is captured (recorded) in a way that can be comprehended or reproduced. Such recorded information is generally circulated to others or placed in files accessible to others.
- **Received** means documentary materials accepted or collected by agency employees
- **Preserved** means filing, storage, or any other method of systematically maintaining documentary materials by the agency
- **Appropriate for Preservation** means suitable for filing, storage, or systematic maintenance by the agency

(Refer to **Handout 1.01 – Is It a Record?** located in the Handouts section of your PG, for a job aid to help determine whether documentary materials are records.)

**NOTES**

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## Key Term – Records Inventory

Slide 1-6

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Records Inventory

A complete and accurate survey of an agency's business information that documents the records created, received, and used by an agency.

Slide 1-6 BPR Manual, Tabs 7-8

A **records inventory** is a complete and accurate survey of an agency's business information that documents the records created, received, and used by an agency. It is the first step in creating a records schedule and a file plan.

The inventory is accomplished by describing, quantifying, and recording specific information so that an agency's business information can be analyzed for developing, implementing, or improving a records management program.

Records inventories need to be maintained in order to keep your schedule and file plans up to date. The recommendation is that agencies conduct an inventory every three years.

### NOTES

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## Key Term – Administrative Records

Slide 1-7

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Administrative Records

- Records created to support an agency’s common facilitative activities
- Include budget, finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting, among other functions
- Examples of administrative records:
  - Purchase orders
  - Travel vouchers
  - Payroll databases
  - Network backup tapes
  - Transitory emails

Slide 1-7

**Administrative records** are the records created in performing common facilitative functions that support the agency’s mission activities but do not directly document the performance of mission functions.

Administrative records relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting.

Examples of administrative records:

- Purchase orders
- Travel vouchers
- Payroll databases
- Network backup tapes
- Transitory emails

### NOTES

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## Key Term – Program Records

Slide 1-8

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Program Records

- Records that directly support the mission of the agency
- Examples of program records:
  - EPA Superfund site assessments
  - Military after-action reports
  - NASA’s Space Shuttle testing records

Slide 1-8

**Program records** are the records that directly support the mission of the agency. The agency’s mission is defined in enabling legislation and further delineated in formal regulations.

Examples of program records:

- EPA Superfund site assessments
- Military after-action reports
- NASA’s Space Shuttle testing records

### NOTES

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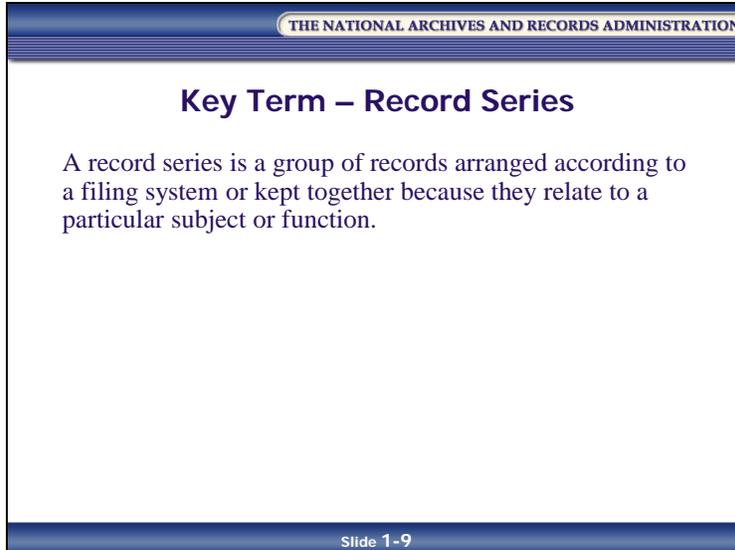
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## Key Term – Record Series

Slide 1-9



A **record series** is a group of records arranged according to a filing system or kept together because they relate to a particular subject or function. A record series:

- Results from the same activity
- Documents a specific type of transaction
- Exists in the same media format
- Has some other type of relationship

### NOTES

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## Key Term – File Plan

Slide 1-10

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – File Plan

A listing in outline form of the main file headings and subdivision headings for each record series.

*Table 1-1: Human Resource Staff*

HR	Description	Disposition	Location	Vital	Privacy Act
HR 409a	Official Personnel Files	Follow instructions FPM 401-01b	Main File Station – HR	✓	✓
HR 409b	Separated Employees	Hold 30 days transfer to NPRC	Main File Station- HR	✓	✓
HR 410	Vacancy Announcements	TEMP Destroy 2 yrs	Main File Station- HR		

Slide 1-10 BPR Manual, Tab 9

A **file plan** is a listing in outline form of the main file headings and subdivision headings for each record series and information system in an office – file plans do not address all agency records.

It is used as an organizing tool. It is not enough to put documents into folders and then put them into a file cabinet or file them randomly on an individual’s personal computer. There should be some organization to the filing, and a file plan assists in meeting this objective.

Simply put, a file plan is a way to implement a records schedule at an office level.

(Refer to the **BPR Manual, Tab 9**, as an example of a file plan.)

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A file plan can be as comprehensive or streamlined as necessary to meet your business needs. Traditionally, when we think of a file plan, we think of something relating to paper records – how they are arranged, maintained, and filed. But file plans can actually address all of your office records, including word processing documents, scanned images, email, databases, web records, special media records, and entire electronic information systems.

A file plan consists of the following:

- A document that contains identifying numbers, titles, or descriptions and disposition authorities of all files held in an office
- Up-to-date and accurate disposition authorities and retention periods for all paper, electronic, and special media records
- The location of all records in an office, including paper, electronic, and special media records
- Indication of how records – paper, electronic, and special media – are to be arranged in an office
- Instructions on the identification and maintenance of nonrecord materials

File plans also typically list the vital records for an office. If appropriate, some file plans may highlight vital records (essential information), and possibly classified records, in different colors.

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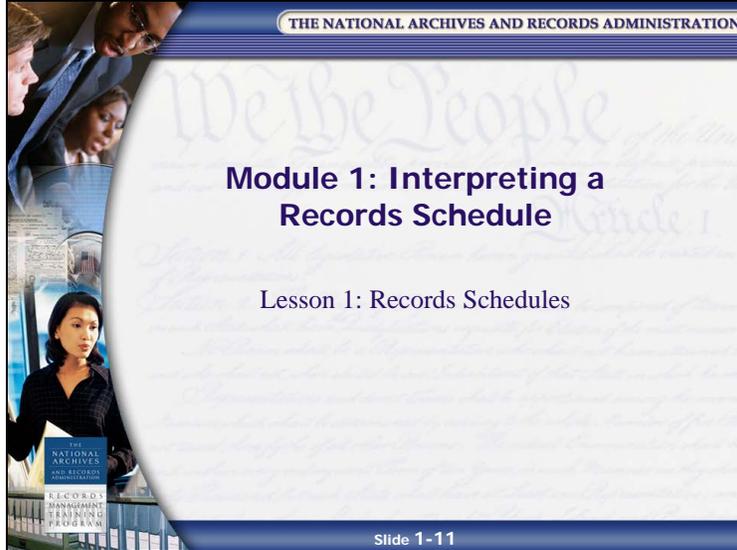
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# Lesson 1: Records Schedules

Slide 1-11



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## Definition of a Records Schedule

Slide 1-12

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Definition of a Records Schedule

A **records schedule** is a document which briefly describes records of an office, department, or agency and provides mandatory instructions for the final disposition of recurring or nonrecurring records.

Slide 1-12 BPR Manual, Tab 4

A **records schedule** is a document which briefly describes records of an office, department, or agency and provides mandatory instructions for the final disposition of recurring or nonrecurring records.

An agency typically follows disposition instructions from the General Records Schedules (GRS) for administrative records. For agency-specific program records, disposition instructions are taken from a NARA approved legacy SF 115 and ERA Records Schedule. Together with any guidance provided by the agency records manual, these administrative and program schedules form an agency's comprehensive records schedule.

A records schedule may also be called a:

- ERA Records Schedule
- Records disposition schedule
- Records control schedule
- Records retention schedule
- Schedule

### NOTES

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## What Records Schedules Tell Us

Slide 1-13

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### What Records Schedules Tell Us

- What records an agency creates and maintains
- Whether records are temporary or permanent
- If and when records are to be transferred to agency or off-site storage
- When records must be destroyed or transferred to the legal custody of the National Archives and Records Administration (NARA)
- What information to pre-accession to NARA

Slide 1-13

Records schedules provide records disposition authority, giving agency staff the permission to dispose of temporary records. They also identify permanent records created and maintained in the agency, specifying when they must be transferred to the legal custody of the National Archives.

Schedules tell you:

- What records an agency creates and maintains
- Whether records are temporary or permanent
- If and when records are to be transferred to agency or off-site storage
- When records must be destroyed or transferred to the legal custody of NARA
- What information to pre-accession to NARA

### NOTES

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## Key Term – Disposition

Slide 1-14

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Disposition

The actions taken when a record is no longer needed for current government business:

- Transfer to off-site storage
- Transfer to NARA
- Transfer to another Federal agency
- Disposal
- Donation

Slide 1-14

**Disposition** refers to the actions taken when a record is no longer needed for current government business. Disposition means any activity with respect to the:

- Transfer of records to agency storage facilities or a Federal Records Centers
- Transfer to NARA permanent records determined to have sufficient historical or other value to warrant continued preservation
- Transfer of records from one Federal agency to another Federal agency
- Disposal by destruction of temporary records when they are no longer needed
- Donation of temporary records to an eligible person or organization after the authorized retention period has expired. Donation must be approved by NARA.

### NOTES

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## Key Term – Disposition Authority

Slide 1-15

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Disposition Authority

- Disposition authority is the legal approval allowing an agency to dispose of temporary records or transfer permanent records to the National Archives
- Legal approval occurs at the point where a legacy SF 115 or ERA Records Schedule is signed by the Archivist of the United States

Slide 1-15

**Disposition authority** is the legal approval (e.g., the Archivist’s signature) that allows an agency to dispose of temporary records and transfer permanent records to the National Archives.

The key phrase in the definition of records disposition authority is “legal approval.” Legal approval occurs at the point where a legacy SF115 or ERA Records Schedule is **signed** by the Archivist of the United States, not when it is first submitted to NARA.

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## Disposition Authority: The GRS and Agency Schedules

Slide 1-16

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposition Authority: The GRS

General Records Schedules (GRS):

- Issued by NARA
- Provide disposition authority for records common to several or all Federal agencies
- Cover records documenting administrative functions

Slide 1-16 BPR Manual, Tab 4, Item #104

Disposition authority comes from two sources: the General Records Schedules (GRS) and an agency records schedule that has been approved by the Archivist of the United States.

### The GRS

**GRS** are issued by NARA under the authority of 44 U.S.C 3303a(d) to provide disposition authority for records common to several or all Federal agencies.

The GRS primarily cover records documenting administrative functions rather than program functions.

(Refer to **BPR Manual, Tab 4, page 18, item #104** [Time and Attendance], as an example of a GRS item incorporated into a comprehensive records schedule.)

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

Use of the GRS is mandatory, though specific exceptions may be requested from NARA.

### NOTES

## Agency Records Schedules

Slide 1-17

**Disposition Authority: Agency Schedules**

Agency Records Schedules:

- Created by agencies
- Provide disposition authority for records not covered by the GRS
- Approved by the Archivist of the United States
- Also cover nonrecord materials and other records-related information not on the legacy SF 115 or ERA Records Schedule

Slide 1-17 BRP Manual, Tab 6, page 15 and Tab 4, item #101b

**Agency records schedules** are created by agencies to provide disposition authorities for records not covered by the GRS. Creation of agency schedules is required by law (44 U.S.C. 3303), and the schedules may not be implemented until approved by the Archivist of the United States.

Agencies submit their draft schedule items for NARA approval in the ERA system. The ERA Records Schedule provides a structured way of scheduling records in an effort to ensure all necessary information is provided. It also captures additional information in an effort to maximize intellectual and physical control over records. Once NARA approves the items, they can be incorporated into the agency records schedule.

(Refer to **BPR Manual, Tab 6 pages 15-23** to see a completed SF 115 (N1-700-04-01) and an ERA Records Schedule (DAA-0700-2012-0007.) See **Tab 4, records schedule on page 17, item #101b** to see how the Administrative Correspondence Files in the SF 115 (N1-700-04-01) is published in the BPR Records Schedule.)

### NOTES

A comprehensive schedule is an agency manual or directive containing descriptions of and disposition instructions for documentary materials in all physical forms, record and nonrecord, created by a Federal agency or major component of an Executive department. The disposition instructions for nonrecord materials are established by the agency and do not require NARA approval.

(Refer to **BPR Manual, Tab 4, page 18, item #108** [Technical Reference], as an example of nonrecord materials.)

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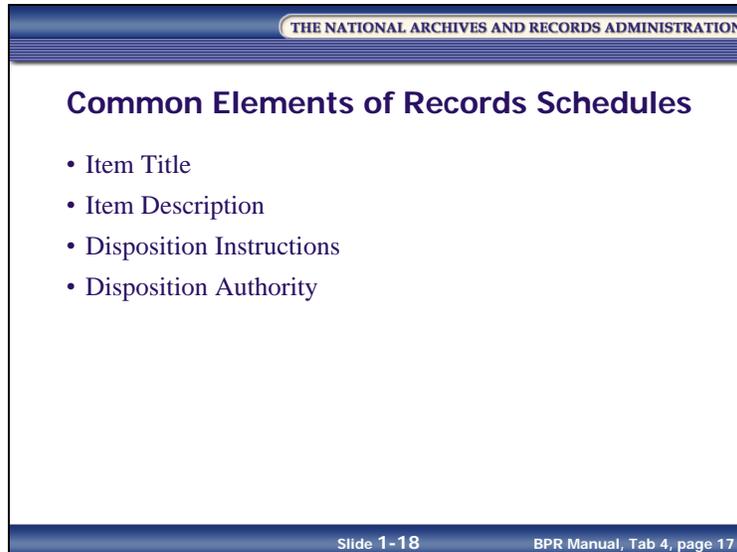
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## Common Elements of Records Schedules

Slide 1-18



All records schedules, no matter how they are organized, share several common elements. These elements are:

- Item Title
- Item Description
- Disposition Instructions
- Disposition Authority

### Why Do These Schedules Look Different?

When implementing schedules, you may notice records schedules are not all organized the same way. That is because there are two primary methods for creating records schedules: traditional scheduling and flexible scheduling. The method to organize records series in ERA is called ERA Overviews, discussed below.

#### NOTES

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## Comprehensive Schedules

Slide 1-19

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Comprehensive Schedules

- A comprehensive schedule shows agency record series and systems as separate items, which are individually scheduled for appropriate disposition
- The basic unit for organizing and controlling files = a record series
- Series are usually arranged by organization or function

Slide 1-19

A **comprehensive schedule** shows agency record series and systems as separate items, which are individually scheduled for appropriate disposition. A comprehensive schedule includes all approved schedules, such as ERA Records Schedules, legacy SF 115s, or GRS.

A record series is the basic unit for organizing and controlling files. It is a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

In a comprehensive schedule, series are usually arranged primarily by function or organization.

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## Functional Arrangement

Slide 1-20

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Functional Arrangement

- Record series or systems arranged and listed by purpose
- Each record series or system is scheduled individually

*Table 1-2: Functional Arrangement*

#	Description	Functional Arrangement
104	<b>Time and Attendance</b> All time and attendance records upon which leave input data is based, such as: time or sign-in sheets; time card (such as Optional Form (OF) 1130); flextime records; leave applications for jury and military duty; and authorized premium pay. Records may be in either machine-readable or paper form.	TEMPORARY Destroy or delete after GAO audit or when 6 years old, whichever is sooner. GRS 2/7
105	<b>Travel Files</b> Files documenting travel by agency staff, including travel orders, information about per diem, briefing books and follow-up reports.	TEMPORARY Cut off at end of FY. Destroy or delete 6 years after cutoff. GRS 9/1

Slide 1-20      BPR Manual, Tab 4, pages 17-18

- Record series or systems are arranged and listed by purpose
- Each record series or system is scheduled individually
- Functionally arranged schedules may be suitable if multiple offices perform the same work or function
- Often referred to as functional schedules

(Refer to the **BPR Manual, Tab 4, page 17–18**, “Records Common to Most Offices” section [items #101–108], as an example of a functional schedule.)

### NOTES

## Organizational Arrangement

Slide 1-21

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Organizational Arrangement

Record series and systems are arranged by organizational unit.

*Table 1-3: Information Resources Management Staff*

#	Description	Functional Arrangement
404	<b>System Planning Files</b> Files documenting the planning and development of Bureau information systems and annual IT plans.	PERMANENT Cut off at end of FY. Transfer to NARA 3 to 5 years after cutoff.
405	<b>System Administration Files</b> Copies of documentation for all systems used in the Bureau, including both off-the-shelf products and unique applications developed by agency staff.	TEMPORARY Destroy when no longer needed to operate system
406	<b>System Backup Tapes</b> Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data	1. Delete or destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later 2. Delete or destroy full backup tapes when second subsequent backup is verified as successful, or when no longer needed for system restoration, whichever is later

Slide 1-21      BPR Manual, Tab 4, pages 24-45

- Record series and systems are arranged by organizational unit
- Agencies need to update organizationally arranged schedules promptly after internal reorganization
- Often referred to as organizational schedules

The BPR records schedule starting on **page 17** in the **Handbook section (Tab 4)** of your **BPR Manual** is an example of an organizational schedule.

### ERA Overview

An Overview is just a new word for an old concept – that of records series, a group of related records that are managed under a common heading or title. In legacy SF 115s, a record series may have included one or more sub-items. In ERA, an Overview is a descriptive heading with information that is used to group items under that heading. There are no sub-items in ERA, just items. An item is the level of description that contains the actual disposition instruction.

### NOTES

## Flexible Schedules

Slide 1-22

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Flexible Schedules

- Provide concrete disposition instructions that may be applied to groupings of information and categories of records
- Larger aggregations of records, not discrete series
- Retention banding

Slide 1-22

A **flexible schedule** provides concrete disposition instructions that may be applied to groupings of information or categories of records. The flexibility lies in defining the record groupings, which can contain multiple record series and electronic systems.

The difference from the traditional scheduling approach is that the unit to be scheduled is not the individual record series or an electronic system, but all records in all media relating to a work process, a group of related work processes, or a broad program area to which the same length of retention should be applied.

Instead of carrying out a near-constant rescheduling effort, flexible schedules can be written to be malleable enough to absorb changes to recordkeeping practices and office reorganizations within limits. This leads to fewer updates and new schedules which require less time and effort of the records management staff and makes them more user-friendly. However, flexible schedules cannot stand alone, and agencies must create a crosswalk and other tools to accompany it.

Two common types of flexible schedules are Big Bucket and retention bands. The Big Bucket and banding concepts are not mutually exclusive and together, give agencies the retention flexibility they need to manage their records.

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## Big Bucket Schedule

Slide 1-23

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Big Bucket Schedule

Disposition instructions apply to multiple record series or systems.

202	<b>Substantive Committee Records (Non-Grant Review Committees)</b> Records documenting the establishment and formation of committees and their significant actions and decisions. Refer to agency administrative procedures to ascertain if these records are held by the CMO, GFO, or DFO. Only one copy of each record is considered permanent.	PERMANENT Transfer when records are 15 years old or upon termination of committee, whichever is sooner. GRS 6.2/10
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Slide 1-23 BPR Manual, Tab 4, page 19, item #202

- Disposition instructions apply to multiple record series or systems
- The goal is to provide for the disposition of records at a level of aggregation that best supports the business needs of agencies, while ensuring preservation of the documentation necessary to protect legal rights and ensure government accountability
- (Refer to **BPR Manual, Tab 4**, page 19, **item #202** [Substantive Committee Records], as an example of a Big Bucket schedule.)

A “Big Bucket: Flexible Schedule” contains an aggregation of records that can use a single disposition for similar recordkeeping requirements. Once the similar records are grouped together in a “Big Bucket,” often staff needs specific guidance to address arrangement, description, and maintenance for specific records within the bucket. Agencies are required to develop a crosswalk for Big Bucket series to ensure that specific record series and dispositions are properly aligned and clearly identified.

A Big Bucket item must clearly describe the work process, group of related work processes, or the broad program area included within the bucket. The description of the bucket item should also include enough information about the records (in any and all formats) to readily distinguish them from those covered by other approved scheduled items.

To assist the user in implementing the Big Bucket schedule, a list of types of records should be included in the description. This could include subject files, correspondence, reports, form,

### NOTES

project or case files, etc. Examples of the record types of electronic systems should be provided unless covered by the crosswalk (a list of superseded schedule items and the new approved schedule item that replaces it.) If more than one office generates the same records, then the description should specify which office(s) are covered by the item.

Big Bucket items are written broadly, covering multiple series and electronic systems. As a result, it is particularly important to disseminate the Big Bucket schedule widely within the agency and to train staff in its use.

Use of a file plan with a Big Bucket schedule allows users to organize and arrange their specific records, keep track of the records covered by each Big Bucket item, and to ensure that proper disposition is applied. The file plan should indicate clearly which records fall under each Big Bucket item. As new series are created, indicate which Big Bucket item to use for the new records. The crosswalk submitted with the legacy SF 115 or ERA Records Schedule may be used to keep track of the series in the bucket.

After a Big Bucket schedule is approved, an agency may determine that a series and electronic systems are more appropriate for inclusion under a Big Bucket item other than the one to which it is assigned. If an agency in this situation wishes to move the series or electronic systems from its current bucket to the other bucket, it must submit a revised schedule only if it is mentioned in the crosswalk.

(Refer to **Handout 1.02, Bonneville Power Administration Comprehensive Records Disposition Schedule** as an example of a Big Bucket schedule, File Plan and Crosswalk.)

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## Retention Bands

Slide 1-24

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Retention Bands

Disposition instructions include minimum and maximum retention periods.

*Table 1-4: Records Common to Most Offices*

#	Description	Retention Bands
101	<b>Correspondence Files</b> Incoming and outgoing correspondence	
	a. Program correspondence files maintained at the division level or above in BPR headquarters office and accumulated by the Administrator and Assistant Administrator and their immediate staffs, documenting policy-making decision or significant program management functions.	a. PERMANENT Cut off at end of FY. Transfer to FRC 5 years after cut off. Transfer to NARA 20 years after cutoff.
	b. Administrative correspondence files relating to administrative matters such as finance, supplies, equipment and travel.	b. TEMPORARY Cut off at end of FY. Retain a minimum of 3 years and a maximum of 6 years based on the business need of the office. (N1-700-04-01)

Slide 1-24 BPR Manual, Tab 4, page 17, Item #101b

- Disposition instructions include minimum and maximum retention periods
- Retention bands empower staff to make decisions about how long to keep records
- Retention bands can be applied to individual record series or groups of record series or systems to establish consistent retention periods

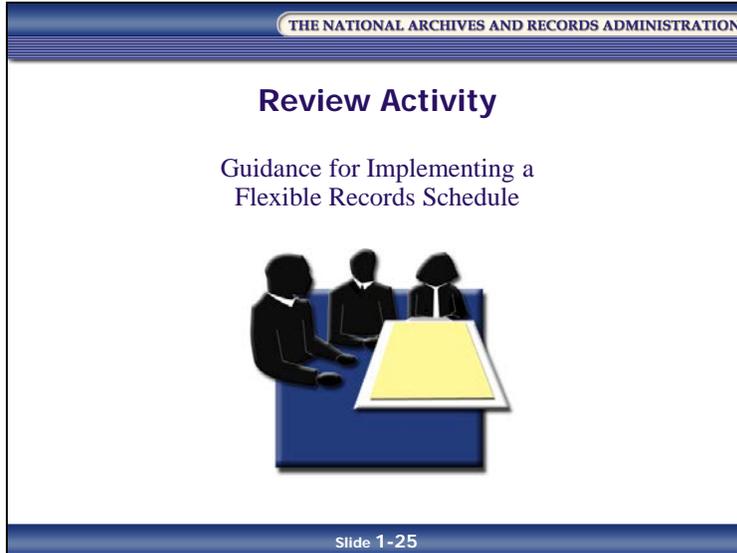
Agencies must develop processes and mechanisms for reporting how retention periods are being applied within flexible bands in order to ensure consistency and prevent recordkeeping practices from being judged arbitrarily.

(Refer to **item #101b** [Administrative Correspondence Files], in the records schedule on **page 17** in the **Handbook section [Tab 4]** of your **BPR Manual**, as an example of a retention band.)

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## Review Activity: Guidance for Implementing a Flexible Records Schedule

Slide 1-25



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## Implementing a Flexible Records Schedule

**Directions:** Brainstorm with your group and complete the assigned question on the strategies for implementing a flexible records schedule.

**Question 1:**

What components are needed by an office to implement the flexible records schedule?

**Question 2:**

How would you communicate the Big Bucket and the retention bands to a program?

**Question 3:**

What tools or guidance might you need to create?

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## Why We Have Records Schedules and Why We Implement Them

Slide 1-26

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Why We Have Records Schedules and Why We Implement Them

- Records schedules help us to ensure that records are maintained and preserved as long as they are needed
- NARA's regulations require each agency to:
  - Develop a comprehensive records schedule
  - Apply the schedule

Slide 1-26

Records schedules help us to ensure that records important to the business of the Federal Government are systematically maintained and preserved for as long as they are needed. NARA oversees the preservation of permanent records.

NARA's regulations (36 CFR 1225.22b) 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 or reorganization within one year of its inception.

36 CFR 1226.10 mandates the application of NARA-approved schedules.

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## Locating Your Agency's Current Records Schedule(s)

Slide 1-27

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

### Locating Your Agency's Current Records Schedule(s)

- Contact your Agency Records Officer or Records Liaison
- A PDF version of the legacy SF 115 is available at <http://www.archives.gov/records-mgmt/rcs/>
- Locate agency directives and policy issuances that reference or offer guidance pertaining to the agency records management program
- Contact your agency's Appraisal Archivist at NARA

Slide 1-27

To locate your agency's records schedule(s):

- Contact your Agency Records Officer or Records Liaison
- NARA maintains recordkeeping copies of agency schedules. A PDF version of agency's legacy SF 115s and ERA Records Schedules can be found at NARA's Records Control Schedule (RCS) repository located at <http://www.archives.gov/records-mgmt/rcs/>.
- Locate agency directives and policy issuances that reference or offer guidance pertaining to the agency records management program
- Contact your agency's appraisal archivist at NARA (If you do not know who your appraisal archivist is, you can refer to the list that NARA maintains of appraisal archivists, organized alphabetically by work group, on their website at <http://www.archives.gov/records-mgmt/appraisal/index.html>.)

An agency's records schedule(s) should be issued as a directive. Your Agency Records Officer or Records Liaison can help you to locate copies of your records schedules, agency comprehensive records schedule, and agency records management directive.

### NOTES

## Lesson Summary

In this lesson, you learned that:

- A **records schedule** is a document which briefly describes records of an office, department, or agency and provides mandatory instructions for the final disposition of recurring or nonrecurring records
- NARA's regulations (36 CFR 1225.22b) require each agency to develop a comprehensive records schedule
- NARA's regulations (36 CFR 1226.10) mandate the application of approved schedules
- Schedules tell you:
  - What records an agency creates and maintains
  - Whether records are temporary or permanent
  - If and when records are to be transferred to off-site storage
  - When records must be destroyed or transferred to the legal custody of NARA
- **Disposition** refers to the actions taken when a record is no longer needed for current government business
- **Disposition authority** allows an agency to dispose of temporary records or transfer permanent records to the National Archives
- Disposition authority comes from two sources:
  - GRS
  - Agency Records Schedules
- The GRS is issued by NARA and cover records documenting administrative functions rather than program functions
- Use of the GRS is mandatory
- Agency records schedules are created by agencies and provide disposition authority for records not covered by the GRS
- Agency records schedules are required by law and may not be implemented until approved by the Archivist of the United States

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- Agency records schedules also cover nonrecord materials and other records-related information that the ERA Records Schedules and legacy SF 115s do not have
- There are two methodologies for creating records schedules:
  - Traditional scheduling
    - Functional
    - Organization
  - Flexible scheduling
    - Big Buckets
    - Retention Banding
- All records schedules share several common elements:
  - Item Title
  - Item Description
  - Disposition Instructions
  - Disposition Authority

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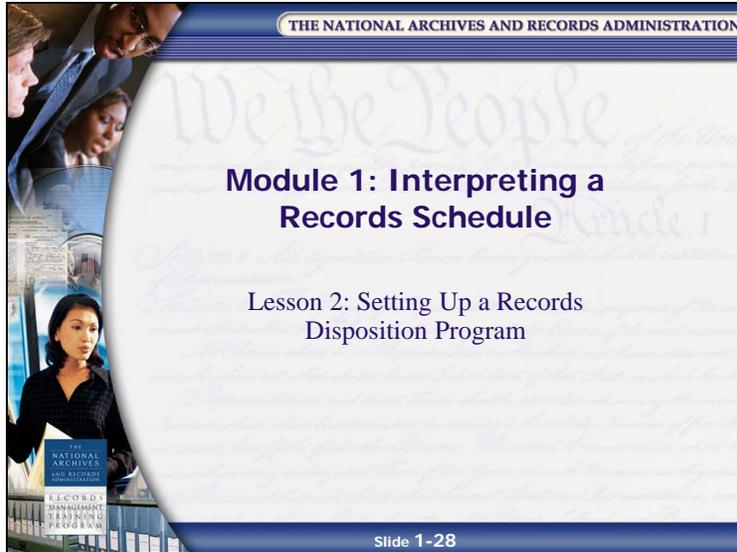
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# Lesson 2: Setting Up a Records Disposition Program

Slide 1-28



## Introduction

Every office needs a plan to make staff and contractors aware of their roles and responsibilities for proper records disposition. This plan of action includes providing appropriate training and guidance to agency staff. It also includes gaining the cooperation of agency management to ensure sufficient resources to care for records throughout their lifecycle.

### NOTES

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## Elements of a Records Disposition Plan

Slide 1-29

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Elements of a Records Disposition Plan

- Identifying the stakeholders
- Developing policy and procedure
- Training staff
- Creating buy-in

Slide 1-29

Records disposition plans incorporate four main elements:

- Identifying the stakeholders
- Developing policy and procedure
- Training staff
- Creating buy-in

### NOTES

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## Identifying the Stakeholders

The first element to address is to identify the stakeholders in your agency. This information provides the basis for the other three elements. (For example, you cannot develop training without first identifying who needs to be trained and what they need to know.)

For proper records disposition, identify the stakeholders, their roles and responsibilities, and what they need to know about implementing the records schedule.

### NOTES

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## Stakeholders – Disposition

Slide 1-30

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Stakeholders – Disposition

- Records management staff, Records Liaisons, and file custodians
- Line staff, including contractors
- Program managers
- Information Technology (IT) staff and managers
- Agency counsel staff
- Senior management

Slide 1-30

Every agency has different stakeholders with differing schedule implementation roles and responsibilities. You will need to identify the stakeholders for your agency, but to jump-start your efforts, the following is a list of stakeholders common to most agencies.

### NOTES

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### **Records management staff, Records Liaisons, and file custodians**

Schedule implementation roles and responsibilities:

- Responsible for all aspects of schedule implementation
- Responsible to know, understand, and effectively implement the schedule

### **Line staff, including contractors**

Schedule implementation roles and responsibilities:

- Recognize that the office's records are government property and consist of recorded information (documentary materials) required by law or used to conduct agency business
- Avoid removing records from the office without proper authorization
- Cooperate with the records custodian
- Recognize recordkeeping responsibilities

### **Program managers**

Schedule implementation roles and responsibilities:

- Ensure that their office has a designated records custodian
- Implement procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody
- Ensure that the records custodian is adequately trained and follows the agency's records schedule in carrying out the disposition of the office's records
- Ensure that Federal recordkeeping requirements are addressed in contracts and that contractors meet Federal recordkeeping requirements

### **NOTES**

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### **Information Technology (IT) staff and managers**

Schedule implementation roles and responsibilities:

- Understand and manage information systems
- Work with the Records Liaison, the records custodian, and others to ensure that the design and implementation of the system incorporates Federal and agency records management requirements
- Assist in overseeing the creation, maintenance, and disposition of records within the information system

### **Agency counsel staff**

Schedule implementation roles and responsibilities:

- Provide legal advice and assistance to agency staff in implementation of the schedule
- Inform the agency staff of the potential legal risk of a schedule that is not properly implemented
- Provide advice to the Agency Records Officer and others regarding the legal value of the agency's records and the issue of public access to them
- Inform Records Managers of any records-related information, updates, changes, and pending litigation holds

### **Senior management**

Schedule implementation roles and responsibilities:

- Support the records management program
- Recognize the agency recordkeeping responsibilities

### **NOTES**

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## Developing Policy and Procedures

Slide 1-31

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Developing Policy and Procedures

- Policies, procedures and guidance to assist stakeholders in using their schedule
- Definitions
- Responsibilities
- Procedures

Slide 1-31 BPR Manual, Tab 4, page 6

A records schedule is supported by local procedures that actually make the transfer and disposal processes work. Therefore, the second element of your plan is the development of policies, procedures, and guidance to assist stakeholders in using their schedule.

(Refer to **BPR Manual, Tab 4, page 6, Chapter II** – Files Maintenance Guidance as an example of the breadth of possible records management guidance in an agency.)

(Refer to **Handout 1.03** – Best Practice Example – EPA’s Instructions for Transferring Electronic Records to the National Archives, located in the Handouts section of your PG, as an example of the level of detail you could use for developing policy or procedures.)

### NOTES

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## Staff Training

Slide 1-32

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Staff Training

- Fosters good records management and consistent recordkeeping practices
- Reduces records-related risks (e.g., unauthorized destruction) and liability
- Promotes staff efficiency
- Reduces costs

Slide 1-32

The third element in your records disposition plan is training agency personnel to handle the agency's records as defined in the approved records schedule.

A records schedule is effective only if implemented properly, and proper implementation depends in large part on the proper training of agency employees.

Staff training:

- Fosters good records management and consistent recordkeeping practices
- Reduces records-related risks (e.g., unauthorized destruction) and liability
- Promotes staff efficiency
- Reduces costs

Providing training on the schedule is not just good business sense, it is also the law. Both the 36 CFR and 44 U.S.C. mandate training of agency personnel on all aspects of records management, including schedule implementation.

### NOTES

## What Needs to Be Taught?

Slide 1-33

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area is white with a blue border and contains the title "What Needs to Be Taught?" followed by a bulleted list of six items. The footer contains the text "Slide 1-33".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### What Needs to Be Taught?

- How to identify Federal records
- How to find the schedule(s) applicable to your records
- What to do with unscheduled records
- When and how to transfer records in agency or off-site storage
- When and how to retrieve records from agency or off-site storage
- When and how to dispose of temporary records

Slide 1-33

As addressed earlier, different stakeholders have different objectives when it comes to what they need to know about schedule implementation, and your schedule implementation training should be tailored to these differences.

There are some fundamental topics that should be covered in all schedule implementation training. These topics include:

- How to identify Federal records
- How to find the schedule(s) applicable to your records
- What to do with unscheduled records
- When and how to transfer records in agency or off-site storage
- When and how to retrieve records from agency or off-site storage
- When and how to dispose of temporary records

### NOTES

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## Best Practices – Training Staff

Slide 1-34

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practices – Training Staff

- Use new-hire packets
- Consider less formal training opportunities
- Do not reinvent the wheel! Consult NARA or other professional organizations for assistance

Slide 1-34

Consider piggybacking schedule implementation training on any existing training programs and educational initiatives, such as new employee orientations, existing internal education programs, etc.

- It is important to have records management program information in new-hire packets and to inform Records Management staff of any new hires whose job descriptions may necessitate records management training. The same policy would apply to contractors whose assignments may require them to follow agency recordkeeping requirements.
- Consider less formal training opportunities. Get creative: use awareness campaigns, posters hung in common areas, brown-bag lunches, newsletters, a web page on your agency's intranet, etc.
- Do not reinvent the wheel! Consult NARA or other professional organizations for assistance <http://www.archives.gov/records-mgmt/training/>

### NOTES

## Creating Buy-in

Slide 1-35

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Creating Buy-in

- Buy-in means the stakeholders' willingness to properly implement the records schedules
- You need to demonstrate benefits and risks

Slide 1-35

The final element of your plan is creating buy-in.

Buy-in means the stakeholders' willingness to cooperate with and participate in your policies, procedures, etc., for properly implementing the records schedule. Without buy-in, you are lost.

To create buy-in, you need to demonstrate both the benefits of properly implementing a schedule, and the risks of improperly implementing a schedule. Demonstration of the benefits and risks gives people concrete reasons for properly implementing a schedule. It takes them from just knowing **how** to do something, to knowing **why** they do it, which makes it more likely that it will get done.

Use the information you identified about the stakeholders to tailor the benefits and risks to your intended audience. When addressing legal staff, explain how proper schedule implementation will decrease the agency's risk and liability; when addressing senior management, illustrate how proper schedule implementation will improve agency efficiency and improve its bottom line. People are more likely to apply what they have learned when they know how it affects them personally.

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## The Records Disposition Plan – A Living Document

Slide 1-36

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### The Records Disposition Plan – A Living Document

- Roles and responsibilities, laws and regulations, records, etc., all change over time, and your schedule implementation plan must change with them
- Make it a point to review and update your plan at least annually

Slide 1-36

Just like a records schedule, a records disposition plan is a “living document,” with text that develops and changes over time.

Roles and responsibilities, laws and regulations, records, etc., all change over time, and the plan must change with them. Make it a point to review and update the plan annually. Check to see if the stakeholders’ roles and responsibilities have changed; check to see that agency policies, procedures, and guidance reflect current laws, regulations, and agency directives; and then make updates as needed.

(Refer to **Handout 1.04** – Project Plan for Building a Records Disposition Plan – located in the Handouts section of your PG, as an example of the level of detail in a Records Disposition Plan.)

### NOTES

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## Lesson Summary

In this lesson, you learned that:

- Records disposition plans incorporate four main elements:
  - Identifying the stakeholders
  - Developing policy and procedure
  - Training staff
  - Creating buy-in
- Identifying the stakeholders involves identifying:
  - Who the stakeholders are
  - What their schedule implementation roles and responsibilities are
  - What they need to know about schedule implementation
- Developing policy and procedure entails creating guidance to help stakeholders use their schedules
- Proper implementation of a records schedule depends in large part on the proper training of agency employees
- Training should be tailored to fit the stakeholders’ needs
- Buy-in means the stakeholders’ willingness to cooperate with and participate in your policies, procedure, etc., for properly implementing the records schedule
- To create buy-in you need to demonstrate both the benefits of properly implementing a schedule, and the risks of improperly implementing a schedule
- A records disposition plan is a “living document” and should be updated as changes occur in stakeholders’ roles and responsibilities, laws and regulations, records, etc.

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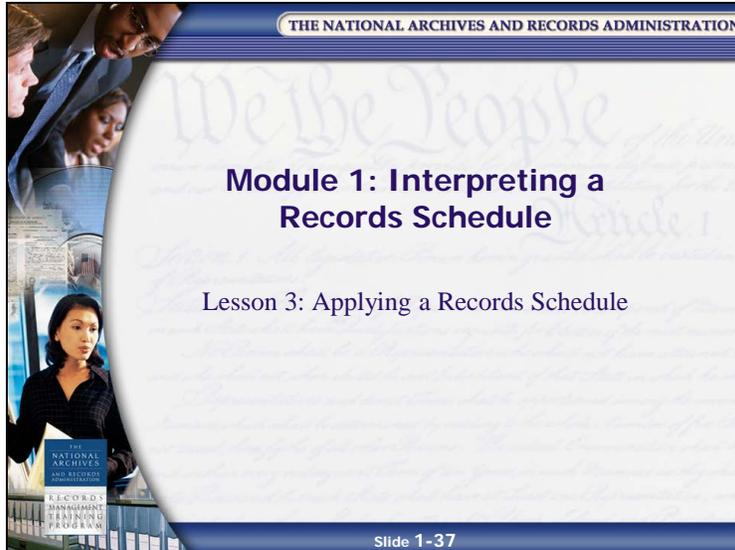
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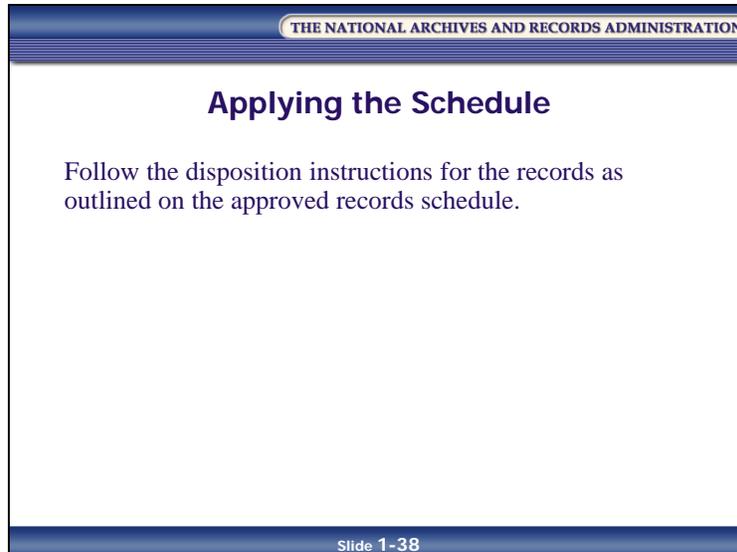
## Lesson 3: Applying a Records Schedule

Slide 1-37



## Applying the Schedule

Slide 1-38



Applying the records schedule means following the disposition instructions for the records as outlined on the approved records schedule. Basically, you need to:

- Know what records you have
- Recognize records according to the correct schedule item
- Recognize unscheduled records

## Key Term – Unscheduled Records

Slide 1-39

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Unscheduled Records

- Records whose final disposition has not been approved by NARA in a records schedule
- Must be treated as if permanent and cannot be destroyed
- Big problem for an agency:
  - They tend to accumulate
  - They are much more likely to be mishandled, lost, or destroyed inadvertently
- Agencies should work to get all their records properly scheduled

Slide 1-39

Unscheduled records are records whose final disposition has not been approved by NARA in a records schedule.

You may come across unscheduled records when you are applying a records schedule to your agency's records.

Unscheduled records are those records that:

- Have not been included on a legacy SF 115, Request for Records Disposition Authority or ERA Records Schedule, approved by NARA
- Are described but not authorized for disposal on a legacy SF 115 approved prior to May 14, 1973
- Are described on an legacy SF 115 or ERA Records Schedule but not approved by NARA (pending, withdrawn, canceled, or disapproved)

Since records cannot be destroyed without being scheduled, unscheduled records must be treated as if permanent until they are properly scheduled. Unscheduled records may be transferred to a Federal Records Center or off-site storage if an exception is granted by NARA.

Unscheduled records are a big problem for an agency. Because unscheduled records cannot be destroyed, they tend to accumulate in offices or on file servers, which can be expensive. Also, records without a schedule (especially electronic records) are much more likely to be mishandled, lost, or destroyed inadvertently. At best, maintaining unscheduled records is a bad records management practice.

Working with agencies to get their records properly scheduled is some of the most important work NARA does.

## Closed and Cutoff Files

Slide 1-40

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Closed and Cutoff Files

Difference between closed and cutoff files

- Closed – final action to a file or project
- Cutoff – the group of closed files for a specific time period (end of fiscal or calendar year)

Slide 1-40

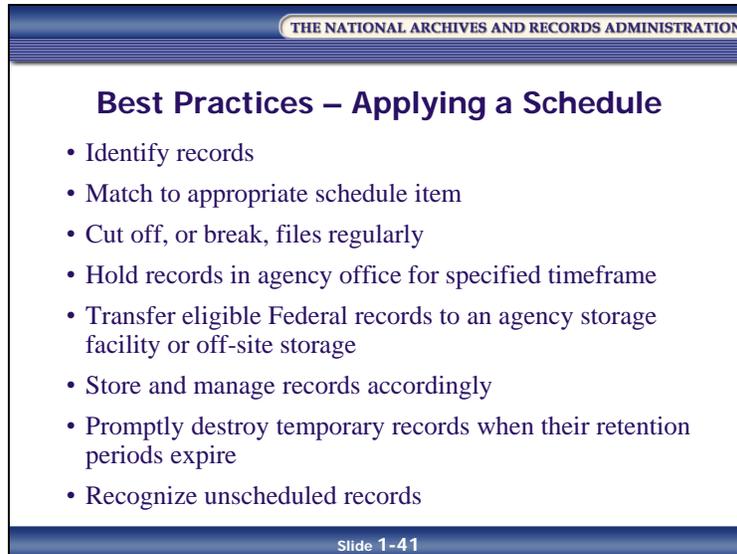
There is a difference between records that are “closed” and records that are “cutoff.” Individual records (case files, contracts) are closed when the final action is complete, but records are cut off as a group at a specific time period (end of Fiscal Year [FY]).

For example, you could close individual case files at various points throughout the year, however; the schedule item may read to cut off at the end of the FY in which the file was closed.

(Refer to **BPR Manual, Tab 4, page 28, Grant Project Files [item 418a]**, as an example of closing versus cutoff instructions.)

## Best Practices – Applying a Schedule

Slide 1-41



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practices – Applying a Schedule

- Identify records
- Match to appropriate schedule item
- Cut off, or break, files regularly
- Hold records in agency office for specified timeframe
- Transfer eligible Federal records to an agency storage facility or off-site storage
- Store and manage records accordingly
- Promptly destroy temporary records when their retention periods expire
- Recognize unscheduled records

Slide 1-41

In applying the schedule for either paper or electronic records, agencies should take these actions:

- Identify all records in all formats
- Match to appropriate schedule item
- Cut off, or break, files regularly
- Hold records in agency or office server for specified period of time
- Transfer eligible Federal records to an agency storage facility or off-site storage or store on an appropriate server
- Store and manage records accordingly
- Promptly destroy or delete temporary records when their retention periods expire
- Recognize unscheduled records and protect them as if permanent

## Schedule Coverage

Slide 1-42

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Schedule Coverage

- One ERA Records Schedule may contain multiple Records Schedule Items
- After reorganization, legacy disposition authorities continue to apply only if the purpose and nature of the records remain the same
- An agency cannot typically apply disposition authorities approved for another agency without NARA's approval
- Usually, disposition authorities apply retroactively to existing records

Slide 1-42 BPR Manual, Tab 4, page 30, Item #505

When applying a records schedule, you must also take into consideration the extent of a schedule's coverage:

- An ERA Records Schedule contains a single item, but a legacy SF 115 may contain multiple records schedule items. Each records schedule item addresses a definable set of records and the timetable for the retention, transfer, or destruction of records. An agency must schedule all of its records – by submitting multiple ERA Records Schedules.
- After an agency's internal reorganization, legacy disposition authorities continue to apply only if the purpose and nature of the records remain the same. An agency cannot typically apply disposition authorities approved for another agency without NARA's approval.
- Usually, disposition authorities apply retroactively to existing records, including those transferred from another function, agency, or office.

(Refer to **BPR Manual, Tab 4, page 30, item 505**, Accident and Incident Summary Reports Information System (AISD) Master Database as an example of ERA numbering system.)

## Media Neutral Schedule Items

Slide 1-43



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Media Neutral Schedule Items

- Media neutral schedules can better support the business needs of Federal agencies while ensuring adequate and proper documentation for Federal activities
- NARA regulations makes all records schedules submitted on or after December 14, 2007, media neutral
- NARA Bulletin 2010-04

Slide 1-43

Media neutral schedule items are items on a records disposition schedule (e.g., legacy SF 115 or ERA Records Schedule) that are applied to the described records regardless of the medium. Media neutral schedule items can better support the business needs of Federal agencies while ensuring adequate and proper documentation for Federal activities. They can reduce the overall appraisal burden while ensuring that records are kept long enough to protect rights and assure accountability, and that records of archival value are preserved and made available for future generations.

NARA regulations:

- Makes all records schedule items submitted on or after December 17, 2007, media neutral except for those items that are explicitly limited to a specific recordkeeping medium. (36 CFR 1225.12(e))
- Policy on when a new schedule is needed for electronic versions of previously scheduled hard copy records (36 CFR 1225.24)
  - Provides notification procedures for agencies when they implement electronic recordkeeping for records covered by previously approved permanent schedule items including instances where permanent hard copy records are replaced by electronic versions (36 CFR 1225.24(a))

NARA Bulletin 2010-04:

- Contains additional guidance concerning notifications. The revision also grants broader authority to agencies to dispose of hard copy records that have been converted to an electronic format and added disposition instructions for ad hoc printouts and documentation associated with permanent electronic records.

## Lesson Summary

In this lesson, you learned that:

- Applying the records schedule means following the disposition instructions for the records as outlined on the approved legacy SF 115 or ERA Records Schedule
- Unscheduled records are records whose final disposition has not been approved by NARA in a records schedule
- Unscheduled records must be treated as if permanent and cannot be destroyed
- There are several best practices for applying a records schedule
- What is the difference between closing dates and cutoff dates
- What records schedules are now media neutral
- When applying a records schedule, you must also take into consideration the extent of a schedule's coverage

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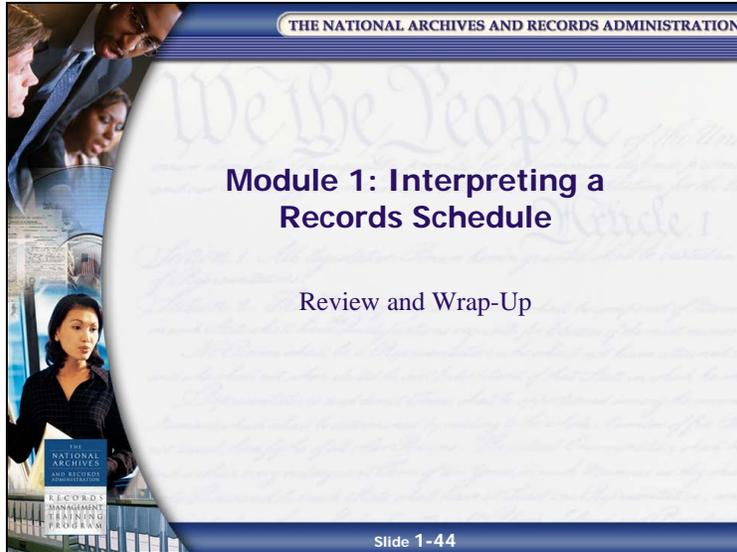
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# Module 1 Review and Wrap-Up

Slide 1-44



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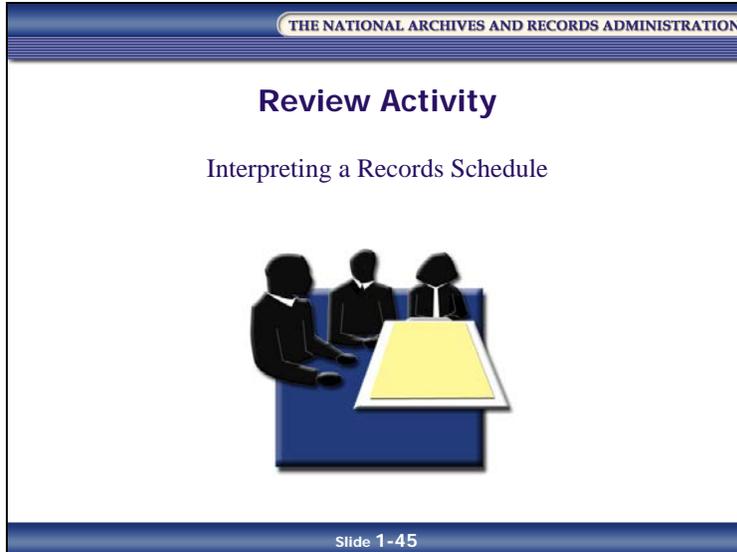
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## Review Activity: Interpreting a Records Schedule

Slide 1-45



### NOTES

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### Interpreting a Records Schedule Worksheet

An office in the Bureau of Public Recreation recently completed a records inventory. Records were located in the filing cabinets and on the hard drive of the offices. The inventory contains paper and electronic versions of the official record. Although most documents are created electronically, some documents require a wet signature and must be maintained in hard copy. Using the records schedules from the **Handbook section** of your **BPR Manual**, complete the worksheet by identifying the following for each inventory item listed:

- Whether the records are scheduled or unscheduled
- If scheduled, the item number(s) from the BPR records schedule
- Whether they are administrative or program records

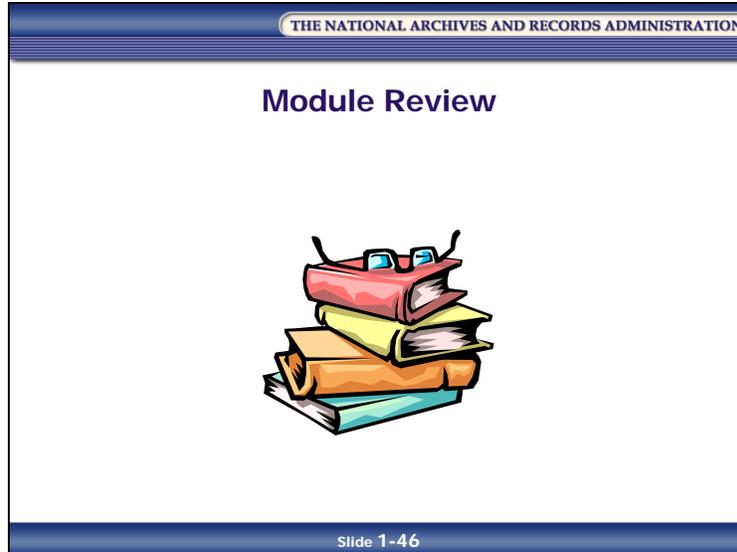
*Table 1-5: Records Schedule Worksheet*

No.	DESCRIPTION OF FILES	ARRANGEMENT	DATES	SCHEDULED OR UNSCHEDULED?	ITEM #	ADMINISTRATIVE OR PROGRAM?
1.	Routine procurement files – including contracts, requisitions, purchase orders, leases, bond surety records, correspondence, and related papers pertaining to award, administration, receipt, inspection, and payment.	Files have been cut off by fiscal year when final payment occurred and arranged in numerical order.	FY 1991 to FY 2014			
2.	Black heels – Size 7, White Tennis Shoes – Size 9, Old Coke Bottles, Tinsel, Tree Bulbs, Christmas Tree Star	Mixed	Unknown			
3.	BPR headquarters' correspondence files regarding policy decisions related to personnel, budget, BPR programs, miscellaneous vendors, freight carrier rate schedules, contracting guidelines, etc.	No cutoffs have been made. Records are filed alphabetically by subject.	FY 1985 to FY 2014			
4.	Personnel law files relating to discrimination, labor relations, adverse employee actions, and labor standards appeals or complaints. Records consist of complaint files of actions filed before administrative agencies or in Federal courts.	Records filed alphabetically by topic, then numerically by case number.	FY 1992 to FY 2014			
5.	Time and attendance sign-in sheets, leave applications for jury and military duty, and OF 1130s.	Records filed alphabetically by employee name.	FY 1985 to FY 2014			

No.	DESCRIPTION OF FILES	ARRANGEMENT	DATES	SCHEDULED OR UNSCHEDULED?	ITEM #	ADMINISTRATIVE OR PROGRAM?
6.	Site case files related to the containment and cleanup of uncontrolled hazardous waste sites.	Open and closed files. No cutoffs have been made. Filed alphabetically by location.	CY 1985 to FY 2014			
7.	Technical data files – including test results – related to discontinued scientific products.	Alphabetically by product.	FY 1990 to FY 2014			
8.	Terrestrial Recreation Analysis System (TRACS) Automated information system and related records containing land-use analysis data files, terrestrial wildlife analysis data files, and environmental impact analysis data files.	Electronic Magnetic tapes, input forms and output reports.	FY 1985 to FY 2014			

## Module Review

Slide 1-46



In Module 1, you learned:

- What records schedules are
- About laws and regulations that govern having and using records schedules, including 36 CFR 1224
- The definitions of disposition and disposition authority
- That disposition authority comes from the GRS and approved agency records schedules
- The difference between administrative and program records
- About traditional schedules, organizational schedules, functional schedules, flexible schedules, Big Buckets, and retention bands
- That there are common elements to all records schedules
- How to apply a records schedule
- About unscheduled records
- The best practices for applying a records schedule and the schedule coverage considerations to keep in mind
- The elements of a records disposition plan
- That a records disposition plan is a living document

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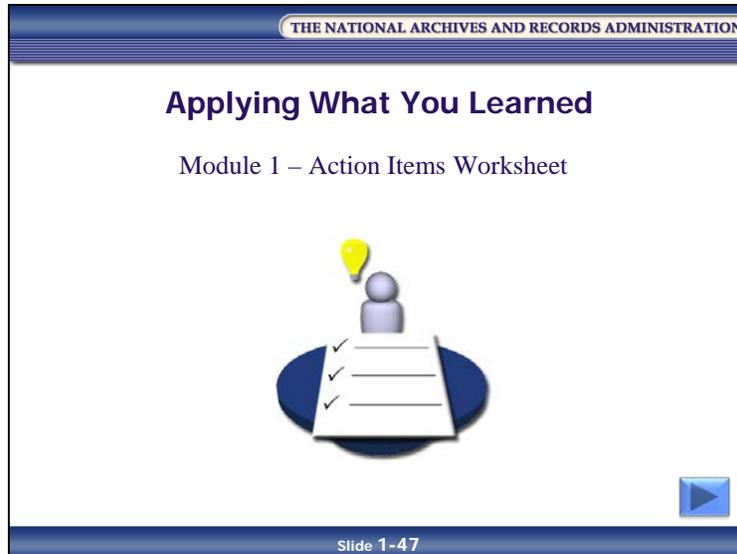
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## Applying What You Learned

Slide 1-47



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

### NOTES

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## Module 1 – Action Items Worksheet

**What did I learn about interpreting a records schedule that will help me at my job?**

List at least one thing you learned about interpreting a records schedule that is relevant to your records management roles and responsibilities.

**How will I apply what I learned about interpreting a records schedule to my job?**

List at least one thing you learned about interpreting 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.

(“Unscheduled records must be treated as permanent and cannot be destroyed?!? Aha!”)

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Participant Guide  
January 2017

# Knowledge Area 4: Records Schedule Implementation

## Module 2: Storing Federal Records



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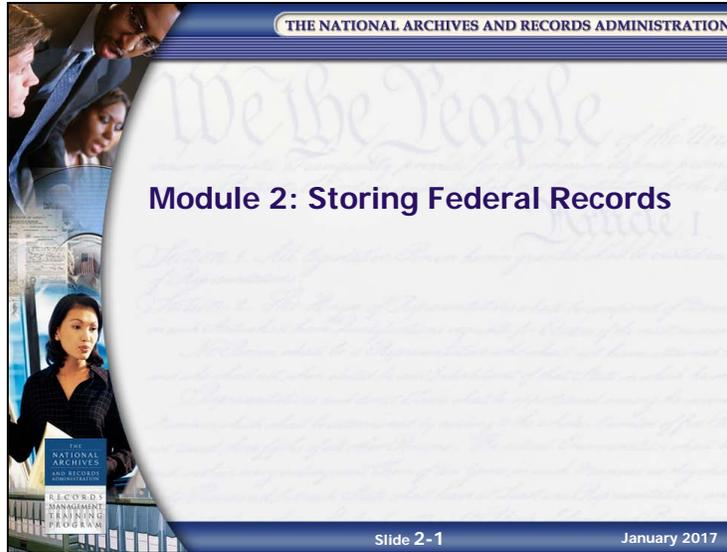
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# Introduction and Objectives

Slide 2-1



## Introduction

In Module 2, we cover storage of Federal records. Information is provided about off-site storage options, including Federal Records Centers (FRCs). We will also discuss legal and regulatory sources related to records storage.

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## Objectives

Slide 2-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Module 2 Learning Objectives

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

- Define key terms related to storing and transferring Federal records
- Identify records cutoff, transfer, and disposal dates using a records schedule
- Explain how to use off-site storage and other records management services
- Explain how to use Federal Records Centers (FRCs)

Slide 2-2

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

- Define key terms related to storing and transferring Federal records
- Identify records cutoff, transfer, and disposal dates using a records schedule
- Explain how to use off-site storage and other records management services
- Explain how to use Federal Records Centers (FRCs)

### NOTES

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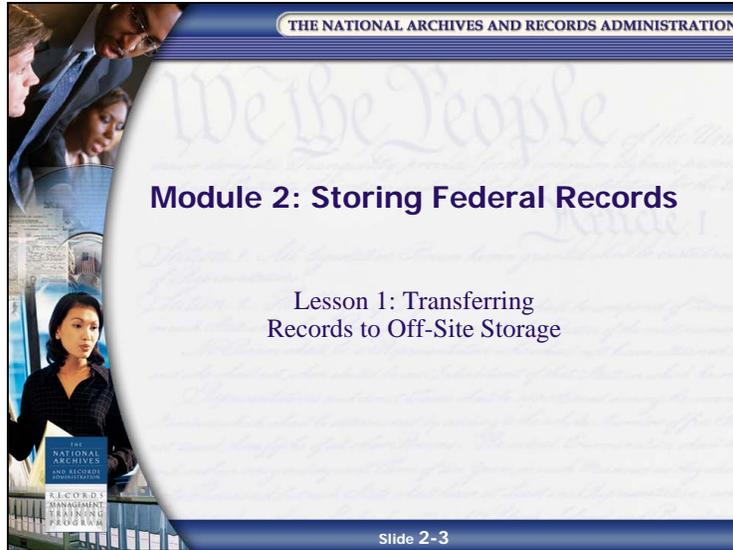
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# Lesson 1: Transferring Records to Off-Site Storage

Slide 2-3



## NOTES

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## What is Records Transfer?

Slide 2-4

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area has the title "What is Records Transfer?" followed by a definition: "The process of moving records from one location to another:". Below this is a bulleted list: "• From an agency office to an off-site storage facility", "• From one agency to another", and "• From an agency office to the National Archives". The footer contains the text "Slide 2-4".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### What is Records Transfer?

The process of moving records from one location to another:

- From an agency office to an off-site storage facility
- From one agency to another
- From an agency office to the National Archives

Slide 2-4

**Records transfer** is the process of moving records from one location to another:

- From an agency office to an off-site storage facility
- From one agency to another
- From an agency office to the National Archives

For the purposes of this module, the term “transfer” will be used to mean moving records from an agency office to an off-site storage facility. Module 4 will discuss accessioning of permanent records into the National Archives.

It is important to note that records transferred to a records storage facility – although in the **physical** custody of the storage facility – remain in the **legal** custody of the agency.

Agencies are still ultimately responsible for their records, even if transferred to off-site storage. They are responsible until temporary records are destroyed, or until permanent records are accessioned into the Archives, and legal custody is transferred.

### NOTES

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## Transferring Records Off-Site: A Business Decision

Slide 2-5

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Transferring Records Off-Site: A Business Decision

- Cost savings – It is usually more economical to store records in a records center than at the agency itself
- Records protection – Records centers are equipped (via environmental controls and fire and water protection) to properly care for records

Slide 2-5

With the exception of certain Federal civilian and military personnel, medical, and pay records which must be transferred to the National Personnel Records Center (36 CFR 1233.14), Federal agencies may elect to store records in an off-site records storage facility (36 CFR 1232.10).

There are two significant reasons that an agency elects to store its records off-site:

- **Cost savings** – Typically, it is far more economical to store records in a records center than at agency space. Agencies often occupy premium real estate, and using office space to store records no longer needed to support active agency business can get expensive. Of course, the cost benefits of off-site storage will not be the same for all agencies, so each agency needs to assess whether off-site storage will save it money. For example, most administrative records are of such small volume and short retention period that it is not worth the bother or expense to send them off-site, so they stay in the office until they are properly destroyed.

### NOTES

- **Records protection** – Records centers are equipped with alarms and fire and water protection to properly care for records. Maintaining the physical security of records is important for all records, but especially for those with long retention periods or special value in the event of an emergency. A business continuity plan may even require maintaining certain vital records (essential information) away from your primary offices, and closer to your assigned backup site.

The rule-of-thumb: the cost to move, store, and retrieve records off-site should not be more than the cost to keep the records in present space and equipment.

**NOTES**

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## Which Records Can Be Transferred to Off-Site Storage?

Slide 2-6

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main title is "Which Records Can Be Transferred to Off-Site Storage?". Below the title is a bulleted list: "Active Temporary Records", "Inactive Temporary Records", "Permanent Records", and "Unscheduled Records". The footer contains the text "Slide 2-6".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Which Records Can Be Transferred to Off-Site Storage?

- Active Temporary Records
- Inactive Temporary Records
- Permanent Records
- Unscheduled Records

Slide 2-6

Records that can be transferred to an off-site records storage facility include:

- **Active Temporary Records** – The whole idea of active and inactive records is somewhat dated, although it was a crucial distinction when it was harder to retrieve records. Now records centers actually store active records for agencies. The idea of transferring “active” records is based on cost savings. Agencies (especially in Washington, DC, and other large cities) occupy expensive real estate compared with a records facility. Another benefit would be agency time saved, since the record center provides reference service.
- **Inactive Temporary Records** – Once records have been cut off, they are usually stored on-site for a period of time (in case the agency might need to access them) before transferring them to off-site storage

### NOTES

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- **Permanent Records** – Even though textual permanent records eventually go to the National Archives, they are usually stored at a records center first. In some cases, an agency will transfer permanent records directly to the National Archives, rather than first transferring them to a records center for storage. The agency would complete an Electronic Records Archives (ERA) Transfer Request form to provide for the accession of the permanent records into the National Archives. (This is covered in detail later in this course.)
- **Unscheduled Records** – Consistent with 36 CFR 1232.14(b), an agency may send unscheduled records to off-site storage provided that the agency notifies the National Archives and Records Administration (NARA) or submits an ERA Records Schedule. Agencies should cite the pending job number or the date NARA was notified and the series item that corresponds to the transfers.

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**Sample Memo Notifying NARA That Unscheduled Records  
Are Being Sent to a Commercial Vendor**

# Memo

To: National Archives and Records Administration, Office of the  
Chief Records Officer  
From: Agency Records Officer, Bureau of Public Recreation  
Date: October 16, 2015  
Re: Transfer of unscheduled records to commercial storage

In accordance with 36 CFR 1228.154(b), the Bureau of Public Recreation intends to retire unscheduled records to a commercial records storage facility. The records are to be transferred to Acme Records Storage, 145 First Street, St. Paul, MN. This facility is on NARA's central registry of approved records centers.

To be transferred are 150 cubic feet of Research and Development project records (1993-present) created by the Terrestrial Recreation Program. The R&D project consists of such projects as "The Environmental Effects of Rock Climbing on Mt. Tookie," and "The Environmental Effects of Power Boat on Lake Spume." The project files contain restricted research information. Records are currently not classified, but do contain proprietary information. The records are on paper. Henceforth, the Terrestrial Recreation Program intends to transfer approximately 12 cubic feet of records of this type on at least an annual basis.

My staff has begun working with internal and external stakeholders to draft a schedule for these records.

## Identifying Cutoff, Transfer, and Disposal Dates

Slide 2-7

Step	Example
<b>Identify the record's cutoff date</b>	Cutoff date: CY 2009 =
▪ Fiscal Year (FY) cutoff = September 30	<b>12/2009</b>
▪ Calendar Year (CY) cutoff = December 31	Disposition clock begins:
▪ Action or event = ???	<b>01/2010</b>

Slide 2-7

BPR Manual, Tab 4, page 27, Item #412

Records are typically eligible for transfer to an off-site records storage facility after their cutoff dates are reached. To identify the cutoff date, refer to your records schedules.

Your agency may have a required timeframe that a records series must remain in the office or on-site after its cutoff has been reached before they can be transferred to off-site storage.

Often agencies confuse close date with cutoff date. Records can and often do close on a daily basis. For example, the processing of the final payment for a travel voucher is closed when the payment is sent to the traveler. The travel voucher is not cut off until the end of the period that is covered by the fiscal account, which is the end of the fiscal year.

### NOTES

Cutoff dates are typically based on one of three things:

- **The end of the fiscal year (FY)** – FY cutoff = September 30  
(Refer to **BPR Manual, Tab 4, page 27, item #413** [Vacancy Announcement Files], as an example of a fiscal year cutoff date.)
- **The end of the calendar year (CY)** – CY cutoff = December 31  
(Refer to **BPR Manual, Tab 4, page 20, items #207** [Management Survey Cases] as examples of calendar year cutoff dates.)
- **The occurrence of an action or event** – For example, a project case file gets cut off when the project is completed. [These records – records with no prescribed closing date – are called “contingent records.”]  
(Refer to **BPR Manual, Tab 4, page 22, items #306** [Technical Files] and **#307** [Analytical Compilations], as examples of event based event cutoff dates.)

**Note:** When determining transfer dates, it is important to remember that records are eligible for transfer only **after** their cutoff date is reached. Records with a cutoff date occurring on the **last day** of the month (such as those with FY or CY cutoff dates) are not eligible for transfer until the **first day** of the month following the cutoff date.

For example, records with a cutoff date of CY 2010 (12/2010) are not eligible for transfer until 01/2011.

### **Agency Requirements for Holding Records Beyond Cutoff Dates**

In most cases, agencies require records to be held for a period of time beyond their cutoff date before they can be transferred to storage. These requirements should be specified in the records schedules or disposition instructions, so be sure to refer to your schedule before transferring records.

(Refer to **BPR Manual, Tab 4, page 33, item #514a** [Site Containment and Clean-Up File – Case files], as an example of a transfer date that extends well beyond the cutoff date.)

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## Calculating Disposal Dates

Slide 2-8

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION	
Calculating Disposal Dates	
Table 2-2: Steps to Calculate Disposal Dates	
Steps	Example
1. Identify the record's cutoff date	Cutoff date: FY 2009 = 09/30/2009
2. Identify the record's retention period	Retention period: 6yrs
3. Determine transfer date	1 y after cutoff = 10/1/2010
4. Add the record's retention period to the cutoff date	6yrs + 09/30/2009 = 09/30/2015
5. Adjust the record's disposal date to the first day of the next month	Record disposal date: 09/30/2015 becomes 10/01/2015

Once you have determined the cutoff and transfer date, you will need to calculate the disposal date. Prior to transferring records to off-site storage, it is imperative that the disposal date be determined to minimize the risk of belated or erroneous disposal.

The steps for calculating the disposal date for records are:

1. Identify the record's cutoff date – refer to your records schedule
2. Identify the record's retention period – refer to your records schedule
3. Determine transfer date

### NOTES

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4. Determine the **record's** disposal date – Add the record's retention period to the cutoff date to determine the record's disposal date

**Note:** Just as with record transfer dates, records are eligible for disposal only after the completion of the retention period. Records with a cutoff date occurring on the **last day** of the month (such as those with FY or CY cutoff dates), the retention period starts the **first day** of the month following the cutoff date. For example, for records with a cutoff date of CY 2010 (12/2010) the calculation of the retention period begins on 01/2011.

5. Adjust the record's disposition date – If the cutoff date is not determined by the end of the FY or CY then the disposition date will be calculated based on the first of the month following the closing date of the records. For example, if the project closed on 2/15/2010, the calculation of the retention period begins on 3/1/2010.

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Tools for Calculating Transfer and Disposal Dates

Slide 2-9

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposition Date Chart

*Table 2-3: Retention Period in Years*

Cutoff Date 0	Retention Period 1	Retention Period 2	Retention Period 3	Retention Period 4	Retention Period 5	Retention Period 6	Retention Period 7	Retention Period 8	Retention Period 10	Retention Period 15	Retention Period 20	Retention Period 25
CY 2008	1/10	1/11	1/12	1/13	1/14	1/15	1/16	1/17	1/19	1/24	1/29	1/34
FY 2008	10/09	10/10	10/11	10/12	10/13	10/14	10/15	10/16	10/18	10/23	10/28	10/33
CY 2009	1/11	1/12	1/13	1/14	1/15	1/16	1/17	1/18	1/20	1/25	1/30	1/35
FY 2009	10/10	10/11	10/12	10/13	10/14	10/15	10/16	10/17	10/19	10/24	10/29	10/34
CY 2010	1/12	1/13	1/14	1/15	1/16	1/17	1/18	1/19	1/21	1/26	1/31	1/36
FY 2010	10/11	10/12	10/13	10/14	10/15	10/16	10/17	10/18	10/20	10/25	10/30	10/35
CY 2011	1/13	1/14	1/15	1/16	1/17	1/18	1/19	1/20	1/22	1/27	1/32	1/37
FY 2011	10/12	10/13	10/14	10/15	10/16	10/17	10/18	10/19	10/21	10/26	10/31	10/36
CY 2012	1/14	1/15	1/16	1/17	1/18	1/19	1/20	1/21	1/23	1/28	1/33	1/38
FY 2012	10/13	10/14	10/15	10/16	10/17	10/18	10/19	10/20	10/22	10/27	10/32	10/37
CY 2013	1/15	1/16	1/17	1/18	1/19	1/20	1/21	1/22	1/24	1/29	1/34	1/39
FY 2013	10/14	10/15	10/16	10/17	10/18	10/19	10/20	10/21	10/23	10/28	10/33	10/38
CY 2014	1/16	1/17	1/18	1/19	1/20	1/21	1/22	1/23	1/25	1/30	1/35	1/40
FY 2014	10/15	10/16	10/17	10/18	10/19	10/20	10/21	10/22	10/24	10/29	10/34	10/39
CY 2015	1/17	1/18	1/19	1/20	1/21	1/22	1/23	1/24	1/26	1/31	1/36	1/41
FY 2015	10/16	10/17	10/18	10/19	10/20	10/21	10/22	10/23	10/25	10/30	10/35	10/40
CY 2016	1/18	1/19	1/20	1/21	1/22	1/23	1/24	1/25	1/27	1/32	1/37	1/42
FY 2016	10/17	10/18	10/19	10/20	10/21	10/22	10/23	10/24	10/26	10/31	10/36	10/41
CY 2017	1/19	1/20	1/21	1/22	1/23	1/24	1/25	1/26	1/28	1/33	1/38	1/43
FY 2017	10/18	10/19	10/20	10/21	10/22	10/23	10/24	10/25	10/27	10/32	10/37	10/42
CY 2018	1/20	1/21	1/22	1/23	1/24	1/25	1/26	1/27	1/29	1/34	1/39	1/44
FY 2018	10/19	10/20	10/21	10/22	10/23	10/24	10/25	10/26	10/28	10/33	10/38	10/43
CY 2019	1/21	1/22	1/23	1/24	1/25	1/26	1/27	1/28	1/30	1/35	1/40	1/45
FY 2019	10/20	10/21	10/22	10/23	10/24	10/25	10/26	10/27	10/29	10/34	10/39	10/44
CY 2020	1/22	1/23	1/24	1/25	1/26	1/27	1/28	1/29	1/31	1/36	1/41	1/46
FY 2020	10/21	10/22	10/23	10/24	10/25	10/26	10/27	10/28	10/30	10/35	10/40	10/45

Slide 2-9

There are two helpful tools for calculating disposal dates: The Disposition Date Chart and the DestructDate Calculator.

(Refer to **Handout 2.01**, The Disposition Date Chart, located in the Handouts section of your PG.)

Along the left side of the chart is the cutoff date, both fiscal years (FY) and calendar years (CY). Along the top is the retention period.

For records that must be held for a period of time beyond their cutoff date before they can be transferred to storage, the Disposition Date Chart is a helpful tool for determining when records are available for transfer and their disposition date.

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To determine the transfer date, simply locate the records' cutoff date and retention period; then find the intersection of the two – and that is the date the records are available for transfer.

The chart can be used to find the disposal date. To determine the disposal date, locate the records' cutoff date and the retention period; then find the intersection of the two – and that is the disposal date.

The chart can also be used to determine which records to destroy and which to keep, when you are faced with locating inactive records spanning many years.

If you know what the retention period is, you move down the appropriate column and stop when you get to the current date (i.e., where the dashes stop).

Records that have been retained long enough, and therefore can be disposed of, will fall into one of the “dashed” cells.

Records that still need to be kept will have some future date in the box.

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## DestructDate Calculator

Slide 2-10

The screenshot shows the 'DestructDate Calculator' application interface. At the top, it says 'THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION'. Below that is the title 'DestructDate Calculator'. The main area is titled 'DestructDate 4.0' and contains several input fields: 'Ending Date, Month:' with a dropdown, 'Ending Date, Year:' with a dropdown, 'Years:' with a text input (containing '0'), 'Months:' with a text input (containing '0'), and 'Disposition:' with a text input. To the right, there is a 'Quarterly System:' dropdown menu set to 'Federal'. At the bottom of the main area are two buttons: 'Calculate Date' and 'Show Help'. Below the main area is a 'Save Setting' button. The slide number 'Slide 2-10' is visible at the bottom of the application window.

The calculator is an online application provided by NARA: <http://tinyurl.com/DestructDate>

### NOTES

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## The Process for Transferring Records to Off-Site Storage

Slide 2-11

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### The Process for Transferring Records to Off-Site Storage

1. Ensure that records are arranged by series, so that you are not mixing multiple types of records
2. Identify the records eligible for transfer, using your records schedule
3. Remove any personal papers or duplicates from the recordkeeping file
4. Clearly label the files and folders according to standard procedures for easier future reference or retrieval

Slide 2-11

There is no single standard process for transferring records to an off-site storage facility. The policies and procedures of both the agency and the records center will dictate the specific process each agency needs to follow.

Provided below is a basic process for transferring paper records (electronic records have specific requirements, which will be addressed later in this course):

1. Ensure that records are arranged by series, so that you are not mixing multiple types or disposition dates of records
2. Identify the records eligible for transfer, using your records schedule
3. Remove any personal papers or duplicates from the recordkeeping file
4. Clearly label the files and folders according to standard procedures for easier future reference or retrieval

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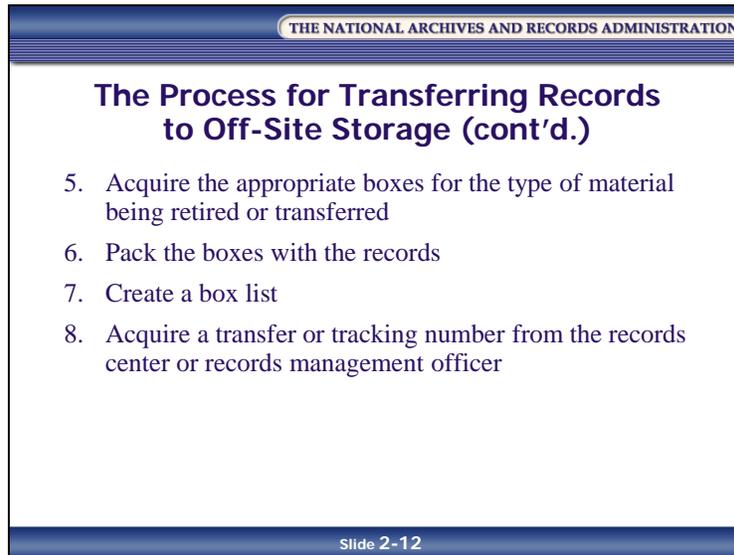
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Slide 2-12



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "The Process for Transferring Records to Off-Site Storage (cont'd.)" is centered. The main content consists of a numbered list of four items. At the bottom of the slide, there is a blue footer with the text "Slide 2-12".

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

**The Process for Transferring Records to Off-Site Storage (cont'd.)**

5. Acquire the appropriate boxes for the type of material being retired or transferred
6. Pack the boxes with the records
7. Create a box list
8. Acquire a transfer or tracking number from the records center or records management officer

Slide 2-12

5. Acquire the appropriate boxes for the type of material being retired or transferred
6. Pack the boxes with the records:
  - Pack the boxes in logical order, with records upright in the box. If you find charge-out cards, pack them, but leave room for the records to be inserted when they are returned. Number the cartons, and allow 2 inches of space in the box.
  - Put enough records in each box so that they do not move about in the box
  - Boxes should not be so full as to inhibit easy removal and insertion of files
7. Create a box list (this needs to be more detailed for permanent records, unscheduled records, and records that will be sampled or selected)
  - Ensure that the box list is detailed enough to identify the contents (by case number, project code, etc.)
8. Acquire a transfer or tracking number (or barcode) from the records center or records management officer (if the officer is the one who creates the tracking number)

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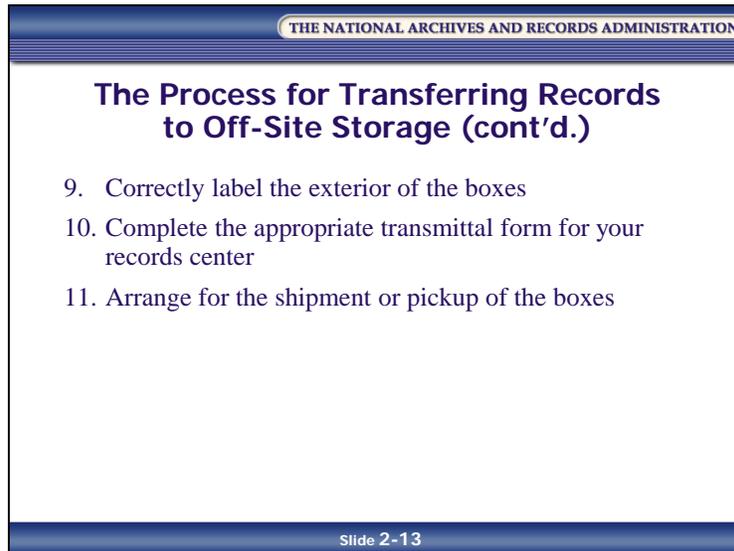
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Slide 2-13



The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area is white with a blue border. The title "The Process for Transferring Records to Off-Site Storage (cont'd.)" is centered in bold. Below the title are three numbered steps. A blue footer at the bottom contains the text "Slide 2-13".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**The Process for Transferring Records to Off-Site Storage (cont'd.)**

9. Correctly label the exterior of the boxes
10. Complete the appropriate transmittal form for your records center
11. Arrange for the shipment or pickup of the boxes

Slide 2-13

9. Correctly label the exterior of the boxes
10. Complete the appropriate transmittal form for your records center
11. Arrange for the shipment or pickup of the boxes

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## General Notes About the Process for Transferring Records to Off-Site Storage

Slide 2-14

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

**General Notes About the Process for Transferring Records to Off-Site Storage**

- Not all records centers accept contingent records
- Some records centers may not accept records if the volume is less than 1 cubic foot
- Some records centers may not routinely accept mixed record series boxed together
- Separate all media

Slide 2-14

- Not all records centers accept contingent records. Check to see if your records center accepts contingent records.
- Some FRCs may not accept records if the volume is less than 1 cubic foot. Check to see if your records center has restrictions on minimum volume.
- Some records centers may not routinely accept mixed record series (records that have different disposition authorities) boxed together. Check to see whether you can box together multiple series with the same disposition date.
- Separate all special media (non-paper-based records) from paper records as they have different storage, maintenance, and destruction needs

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## Transfer Information You Need for Managing Off-Site Records

Slide 2-15

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Transfer Information You Need for Managing Off-Site Records

- Provider point of contact
- Agency point of contact
- Copy of completed transfer forms and documentation with transfer numbers, disposal dates, and volume transferred
- Box and folder lists
- List of security restrictions

Slide 2-15

In addition to the transfer-related information required by the off-site records storage facility, there is also information **YOU** need to maintain in order to properly manage your off-site records. This information should include:

- Provider point of contact
- Agency point of contact
- Copy of completed transfer forms and documentation with transfer numbers, disposal dates, and volume transferred
- Box and folder lists
- List of security or other restrictions

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Slide 2-16



Slide 2-16 shows a screen from a commercial software program that can be used to track and manage records information through its lifecycle prior to final disposition and including all litigation holds.

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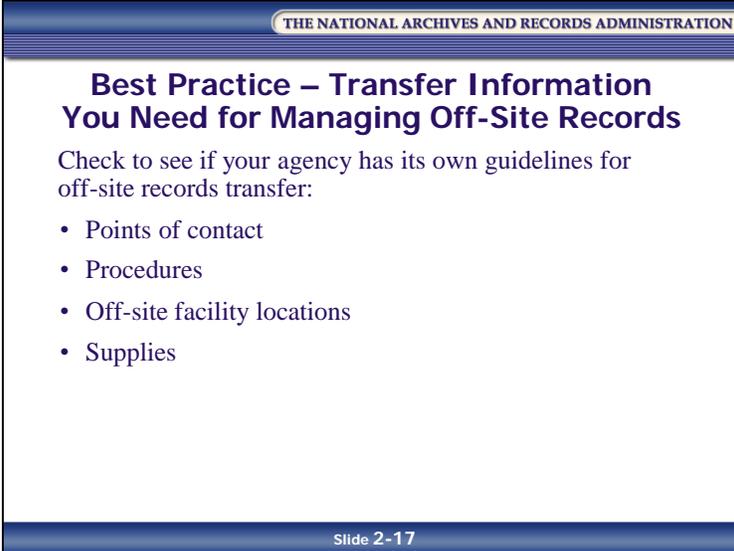
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## Best Practice – Transfer Information You Need for Managing Off-Site Records

Slide 2-17

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area has a title "Best Practice – Transfer Information You Need for Managing Off-Site Records" and a paragraph "Check to see if your agency has its own guidelines for off-site records transfer:". Below this is a bulleted list with four items: "Points of contact", "Procedures", "Off-site facility locations", and "Supplies". The footer contains the text "Slide 2-17".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practice – Transfer Information You Need for Managing Off-Site Records

Check to see if your agency has its own guidelines for off-site records transfer:

- Points of contact
- Procedures
- Off-site facility locations
- Supplies

Slide 2-17

Check to see if your agency has its own guidelines for off-site records transfer. Often, agencies will have agency-specific guidelines for off-site records transfer which include information such as the appropriate agency point-of-contact information, the appropriate records center information, how to order the needed shipping supplies, etc.

(Refer to **Handout 2.02** – Records Management Procedures for Storage, Transfer, and Retrieval of Records from WNRC, located in the Handouts section of your PG. For a real-life example of agency-specific guidelines for off-site records transfer)

### NOTES

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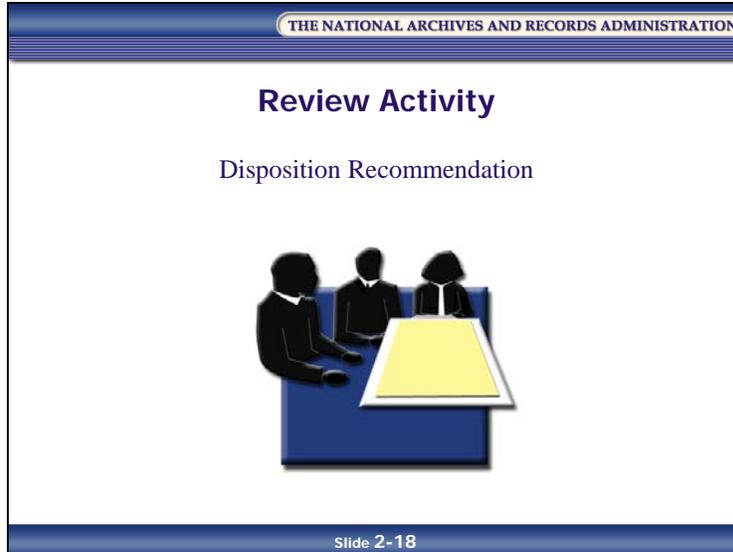
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## Review Activity: Disposition Recommendation

Slide 2-18



### NOTES

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### Disposition Recommendation Worksheet

Using the records schedules starting on **page 17** in the **Handbook section (Tab 4)** of your **BPR Manual**, complete the worksheet by recommending an appropriate disposition action (which records can be destroyed, which records can be transferred to storage, and which records should remain in the office) for each series listed. For the purposes of this activity, assume today's date is October 1, 2016.

*Table 2-3: Disposition Recommendation Worksheet*

	DESCRIPTION OF FILES	ARRANGEMENT	DATES	ITEM #	RECOMMENDED DISPOSITION ACTION
1.	Routine procurement files - including contracts, requisitions, purchase orders, leases, bond surety records, correspondence, and related papers pertaining to award, administration, receipt, inspection, and payment.	Files have been cut off by fiscal year when final payment occurred and arranged in numerical order.	FY 1991 to FY 2014		
2.	Black heels – Size 7, White Tennis Shoes – Size 9, Old Coke Bottles, Tinsel, Tree Bulbs, Christmas Tree Star	Mixed	Unknown		

	DESCRIPTION OF FILES	ARRANGEMENT	DATES	ITEM #	RECOMMENDED DISPOSITION ACTION
3.	BPR headquarters' correspondence files regarding policy decisions related to personnel, budget, BPR programs, miscellaneous vendors, freight carrier rate schedules, contracting guidelines, etc.	No cutoffs have been made. Records are filed alphabetically by subject.	FY 1985 to FY 2014		
4.	Personnel law files relating to discrimination, labor relations, adverse employee actions, and labor standards appeals or complaints. Records consist of complaint files of actions filed before administrative agencies or in Federal courts	Records filed alphabetically by topic, then numerically by case number.	FY 1992 to FY 2014		
5.	Time and attendance sign-in sheets, leave applications for jury and military duty, and OF 1130s	Records filed alphabetically by employee name.	FY 1985 to FY 2014		

	DESCRIPTION OF FILES	ARRANGEMENT	DATES	ITEM #	RECOMMENDED DISPOSITION ACTION
6.	Site case files related to the containment and cleanup of uncontrolled hazardous waste sites	Open and closed files. No cutoffs have been made. Filed alphabetically by location.	CY 1985 to CY 2014		
7.	Technical data files – including test results – related to discontinued scientific products	Alphabetically by product.	FY 1990 to FY 2014		
8.	Terrestrial Recreation Analysis System (TRACS) Automated information system and related records containing land-use analysis data files, terrestrial wildlife analysis data files, and environmental impact analysis data files	Electronic	FY 1985 to FY 2014		

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## Lesson Summary

In this lesson, you learned that:

- Records transfer is the process of moving records from one location to another
- Records protection and cost savings are two reasons agencies opt to store their records at an off-site facility
- The following records can be transferred to an off-site storage facility:
  - Temporary Records that are still active
  - Temporary Records that are no longer active
  - Permanent Records
  - Unscheduled Records
- Records are typically available for transfer soon after their cutoff dates are reached
- Each agency will have its own process for transferring records off-site, but there is a basic step-by-step process you can follow
- In addition to the information required by the off-site storage facility, there is information **YOU** need to maintain in order to properly manage your off-site records, including:
  - Agency point-of-contact information
  - The record group number and transfer number (if a NARA facility)
  - Box numbers
  - The cubic footage being transferred
  - A record series description
  - Any restrictions

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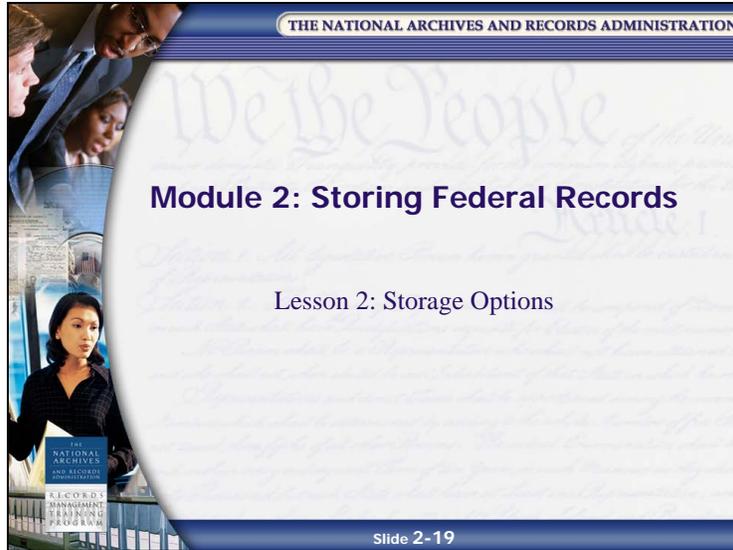
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# Lesson 2: Storage Options

Slide 2-19



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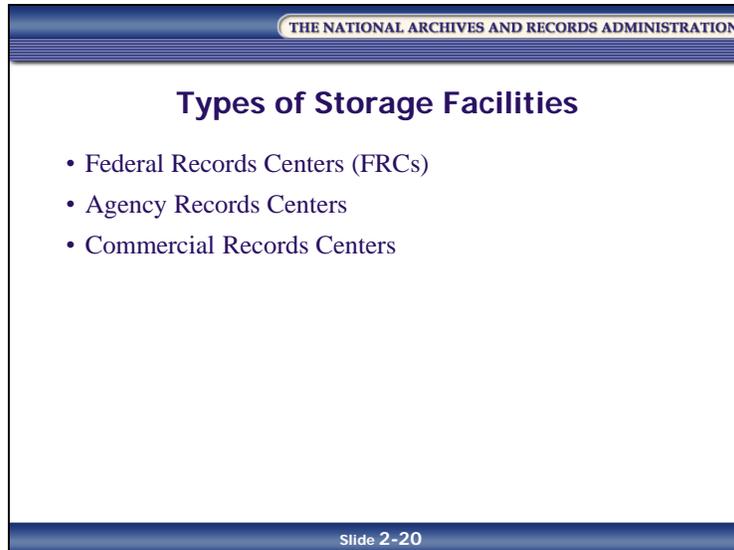
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## Types of Storage Facilities

Slide 2-20



There are three types of records storage facilities in which agencies can store records (36 CFR 1232.10):

- Federal Records Centers (FRCs) – Agencies can store records at FRCs on a reimbursable basis
- Agency Records Centers – Agencies can store records in their own agency records centers or holding areas. Agency records centers or holding areas must meet 36 CFR 1234.10 regardless of size or capacity.
- Commercial Records Centers – Agencies are allowed to contract with commercial vendors for the storage of Federal records

The Federal Records Centers Program (FRCP) created the “Records Storage Facility Standard Toolkit” to answer records questions regarding storage facility compliance questions. It is located at <http://www.archives.gov/records-mgmt/storage-standards-toolkit/>.

### NOTES

## Standards for the Storage of Federal Records

Slide 2-21

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Standards for the Storage of Federal Records

- Federal agencies may store records in records storage facilities as long as the facilities meet the specific facility standards defined in 36 CFR 1234
- The standards require protection from threats such as fire, pests, theft, natural disasters, and water damage

Slide 2-21

Federal agencies may store records in records storage facilities that meet the specific facility standards defined in 36 CFR 1234. FRCs, commercial records centers, and agency facilities holding more than 25,000 cubic feet of records must meet these standards or be built to meet these requirements.

All records centers used by Federal agencies must protect Federal records from threats such as fire, pests, theft, natural disasters, and water damage. Provided below are some of the key requirements specified in 36 CFR 1234. It is recommended that you familiarize yourself with **all** the requirements listed.

**General** requirements (listed in 36 CFR 1234.10) include:

- A single-story building made of noncombustible materials (can be multi-story if designed or reviewed by a licensed fire protection engineer and civil or structural engineer)
- The allowable floor load limit must be established by a licensed structural engineer and posted in a conspicuous place
- An anti-intrusion alarm system

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**Fire safety** requirements (listed in 36 CFR 1234.12) include:

- A maximum of 250,000 cubic feet of Federal records in each records storage area
- Appropriate fire barrier walls between records storage bays, and between records storage bays and auxiliary spaces
- A professionally designed fire-safety detection and suppression system designed to limit anticipated fire loss to a maximum of 300 cubic feet of records

**Environmental** requirements (listed in 36 CFR 1234.14) include:

- Environmental conditions designed to prevent mold growth
- Non-textual storage that meets the requirements of 36 CFR 1238 Subpart C (Micrographic Records Management) and 36 CFR 1236 (Electronic Records Management):
  - Microform, Permanent and Unscheduled Records – Store permanent and unscheduled microform records under the extended term storage conditions specified in ISO 18911:2000 and ANSI/PIMA IT9.2-1998, except that the relative humidity of the storage area must be a constant 35 percent RH, plus or minus 5 percent. Do not store duplicates of microforms in the same storage area as silver gelatin originals or other original microforms.
  - Electronic Records – Agencies shall maintain the storage and test areas for computer magnetic tapes containing permanent and unscheduled records under the following conditions:
    - Constant temperature – 62 to 68°F
    - Constant relative humidity – 35 to 45 percent
- Paper-based permanent records should be stored in continuously air-conditioned space with air characteristics equivalent to office air

(Refer to **Handout 2.03** – Standards Incorporated by reference in 36 CFR 1234, located in the Handouts section of your PG, for a list of the environmental standards incorporated by reference in NARA’s records storage facilities regulations.)

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## Facility Approval and Agency Responsibility

Slide 2-22

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Facility Approval and Agency Responsibility

- Agencies must get permission from the National Archives and Records Administration (NARA) before using an agency or commercial records facility
- 45 days before an agency first transfers records to a records storage facility, the agency must submit documentation to NARA that the facility complies with the standards in 36 CFR 1234.30

Slide 2-22

Agencies must get permission from NARA before using an agency or commercial records facility, even if the center has been approved for the storage of Federal records for another agency.

Agency records staging or holding areas with a capacity for containing less than 25,000 cubic feet of records are excluded from this inspection and approval process. However, such records centers and areas must comply with the facility standards noted above.

Agencies are responsible for ensuring that records in their legal custody are stored in appropriate space as outlined in 36 CFR 1234.30 (e). At least 45 calendar days before an agency first transfers records to a commercial records storage facility, the agency must submit documentation to the NARA Coordination and Logistics Branch to the effect that the facility complies with the standards in 36 CFR 1234.30 Subpart D-Facility Approval and Inspection Requirements. The documentation may take the form of a copy of the agency's contract that incorporates this subpart in its provisions.

Agencies are also responsible for initiating action to remove records from space that does not meet these standards.

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## Facility Inspection Requirements

Slide 2-23

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Facility Inspection Requirements

- NARA may conduct periodic inspections of commercial records storage facilities used to store agency records
- Agencies must ensure the right to inspect facilities

Slide 2-23

NARA may conduct periodic inspections of commercial records storage facilities so long as agencies use such facilities to store agency records. (Refer to **Handout 2.04** – NARA Inspection Checklist, located in the Handouts section of your PG, to see the form NARA uses when inspecting facilities.)

Agencies must ensure, by contract or otherwise, that agency and NARA officials, or their delegates, have the right to inspect commercial records storage facilities to ensure that such facilities fully comply with the standards.

At the time that an agency submits a request to establish an agency records center, NARA may conduct an inspection of the proposed facility to ensure that the facility complies fully with the standards.

Agencies must ensure that they have met the facility approval, inspection, and reporting requirements specified in 36 CFR 1234.30 for all storage facilities that currently house their records, and that the requirements are followed whenever the agency acquires or uses new agency storage space or contracted storage services. Please note that agencies do not have to request approval to use the FRCs.

Please use NARA’s Records Storage Facility Standards Toolkit, which can be found at <http://www.archives.gov/records-mgmt/storage-standards-toolkit/>.

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**Sample Memo Notifying NARA That an Agency Intends to Transfer Records  
to a Commercial Records Storage Facility**

# Memo

To: National Archives and Records Administration, Storage Coordination  
and Logistics Branch (B-AD)  
From: Agency Records Officer, Bureau of Public Recreation  
Date: October 16, 2015  
Re: Documentation for storing records at a commercial storage facility

The Bureau of Public Recreation intends to retire records to a commercial records storage facility. Beginning January 1, 2016, Federal records will be transferred to Zenith Records Storage Center, 876 High Street, Cheyenne, WY.

BPR affirms that Zenith's facility meets the provisions of 36 CFR 1234 as incorporated in the attached records storage contract.

## Basic Services Needed from a Storage Facility

Slide 2-24

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

**Basic Services Needed from a Storage Facility**

- Receiving records transmittals
- Processing records and their transmittals
- Properly storing records
- Proper treatment of restricted records
- Tracking records and requests
- Facilitating records disposition
- Packing assistance
- Electronic records

Slide 2-24

Specific records center services and the procedures for using those services depend on the authorized contract or Statement of Work (SOW) in place with the commercial vendor, or the Interagency Agreement (IAA) in place with the FRCs. There are basic services that all records centers should provide:

- Receiving records transmittals – Records being transferred to the center for storage (SF 135 or the Archives and Records Center Information System [ARCIS] for the FRC)
- Processing records and their transmittals –Receiving records and providing agencies with proof of receipt and the record storage location within the facility
- Properly storing records – Following regulated facility standards to properly protect, care for, and store records
- Proper treatment of security-classified or restricted records:
  - Records that are subject to the Privacy Act, security-classified, or otherwise restricted from disclosure by statute or regulation must be stored, maintained, and disposed of in accordance with applicable laws, executive orders, and regulations

### NOTES

- Tracking records and requests:
  - Notifying agencies if the records are moved to a new location within the storage facility
  - Tracking up-to-date point-of-contact information for Agency Records Officers (AROs) or Liaisons (those who would receive records center notices)
  - Tracking record holdings to ensure the agency is sending records due for storage
  - Tracking whether records have been retrieved and are back at the agency
- Retrieval – Ability to expedite the retrieve records as requested by agencies, often via an automated system. There can be various methods of retrieving records from storage facilities. Talk with the storage facility provider to determine how to retrieve documents. Minimally, the records center would need the following reference request information:
  - A description of the records, files, or information needing to be retrieved
  - Box number and folder number needing retrieval
  - Whether a copy can be sent instead of the original file
  - Whether the file will be permanently or temporarily withdrawn from the center
  - Agencies may be able to request information such as the box number, transfer number, location, and file identifier via email
  - Records centers often provide automated systems for tracking and retrieving records. These systems provide another vehicle to request return of agency records from storage. Connection to the system can be direct or via a web browser, depending on the system. Typically, agencies will need to register to obtain an account.
- Refiling – Records that had been previously retrieved and are now being returned to the records center for continued storage

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- Facilitating records disposition (e.g., destruction of temporary records and transfer to or accession by NARA of permanent records):
  - Procedures for the disposal of temporary records must include a requirement that the facility notify ARO or the creating office and obtain concurrence prior to the disposal of temporary records unless the disposal is initiated by the agency (36 CFR 1232.18)
  - Tracking retention period expirations and record disposal (for temporary records) or accession requirements (for permanent records)
  - Procedures must ensure that the facility transfers permanent records to the National Archives in accordance with 36 CFR 1235
  - Procedures must include documentation of records destruction
- Packing assistance – Assistance in preparing records for shipment
- Electronic records – Storage of electronic media is available at the Washington National Records Center and the Fort Worth FRC. Agencies are responsible for the migration of data and the integrity of these records.

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## Things to Consider When Selecting a Storage Facility

Slide 2-25

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Things to Consider When Selecting a Storage Facility

- Compare costs
  - Costs of the services provided
  - Unit of measure
  - Minimum storage fees and requirements
  - Penalties for early withdrawal
- Compare services provided – ask questions about:
  - General issues
  - Records retrieval
  - Records management
  - Destruction of records
  - Transfer of permanent records to the National Archives

Slide 2-25

Contracting with a records storage provider is a big responsibility and involves significant costs and risks. The following material includes tips to help you become an informed consumer, to make the process easier, and to help you avoid pitfalls along the way. As with any important contractual agreement, be sure to take plenty of time to read the fine print in any contract you receive and ask questions about anything you do not understand. Ask your agency contracts office to assist you.

### Compare costs:

- Understand the costs of the services provided. Look at the costs of using any records center – shipping, service fees, and other options – versus the cost of leaving these boxes at the office or other internal storage.
- Check the true costs of all service charges you will require for the length of your contract. A center may have a low per-foot storage rate but high fees for references, re-files, and other services. Be sure to compare all costs before you select a provider.

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- Be sure to understand the unit of measure which you are being quoted for storage. For example, some centers charge per cubic foot of storage, and others “round up” to include the space occupied by the removable lid and the available air space surrounding cartons on shelves (e.g., for each 1.0-cubic-foot box, they charge for 1.2 cubic feet of space). Projecting this out, the cost to the customer is increased by 20 percent for that extra “dead” space.
- Some records storage providers charge a monthly storage minimum, which penalizes customers with low holdings. If you are a small customer, be sure to check for minimum storage fees and requirements.
- Some providers charge a penalty for early withdrawal of records. These high withdrawal fees make it prohibitively expensive to terminate a contract. Sometimes, centers impose storage fees for the entire term of the contract **in addition to** these withdrawal fees if a contract is broken in midterm, or if there are other contractual disputes.

**Compare services:**

- It is important to ask detailed questions about the services provided, the procedures and documentation required, and the amount of proactive assistance in records management you can expect from your provider. The following are some questions you should ask a potential provider before signing a contract:
  - General services questions:
    - What are the fees for each of their services?
    - Do they offer any services to assist in the preparation of the records for transfer?
    - What information do they require before transfer?
    - How do they track the records?
    - What facilities does the center provide for the storage of temporary electronic records?
    - Do they provide storage for vital records (essential records)? Compare your agency’s requirements for vital records (e.g., quicker turnaround, swapping copies) with the services offered by the storage provider.
    - What is the location of the facility? How close is it to your office?

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- Records retrieval services questions:
  - What are the fees for reference requests, re-files, and interfiles?
  - Do they offer 24-hour turnaround service? Is this an extra fee?
  - What unit of storage will they retrieve (e.g., a box, a file, a document)?
  - How do they ship your records requests, and what are the fees?
  - Are there alternate methods of providing your reference requests – for example, faxing?
  - Do they have a courier service?
  - Do they facility have reading room security and all necessary equipment (readers, etc.) so records can be checked on-site at the center and do not have to be taken back to the agency?
- Records management services questions:
  - Will the center proactively assist the agency in managing its off-site records, including assisting with the timely disposition of records in accordance with laws and regulations?
  - What is the procedure for notification and authorization for disposition?
  - How will the center help the agency manage court-ordered disposal freezes?
  - If the disposal authority changes, what are the fees for changing the data in the center's system?
- Destruction of records services questions:
  - Will you receive notification when your records retention periods expire?
  - Do you have to track your records retention?
  - Do they provide a certificate of destruction after the information in the records is rendered unreadable?
  - What system do they have in place to notify the agency of an erroneous disposal of records?
- Transfer of permanent records to the National Archives services questions:
  - Will the center notify the agency when the records are eligible for transfer to the National Archives?
  - Will the center help the agency complete the necessary paperwork to offer the records to the National Archives?
  - Is there an additional fee for a permanent withdrawal of records?

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## Storage Contracts

Slide 2-26

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Storage Contracts

The contract between an agency and a records storage facility specifies, among other things:

- The services provided
- The costs of the services
- The records center's policy and procedures

Slide 2-26

The contract between an agency and a records storage facility is critical, as it specifies the services provided, the costs of the services, and the records center's policy and procedures.

The specific records center services, costs, and procedures for using those services should translate into contract language or the SOW to ensure that the services meet the agency's needs.

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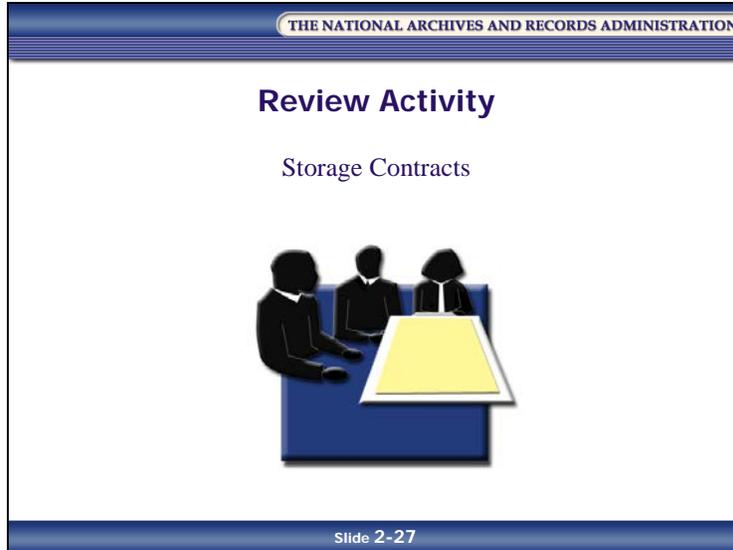
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## Review Activity: Storage Contracts

Slide 2-27



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## Lesson Summary

In this lesson, you learned that:

- There are three types of off-site records storage facilities:
  - Federal Records Centers
  - Agency Records Centers
  - Commercial Records Centers
- All records storage facilities must meet the standards defined in 36 CFR 1234
- Agencies must get permission from NARA before using an agency or commercial records facility
- NARA may conduct periodic inspections of commercial records storage facilities used to store agency records
- All records centers should provide the following basic services:
  - Receiving records transmittals
  - Processing records and their transmittals
  - Properly storing records
  - Proper treatment of security-classified or restricted records
  - Tracking records and requests
  - Retrieval
  - Refiling
  - Facilitating records disposition
  - Packing assistance
  - Imaging
  - Electronic records
- There can be various methods of retrieving records from a storage facility. You should talk with your storage facility provider to determine how to retrieve documents.
- Records centers often provide automated systems for tracking and retrieving records
- Costs and services should be considered when deciding upon an off-site records storage facility
- The contract between an agency and a records storage facility is critical, as it specifies the services provided, the costs of the services, the records center's policy and procedures, etc.

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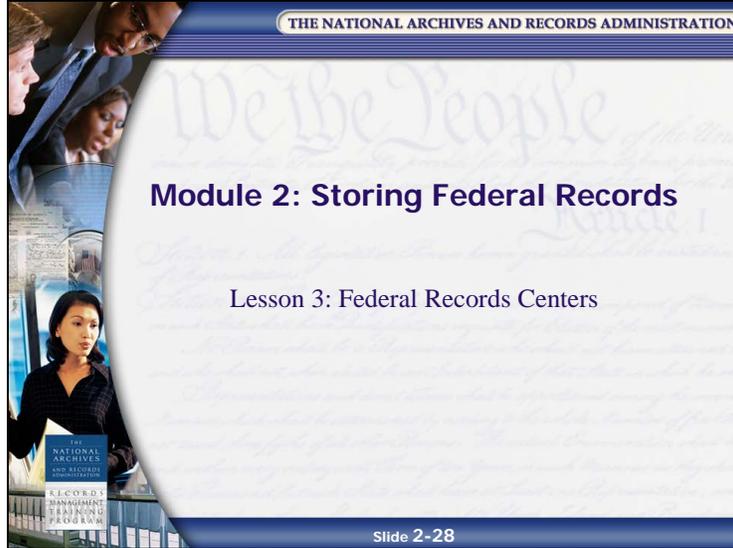
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# Lesson 3: Federal Records Centers

Slide 2-28



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## Introduction to Federal Records Centers

Slide 2-29

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Introduction to Federal Records Centers

FRCs provide records management services to Federal agencies.

Slide 2-29

FRCs provide records storage services to headquarters and field offices of Federal agencies located throughout the country and to armed forces worldwide. Agency records are stored at FRCs, where they are tracked using an automated database, until they are disposed of either by being recycled, destroyed, or accessioned to the National Archives as permanent records.

The 36 CFR, Chapter 12, Subchapter B, governs all Federal agency records management and interaction with the facility as it relates to records management.

FRCs accept records for storage and servicing in accordance with approved agency records retention schedules, the General Records Schedules (GRS), and prescribed storage standards. The records centers provide storage and reference services to Federal agencies for both active and inactive records on a cost-reimbursable basis.

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## NARA's Federal Records Centers Program

Slide 2-30

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### NARA's Federal Records Centers

- NARA is authorized by law to establish, maintain, and operate records centers for Federal agencies
- Records in FRCs are distinct from the permanent collections maintained in the Archives
- Information about NARA's FRCs is available through NARA's FRC website: <http://www.archives.gov/frc>

Slide 2-30

NARA is authorized to establish, maintain, and operate records centers for Federal agencies only, under 44 U.S.C. 2907 and to approve a records center that is maintained and operated by an agency under 44 U.S.C. 3103.

Records in FRCs are distinct from the permanent collections maintained in the Archives because NARA does not have legal custody of the records.

Information about NARA's FRCs, including locations, business hours, staff names, and contact information for each FRC, is available through NARA's website <http://www.archives.gov/frc>.

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## Contracting with Federal Records Centers

Slide 2-31

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Contracting with Federal Records Centers

- Contacts to arrange contracting with NARA are based on the agency
- You can identify your regional and agency account representatives at <http://www.archives.gov/frc/acct-reps.html>
- FRCs provide all the basic required records center services

Slide 2-31

The FRCP assigns agency account representatives to agencies. Agencies need to contact their assigned account representative to arrange contracting services with FRCs. Agency account representatives are identified by agency name at <http://www.archives.gov/frc/acct-reps.html>.

Your account representative will walk you through the steps of partnering with the FRCs for transferring, storing, records scanning projects and disposing of your records.

### Federal Records Center Services

FRCs provide all the basic records center services discussed earlier in this module.

FRCs use a Terms and Conditions agreement (or Interagency Agreement) to specify the exact services that will be provided to an agency, and the rates that will be charged for those services.

For an actual FRC Terms and Conditions Agreement, see **Handout 2.05** – Federal Records Centers Terms and Conditions Agreement, located in the Handouts section of your PG.

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## Transferring Records to Federal Records Centers

Slide 2-32

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Transferring Records to Federal Records Centers

Two FRC-specific requirements must be followed:

1. Use of the SF 135, Records Transmittal and Receipt as the transmittal form
2. Use of specific types of materials for preparing records transfers

Slide 2-32

The process for transferring records to an FRC is the same process as transferring records to any records facility (see “The Process for Transferring Records to Off-Site Storage” topic in Lesson 1 of this module for the step-by-step process). There are, however, two FRC-specific requirements that must be followed:

- Agencies must use the SF 135, Records Transmittal and Receipt, as their transmittal form, or entry information into ARCIS
- Agencies must use specific types of materials for transferring records

FRC records transfer instructions and guidance is provided on NARA’s website at <http://www.archives.gov/frc/records-transfer.html>.

The FRC’s web-based system ARCIS allows customer agencies to transfer their records to FRCs and manage and track their holdings within the FRC via the web.

- ARCIS is now being used nationwide by all FRCs and all customers have access to ARCIS to search and request records. Transfer functionality in ARCIS to replace the existing SF 135 process is being rolled out agency by agency since it requires customization of the portal based on user access right.

(Refer to **Handout 2.06** – Required Materials for Transferring Records to a Federal Records Center, located in the Handouts section of your PG, for the list of FRC required materials.)

### NOTES

## FRC-Specific Transfer Guidelines

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### FRC-Specific Transfer Guidelines

- There is no FRC-imposed limit on the number of boxes
- One year or one series = one transfer = one SF 135
- Agency offices typically send only completed or closed case files
- Agencies can send unscheduled records under certain conditions
- Agencies can send frozen, mixed, and non-paper-based records under certain conditions

Slide 2-33

- There is no FRC-imposed limit on the number of boxes in a transfer
- One year or one record series = one transfer = one SF 135 = one ARCIS entry
- In most cases, agency offices send only completed or closed case files, but this depends on the agency's business needs
- Agencies can send unscheduled records to the FRCs under certain conditions. The agency must notify NARA or have submitted a draft ERA Records Schedule for the records before the FRCs will accept them. Also, because these are unscheduled records and therefore treated as permanent, the agency will be required to provide a detailed folder listing for each transfer when the SF 135 or ARCIS data is submitted.
- Agencies can send active, contingent, frozen, and non-paper-based records to the FRCs under certain conditions
- E-record storage, and back-up storage rotation, is available at the Washington National Record Center and Ft. Worth Record Center
- Vital records (essential information) storage is available at the Denver Records Center

### NOTES

Slide 2-34

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**FRC-Specific Transfer Guidelines (cont'd.)**

- FRCs may accept records that have less than a one-year retention period before disposition
- Non-paper-based records should not be mixed with paper records
- Contact the director of archival operations at the nearest Archives branch for advice on where to send permanent microfilm records

Slide 2-34

- FRCs may accept records that have less than a one-year retention period before disposition. Agencies should consider the costs of proposing such a transfer. It may be more cost-effective to simply retain the records at the agency for the short time they are still needed.
- Non-paper-based records (tape recordings, videotapes, records on magnetic media, etc.) should not be mixed with paper records because of temperature and humidity vulnerabilities and different disposal requirements. Agencies should discuss transferring these records by contacting their local FRC.
- Contact the director of archival operations at the nearest Archives branch for advice on where to send permanent microfilm records

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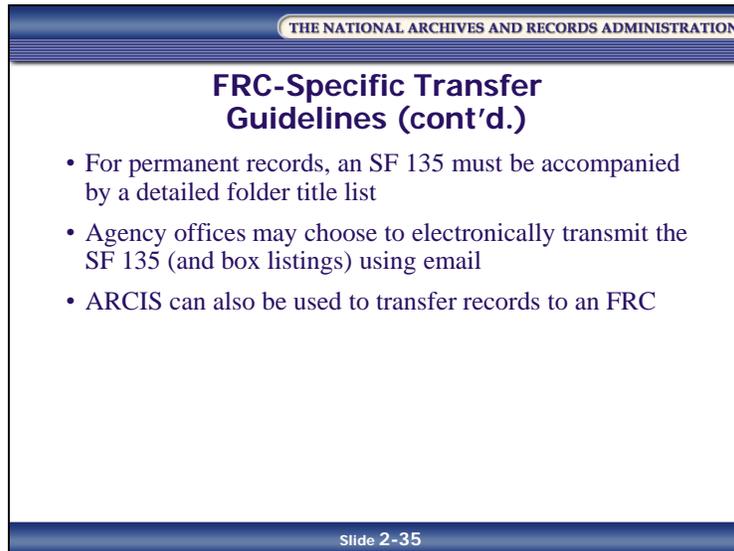
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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**FRC-Specific Transfer Guidelines (cont'd.)**

- For permanent records, an SF 135 must be accompanied by a detailed folder title list
- Agency offices may choose to electronically transmit the SF 135 (and box listings) using email
- ARCIS can also be used to transfer records to an FRC

Slide 2-35

- For permanent and unscheduled records, an SF 135 must be accompanied by a detailed folder title list. These lists may be made on the SF 135 itself or on plain paper included as an attachment.
- Agency offices may choose to electronically transmit the SF 135 (and box listings) using email. You may obtain an electronic version of the SF 135 by visiting <http://www.archives.gov/frc/forms/sf-135-intro.html>.
- ARCIS can also be used to transfer records to an FRC

**NOTES**

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## SF 135, Records Transmittal and Receipt

Slide 2-36

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### SF 135, Records Transmittal and Receipt

The SF 135 serves a dual purpose:

- Document and track the request for transmittal or transfer of records
- Acknowledge receipt of the records by the FRC

Slide 2-36

The SF 135 serves a dual purpose, as indicated by its name –Records Transmittal and Receipt. It is used to:

- Document and track the request for transmittal or transfer of records
- Acknowledge receipt of the records by the FRCs

(Refer to **BPR Manual, Tab 5, page 11**– Blank SF 135)

The transmittal part of the form documents each phase of the request. The FRC assigns a number to the SF 135 request when it is initially processed. When the boxes of records are received, the FRC puts a shelf location on the SF 135, signs and completes the document, and sends it back to the agency to document that the records were received and to let the agency know the exact location where the records are stored.

### NOTES

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Records are tracked at the transfer level. Location information is usually provided as a range of boxes with a beginning and ending location, e.g., 150 boxes within a given beginning and ending location. To retrieve transferred records, you would tell the FRC the box number and beginning location of the range. The FRC has an automated tracking system that will locate the records being requested.

No original signature is required by the FRC, although agency-specific guidelines may call for one.

The FRC receiving an email request to transfer records will complete the SF 135 and reply via email to the original email address. Approved forms returned as “undeliverable” will be mailed. Please be certain that the transferring agency’s mailing and email addresses are included on the SF 135, available at <http://www.archives.gov/frc/forms/sf-135-intro.html>.

**NOTES**

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## Best Practices – SF 135, Records Transmittal and Receipt

Slide 2-37

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practices – SF 135, Records Transmittal and Receipt

- Agencies should create agency-specific guidelines for completing the SF 135
- Check to see whether there is any specific agency guidance that states who should authorize records transfers
- One SF 135 is suggested for each transfer of temporary records. A separate SF 135 is required for each series of permanent or unscheduled records.

Slide 2-37

While NARA provides specific instructions on how to complete the SF 135 at <http://www.archives.gov/frc/forms/sf-135-intro.html>, agencies should create agency-specific guidelines for completing the SF 135. These guidelines would stipulate who is the authorized requestor, whether or not the agency requires an original signature on the form, the names of the proper contacts, and other important procedures.

There may be internal agency directives that provide specific guidance concerning transfers of agency records. Check to see whether there is any specific agency guidance that states who should authorize records transfers. It is vital that agencies provide NARA with up-to-date contact information for agency personnel designated to authorize disposal. This will enable NARA to send the Disposal Notification Report to the correct person. Incorrect information can lead to delays in the scheduled disposition of records and can cause agencies to incur additional storage costs.

One SF 135 is required for each transfer of temporary, permanent, or unscheduled records.

### NOTES

## Completing the SF 135, Records Transmittal and Receipt

Slide 2-38

**THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

### Completing the SF 135

**RECORDS TRANSMITTAL AND RECEIPT** Complete and send original and two copies of this form to the appropriate Federal Records Center for signature prior to shipment of records. Form 1

<p><b>1. TO</b> (Complete the address for the appropriate Records Center serving your area)</p> <p>FRC - Riverside                  23127 CALALCO ROAD                  PERRIS, CA 92570-7268</p> <p><b>2. AGENCY TRANSFER AUTHORIZATION</b></p> <p>TRANSFERRING AGENCY OFFICIAL (Signature and Title)      DATE                  DAVID MARTIN</p> <p>RECEIVING AGENCY OFFICIAL (Name, Title and Telephone No.)                  JULIE THOMAS                  EPT Administration                  Phone 289-322-7300 Email julie.thomas@epa.gov</p> <p><b>4. RECORDS CENTER RECEIPT</b></p> <p>RECORDS RECEIVED BY (Signature and Title)      DATE                  FRC - Riverside</p>		<p><b>3. FROM</b> (Enter the name and complete mailing address of the office sending the records. The signed receipt of this form will be sent to this address)</p> <p>Customer Reference Number: N/A                  DDE                  796 BUREAU OF PUBLIC RECREATION 7</p> <p><b>F748</b>                  DEPARTMENT OF THE ENVIRONMENT                  BUREAU OF PUBLIC RECREATION                  23496 YONKINDT                  YULE, FL 32429                  JULIE THOMAS 289-322-7350</p>
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RECORDS DATA										
TRANSFER NUMBER (a)	FBI NUMBER (b)	VOLUME (c)	NO. OF CONTAINERS (d)	SERIES DESCRIPTION (with Inclusive Date if needed) (e)	RESTRICTION (f)	DISPOSITION AUTHORITY (g)	DISPOSITION DATE (h)	LOCATION (i)	CONTAINER TYPE (j)	
										700
				Inclusive Start Date: 01/01/2011	Security Classification: Unclassified	Disposition Code: Temporary				
				Inclusive End Date: 12/31/2011	Security Level: Standard Storage	Disposition Option: BPR423				

NWS 7540-09-634-4093 135-107 Standard Form 135 (Rev. 7/95)  
Prescribed by GSA  
28 CFR 12.211(c)

**Slide 2-38**

Refer to the SF 135, located on PG 2-67 of your PG for an enlargement of the completed SF 135 shown on the slide.

### NOTES

**Item 5** – Provide the complete mailing address for the office retiring the records.

**Note:** It is mandatory that you keep this address up-to-date with the FRCs, as all notifications concerning the records will go to the address on the SF 135.

**Item 6(c)** – The transfer numbers are assigned automatically by the ARCIS system after the transfer information is entered.

**Item 6(d)** – For transfer and billing purposes, a standard-size FRC box equals 1 cubic foot.

**Item 6(e)** – The agency box numbers column can be used to indicate the inclusive range of numbers (e.g., 1–30).

**Item 6(f)** – The series description should describe the records in sufficient detail to allow records center personnel to verify compliance with your records schedules. A complete series description includes the closing date (or inclusive dates) of the records. Include the organizational component that created the records, if it is other than that shown in Item 5. Item 6(f) should include a detailed box-by-box listing, if the records are scheduled for permanent retention, unscheduled, or if disposition instructions indicate that sampling or screening of records is necessary. You must indicate whether the series of records is subject to the Privacy Act. Since SF 135s are public records, information included on SF 135s should not be subject to the Privacy Act or other restrictions like security classified.

**Stratified report invoicing** – The agencies stratified billing code, which consist of a caret (^) followed by a valid two-digit charge code, must be placed at the beginning of the series descriptions. In ARCIS, this is referred to as the Charge Account. The account is associated with an individual’s profile.

**Special description requirements** – These apply for certain records and should be stated in Item 6(f).

**Site audit record** – State “GAO Site Audit” if the records have been so designated by the Government Accountability Office (GAO), and indicate whether the site audit records do or do not pertain to Native Americans.

**Non-paper-based records** – These are records in other media or in different formats than standard paper documents, such as audiovisual and engineering drawings.

**NOTES**

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**Item 6(g):** Restrictions – Complete this section using the following information:

- Unclassified
  - Restricted agency personnel
  - Restricted specific agency personnel
  - No restrictions
- Classified
  - **Q** – Security classification
  - **T** – Top Secret security classification
  - **S** – Secret security classification
  - **C** – Confidential security classification
  - **E** – Restricted Data (RD) or Formerly Restricted Data (FRD) records. This code must be shown as well as the appropriate classification (Top Secret, Secret, or Confidential) set forth in Executive Order (EO) 12356. These restriction codes apply to documents pertaining to national security information rather than information of a proprietary nature.
  - **A** – Records that are not national-security-classified but for which vault-type storage is being requested by the agency, with an additional storage fee

**Item 6(h)** – Cite the appropriate schedule identifier and item number in your agency records schedules, legacy SF 115 and item number, ERA schedule and item, or GRS.

- Consistent with 36 CFR 1232.14(b), FRC facilities can accept unscheduled record series that have an ERA Records Schedule, logged and pending with National Records Management Program or if the agency has notified NARA of the proposed transfer
- If an ERA Records Schedule has been submitted, enter “Pending” in block 6(h) on the SF 135; cite the schedule, the item number, and the date it was submitted to NARA; and include a copy of the schedule
- If no ERA Records Schedule has been submitted, enter the date NARA was notified
- Also attach a copy of the pending job with the SF 135

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**Item 6(i)** – Follow the instructions on your records schedules to compute the disposition date. Permanent records are transferred to NARA on an annual basis, so no month is shown in the disposition date field. Place “P” before the transfer year.

After an agency has completed its portion of the SF 135, prior to shipping any boxes to the FRC, the agency must send the SF 135 to the FRC for approval – boxes cannot be transferred to an FRC until the FRC approves the SF 135 or the ARCIS Transfer Request.

If the FRC approves the transfer, the information is entered into ARCIS, a transfer number is assigned, and the SF 135 is returned to the agency.

(Refer to **Handout 2.07** – Sample Shipment Notice, located in the Handouts section of your PG, as an example of how to label a box for transfer.)

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**NOTES**

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Sample of Completed Form SF 135 (Enlargement of Slide 2-38)

RECORDS TRANSMITTAL AND RECEIPT										Page 1			
<p>1. TO (Complete the address for the appropriate Records Center serving your area)</p> <p>FRC - Riverside Facility - 01 23123 CAJALCO ROAD, PERRIS, CA, 92570-7298</p> <p>As shown in FPMR 101-11.410-1</p>					<p>5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)</p> <p>Customer Reference Number : N/A DOE 700, BUREAU OF PUBLIC RECREATION 7</p> <p>F748 DEPARTMENT OF THE ENVIRONMENT BUREAU OF PUBLIC RECREATION 23456 YOU FIND IT YULE, FL 85423 JULIE THOMAS 289-322-7350</p>								
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL(Signature and Title) DAVID MARTIN			DATE								
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, Office and Telephone No.) JULIE THOMAS BPR Administration Phone 289-322-7350/Email: julie.thomas@bpr.gov											
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and Title) FRC - Riverside			DATE								
6. RECORDS DATA													
TRANSFER NUMBER			VOLUME	No. Of	SERIES DESCRIPTION	RESTRICTION	DISPOSITION	DISPOSITION	LOCATION	CONTAINER			
RG	FY	NUMBER	(in ft.)	Containers	(with inclusive dates of records)	(a)	AUTHORITY	DATE	(j)	TYPE			
(a)	(b)	(c)	(d)	(e)	(f)		(h)	(i)		(k)			
700	2014	0749	53	53	*00 - PROGRAM REVIEW FILES  Inclusive Start Date : 01/01/2011  Inclusive End Date : 12/31/2011	Agency Personnel  Security Classification : Unclassified Security Level : Standard Storage	N1/700/98/1  Disposition Code : Temporary  Disposition Citation : BPR/403	01/01/2018		Standard			

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-85)  
Prescribed by NARA  
36 CFR 1228.152

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## Completing the SF 135 in ARCIS

Slide 2-39



ARCIS requires the same information as is required to complete the paper SF 135.

ARCIS manages the electronic data that replicates the paper SF 135 data and the latest location of the transfer in ARCIS.

For additional information regarding how to sign up for access to ARCIS see <http://www.archives.gov/frc/>.

(Refer to **Handout W.02** – What Is ARCIS? located in the Handouts section of your PG, for the list of FRC-required materials.)

(Refer to **Reference\_04** – Data Elements on SF135 and ARCIS located in the Reference section of your PG.)

### NOTES

## Tracking Records at FRCs

**ARCIS** is used to track the status of agency's records in the FRCs. Individual must apply and receive an ARCIS account login. Once logged in, one can navigate the list of transfers shipped to the FRC. The list provides the status of a transfer such as; received, shelved, partial shelved, and security classification.

### NOTES

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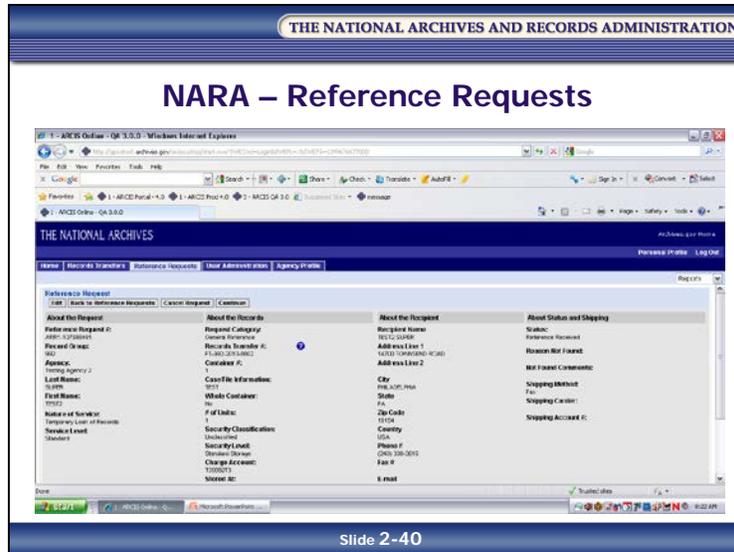
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## Retrieving Records From Federal Records Centers

Slide 2-40



### NARA Reference Services

Federal agencies can request the return of their records, excluding official personnel folders and employee medical folders, from regional FRCs and from the WNRC with online access through ARCIS.

When you need to consult records you have stored at an FRC, it is easy to refer to them. You may refer to a single file or an entire box. You may access your agency's records by removing them or temporary loan, reviewing them on-site at the FRC, requesting photocopies or electronic scans of the records, or permanently withdrawing the records.

Through ARCIS, agencies can also choose how they want to receive the files – original file mailed or SmartScan and emailed.

### NOTES

Slide 2-41

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area has the title "What is SmartScan?" and a bulleted list of four points. The footer contains the text "Slide 2-41".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### What is SmartScan?

- Reference request is researched, scanned by staff and emailed directly to you as a portable document format (PDF) attachment
- Delivery is the same business day in most cases
- Documents are sent as high-quality PDF attachments
- Fees include a per-page cost plus standard pull and refile charges

Slide 2-41

## SmartScan

### What is SmartScan?

- Reference request is researched, scanned by FRC staff, and emailed directly to you as a portable document format (PDF) attachment
- Delivery is the same business day in most cases
- Documents are sent as high-quality PDF attachments
- Fees include a per-page cost plus standard pull and refile charges

### Why use SmartScan?

- It eliminates outbound and return shipping costs and paperwork
- For most requests of 30 pages or fewer, it is more cost-effective than regular delivery
- Faster access to your information

### How to use SmartScan:

- Submit requests on an Optional Form (OF) 11, Reference Request or via ARCIS
- Type “SmartScan” in the “Remarks” section of your request, and provide a valid Federal email address

### NOTES

## Lesson Summary

In this lesson, you learned that:

- FRCs provide records management services to Federal agencies
- FRCs provide all the basic required records center services
- There is a step-by-step process for transferring records to a FRC
- The SF 135 is used to:
  - Document and tracks the request for transmittal and transfer of records
  - Acknowledge receipt of the records by the FRC
- The paper SF 135 is easy to complete
- Locations are updated in ARCIS
- Records must be retrieved through ARCIS
- SmartScan can be used to retrieve copies of records

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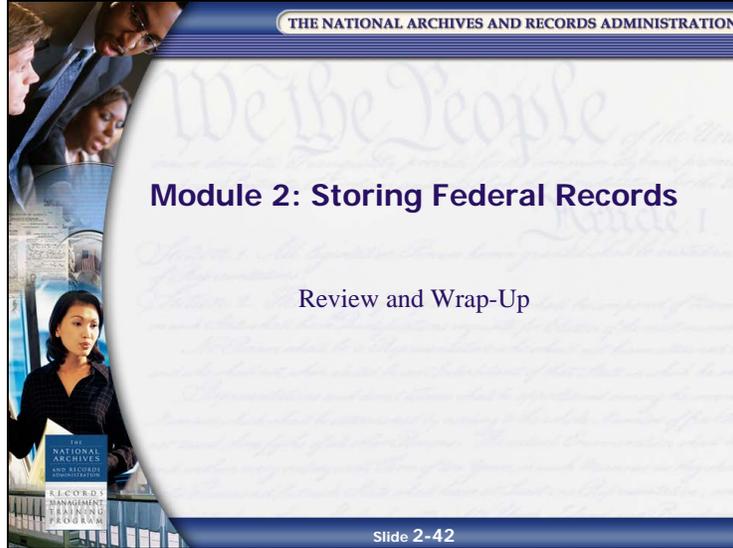
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# Module 2 Review and Wrap-Up

Slide 2-42



## NOTES

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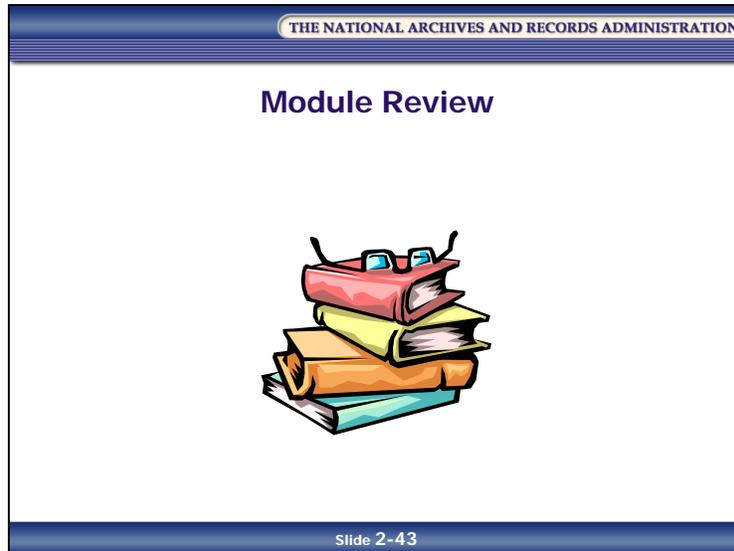
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## Module Review

Slide 2-43



In Module 2, you learned:

- What records transfer is
- The business decisions for transferring records to an off-site storage facility
- The types of records that can be transferred to an off-site storage facility
- How to identify a cutoff and transfer date
- The typical steps involved in the process of transferring records to an off-site storage facility
- The information **YOU** need for managing off-site records
- The three types of storage facilities used to store Federal records
- The standards for the storage of Federal records

### NOTES

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- The basic services which are needed from a records storage facility
- Items to consider when selecting a storage facility
- The role of storage contracts
- How to complete an SF 135
- How records can be retrieved from FRCs
- Storage option
- Service available from FRCs
- Using ARCIS

**NOTES**

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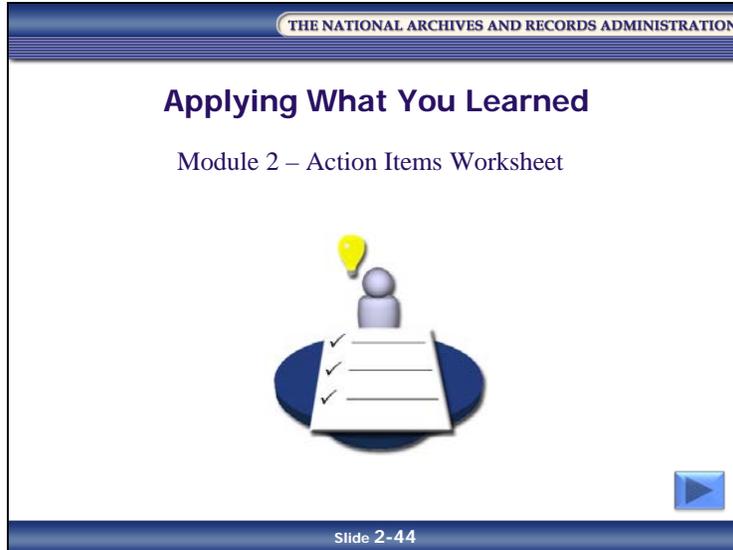
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## Applying What You Learned

Slide 2-44



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

### NOTES

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## Module 2 – Action Items Worksheet

**What did I learn about storing Federal records that will help me at my job?**

List at least one thing you learned about storing Federal records that is relevant to your records management roles and responsibilities.

**How will I apply what I learned about storing Federal records to my job?**

List at least one thing you learned about storing Federal records 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.  
(“Transferring records off-site is a business decision?!? Aha!”)

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Participant Guide  
January 2017

## Knowledge Area 4: Records Schedule Implementation

### Module 3: Disposing of Temporary Federal Records

THE  
NATIONAL  
ARCHIVES  
AND RECORDS  
ADMINISTRATION

RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM

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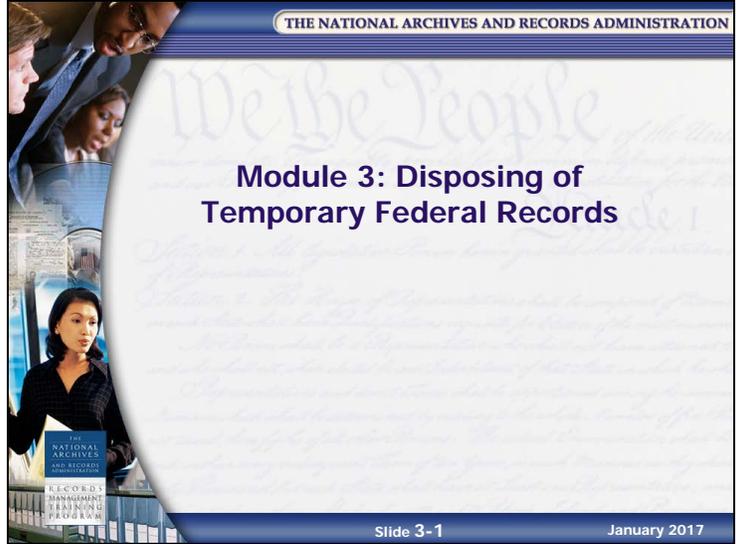
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# Introduction and Objectives

Slide 3-1



## Introduction

In Module 3, we examine the disposition of temporary Federal records. We cover reasons for disposal, discuss the issuance of disposal instructions, and review the methods of record destruction. We also address legal and regulatory sources related to the disposition of temporary Federal records.

### NOTES

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## Objectives

Slide 3-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Module 3 Learning Objectives

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

- Define key terms related to disposition of temporary records
- Explain disposal notification and approval
- Issue disposal instructions to agency staff
- Discuss the methods of records disposal
- Discuss records freezes

Slide 3-2

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

- Define key terms related to disposition of temporary records
- Explain disposal notification and approval
- Issue disposal instructions to agency staff
- Discuss the methods of records disposal
- Discuss records freezes

### NOTES

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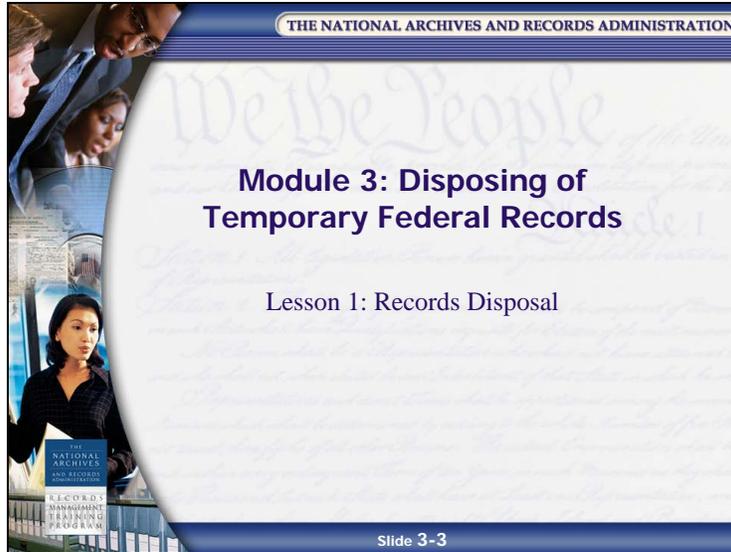
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# Lesson 1: Records Disposal

Slide 3-3



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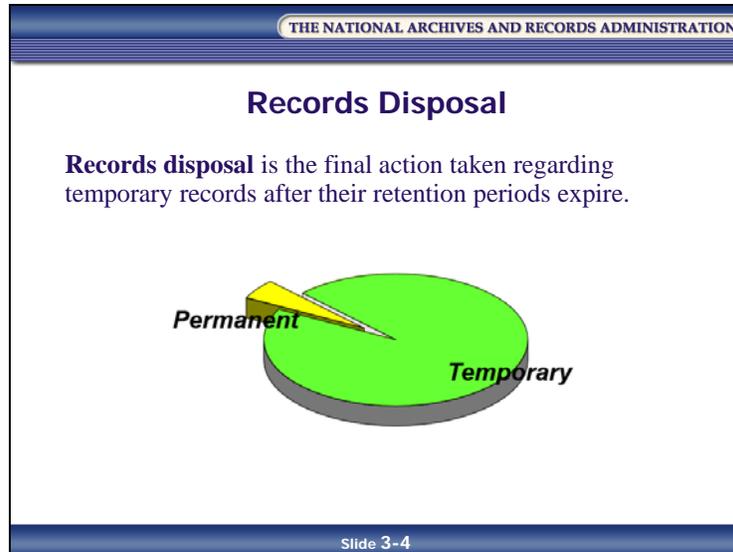
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## Records Disposal

Slide 3-4



**Records disposal** is the final action taken regarding temporary records after their retention periods expire. It normally means destruction of the record content, using methods such as recycling, shredding, or pulping the record medium.

The term is also occasionally used to mean the transferring of temporary records from Federal control by donating them to an eligible person or organization after receiving the National Archives and Records Administration's (NARA's) approval.

### NOTES

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Records disposal is not the same thing as records disposition. The differences between the two actions are summarized in the following table.

***Table 3-2: Disposition and Disposal Summary***

<b>DISPOSITION</b>	<b>DISPOSAL</b>
A comprehensive term that includes disposal, as well as other actions (e.g., the transfer of records to agency storage facilities or Federal Records Center (FRC))	A term referring only to the final actions taken regarding temporary records
Applies to both temporary and permanent records	Applies only to temporary records

Records disposal deals only with temporary records. Temporary records make up the vast majority of Federal records and are the main concern of records custodians: 95–97 percent of all Federal records are temporary.

**NOTES**

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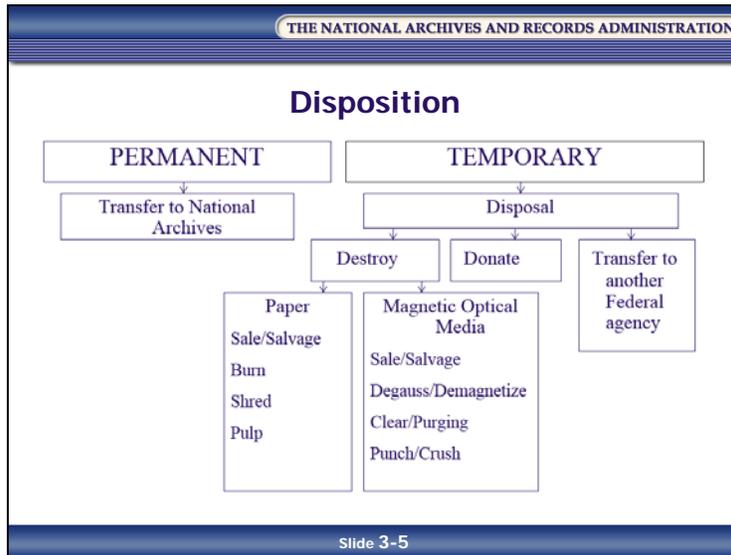
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Slide 3-5



There are two primary types of media commonly used in offices:

- Hard copy – Hard copy is a physical representation of information. Paper printouts, photos, and publications are all examples of hard copy media.
- Electronic – Electronic media are the bits and bytes contained in equipment such as: hard drives, random access memory (RAM), read-only memory (ROM), disks, memory devices, phones, mobile computing devices (PDA), networking equipment, etc.

**NOTES**

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## Reasons for Records Disposal

Slide 3-6

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Reasons for Records Disposal

- It is the law
- It reduces the amount of materials the Federal Government and individual agencies need to deal with
- It may be a part of responding to emergency situations

Slide 3-6

The reasons for the disposal of temporary records include:

- It is the law. Agencies must ensure that disposable records, including those security-classified or otherwise exempt from disclosure, are destroyed in accordance with the requirements specified in 36 CFR 1226.24. 44 U.S.C., Chapter 33, also mandates disposal of records and provides the regulations for doing so.
- It reduces the amount of materials the Federal Government and individual agencies need to deal with (thus saving time, money, staff, etc.)
- It may be a part of responding to emergency situations. Records destroyed under emergency conditions as specified in 36 CFR 1229 include:
  - Records whose physical condition causes menace to human health and welfare
  - Records outside the United States during hostilities where the agency head authorizes emergency destruction on grounds that failure to do so will harm the United States
  - NARA must be consulted prior to destroying contaminated records

### NOTES

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## Records Disposal Risk Issues

Slide 3-7

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Records Disposal Risk Issues

- Belated disposal
- Improper disposal method
- Incomplete disposal
- Unauthorized disposal

Slide 3-7

There are four major risks associated with records disposal:

- **Belated disposal** – It is important to dispose of temporary records promptly at disposal date (for Freedom of Information Act [FOIA] and litigation reasons, among others). If you do not dispose of records promptly, you will be obligated to search all the accumulated records in response to a discovery or FOIA request, instead of just the limited amount you should have had on hand. This can result in potentially huge expenses and a staff burden.
- **Improper disposal method** – The method of destruction depends upon the security classification and type of record being destroyed. Agencies must ensure that disposable records, especially security- classified or Privacy Act records are destroyed in accordance with the requirements specified in 36 CFR 1226.24. Information tossed into recycle bins and trash containers expose a significant vulnerability to “dumpster divers” that risk accidental disclosures.

### NOTES

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- **Incomplete disposal** – Electronic records are notoriously persistent. Deleting files and reformatting hard drives and CDs or DVDs can still leave retrievable information behind, and that information can put your agency at risk. It is important to make sure electronic record data are completely erased, particularly if the records are security-classified or Privacy Act records. Some strategies include:
  - Using software programs that erase and overwrite hard drives
  - Shattering CDs or DVDs
  - Using a hardware device that erases CDs or DVDs
  - Using degaussing to minimizing the magnetic field in magnetic media or to obliterate information
- **Unauthorized disposal** – Mixed media files have inherent records management risk including portions of the file may be destroyed too early resulting in an unauthorized disposal. Schedule implementation needs to be monitored to prevent unauthorized disposal of Federal records. Unauthorized disposal of Federal records is against the law (44 U.S.C. 3106) and carries penalties of a fine or imprisonment or both.

**NOTES**

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## Key Term – Unauthorized Disposal

Slide 3-8

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Unauthorized Disposal

- **Unauthorized disposal** is the improper removal of records without National Archives and Records Administration (NARA) approval, or the willful or accidental destruction of records without regard to a NARA-approved records schedule
- Unauthorized disposal must be reported to NARA

Slide 3-8

Unauthorized disposal is the improper removal of records from agency custody without NARA approval, or the willful or accidental destruction of records without regard to a NARA approved records schedule.

Agency heads must report to NARA any unlawful or accidental removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records in the custody of their agency (44 U.S.C. 2905 & 3106 and 36 CFR 1230.14). The report should include the following:

- A complete description of the records, along with volume and dates, if known
- The office of origin
- An explanation of the exact circumstances surrounding the unauthorized action
- Details, when appropriate, of the actions taken to salvage, retrieve, or reconstruct the records
- A statement of safeguards established to prevent further losses

### NOTES

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**Sample Memo from BPR to NARA Reporting a Case of  
Unauthorized Disposal**

# Memo

To: National Archives and Records Administration, National Records  
Management Program  
From: Agency Records Officer, Bureau of Public Recreation  
Date: October 16, 2015  
Re: Unauthorized disposal of records

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It has come to my attention that a recent declaration of the Chief Financial Officer of the BPR was filed in a civil litigation lawsuit affirming that BPR is unable to locate the minutes to its Executive Planning Committee meetings from 1985-1995. A copy of the declaration is enclosed. It is our understanding that a record set of those minutes should have been preserved among the permanent records of BPR.

At this time, it is not known when or how these records were destroyed or alienated from Federal custody. However, BPR has established internal safeguards to prevent further loss of its permanent meeting minutes and has been able to partially reconstruct the lost minutes from records maintained in agency holding areas and at the Federal Records Centers. Our investigation and attempts at reconstruction continue.

I will be in contact when more information is available.

## Lesson Summary

In this lesson, you learned that:

- Records disposal is the final action taken for temporary records after their retention periods expire. It normally means destruction of the record content, such as by recycling or pulping the record medium.
- The reasons for records disposal include:
  - It reduces the amount of materials the Federal Government and individual agencies need to deal with (thus saving time, money, manpower, etc.)
  - It is the law
  - It may be a part of responding to emergency situations
- The major risks associated with records disposal are:
  - Belated disposal
  - Improper disposal method
  - Incomplete disposal
  - Unauthorized disposal
- **Unauthorized disposal** is the improper removal of records without NARA approval, or the willful or accidental destruction of records without regard to a NARA-approved records schedule

### NOTES

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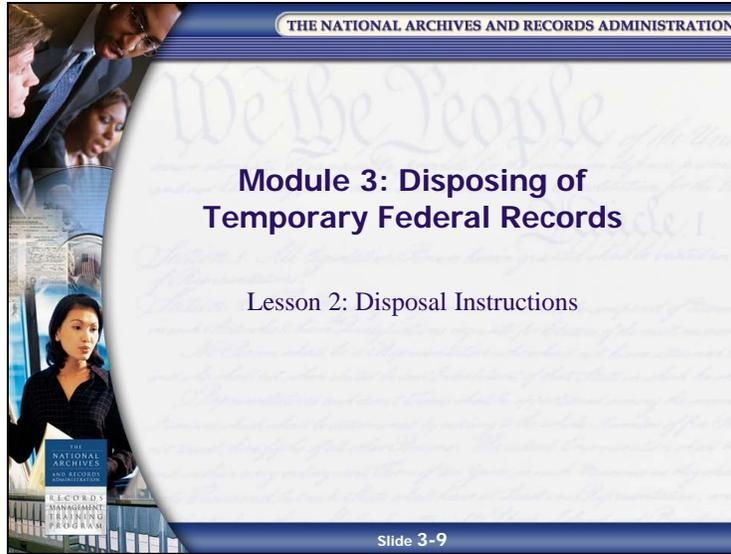
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# Lesson 2: Disposal Instructions

Slide 3-9



## NOTES

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## Overview of Disposal Instructions

Slide 3-10

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Overview of Disposal Instructions

- Each agency should have its own instructions for records disposal
- Disposal instructions provide guidelines about the following scenarios:
  - Temporary records at the agency
  - Temporary records at an agency-operated or commercial records center
  - Temporary records being stored at a Federal Records Center (FRC)

Slide 3-10

Each agency should have its own instructions for records disposal. These instructions should be included in the agency directive that implements the approved records schedule and disposition authorities.

Generally, disposal instructions provide guidelines about the following scenarios:

- **Temporary records at the agency** – If the temporary records are still at the agency, the agency takes care of disposal. This includes all eligible electronic records stored on shared drives or in email accounts.
- **Temporary records at an agency-operated or commercial records center** – If the temporary records are at an agency-operated or commercial records center, the agency is responsible for initiating and carrying out the disposal. The agency may be notified by the records center, or may have to proactively track the records and contact the records center when the temporary records are eligible for disposition.

### NOTES

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- **Temporary records at an FRC** – If the temporary records are being stored at an FRC, the agency will be notified when the records are eligible for disposal via email notification and memo listings of eligible transfers. The agency will need to review, sign, and return written confirmation of approval to NARA before the transfer is destroyed.
- Instructions should also include:
  - The roles and responsibilities of employees associated with disposal of records and information
  - Criteria for selecting disposal method
  - Disposal validation requirements

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## Disposal Notification

Slide 3-11

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposal Notification

- Records should not be destroyed without the agency's knowledge or written approval
- Most records centers will notify an agency prior to the destruction of temporary records

Slide 3-11

No matter where an agency's records are stored, records should not be destroyed without the agency's knowledge or written approval. (Remember, records stored at records centers are still the agency's legal property.)

Typically, when records are eligible for destruction, the records center will inform the agency that the records are up for destruction and request authorization for that destruction. Upon the agency's authorization, the records will be destroyed.

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## Disposal Notification at Federal Records Centers

Slide 3-12

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposal Notification at Federal Records Centers

FRCs use the following process to notify an agency that its records are eligible for destruction:

1. The FRC notifies the agency
2. The agency indicates concurrence or non-concurrence
3. If the agency approves, destruction takes place

Slide 3-12

FRCs use the process outlined below for notifying an agency that its records are eligible for destruction.

1. **The FRC notifies the agency** – 90 days before scheduled destruction, the FRC emails a Disposal Notification Report and memo with a list of eligible records transfers for destruction to the agency authorized contact. Agencies are required to provide written confirmation of approval before any transfer is disposed.
  - **Note:** If the agency does not respond, usually within 90 days, the records will continue to be stored, and your agency will continue to be charged for the storage

### NOTES

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2. **Agency indicates concurrence or non-concurrence** – The agency-authorized contact notifies appropriate agency personnel that records are up for destruction and requests authorization for that destruction:
  - If the agency concurs with the disposal, written confirmation indicating **positive concurrence** is required. Records centers must receive a written, positive concurrence before disposal takes place.
  - If the agency does not concur with the disposal, it must provide a written justification with a new disposal date for non-concurrence in either a letter or a memo and indicate a new disposal date. Attach the justification to the unsigned email notification and return it to the appropriate center.
3. **If agency approves, destruction takes place** – After the records center receives the agency’s authorization, the records center typically sends the records to recycling facilities where they will be shredded and pulped for reuse. To make sure that no one sees the contents of classified records or records covered by the Privacy Act, appropriate disposal practices are followed.

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## Disposal Notification Report

Slide 3-13

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposal Notification Report – Temporary Records

DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 36 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number: ADM1-23089627

Notification Date: 02/05/2011  
Transfer #: L821-98-8867  
Disposition Code: Temporary  
Disposal Date: 01/01/2011  
DA Last Name: HERRAN OMAR  
Actual Volume (C.F.): 59  
Agency Name: U.S. Courts  
Series Description: CIA, CASES  
Street Address 1: THURGOOD MARSHALL FED BLDG  
Inclusive End Date: 12/31/1994  
Street Address 2: ONE COLUMBUS CIRCLE, NE, RM 4-404  
Disposition Authority: N142V102786  
City: WASHINGTON, DC 20544, USA

The transfer listed above is eligible for disposal or is scheduled for disposal contingent on completion of some action or event. See above for specifics. Please review this transfer to determine whether the records may be destroyed. If you approve, the records will be destroyed. If you disapprove, state the reasons for decline and provide a proposed new disposal or review date, check appropriate box below and sign and return this notice to the FRC listed below. No action will be taken on these records until this form is returned to our office.  
Please act promptly.

Disposition Approved  Disposition Not Approved

SIGNATURE: \_\_\_\_\_ TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_

Remarks For Review: \_\_\_\_\_

Processed New (Disposal Date Month/Year): \_\_\_\_\_ Proposed Containers for Disposal: Booth Shelf 1, End Shelf 28

This is NA Form 13001, Disposal Notification Report, relating to records from your office that are eligible for disposal. If you approve, you should be aware that records in this report transfer may be sent to the National Archives, U.S. or other records, the NA, the OIG (D.O.C.) or to the transfer on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

Returns To:  
FRC - PERRIS  
37253 CHARLES ROAD  
PERRIS CA 92570-7208

National Archives and Records Administration NA FORM 13001

Slide 3-13

(Refer to **Handout 3.02** – Disposal Notification Report – Temporary Records, located in the Handouts section of your PG, as an example.)

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## Notification for Contingent Disposal

Slide 3-14

**Notification for Contingent Disposal**

- Contingent records are those records that are destroyed only after completion of an event whose date cannot be predetermined
- Most short-term records with contingent disposition instructions – such as records related to contracts – are not tracked by the FRCs as contingent

**Contingent records** are those records that are destroyed only after completion of an event whose date cannot be predetermined. The records are inactive, but the retention period cannot start until the event occurs.

In October of every year, the FRCs will notify agencies storing contingent records in an FRC via email notification with a memo listing eligible transfers.

Most short-term records with contingent disposition instructions – such as records related to contracts – are not tracked by the FRCs as contingent. Disposal of such records, though technically contingent on an event, is nonetheless initiated by the Disposal Notification Report.

Typically, only those contingent records where the triggering event is relatively distant will result in the FRC sending a Disposal Notification Report. An example of this would be records related to ship design. These records are maintained for a period of time after the decommissioning of the ship, which is likely to be many decades after the records are transferred off-site.

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Each agency should review the status of records to determine whether the particular action or event upon which the destruction of the records is contingent has been completed.

- If the action or event is completed, the agency must sign and return the Disposal Notification Report indicating approval of disposal before the records can be destroyed
- If the action or event is not completed, and the records cannot be destroyed, the agency must indicate a new review date, sign, date, and return the Disposal Notification Report

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## Disposal Notification Report

Slide 3-15

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Disposal Notification Report – Temporary-Contingent Records

DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.1700, they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number: ADM7-328422325  
Notification Date: 01/18/2011  
Transfer #: F1-372-2011-0612  
Disposition Code: Temporary - Contingent  
Disposal Date: 01/01/2011  
Actual Volume (C.F.): 3  
Series Description: CONTRACT AUDIT CASE FILES  
Inclusive End Date: 09/30/2004  
Disposition Authority: 5015-1R20  
DA Last Name: GONZALEZ, DIANNA  
Agency Name: Defense Contract Audit Agency  
Street Address: WESTERN HESGIDE  
Street Address 2: 15700 VALLEY VIEW, SUITE 300  
City: LA MIRADA, CA, 90638

The transfer listed above is eligible for disposal or is scheduled for disposal contingent on completion of some action or event. See above for specifics. Please review this transfer to determine when the records may be destroyed. If you approve, the records will be destroyed. If you disagree, state the reasons for decline and provide a proposed new disposal or review date. Check appropriate box below and sign and return this notice to the FRC listed below. No action will be taken on these records until this form is returned to our office.  
Please act promptly.

Disposition Approved  Disposition Not Approved

SIGNATURE: \_\_\_\_\_ TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_

Proposed New Disposal Date (mm/dd/yyyy): \_\_\_\_\_ Proposed Container(s) for Disposal: (Begin Box 1, End Box 2)

This is NA Form 13001, Disposal Notification Report, relating to records from your office that are eligible for disposal. If you approve, you should be aware that records in this report transfer may be returned to the National Archives, 1215 a Philip Morris Way, No. 40-2401 (P.O. D.C.), or the transfer or disposal of records related to litigation. If no such records are present, please sign this form to provide your concurrence and return.

Return to:  
FRC - Buena Vista  
22133 CHAMBERLAIN ROAD  
PERRIS CA 92575-7286

National Archives and Records Administration NA FORM 13001

Slide 3-15

(Refer to **Handout 3.03** – Disposal Notification Report – Contingent-Temporary Records, located in the Handouts section of your PG, as an example.)

## Disposal Approval

As mentioned earlier, records should not be destroyed without agency approval. Agency approval should not be based solely on the disposal date being reached. Prior to authorizing records disposal, agencies should make sure that the retention date has not been postponed as a result of FOIA, freeze, litigation, etc.

### NOTES

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## Continued Retention

Slide 3-16

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Continued Retention

Circumstances requiring the retention of record series or systems beyond their scheduled destruction date include:

- Records freezes
- Changes to the record's retention period that are in process or have yet to be forwarded to the records center
- A Freedom of Information Act (FOIA) request submitted for the records

Slide 3-16

Implementation of approved agency records schedules and the General Records Schedule (GRS) are mandatory (44 U.S.C. 3303a), and record series or systems eligible for destruction must not be maintained longer than their disposition date. But sometimes special circumstances may require the retention of record series or electronic records beyond their scheduled destruction date. These circumstances include:

- Records freezes
- Changes to the record's retention period which are in process or have yet to be forwarded to the records center
- A FOIA request submitted for the records

### NOTES

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## Key Term – Records Freeze

Slide 3-17

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Records Freeze

- Temporary records held (not destroyed) for litigation, investigation, or audit purposes are covered under a records freeze
- Frozen records can be destroyed only after completion of litigation, audit, or investigation

Slide 3-17

Temporary records held (not destroyed) for litigation, investigation, or audit purposes are covered under a records freeze.

Frozen records can be destroyed only after completion of litigation, audit, or investigation and with formal agency approval to implement disposition.

Litigation and audit freezes must be communicated to the appropriate parties to ensure postponement of destruction.

The Agency Records Officer (ARO) notifies NARA HQ when their records are no longer covered by the freeze.

### NOTES

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## Sample Memo Informing Agency Personnel About a Records Freeze

	<b>DEPARTMENT OF THE ARMY</b> OFFICE OF THE CHIEF OF ENGINEERS WASHINGTON, D.C. 20314
REPLY TO ATTENTION OF:	15 FEB 2002
CECI-TR (25-li)	
<b>MEMORANDUM FOR</b> Commanders/Directors, Major Subordinate Commands, Field Operating Activities, and Headquarters Staff Principals	
<b>SUBJECT:</b> Moratorium on Destruction of Records and Materials Relating to Enron Corporation	
1. References:	
a. Memorandum, TAPC-PDD-R, 11 Feb 02, subject: Preservation of Documents and Materials Relating to Enron Corporation.	
b. Memorandum, General Counsel of the Department of Defense, 5 Feb 02, subject: Preservation of Documents and Materials Relating to Enron Corporation.	
c. Letter, US Department of Justice, Office of the Deputy Attorney General, concerning the on-going criminal investigation of various matters relating to Enron Corporation, dated 1 Feb 02.	
2. The purpose of this memorandum is to impose an immediate moratorium on the destruction of documents and materials relating to the financial condition and/or business interests of Enron Corporation including, but not limited to, contacts with Enron or its agents, e-mail, correspondence, storage devices, notes and memorandum. All Army activities will cease destroying any and all information relating to these topics until notified to resume the regular disposition schedule. The covered time period is from 1 January 1999 to present.	
3. Please ensure that Records Officers take appropriate action to safeguard all pertinent information.	
4. The POC for this action is Ms. Dianne Barnes at 202-761-5983.	
<b>FOR THE COMMANDER:</b>	
 WILBERT BERRIOS Director of Corporate Information	
CF: DIM/CIMs All Records Officers CECC-G/CEHO-ZA	<u>d</u>

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## Sample Memo Lifting a Records Freeze



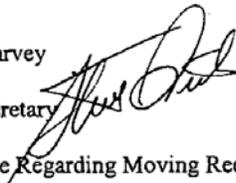
### United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, D.C. 20240

JUL 09 2004

Memorandum

To: Director, U.S. Geological Survey

From: J. Steven Griles, Deputy Secretary 

Subject: Revised Policy and Guidance Regarding Moving Records and Lifting of Records Disposition Freeze

In response to the District Court's Temporary Restraining Order dated April 18, 2002, and at the request of the Department of Justice, Interior placed a freeze on the disposition of all records across the Department. In a December 4, 2002, memorandum, I issued policy and guidance for the routine use and movement of all records, both active and inactive. On September 5, 2003, the Department issued policy and guidance in 303 DM 6, Indian Fiduciary Trust Records, to assist organizations in properly identifying, managing, protecting, and controlling Indian fiduciary trust records (IFTR). On October 27, 2003, the Assistant Deputy Secretary issued instructions to all bureaus/offices to report (1) on their assessment and identification of any trust records they create, receive and/or maintain, and (2) if their records retention schedules clearly identify all Indian fiduciary trust records with a corresponding "permanent" retention/disposition instruction.

As a result of the IFTR certification received from USGS certifying that you have no IFT records, and my office's acceptance of your certification, I am now lifting the freeze on the disposition of records that are eligible for disposition in accordance with your bureau's approved records retention/disposition schedule. **Further, you are now allowed to resume the normal movement of records without prior approval from this office.** This means that you no longer have to request prior approval to move records via the Record Move Request process. The return to the regular procedures for moving records includes ensuring that appropriate safeguards are in place to protect the records. **Further, you may now resume normal disposition procedures for all eligible records.**

Please ensure that this memorandum is disseminated to all appropriate staff in your bureau. Questions about this guidance should be directed to either the Assistant Deputy Secretary, Abraham E. Haspel, or to his Special Assistant, Sharon Michel, at (202) 208-7471, fax (202) 208-5567.

cc: Assistant Deputy Secretary ✓  
Assistant Secretary/Water & Science  
NPS Bureau Records Officer  
NARA, Office of Regional Records Services

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## Best Practice – Records Freezes

Typically, litigation and audit freeze information comes from agency counsel, but do not wait for them to come to you. Instead, take on the responsibility of gathering information for yourself. Make it a point to regularly communicate with legal and program staff and other resources about records-related issues.

## Extension of Retention Period

Slide 3-18

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Extension of Retention Period

- To keep records more than one year past the destruction date, the agency must request NARA's approval
- To keep records less than one year past the destruction date, the agency does not have to submit a formal extension

Slide 3-18

According to NARA regulations (36 CFR 1226.20), if an agency wishes to keep records more than one year past the scheduled destruction date, the head of the agency or a designated official **must** request approval of a temporary extension of a retention period by sending a letter to NARA.

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The request **must** include all of the following:

- A concise description of the record series for which the extension is requested
- A complete citation of the specific provisions of the agency records schedule or the GRS currently governing disposition of the records
- A statement of the estimated period of time that the records will be required
- A statement of the current and proposed physical location and volume of the records
- Justification for continued retention – the definite need (audit, legal, or other pertinent issue)

For records kept less than one year past the destruction date, the agency does not have to submit a formal extension, but if the records are at an FRC, the Center needs to be notified for practical reasons.

Agency requests for extended temporary retention periods are not done at the individual file level, but rather at the series level. In other words, if a file warranting further retention is included in a five-box transfer, the whole transfer is rescheduled with a new disposal date. More commonly, the agency simply withdraws the file it wants to keep and approves the disposal of the rest of the transfer.

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## Sample Memo Requesting Temporary Extension of a Retention Period

# Memo

To: National Archives and Records Administration, National Records  
Management Program  
From: Agency Records Officer, Bureau of Public Recreation  
Date: October 16, 2015  
Re: Temporary extension of retention period

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The Bureau of Public Recreation seeks to temporarily extend the retention period for Item 604, Ethics Files. For purposes of a management study and program audit, the records will be retained for 15 years. BPR is planning to resume applying the approved 10 year retention period beginning FY 2026. At that time, BPR will notify NARA.

## Notification of Continued Retention

Slide 3-19

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Notification of Continued Retention

- There is an impact on destruction when a temporary record is determined to have ongoing value beyond its retention period
- In order to prevent premature disposition, all players involved with records disposition must be informed when record retention is continued beyond the disposition date

Slide 3-19

There is an impact on destruction when a temporary record is determined to have ongoing use or value beyond its retention period, and in order to prevent premature disposition, all stakeholders involved with records disposition **must** be informed when record retention is continued beyond the disposition date. Procedures should be developed to notify all stakeholders affected by changes in disposition or records freezes.

- If NARA approves a temporary extension for records of one agency, it will notify that agency by letter
- If NARA it approves such an extension for records common to several or all agencies, it will issue a bulletin
- Agencies must ensure that records in records storage facilities are retained for the duration of the extension
- When the approved extension expires, NARA will notify the affected agencies to resume applying the normal retention periods

### NOTES

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## Court Orders

Slide 3-20

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Court Orders

- NARA's approval is unnecessary
- Agencies need to notify NARA of the extension within 30 days after the court order was issued

Slide 3-20

NARA's approval is unnecessary when a court order requires the retention of records beyond the scheduled retention period. It is the responsibility of the agencies to notify NARA of the extension within 30 days after the court order was issued. Besides enclosing a copy of the court order, they should provide the same information as required in the letter of request.

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## Lesson Summary

In this lesson, you learned that:

- Each agency should have its own set of disposal instructions which provide guidelines for disposal of:
  - Temporary records at the agency
  - Temporary records at an agency-operated or commercial records center
  - Temporary records being stored at an FRC
- FRCs use the Disposal Notification Report to notify agencies when records are eligible for disposal
- Records should not be destroyed without the agency’s knowledge or written approval
- FRCs use the following process to notify an agency that their records are eligible for destruction:
  - NARA notifies the agency
  - Agency indicates concurrence or non-concurrence
  - If the agency approves, destruction takes place
- **Contingent records** are those records which are destroyed only after completion of an event whose date cannot be predetermined
- FRCs use the Disposal Notification Report to request permission to dispose of contingent records
- Prior to authorizing records disposal, agencies should make sure that the retention date has not been postponed as a result of FOIA, freeze, litigation, etc.
- Temporary records held for litigation, investigation, or audit purposes are covered under a records freeze
- Frozen records can be destroyed only after completion of litigation, audit, or investigation

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- Circumstances for the retention of record series or systems beyond their scheduled destruction date include:
  - Records freezes
  - Changes to the record’s retention period which are in process or have yet to be forwarded to the records center
  - A FOIA request submitted for the records
- To keep records more than one year past the destruction date, the agency **must** request approval of a temporary extension of a retention period by sending a letter to NARA
- In order to prevent premature disposition, all players involved with records disposition **must** be informed of continued retention
- NARA’s approval is unnecessary when a court order requires the retention of records beyond the scheduled retention period

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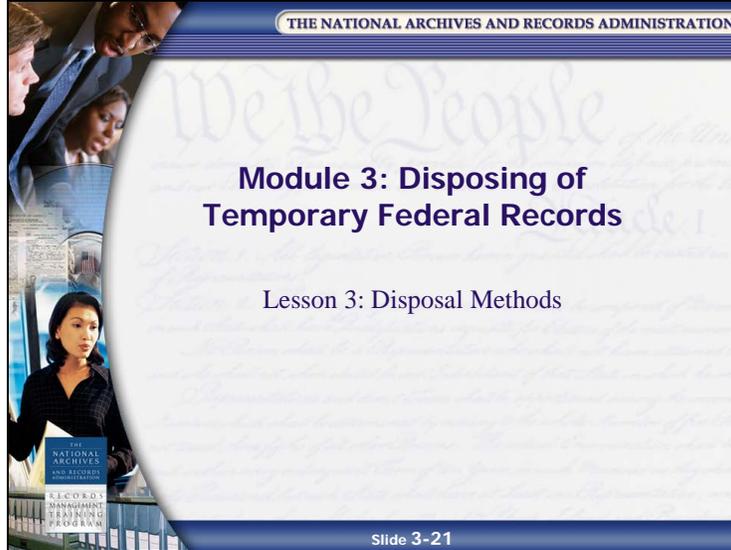
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## Lesson 3: Disposal Methods

Slide 3-21



### NOTES

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## How Are Records Destroyed?

Slide 3-22

A presentation slide with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main content area has the title "How Are Records Destroyed?" and a bulleted list. The footer contains the text "Slide 3-22".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### How Are Records Destroyed?

- The method of destruction is based on the content of the record
- Methods of destruction include:
  - Sale, salvage of the record medium
  - Pulping, shredding, maceration, discarding
  - Degaussing
  - Deletion or reformatting of electronic records

Slide 3-22

Most temporary records are authorized for destruction when their retention periods expire. The method of destruction is based on the content of the record:

- Nonclassified
- Classified
- Sensitive but unclassified
- Restricted
- Privacy Act
- Textual
- Nontextual

### NOTES

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Slide 3-23



How must agencies destroy temporary records:

- **Sale or salvage of the record medium** – This is the most common method. Paper records are normally sold as wastepaper. If records are sold as wastepaper a series of quality control efforts should be in place to ensure that the records are actually destroyed in the recycling process, and are not simply tossed out or reused as scrap paper. The record media of non-paper-based records, such as audiovisual or electronic records, are normally salvaged for reuse or sale. Specific laws (e.g., the Privacy Act) and regulations govern the destruction of temporary records. Any sale contract for unrestricted records must prohibit their resale as records or documents. All sales must comply with the procedures for the sale of surplus personal property.
- **Pulping, shredding, maceration, or discarding** – Classified, Privacy Act, or otherwise restricted temporary records whose media cannot be salvaged or sold will be destroyed via any of these methods
- **Degaussing** – Minimizing the magnetic field in magnetic media so that information is obliterated and cannot be retrieved. Favored means of destruction for security-related magnetic media.
- **Deletion or reformatting of electronic records** – The removal or erasure of information from electronic devices and storage media

**NOTES**

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## IRS Example of Required Methods of Destruction

### 1.15.3.2.1 (01-01-2003)

#### Destroying Records in the Custody of the IRS

Determine the appropriate method to destroy records based on their category.

<b>If the records include</b>	<b>Then</b>
tax data (tax returns, return information, copies of tax returns, charge-out documents for tax returns, microfilm registers, indexes and directories, and magnetic tape), or Privacy Act information (Social Security Number; home street address, etc.),	choose one: shred, pulp, macerate, burn, or erase.
material affecting national security and are classified under Executive Order 12958,	see IRM 1.16.8.3.3. (soon to be issued as 1.16.13 – catalog number 31803N).
material which does not require special protection or handling,	treat as waste paper.

– Taken from the IRS Manual, Part 1, Chapter 15, Section 3  
[http://www.irs.gov/irm/part1/irm\\_01-015-003.html](http://www.irs.gov/irm/part1/irm_01-015-003.html)

## Logistics of Records Destruction

Slide 3-24

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Logistics of Records Destruction

- If records are stored at a FRC, the Center will arrange destruction upon agency approval
- Agencies may choose to contract out for records disposal services
- Security-classified or otherwise restricted records require special procedures, including witnessing destruction
- Verification of the disposal or deletion of records should be documented

Slide 3-24

- If records are stored at a FRC, the Center will arrange destruction upon agency approval
- Agencies may choose to contract out for records disposal services for records maintained or managed by the agency. Typically, the General Services Administration (GSA) administers the contracts with disposal contractors, although partnering with the GSA is optional.
- Security-classified or otherwise restricted records require special procedures, including witnessed destruction
- Verification of the disposal or deletion of records should be documented. If the agency is using a sanitization method such as degaussing, then the equipment calibrations, the equipment testing, and schedule maintenance is also required. If the agency is shredding documentation, then a listing of what records series and the schedule item that applies should be created and maintained.

Executive Order 12356 governs the destruction of security-classified documents. Specifically, classified information must be “used, processed, stored, reproduced, transmitted, and destroyed only under conditions that will provide adequate protection and prevent access by unauthorized persons.” One practical aspect of this is special transportation requirements – have a guard with a security clearance stay with the records at all times.

### NOTES

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On-site destruction of records and information is also allowed, but still requires agency personnel to witness the physical destruction.

Laws (including the Privacy Act) and regulations (36 CFR 1226.24(c)) govern the destruction of other restricted records.

(Refer to **Handout 3.01** – Checklist for the Disposition of Federal Records, located in the Handouts section of your PG as a reminder of what needs to happen in the disposition process.)

(Refer to **Handout 3.04** – State Department’s Destruction Guidelines, located in the Handouts section of your PG, as an example of how one agency mandates the destruction of sensitive records.)

**NOTES**

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## Donation of Records

Slide 3-25

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Donation of Records

- Temporary records may be donated to an eligible person or organization, but only after the agency has obtained NARA's approval
- Requirements for donation:
  - In the best interest of the government
  - Recipient will not sell records
  - Transfer will cost nothing
  - Not prohibited by other law

Slide 3-25

Rather than being destroyed, certain temporary records may be donated to an eligible person or organization, but only after the agency has obtained NARA's approval (36 CFR 1226.26).

To obtain NARA's approval, the agency needs to send NARA a letter of request with the following information:

- The name of the agency and units having custody of the records
- The name and address of the proposed recipient of the records
- A list identifying by series or system the records to be transferred, indicating their inclusive dates, and citing the NARA disposition job (legacy SF 115 or ERA Records Schedule) or GRS and item numbers authorizing disposal of the records

### NOTES

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- Evidence that:
  - The proposed transfer is in the best interest of the government
  - The proposed recipient agrees not to sell the records
  - The transfer will cost the government nothing
- Certification that:
  - The records contain no information the disclosure of which is prohibited by law or contrary to the public interest
  - The records proposed for transfer to a person or commercial business are directly pertinent to the custody or operations of properties acquired from the government
  - A foreign government desiring the records has an official interest in them

Upon reviewing the request, NARA will determine whether the donation is in the public interest and will notify the agency in writing of its approval or disapproval. If disapproved, the agency must destroy the records in accordance with the proper disposal authority.

**NOTES**

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## Sample Letter Requesting Permission to Donate Temporary Records

Director  
NARA Office of the Chief Records Officer  
8601 Adelphi Road  
College Park, MD 20740

Dear Director:

This is to request permission to donate certain National Oceanic and Atmospheric Administration (NOAA) records from the NARA-Rocky Mountain Region records in Denver to Columbia University, New York.

In accordance with 44 U.S.C, Chapter 33, and 36 CFR 1226.26 we are providing you with the following information on the records that we wish to be donated:

- a. **Agency office with custody of the records:** NOAA, National Environmental Satellite Data, and Information Service (NESDIS), National Geophysical Data Center, E/GC4, 325 Broadway, Boulder, CO 80303: Point of contact – Ms. Mai Edwards, (303) 497-6958.
- b. **Proposed Recipient:** Lamont-Doherty Earth Observatory of Columbia University, P.O. Box 1000, 61, Route 9W, Palisades, NY 10964: Point of contact – Mr. Arthur Lerner-Lam.
- c. **List of records:** (See attached 01 Reports from NARA-Rocky Mountain Region, and NARA-Washington National Records Center. Date spans, volumes, disposal authorities, and series descriptions are included in this report.)
- d. **Transfer Statement:** NOAA proposes to donate all seismogram records under RG 370, currently being stored in the NARA-Rocky Mountain Region records center, and in the Washington National Records Center, Suitland, MD, under RG 023 (Coast and Geodetic Survey). NOAA believes that, while the records in question possess continuing scientific value, it is in the best interests of the government to donate them to the Lamont-Doherty observatory where they will be more accessible to the scientific community. Lamont-Doherty has expressed a desire to store the original seismograms and image them for scientific and research uses. The collection at NARA-RMR is unscheduled. NOAA no longer has responsibility for the Federal seismic program. That program is now with the USGS, which now collects seismic information electronically and also wants to see the paper seismograms transferred to the Lamont-Doherty facility. We will submit a Standard Form 115 to NARA changing the retention for all extant accessions to “temporary.” Attached please find letters from NOAA, the USGS National Earthquake Information Center, and the Lamont-Doherty Earth Observatory supporting this donation request.
- e. **Certification:** NOAA hereby certifies that these records contain no information the disclosure of which is prohibited by law or contrary to the public interest, and the records are directly pertinent to earth science studies conducted by the recipient. The attached letter from the Lamont-Doherty Earth observatory contains their certification that they will not sell originals of the records.

Please contact me at (301) 713-3540, if you have any questions.

Sincerely,

**ANNE BAKER**  
Records Officer  
DoC/NOAA

## Lesson Summary

In this lesson, you learned that:

- Most temporary records are authorized for destruction when their retention periods expire
- The method of destruction is based on the content of the record:
  - Nonclassified
  - Classified
  - Sensitive but unclassified
  - Restricted
  - Privacy Act
  - Textual
  - Nontextual
- Methods of destruction include:
  - Sale or salvage of the record medium
  - Pulping, shredding, maceration, or discarding – Unrestricted temporary records whose media cannot be salvaged or sold will be destroyed via any of these methods
  - Degaussing – Minimizing the magnetic field in magnetic media so the information is obliterated and cannot be returned
  - Deletion or reformatting of electronic records –The removal or erasure of information from the electronic device and storage media
  - Recycling
- Security-classified or otherwise restricted records require special procedures, including witnessed destruction
- If records are stored at an FRC, the Center will arrange destruction upon agency approval
- Agencies may choose to contract out for records disposal services
- Temporary records may be donated to an eligible person or organization, but **only** after the agency has obtained NARA’s approval

### NOTES

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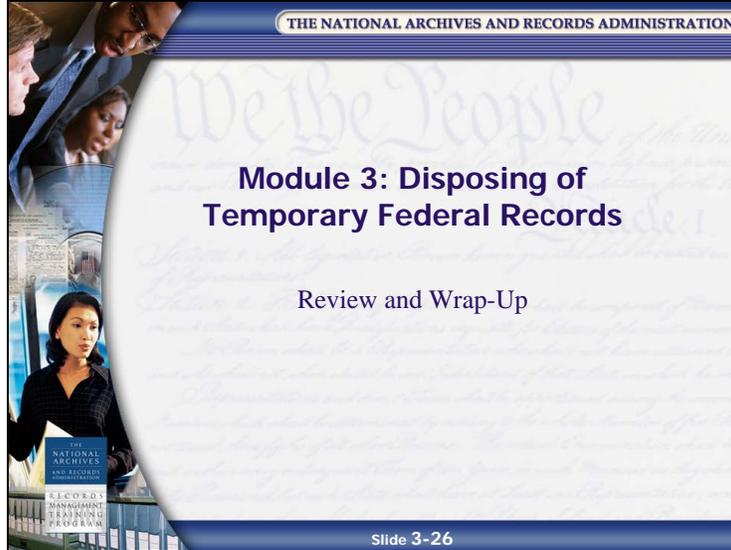
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## Module 3 Review and Wrap-Up

Slide 3-26



### NOTES

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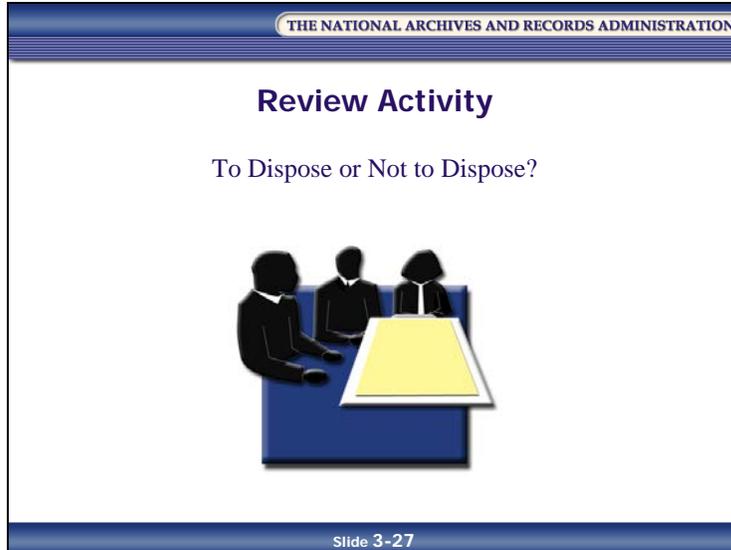
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## Review Activity: To Dispose or Not to Dispose?

Slide 3-27



### NOTES

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**To Dispose or Not to Dispose? Worksheet**

Using the information provided in your BPR records schedule and **Handout 3.05** – To Dispose or Not to Dispose? determine the following:

- Whether the records on each Disposal Notification Report should be destroyed (and why or why not) given the information provided
- Who should approve the destruction (**Note:** When determining who should approve the destruction, you should not answer with a person’s name, but rather with a position or title. For example, “Director of the Terrestrial Recreation Division” or “The person in charge of Environmental Research”)
- Based on the information you have been provided, you may find there is more than one answer. Be prepared to justify your reasons for the answer you select.

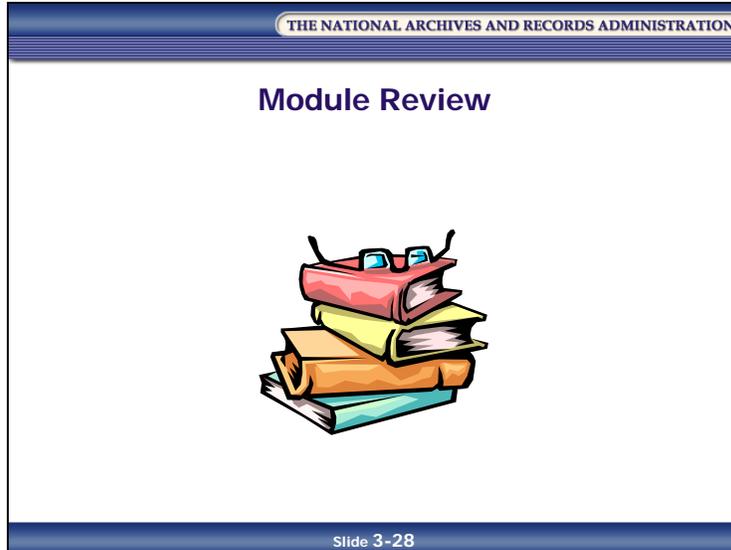
*Table 3-4: To Dispose or Not to Dispose? Worksheet*

	RECORDS FROM DISPOSAL NOTIFICATION REPORT	SHOULD THE RECORDS BE DISPOSED OF? (YES OR NO)	WHY OR WHY NOT?	WHO SHOULD APPROVE THE DESTRUCTION?
	Litigation Support Database System Administration Files		The Litigation Support Database was discontinued in 2006. All data were transferred into a new database that replaced it.	
	1999 Telephone Contract Purchase Orders below SAT		The telephone contract was involved with an ongoing dispute and the last payment was in FY 2009.	

	<b>RECORDS FROM DISPOSAL NOTIFICATION REPORT</b>	<b>SHOULD THE RECORDS BE DISPOSED OF? (YES OR NO)</b>	<b>WHY OR WHY NOT?</b>	<b>WHO SHOULD APPROVE THE DESTRUCTION?</b>
	1999 Aquatic Recreation Policy Proposals		The Aquatic Recreation Division is currently conducting a study of its policymaking in the 1990s, which is due to be completed in FY 2015. (Participants would have to consult with staff in the Aquatic Recreation program to find this out.)	
	Terrestrial Recreation Case Tracking Files		All Terrestrial Recreation litigation, including case tracking, was assumed by the Office of General Counsel in FY 2008.	
	Enviro-Cleen Product Testing Files		Enviro-Cleen was produced by BPR from 1965–2006. It has been discontinued.	

## Module Review

Slide 3-28



In Module 3, you learned:

- What records disposal is and why it is done
- Records disposal risk issues
- What unauthorized disposal is
- About disposal instructions
- That records should not be destroyed without an agency's knowledge or written approval
- How FRCs provide disposal notification to agencies
- About continued retention, why it would be necessary, and when NARA's approval is required
- What contingent records are
- About records freezes and their impact on disposition actions
- The various methods used for destroying records
- That temporary records can be donated, but only with NARA's approval

### NOTES

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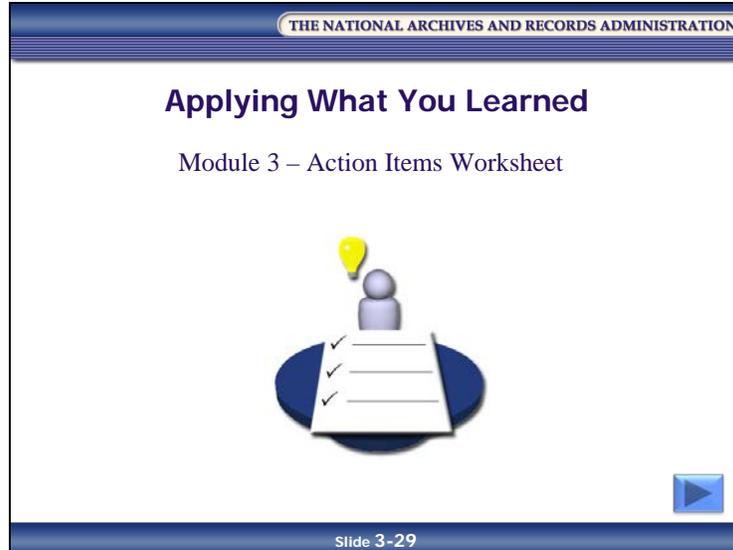
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## Applying What You Learned

Slide 3-29



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

### NOTES

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## Module 3 – Action Items Worksheet

**What did I learn about disposing of Federal records that will help me at my job?**

List at least one thing you learned about disposing of Federal records that is relevant to your records management roles and responsibilities.

**How will I apply what I learned about disposing of Federal records to my job?**

List at least one thing you learned about disposing of Federal records 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 must first get NARA’s approval before I can donate Federal records? Aha!”)

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Participant Guide  
January 2017

## Knowledge Area 4: Records Schedule Implementation

### Module 4: Transferring Permanent Records to the National Archives

THE  
NATIONAL  
ARCHIVES  
AND RECORDS  
ADMINISTRATION

RECORDS  
MANAGEMENT  
TRAINING  
PROGRAM

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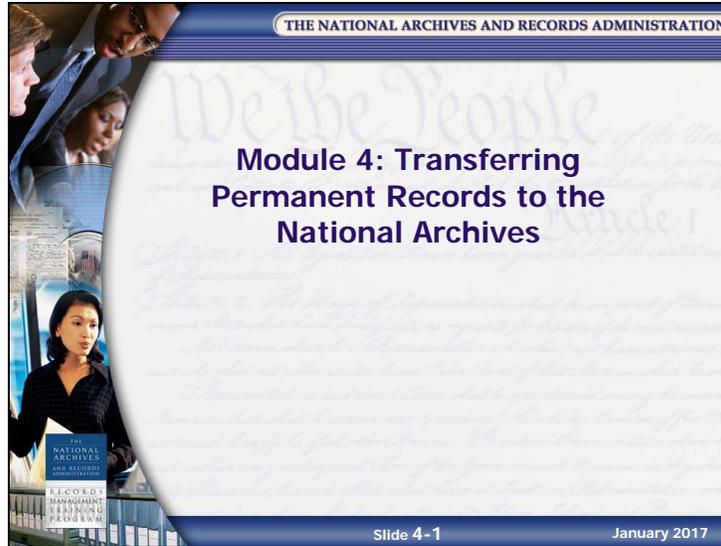
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# Introduction and Objectives

Slide 4-1



## Introduction

In Module 4, we discuss the care of permanent records and their transfer into the National Archives. We also discuss special considerations for nontextual records. Legal and regulatory sources related to the preparation and transfer of permanent records are also addressed.

The Electronic Records Archives (ERA) Transfer Request (TR) replaces the legacy SF 258 paper form as the means for documenting and conducting physical and legal transfer of permanent records from agency custody to the National Archives' custody. In order to maximize intellectual and physical control over the records, the ERA TR captures additional information that was not formerly requested on the legacy SF 258.

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## Objectives

Slide 4-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Module 4 Learning Objectives

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

- Define key terms relating to the transfer of permanent records to the National Archives
- Describe the process of transferring permanent records to the National Archives

Slide 4-2

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

- Define key terms relating to the transfer of permanent records to the National Archives
- Describe the process of transferring permanent records to the National Archives

### NOTES

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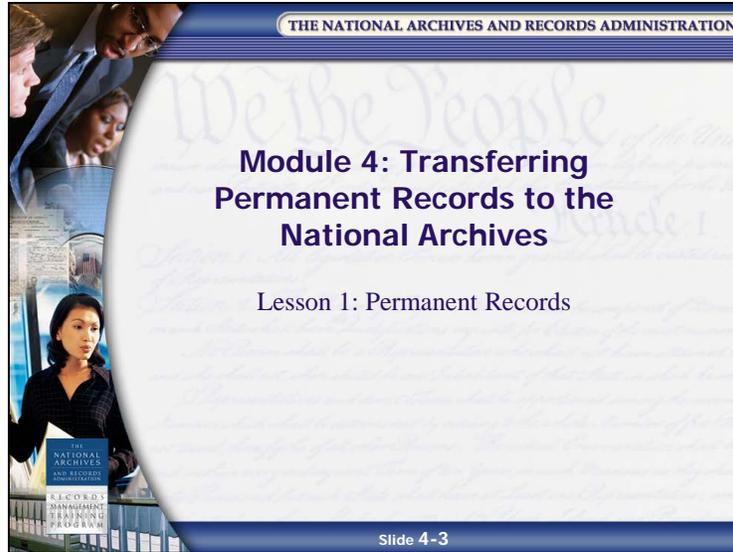
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# Lesson 1: Permanent Records

Slide 4-3



## NOTES

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## Key Term – Permanent Records

Slide 4-4

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Key Term – Permanent Records

**Permanent records** are those determined by the National Archives and Records Administration (NARA) to have **sufficient historical or other value** to warrant **continued preservation** by the Federal Government, generally as **part of the National Archives**, unless otherwise agreed to by NARA (e.g., for affiliated archives).

Slide 4-4

**Permanent records** are those records determined by the National Archives and Records Administration (NARA) to have **sufficient historical or other value** to warrant **continued preservation** by the Federal Government, generally as **part of the National Archives**, unless otherwise agreed to by NARA (e.g., for affiliated archives). Their disposition authority for permanent records comes from NARA-approved agency legacy SF 115s, General Records Schedule (GRS) items and ERA Records Schedules.

There are relatively few permanent records. Approximately 3–5 percent of an agency’s records have permanent value.

Permanent paper records more than 30 years old must be transferred to NARA unless the agency head certifies in writing that the records must be retained in the agency to conduct business (36 CFR 1235.12).

By December 31, 2013, the Senior Agency Official (SAO) was required to ensure permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA per Presidential Memorandum Managing Government Records Directive M-12-18 located at <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

### NOTES

In general, NARA recommends transfer of permanent audiovisual records within five years of creation. Audiovisual records held in office or storage space lacking appropriate environmental controls for 10 to 20 years will face the possibility of catastrophic loss through media degradation.

Transfer permanent records to the National Archives as soon as authorized. NARA recommends that permanent electronic records be transferred to the National Archives as soon as they are eligible for transfer.

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## Custody of Permanent Records

Slide 4-5

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Custody of Permanent Records

- When agencies transfer temporary records to off-site storage, they transfer physical custody but remain the legal owners of the records
- When agencies transfer permanent records to the National Archives, they transfer both physical and legal custody to the National Archives
- **Accessioning** is the process whereby NARA assumes legal and physical custody of permanent records

Slide 4-5

When agencies transfer temporary records to off-site storage, they remain the legal owners, ultimately responsible for the care of, access to, and disposition of the records.

By contrast, when agencies transfer permanent records to the National Archives, agencies transfer legal as well as physical custody to the National Archives.

**Accessioning** is the process where the National Archives assumes legal and physical custody of permanent records.

### NOTES

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## Why Permanent Records Are Transferred to the National Archives

Slide 4-6

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Why Permanent Records Are Transferred to the National Archives

- They are transferred because they have value, and therefore require historical preservation
- National Archives assumes the burden of preserving records
- National Archives assumes the task of providing public access to the records
- Transfer only when business use has ceased and sensitivity of the records has lessened

Slide 4-6

Permanent records are transferred because they have value to an agency, the Federal Government, or the public, and therefore require historical preservation.

The National Archives assumes the burden of preserving records and the task of providing public access to the records.

44 U.S.C. 2107 provides the authority for the National Archives to accept permanent records, and 36 CFR 1235, Subpart C specifies the transfer procedures.

Agencies should transfer legal custody of permanent records only when business use has ceased and the passage of time has lessened the sensitivity of the records.

### NOTES

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## Benefits of Transferring Permanent Records to the National Archives

It is the agency's responsibility to maintain the readability and usability of records for as long as the records are in the agency's legal custody. Retaining permanent special media records that are subject to hardware and software obsolescence, as well as strict environmental control requirements, means that agencies bear an increased expense for maintaining records beyond the scheduled transfer date. By transferring permanent records to the National Archives, and therefore transferring legal custody of the records to the National Archives, agencies relieve themselves of the burden and expense of maintaining permanent records longer than required.

Permanent records regardless of their location and format should be transferred to the National Archives as soon as they are eligible. Permanent records stored on shared drives must be organized and associated with an approved records control schedule prior to transferring them to the National Archives. For some strategies and best practices for managing temporary and permanent records on shared drives see NARA Bulletin 2012-02, Guidance on Managing Content on Shared Drives located at <http://www.archives.gov/records-mgmt/bulletins/2012/2012-02.html>.

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## Lesson Summary

In this lesson, you learned that:

- Permanent records are those that are determined to have sufficient historical or other value to warrant continued preservation by the Federal Government
- The transfer of permanent records from an agency to the National Archives is called accessioning
- For permanent records, both physical and legal custody of the records are transferred to the National Archives

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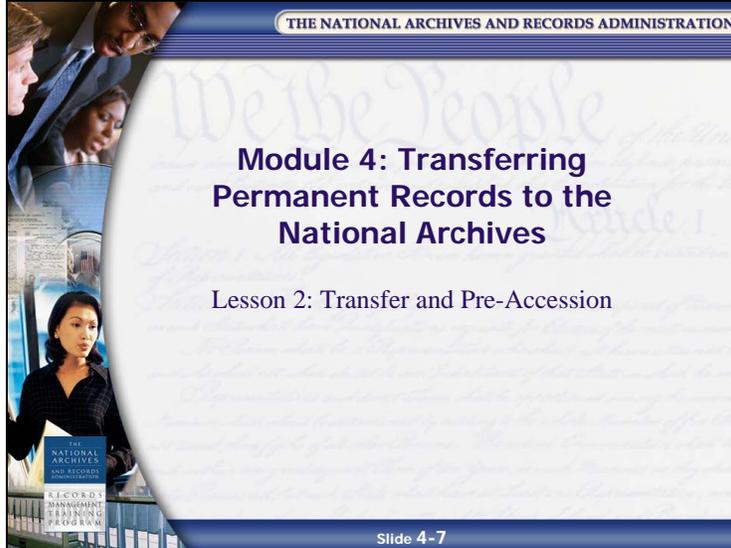
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## Lesson 2: Transfer and Pre-Accession

Slide 4-7



### NOTES

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## The Process of Transferring Permanent Records to the National Archives

Slide 4-8

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### The Process of Transferring Permanent Records to the National Archives

- Transfer records follows a systematic process, based on the location of the records
- Transfers are initiated by submission of an ERA Transfer Request (TR)
- The TR form is used to document the change in legal custody of the records and to state terms of the transfer

Slide 4-8

Transferring permanent records to the National Archives follows a systematic process. This process varies based on the type and location of the records (36 CFR 1235.18). NARA Bulletin 2004-02, Pre-accession Permanent Electronic Records located at <http://www.archives.gov/records-mgmt/bulletins/2004/2004-02.html> provides guidance for pre-accession electronic records.

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The legal transfer is initiated by submission of an ERA TR.

The TR is used to document the change in legal custody of the permanent records and to state terms of the transfer. Legal custody of the permanent records passes to the National Archives when the National Archives official signs the TR acknowledging receipt of the records.

Each ERA TR must relate to a specific record series related to an ERA Records Schedule or a legacy SF 115, Request for Records Disposition Authority or a permanent GRS citation. For guidance on how to completed an ERA TR see the ERA User Manual located at <http://www.archives.gov/records-mgmt/era/agency-user-manual.pdf>.

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## Transferring Permanent Records from an FRC

Slide 4-9

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Transferring Permanent Records from an FRC

1. National Archives initiates the TR and sends it to the agency August 1 of each year based on the scheduled date of legal transfer
2. The agency reviews and make any necessary changes to the request. All agency-approved TRs must be submitted to the National Archives by December 1 prior to the transfer year.

Slide 4-9

For records located in a Federal Records Center (FRC), the National Archives initiates the TR in ERA:

1. Based on the information on the legacy SF 135 or ARCIS, the National Archives initiates the ERA TR and sends it to the agency by August 1 of each year based on the scheduled date of legal transfer
2. The agency must review and make any necessary changes to the request. All agency approved TRs must be submitted to the National Archives by December 1 prior to the transfer year

### NOTES

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## Transferring Permanent Records from Agency Storage or a Commercial Facility

Slide 4-10

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Transferring Permanent Records from Agency Storage or a Commercial Facility

1. The agency creates and submits an ERA TR to the National Archives
2. National Archives approves or rejects the TR, based on whether specified restrictions are acceptable and whether adequate space and equipment are available
3. If National Archives approves the ERA TR, the agency is notified that the records can be shipped or transferred
4. ERA will automatically create a Legal Transfer Instrument for all ingested items

Slide 4-10

For permanent records located in agency space or commercial off-site storage facility, the **agency** initiates the ERA TR:

1. Based on the disposition instructions from a NARA-approved records schedule, the transferring agency must create and submit an ERA TR to the Research Services Washington, DC, or to the appropriate regional Archives if so provided on the legacy SF 115 or ERA Records Schedule
2. The National Archives approves or rejects the ERA TR based on whether specified restrictions are acceptable and whether adequate space and equipment are available
3. If the National Archives approves the ERA TR, the agency is notified that the records can be transferred
4. ERA will automatically create a Legal Transfer Instrument for all items. ERA will do this for both electronic and non-electronic records. The National Archives will complete the standard accessioning procedures and approve the Legal Transfer Instrument.

### NOTES

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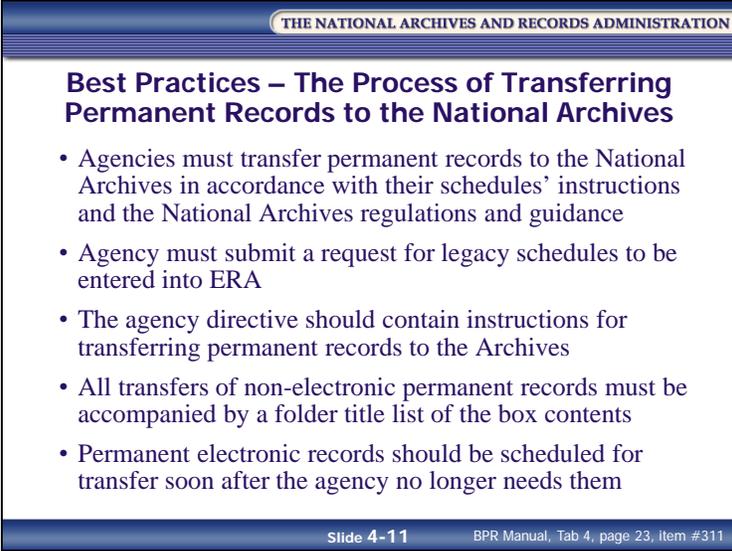
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## Best Practices – The Process of Transferring Permanent Records to the National Archives

Slide 4-11

A rectangular box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the box contains the title "Best Practices – The Process of Transferring Permanent Records to the National Archives" and a bulleted list of six items. The footer contains the text "Slide 4-11" and "BPR Manual, Tab 4, page 23, item #311".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practices – The Process of Transferring Permanent Records to the National Archives

- Agencies must transfer permanent records to the National Archives in accordance with their schedules' instructions and the National Archives regulations and guidance
- Agency must submit a request for legacy schedules to be entered into ERA
- The agency directive should contain instructions for transferring permanent records to the Archives
- All transfers of non-electronic permanent records must be accompanied by a folder title list of the box contents
- Permanent electronic records should be scheduled for transfer soon after the agency no longer needs them

Slide 4-11 BPR Manual, Tab 4, page 23, item #311

- Agencies must transfer permanent records to the National Archives in accordance with their record schedules' instructions and NARA regulations and guidance. Federal records will be transferred to the legal custody of the National Archives of the United States, only if they are listed as permanent on an approved legacy SF 115, Request for Records Disposition Authority, GRS permanent dispositions, or ERA Records Schedule.
- Agencies must submit a request to their Appraisal Archivist for legacy schedules to enter into the ERA. A formal TR cannot be created without the appropriate Disposition Authority Agency (DAA) (ERA Record Schedule) or Disposition Authority Legacy (DAL) (legacy SF 115) item attached.

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- The agency directive or records management policy should contain instructions for transferring permanent records to the National Archives, including both blocking (the chronological grouping of records) and timing (length of time after cutoff)

(Refer to item #311 [Directives], in the records schedules on **page 23** in the **Handbook section (Tab 4)** of your **BPR Manual**, as an example of blocking)

(Refer to **Handout 1.04 – Best Practice Example –EPA’s Instructions for Transferring Electronic Records to the National Archives**, located in the Handouts section of your PG, as an example of agency instructions)

- All transfers of non-electronic permanent records must be accompanied by a folder title list of the box contents or equivalent detailed records description
- Permanent electronic records should be scheduled for transfer as soon as possible after the agency no longer needs them for current operations

**NOTES**

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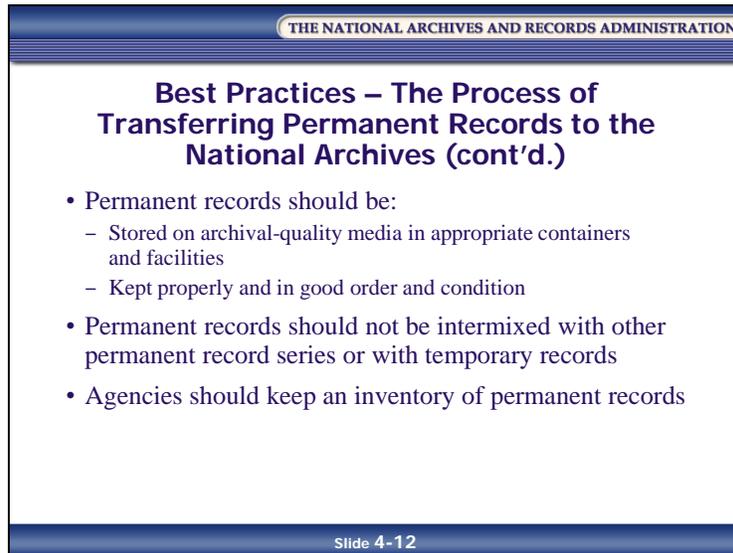
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Slide 4-12

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Best Practices – The Process of Transferring Permanent Records to the National Archives (cont'd.)**

- Permanent records should be:
  - Stored on archival-quality media in appropriate containers and facilities
  - Kept properly and in good order and condition
- Permanent records should not be intermixed with other permanent record series or with temporary records
- Agencies should keep an inventory of permanent records

Slide 4-12

- Permanent records should be protected against any known risks (e.g., off the floor, away from water pipes, format obsolescence)
- They should be stored in appropriate containers and facilities and should not be intermixed with temporary records or other series of permanent records
- Agencies should keep an inventory of permanent records that includes the schedule item number, location, custodian, and transfer instructions. However, by 2019, agencies will be required to keep an inventory of permanent records.

**NOTES**

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## Proper Use of the ERA Transfer Request

Slide 4-13

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Proper Use of the ERA Transfer Request

- The TR is the form used to transfer permanent records to the National Archives
- A TR must be prepared for each series or schedule item being transferred
- All TRs must be accompanied by a folder title list of the box content or equivalent detailed records description

Slide 4-13

The TR is used to transfer permanent records to the National Archives.

A TR must be prepared for each schedule item being transferred. ERA bases a TR solely on the schedule item.

All TRs must be accompanied by a folder title list of the box contents or equivalent detailed records description:

- For records stored at FRCs, the textual SF 135 with folder list serves this purpose
- For electronic records, this requirement is satisfied by providing the documentation and indexes specified in 36 CFR 1235.46
- For other records, the detailed list may be provided in hardcopy, electronic format, or attached electronically to the ERA TR

### NOTES

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## Information Required to Complete an ERA Transfer Request

Slide 4-14

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Information Required to Complete an ERA Transfer Request

- Disposition Authority
- Agency or Establishment Information
- Information about the Records
  - Title
  - Date
  - Description
  - Restriction
  - Volume
- Transfer Method
- Approving Officials

Slide 4-14

- **Disposition Authority** – Attach an approved Records Schedule Item (RSI). Once the RSI is attached, several TR fields will be pre-populated using information from the records schedule.
- Agency or Establishment:
  - **Agency Major Subdivision** – Within agency
  - **Agency Minor Subdivision** – Within office or major subdivision
  - **Unit That Created Records** – Within minor subdivision
  - These items are pre-populated based on user profile
- **Transfer Group Description** – Which program created the records or information
- **Type of Legal Transfer** – Select from the drop down menu if the records are being transferred directly from the agency and not an FRC
- **Record Schedule Item Title** – The series title as stated on the records schedule and is pre-populated

### NOTES

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- **Date Span of Series** – Enter the inclusive dates covered by the ERA TR
- **Access Restriction Status** – Select the restriction status from the drop-down menu
- **Specific Access Restriction** – Enter any special restrictions on access to the records and information
- **Security Classification** – Enter the National Security Classification, if applicable
- **Special Marking** – Enter special marking such as NATO
- **Access Restriction Note** – Enter any additional information regarding the restriction, if required
- **Are Records Fully Available for Public Use?** – Yes or no. If yes, enter the Federal Register, volume and page number
- Use Restriction – Drop-down menu
  - **Specific Use Restriction** – Enter all special restrictions on use such as copyright
  - **Use Restriction Note** – Explanation of the Specific use restriction may be required
- **General Records Type** – Enter the physical format of the records or information
  - Transfer Group Description – pre-populated
  - Cutoff
  - Transfer Group Disposition Date
- Current Location of Records:
  - Agency Name and Address
  - Destination Physical Location or Records
  - Addresss
  - Custodial Unit
- Transfer Method:
  - Electronic
  - Physical

**NOTES**

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- **Volume** – Enter the volume information
  - Quantity
  - Transfer Media Type (Hard Drive)
  - Estimated Volume
  - Container Description
  - Media Disposition
- List of Containers:
  - Number of Containers
  - Container Type
  - Container Description
  - Container Size
- **Transferring Agency Official** – Pre-populated based on user profile
- **Agency Approving Official** – Pre-populated based on user profile
- NARA Contact Approving Official
- Other Contacts – if applicable

**NOTES**

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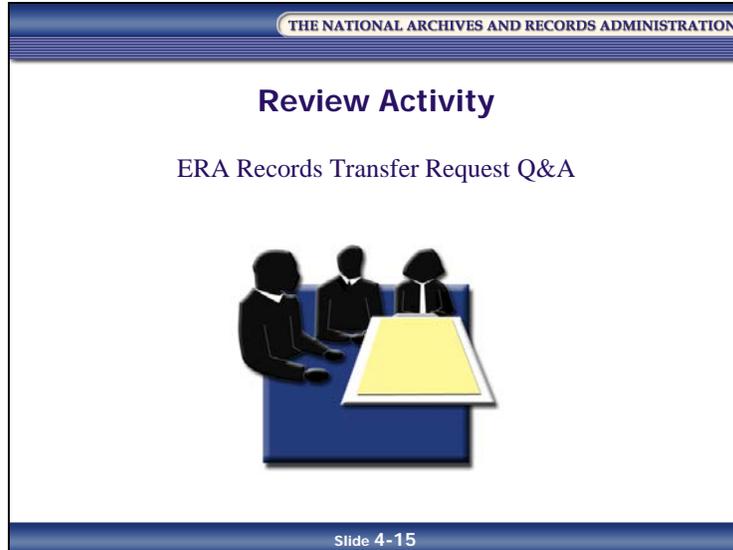
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## Review Activity: ERA Transfer Request Q&A

Slide 4-15



### NOTES

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## ERA Transfer Request Q&A Worksheet

1. At what point do I prepare an ERA TR?
2. Who is officially authorized to sign the ERA TR?
3. What steps do I need to take if the office that created the record is defunct and there is no successor?
4. What steps do I take if the records are affected by ongoing litigation?
5. How do I ensure that I am operating with the correct series title and disposition authority?
6. How do I ensure that the correct security classification level is designated?
7. What happens after I submit the ERA TR to NARA?

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## Pre-Accession

Slide 4-16

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Pre-Accession

**Pre-accessioning** occurs when NARA fully processes permanently valuable electronic records in order to assume physical custody **before** the records are scheduled to become part of the National Archives of the United States.

Slide 4-16

**Pre-accessioning** occurs when NARA fully processes permanently valuable electronic records in order to assume physical custody **before** the records are scheduled to become part of the National Archives of the United States.

### NOTES

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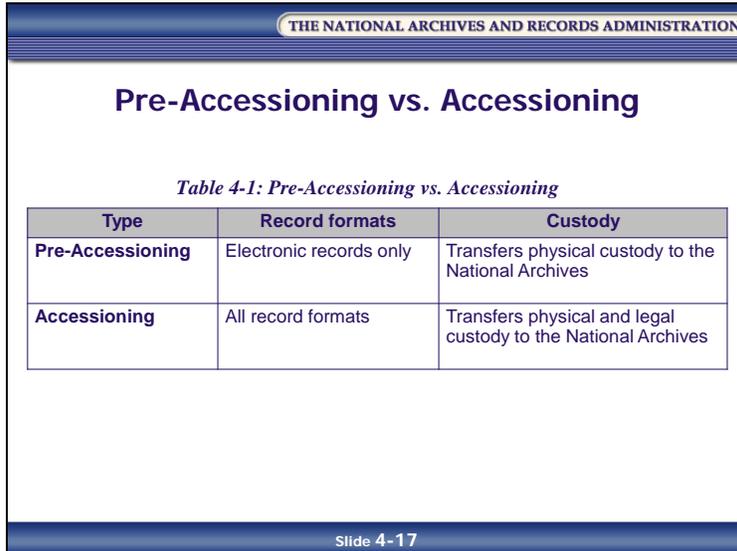
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Slide 4-17



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Pre-Accessioning vs. Accessioning

*Table 4-1: Pre-Accessioning vs. Accessioning*

Type	Record formats	Custody
<b>Pre-Accessioning</b>	Electronic records only	Transfers physical custody to the National Archives
<b>Accessioning</b>	All record formats	Transfers physical and legal custody to the National Archives

Slide 4-17

Pre-accessioning differs from accessioning in two respects:

- Pre-accessioning is possible only for electronic records
- Pre-accessioning merely transfers physical custody to the National Archives; the agency retains legal custody. (Typically, when permanent records are transferred, both physical and legal custody transfer to the National Archives.)

**NOTES**

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## Why Pre-Accession?

Slide 4-18

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Why Pre-Accession?

- Electronic records present unique maintenance issues for agencies
- Through pre-accessioning, NARA relieves the maintenance burden on the agency
- Pre-accessioning uses the transfer procedures currently in place for transferring other permanent records to National Archives

Slide 4-18

Pre-accessioning is when NARA fully processes (for preservation purposes) permanently valuable electronic records in order to assume physical custody before the records are scheduled to legally become part of the National Archives. NARA recommends pre-accessioning to agencies as an option for managing permanent electronic records effectively. Due mostly to software and hardware obsolescence, electronic records present unique maintenance issues for agencies. In order to ensure that electronic records are accessible and usable for more than a few years, agency resources must be spent performing backups and updating formats. Through pre-accessioning, NARA takes on the responsibility for preserving permanent electronic records at an earlier date than the scheduled disposition, thus relieving the maintenance burden on the agency.

Pre-accessioning also allows for earlier transfers, better preservation, and more accurate descriptions, while preventing the loss of records that often occurs with lengthy agency retention.

### NOTES

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NARA will pre-accession only electronic records that have been approved as permanent. NARA will make the decision to pre-accession records on a case-by-case basis in consultation with the agency.

While records are in NARA's physical custody, public reference service is limited to referring any inquiry concerning the records to the creating agency and making reproductions available only to the creating agency.

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Slide 4-19

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### ERA Transfer Request Process

1. The National Archives and Agency agree records should be pre-accessioned
2. Agency submits a completed and approved TR
3. The National Archives processes the records and accepts or rejects the TR
4. When the National Archives accepts the records into the legal custody, the agency is notified
5. The National Archives approves the Legal Transfer Instrument
6. The National Archives assumes responsibility for reference

Slide 4-19

Pre-accessioning uses the TR procedures currently in place for transferring other permanent records to the National Archives. The process is as follows:

1. The National Archives and the agency agree that the National Archives should pre-accession a body of permanent electronic records into the physical custody of the National Archives. The agency retains legal custody of the electronic records.
2. The agency submits a completed and approved ERA TR containing the date that the records will be eligible for acceptance into the legal custody of the National Archives
3. The National Archives processes the records and accepts or rejects the ERA TR
4. When the time agreed to accept the records into the legal custody of the National Archives arrives, the National Archives notifies the agency
5. If the agency has no objection, the National Archives will approve the ERA Legal Transfer Instrument to accept the records into the legal custody of the National Archives of the United States
6. At that time, the National Archives assumes responsibility for providing reference services for the electronic records

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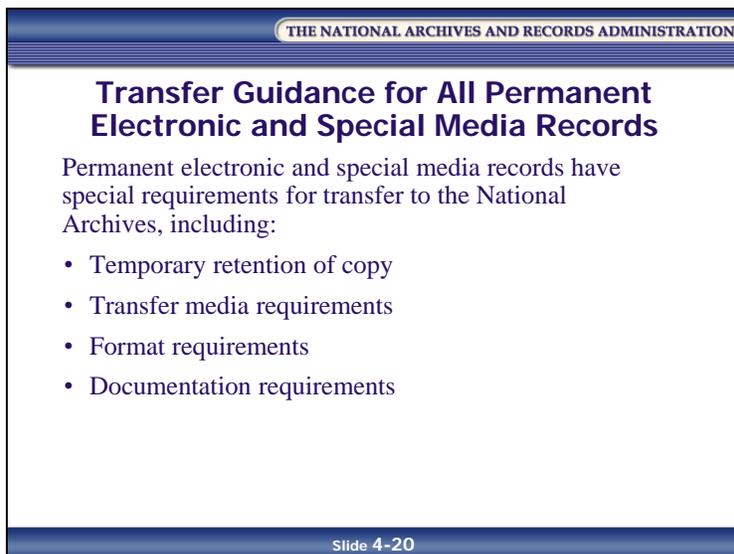
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## Transfer Guidance for All Permanent Electronic and Special Media Records

Slide 4-20



Permanent electronic records have special requirements for transfer to the National Archives (36 CFR 1235 Subpart C). These requirements include:

- Temporary retention of copy
- Transfer media requirements
- Format requirements
- Documentation requirements

### Temporary Retention of Copy

Each agency must retain a second copy of any permanent electronic records that it transfers to the National Archives until it receives official notification from the National Archives that the transfer was successful, and that the National Archives has assumed responsibility for continuing preservation of the records (36 CFR 1235.44).

### NOTES

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## Transfer Media Requirements

Agencies must use only media that are sound and free from defects for transfers to the National Archives. The agency must choose reasonable steps to meet this requirement. The approved media and media-less transfer formats include:

- Magnetic tape cartridges
- Compact Disc Read-Only Memory (CD-ROM)
- File Transfer Protocol (FTP)
- Digital Versatile Disc (DVD)
- External hard drives
- Zip files
- XML format

Details on the transfer media requirements are described in 36 CFR 1235.46.

## Format Requirements

Agencies may not transfer to the National Archives permanent electronic records that are in a format dependent on specific hardware and software.

## Documentation Requirements

Documentation adequate to identify, service, and interpret electronic records that have been designated for preservation by NARA must be transferred with the records.

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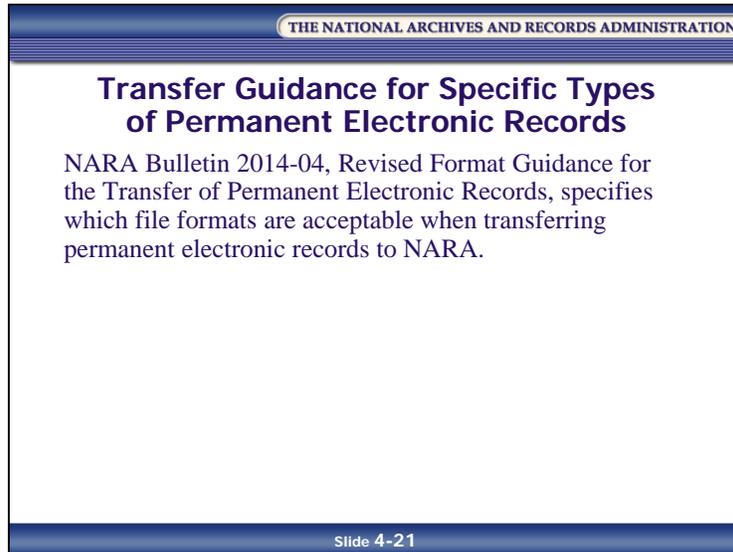
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## Transfer Guidance for Specific Types of Permanent Electronic Records

Slide 4-21



NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, specifies which file formats are acceptable when transferring permanent electronic records to NARA. It covers electronic records that are created, used, and managed on computer systems, which can be moved between computer file systems without altering the original method of encoding. It applies to records that originated electronically, such as word processing files or digitally recorded sound, as well as digital representations of records which originated in a non-electronic form, such as paper or film.

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Slide 4-22

The slide features a blue header with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". Below the header, the title "Transfer Guidance for Specific Types of Permanent Electronic Records (cont'd.)" is centered. The main content states: "NARA also has transfer requirements specific to the following types of permanent electronic records:". This is followed by a two-column list of record types: Computer aided design (CAD), Digital audio, Digital moving images, Digital still images, Geospatial, Presentation, Textual data, Structured data, Email, and Web records. A blue footer at the bottom of the slide contains the text "Slide 4-22".

Categories of electronic records and acceptable formats that NARA will accept for transfer are based on their sustainability. Sustainability as it relates to electronic file formats is the suitability of a format to preserve encoded information over time.

Format categories provide a method of grouping formats that either share a common method of encoding, or are used to store the same type of data. There is no longer guidance dedicated to the Portable Document Format (PDF). PDF is now listed in each of the format categories for which it is appropriate. The new format categories are:

- Computer aided design (CAD)
- Digital audio
- Digital moving images
- Digital still images
- Geospatial
- Presentation
- Textual data (word-processed, formatted, and unformatted [plain] text)
- Structured data (databases, spreadsheets, and statistical and scientific data)
- Email
- Web records

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Agencies should transfer records in accordance with the cut-off and disposition instructions on the approved disposition authority. Typically, agencies transfer legal custody to NARA when the records are 15 to 30 years old and are no longer needed to conduct the agency's business.

Steps must be taken to ensure that permanent electronic records will remain accessible for as long as they are needed. Before transferring permanent electronic records, agencies should:

- Separate temporary records and non-record materials from permanent electronic records
- Identify sensitive information within records that may require screening before the records are available to the public (e.g., personally identifiable information [PII], such as Social Security Numbers [SSN] of living individuals, law enforcement information, and proprietary information)
- Ensure that all fonts necessary to interpret the information in each record are embedded when the files are created
- Comply with any existing agency policies regarding the encryption of physical media used to transfer electronic records to NARA

In most cases, NARA screens records before making them available to the public when the transferring agency indicates that the records contain sensitive, non-public information. Accordingly, agencies are strongly encouraged to provide NARA with as much information as possible about the type and location of the sensitive information when transferring the records, in order to make NARA's screening more efficient and effective. For example, if an agency transfers a database with individuals' SSNs and dates of birth, the agency should indicate that these fields may be restricted.

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In addition, in all cases, agencies must:

- Deactivate passwords or other forms of file-level encryption including digital rights management technologies commonly used with audio, video, and some publications that impede access to record data
- Ensure permanent electronic records are valid according to the file format specifications identified in this guidance
- Retain a copy of all permanent electronic records transferred to NARA until receiving official notification that NARA has accepted legal custody of the records

NARA will provide access to all researchers requesting records accessioned from Federal agencies, subject to review of content for Freedom of Information Act exemptions or NARA's General Restrictions (36 CFR Part 1256), as applicable. NARA may provide additional access to withheld records to the creating agency, or other agencies, Congress, or parties in litigation where there is a particular need.

(Refer to **Handout 4.01** – NARA Bulletin 2014-04, located in the Handouts section of your PG, for guidance on transferring electronic permanent records.)

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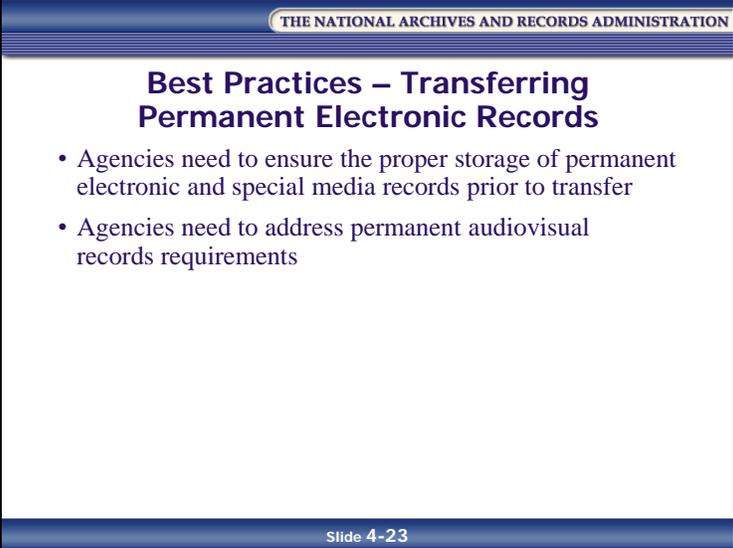
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## Best Practices – Transferring Permanent Electronic Records

Slide 4-23

A rectangular slide content box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the slide has a white background with the title "Best Practices – Transferring Permanent Electronic Records" in bold. Below the title are two bullet points. The footer contains the text "Slide 4-23".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Best Practices – Transferring Permanent Electronic Records

- Agencies need to ensure the proper storage of permanent electronic and special media records prior to transfer
- Agencies need to address permanent audiovisual records requirements

Slide 4-23

- Agencies need to ensure the proper storage of permanent electronic records prior to transfer by controlling temperature and relative humidity, periodically recopying, and sampling readability of media
- Agencies need to address permanent electronic and audiovisual records requirements – separating them from nonpermanent electronic records, filing the master, and using copy prints instead of negatives

### NOTES

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## Lesson Summary

In this lesson, you learned that:

- There is a systematic process for transferring permanent records to the National Archives. The process depends on the location of the records:
  - For records located in the FRCs, the National Archives initiates the process
  - For records located in agency space or commercial off-site storage facility, the agency initiates the process
- The ERA TR is used to legally transfer records to the National Archives
- An ERA TR must be prepared for each series or legacy SF 115 item being transferred
- There are several best practices that can be applied to the process of transferring permanent records to the National Archives
- **Pre-accessioning** occurs when the National Archives fully processes permanently valuable electronic records in order to assume physical custody **before** the records are scheduled to become part of the National Archives
- Pre-accessioning differs from accessioning in two aspects:
  - Pre-accessioning is possible only for electronic records
  - Pre-accessioning merely transfers physical custody to the National Archives; the agency retains legal custody
- Electronic records include numeric, graphic, and text information which may be recorded on any medium which is capable of being read by a computer and which satisfies the definition of a record

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- Pre-accessioning relieves an agency’s maintenance burden by allowing the National Archives to take on the responsibility of preserving permanent electronic records
- The National Archives will pre-accession only electronic records that have been approved as permanent
- Pre-accessioning uses the transfer procedures currently in place for transferring permanent records
- Permanent electronic records have special requirements for transfer to the National Archives:
  - Temporary retention of copy
  - Transfer media requirements
  - Format requirements
  - Documentation requirements
- NARA also has transfer requirements specific to the types of permanent electronic records, including:
  - Computer aided design (CAD)
  - Digital audio
  - Digital moving images
  - Digital still images
  - Geospatial
  - Presentation
  - Textual data (word-processed, formatted, and unformatted [plain] text)
  - Structured data (databases, spreadsheets, and statistical and scientific data)
  - Email
  - Web records
- There are best practices that can be applied to the transfer of permanent electronic records

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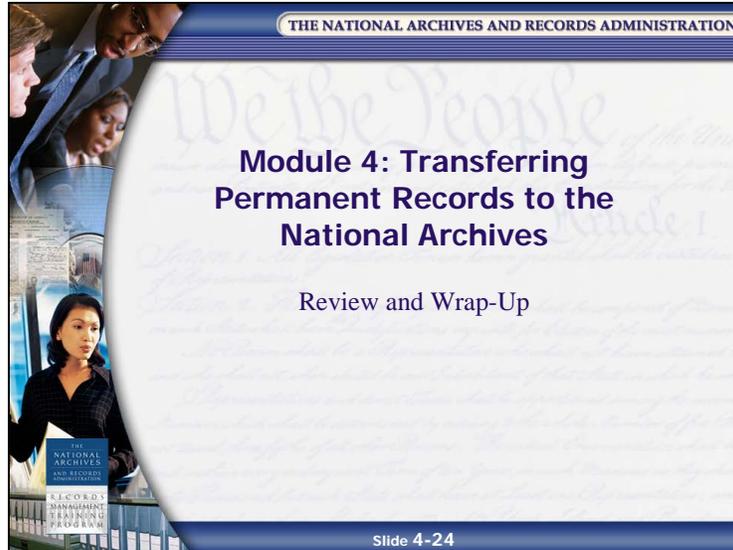
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## Module 4 Review and Wrap-Up

Slide 4-24



### NOTES

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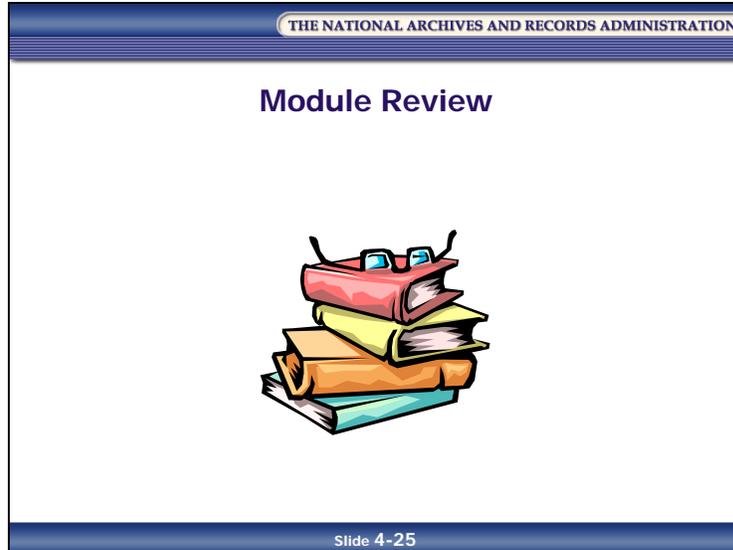
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## Module Review

Slide 4-25



In Module 4, you learned:

- What permanent records are
- Why permanent records are transferred to the National Archives
- The process for transferring permanent records to the National Archives
- That the ERA TR is the format used to transfer permanent records to the National Archives
- That an ERA TR must be prepared for each series or ERA RSI being transferred
- What pre-accessioning is
- Why permanent electronic records are pre-accessioned to the National Archives
- The pre-accession process
- The transfer guidance for permanent electronic records
- The transfer guidance for specific types of permanent electronic records

### NOTES

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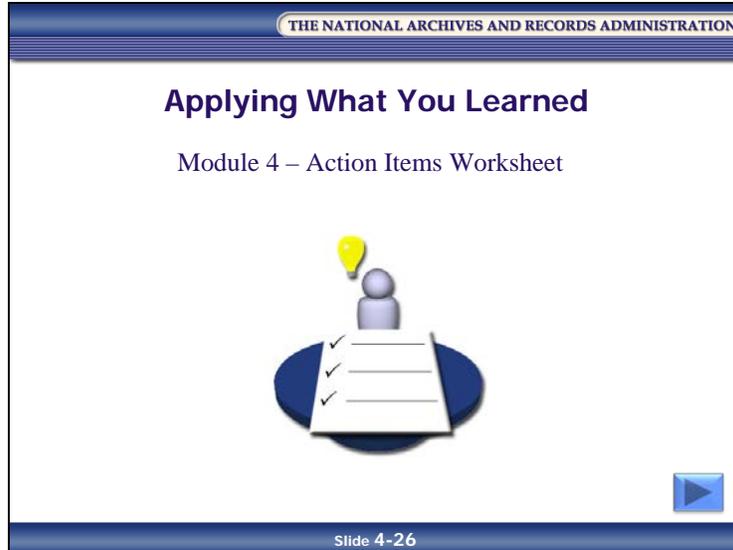
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## Applying What You Learned

Slide 4-26



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

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## Module 4 – Action Items Worksheet

**What did I learn about transferring permanent records to NARA that will help me at my job?**

List at least one thing you learned about transferring permanent records to NARA that is relevant to your records management roles and responsibilities.

**How will I apply what I learned about transferring permanent records to NARA to my job?**

List at least one thing you learned about transferring permanent records to NARA 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.  
(“Pre-accessioning only applies to electronic records?! Aha!”)

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Participant Guide  
January 2017

## Knowledge Area 4: Records Schedule Implementation

## Module 5: Maintaining an ERA Records Schedule

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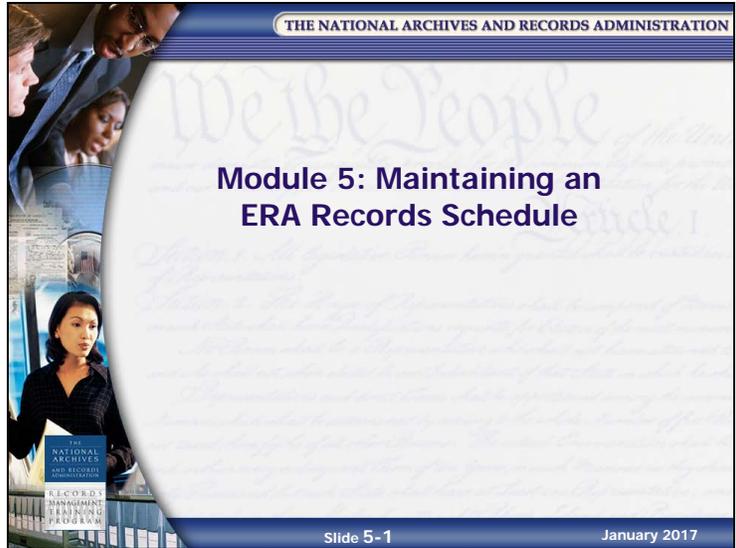
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# Introduction and Objectives

Slide 5-1



## Introduction

In Module 5, we discuss the changes that may affect a records schedule and the process for updating a schedule. We also cover the legal and regulatory sources related to the timely review and updating of a records schedule.

### NOTES

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## Objectives

Slide 5-2

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Module 5 Learning Objectives

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

- Recognize the circumstances to add, revise, or delete records schedule items
- Describe the steps involved in updating a records schedule

Slide 5-2

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

- Recognize the circumstances to add, revise, or delete records schedule items
- Describe the steps involved in updating a records schedule

### NOTES

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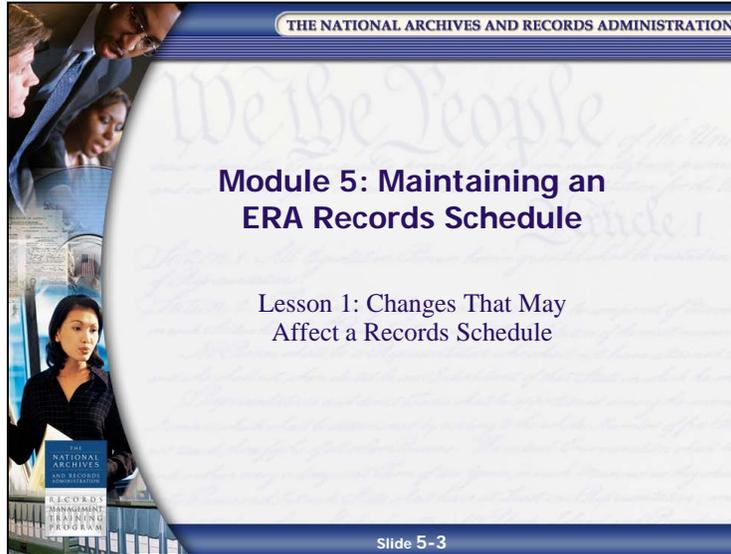
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# Lesson 1: Changes That May Affect a Records Schedule

Slide 5-3



## NOTES

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## Why Update Records Schedules?

Slide 5-4

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Why Update Records Schedules?

- Agencies, policies and procedures, laws and regulations, records, etc., are constantly changing
- Records schedules remain in effect as long as they are valid
- Maintaining schedules by keeping them up to date is a regulatory requirement

Slide 5-4

Agencies, policies and procedures, laws and regulations, records, etc., are constantly changing, and these changes can affect your records schedule. Sometimes it is necessary to add, revise, or delete schedule items covering record series and systems. These changes may also make it necessary to update instructions for handling nonrecord materials and for transferring records.

Records schedules remain in effect as long as the nature, content, and functional importance of the records remain the same (36 CFR 1226.14(b)). Therefore, in order for your records schedule to be valid, it must reflect all changes to recordkeeping.

Maintaining your schedule by keeping it up-to-date is also a regulatory requirement. Agencies need to review their records schedules at least annually and update them whenever necessary, including within six months of the issuance of a new or revised General Records Schedule (GRS) item (36 CFR 1226.12(a)).

### NOTES

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## Changes That May Affect a Records Schedule

Slide 5-5

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Changes That May Affect a Records Schedule

- Changes in statutory or regulatory requirements
- Changes in program priorities, policies, procedures, and information flow
- New or discontinued programs and responsibilities
- Change from paper to electronic
- Changes to records format
- Transfer of functions from one agency to another

Slide 5-5

Changes that may affect a records schedule include:

- Changes in statutory or regulatory requirements
- Changes in program priorities, policies, procedures, and information flow
- New or discontinued programs and responsibilities (for example: creation of the Department of Homeland Security)
- Changes from paper records to electronic records systems (for example, new electronic project management system)
- Internal reorganizations
- Increases or decreases in office or storage space
- Changes to records format
- Changes in retention periods
- Changes in the function of the records
- Changes in the content of a series of records made by including records previously managed separately or by splitting one series into two or more series
- Transfer of functions from one executive department or independent agency to another

### NOTES

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## Changes Requiring NARA Approval

Slide 5-6

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Changes Requiring NARA Approval

- Lengthening a retention period
- Shortening a retention period
- Requesting a change from temporary to permanent status or vice versa
- Aggregating schedule items to create a “Big Bucket” schedule

Slide 5-6

Certain schedule changes need to be approved by the National Archives and Records Administration (NARA). These changes include:

- Lengthening a retention period on a permanent basis (temporary lengthening for audit, litigation, need for ongoing use, etc., does not require NARA’s approval, only its notification)
- Shortening a retention period
- Requesting a change from temporary to permanent status or vice versa
- Aggregating schedule items to create a “Big Bucket” schedule

### NOTES

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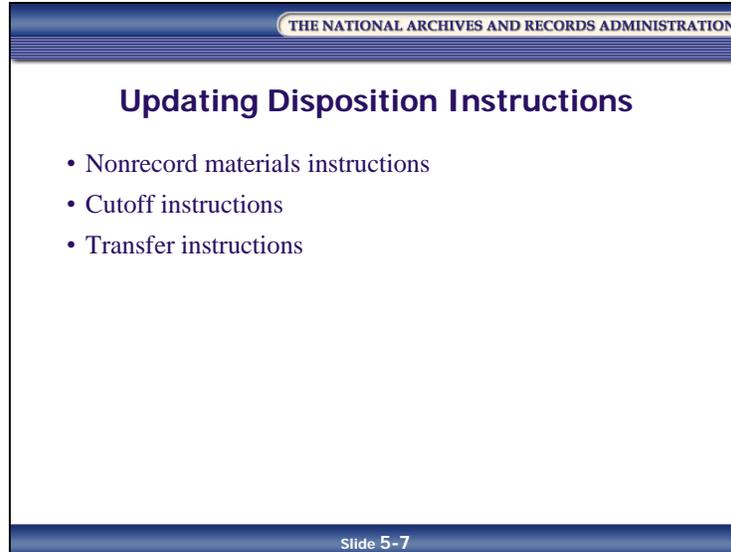
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## Updating Disposition Instructions

Slide 5-7



Changes to a records schedule may necessitate updates to the schedule’s disposition instructions. When updating a schedule, it is important to review your disposition instructions to ensure that they accurately reflect the approved records schedule:

- **Nonrecord materials instructions** – As a schedule may contain disposition instructions for nonrecord materials, the agency may also need to add additional implementation instructions for clarity. The implementation instructions should cite a warning against mixing such material with records and against allowing nonrecords to use up valuable office space.
- **Cutoff instructions** – Review schedules for any changes to instructions for cutting off records
- **Transfer instructions** – Review schedules for changes to instructions on transferring records to off-site storage and accessioning to the National Archives. Changes to transfer instructions do not necessarily require the submission of an ERA Records Schedule – you just need to send a letter of explanation to NARA citing the appropriate legacy SF 115, GRS citations, or ERA Records Schedule.

### NOTES

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- If the change involves only the timing of a record's transfer to a records center, no notification is required. (For example, the schedule tells you to keep a record in the office for five years, and then transfer it to storage, where it will be destroyed at 20 years old. If you decide to keep it in the office for two years before transferring it, that is fine. No notice is required.)
- If the change involves the date when a record is transferred to the National Archives for permanent retention (for example, your schedule tells you to wait 30 years, but you want to send it after 20), this requires notification to NARA. The Agency Records Officer (ARO) should contact the NARA Appraisal Archivist to make this kind of change.

**NOTES**

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## Keeping Track of Changes That May Affect a Records Schedule

Slide 5-8

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Keeping Track of Changes That May Affect a Records Schedule

- Create a network of people or resources
- Do not wait for information to come to you
- Perform annual reviews or spot-checks of the schedule to help reveal situations affecting the schedule

Slide 5-8

Information about schedule-related changes can come from many sources, and keeping up with all the sources can be challenging. The best way to meet the challenge is to create a network of people or resources to help keep up to date. Your network should include resources like your agency’s legal counsel, your NARA Appraisal Archivist, program managers, and other “in-the-know” people.

Do not wait for information to come to you. Instead, take the initiative to collect information, communicate with your network, and keep abreast of current trends and changes that may impact your records schedule.

In addition to creating a network of people and resources to keep up with schedule-related changes, you should also perform annual reviews or spot-checks of the schedule to help reveal situations affecting the schedule.

### NOTES

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## How the Bureau of Public Recreation Tracks Changes

Slide 5-9

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION					
Bureau of Public Recreation					
Table 5-1: Using a Records Status Document to Track Changes					
Record	Schedule/Item	NARA Job/Document/Reference	Description	Status or Pending Info	Last Date Updated (M/Y)
Field and Laboratory Notebooks	1/304	N1-700-10-#	Environmental Research	Pending	03/10
Personnel Law	1/605c	N1-700-09#	Case Files	Approved	11/11
Site Containment and Clean-Up Files, Maps, and Photographs	1/multiple	DAA-700-2012-0001	Terrestrial Recreation	Submitted	08/12
Accident Files	1/multiple		Terrestrial Recreation	Under review	

(Revised 08/01/13)

Slide 5-9

The Bureau of Public Recreation tracks each new schedule item from creation to final approval using a Records Status document to keep track of changes.

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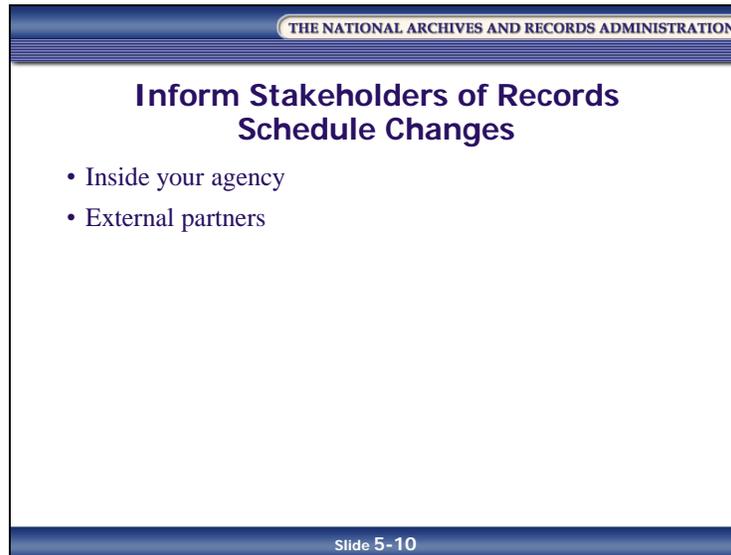
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Slide 5-10



Informing agency staff on records schedule changes requires:

- Training agency personnel how to recognize changes that would affect the records schedule (see page PG 5-5) – Records management staff cannot keep up with the constant changes in agency business practices. The staff must rely on agency program staff to relay information on changes that may affect records schedules.
- Notifying agency personnel and records centers on any approved changes to records schedule and dispositions. Changes to records schedules can have far-reaching effects on your agency. They impact recordkeeping practices, disposition implementation, Freedom of Information Act (FOIA), and other mission-critical activities. When changes to records schedules are approved, disseminate the changes as soon as possible to all vested parties.

How you get word out about schedule-related changes goes back to your records disposition plan. Think about the affected stakeholders and their roles. How will the changes affect them? What is the best way to communicate the changes to them?

**NOTES**

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### **Everyone Has a Part to Play**

Not everyone is an ARO, but everyone plays a part. Although the ARO is the person responsible for coordinating the actual schedule update, the entire agency plays a role in maintaining a current, accurate schedule. All agency personnel are responsible for forwarding information to the ARO, to ensure that the records schedule stays up-to-date with the needs and business practices of the agency.

### **NOTES**

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## Lesson Summary

In this lesson, you learned that:

- Records schedules are updated because agencies, policies and procedures, laws and regulations, records, etc., are constantly changing, and these changes can affect the schedule
- Records schedules are updated because doing so is a regulatory requirement. Agencies need to review their records schedules at least annually and update them whenever necessary, including within six months of a new or revised GRS item (36 CFR 1226.12(a)).
- There are many changes that can affect a records schedule
- Certain schedule changes need to be appraised and approved by NARA, including:
  - Lengthening a retention period on a permanent basis
  - Shortening a retention period
  - Requesting a change from temporary to permanent status or vice versa
  - Aggregating schedule items to create a “Big Bucket” schedule
- Changes to a records schedule may also necessitate updates to the schedule’s disposition instructions, including:
  - Nonrecord materials instructions
  - Cutoff instructions
  - Transfer instructions
- Creating a network of people or resources and performing routine reviews or spot-checks of the schedule, are two ways to keep track of schedule-related changes
- Agency personnel need to know how to recognize changes that may affect a records schedule
- Agency personnel need to be told about changes that have been made to a records schedule
- Not everyone is an ARO, but everyone plays a part in maintaining a current, accurate schedule

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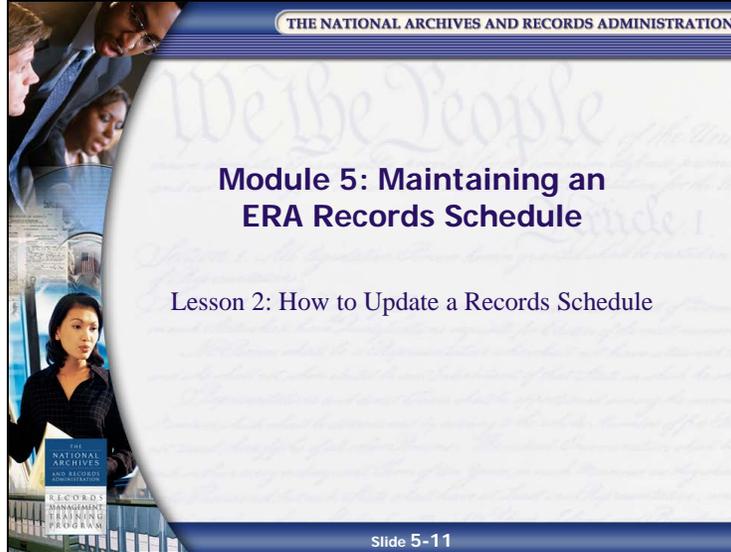
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## Lesson 2: How to Update a Records Schedule

Slide 5-11



### NOTES

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## The Process for Updating a Records Schedule for Changes Requiring NARA Approval

Slide 5-12

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### The Process for Updating a Records Schedule for Changes Requiring NARA Approval

When updating the records schedules or manual, follow the same steps as creating a schedule:

1. Create a new ERA Records Schedule with the applicable changes
2. Adequately describe and justify the changes
3. Submit draft ERA to ERA Certifying Official for approval and formal ERA registration
4. NARA appraises and approves the suggested changes
5. Agency is notified or approved records schedule changes
6. Agency implements changes and notifies all vested interested parties
7. Agency updates and publishes changes where appropriate

Slide 5-12

When updating the records schedule or manual with changes that require NARA's approval, follow the same steps as those for creating a schedule:

1. Create a new ERA Records Schedule with the applicable changes
2. Adequately describe and justify the change
3. Submit draft ERA schedule to ERA Certifying Official for approval and formal ERA registration
4. NARA appraises and approves the suggested changes
5. Agency is notified of approved records schedule changes
6. Agency implements changes and notifies all vested interested parties
7. Agency updates and publishes changes where appropriate (web, manual, directives, guidance and policy, etc.)

### NOTES

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## Lesson Summary

In this lesson, you learned that:

- The steps for updating a records schedule or manual are the same as the steps for creating a schedule

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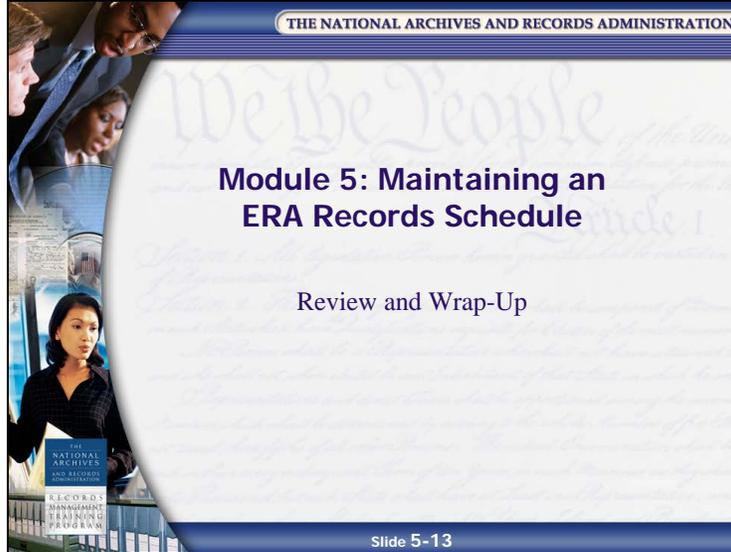
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# Module 5 Review and Wrap-Up

Slide 5-13



## NOTES

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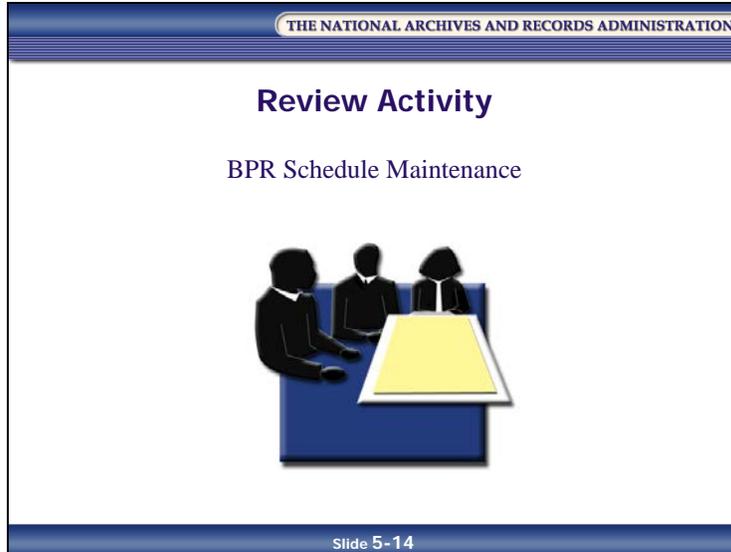
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## Review Activity: BPR Schedule Maintenance

Slide 5-14



### NOTES

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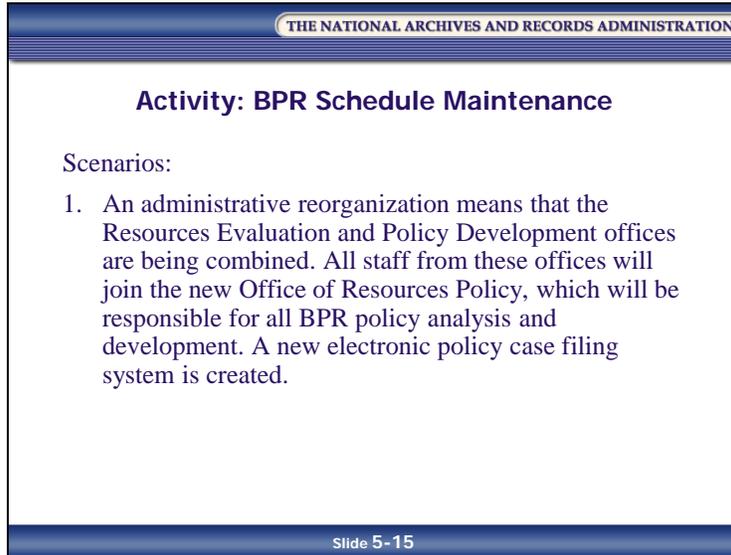
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Slide 5-15

A rectangular box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the box is white and contains the following text: "Activity: BPR Schedule Maintenance", "Scenarios:", and a numbered list item: "1. An administrative reorganization means that the Resources Evaluation and Policy Development offices are being combined. All staff from these offices will join the new Office of Resources Policy, which will be responsible for all BPR policy analysis and development. A new electronic policy case filing system is created." The footer contains the text "Slide 5-15".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Activity: BPR Schedule Maintenance**

Scenarios:

1. An administrative reorganization means that the Resources Evaluation and Policy Development offices are being combined. All staff from these offices will join the new Office of Resources Policy, which will be responsible for all BPR policy analysis and development. A new electronic policy case filing system is created.

Slide 5-15

Scenarios:

1. An administrative reorganization means that the Resources Evaluation and Policy Development offices are being combined. All staff from these offices will join the new Office of Resources Policy, which will be responsible for all BPR policy analysis and development. A new electronic policy case filing system is created.

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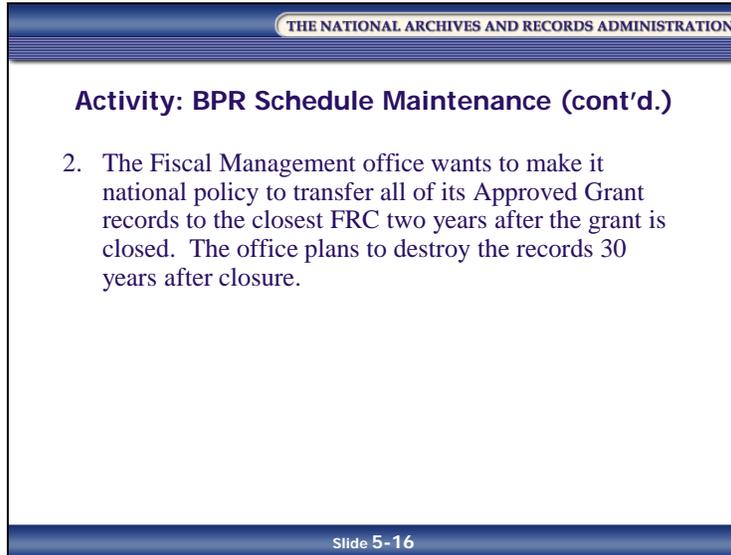
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Slide 5-16

A rectangular box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the box contains the text "Activity: BPR Schedule Maintenance (cont'd.)" followed by a numbered list item: "2. The Fiscal Management office wants to make it national policy to transfer all of its Approved Grant records to the closest FRC two years after the grant is closed. The office plans to destroy the records 30 years after closure." The footer contains the text "Slide 5-16".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Activity: BPR Schedule Maintenance (cont'd.)**

2. The Fiscal Management office wants to make it national policy to transfer all of its Approved Grant records to the closest FRC two years after the grant is closed. The office plans to destroy the records 30 years after closure.

Slide 5-16

2. The Fiscal Management office wants to make it national policy to transfer all of its Approved Grant records to the closest Federal Records Center (FRC) two years after the grant is closed. The office plans to destroy the records 30 years after closure.

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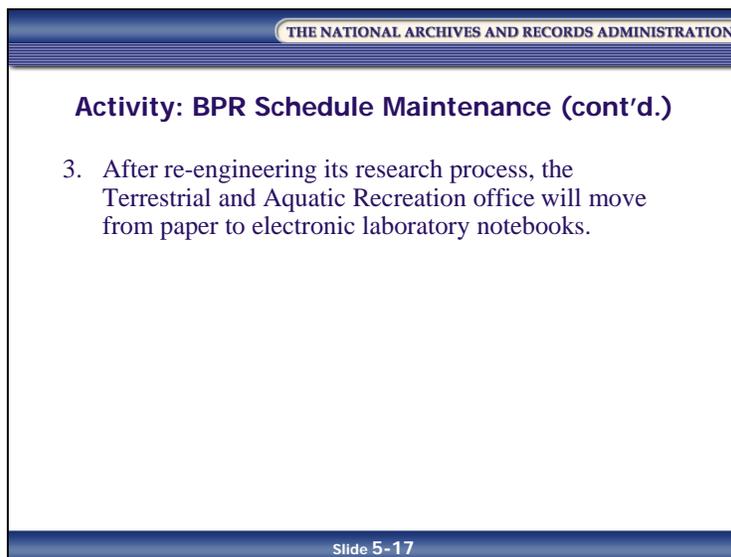
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Slide 5-17

A rectangular box representing a slide. At the top, there is a blue header bar with the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION" in white. Below the header, the slide content is centered. It starts with a bolded title "Activity: BPR Schedule Maintenance (cont'd.)". Below the title is a single bullet point: "3. After re-engineering its research process, the Terrestrial and Aquatic Recreation office will move from paper to electronic laboratory notebooks." At the bottom of the slide, there is a blue footer bar with the text "Slide 5-17" in white.

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Activity: BPR Schedule Maintenance (cont'd.)**

3. After re-engineering its research process, the Terrestrial and Aquatic Recreation office will move from paper to electronic laboratory notebooks.

Slide 5-17

3. After re-engineering its research process, the Terrestrial and Aquatic Recreation office will move from paper to electronic laboratory notebooks.

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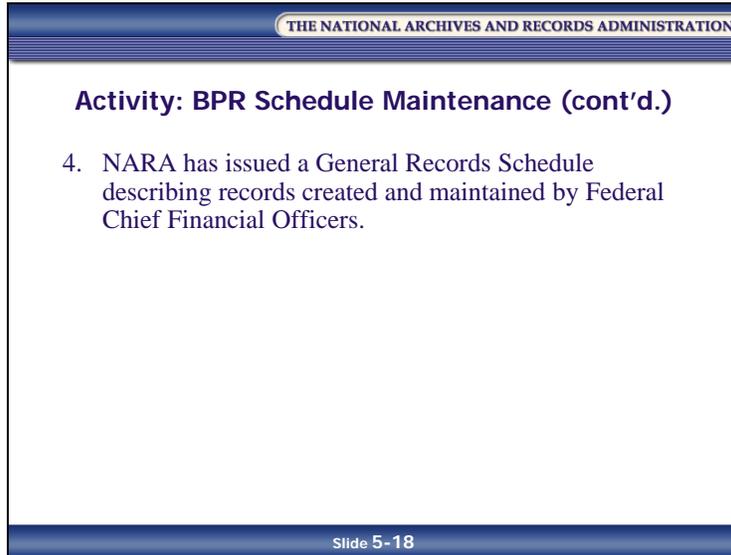
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Slide 5-18

A rectangular box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the box contains the text "Activity: BPR Schedule Maintenance (cont'd.)" followed by a bulleted list item: "4. NARA has issued a General Records Schedule describing records created and maintained by Federal Chief Financial Officers." The footer contains the text "Slide 5-18".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Activity: BPR Schedule Maintenance (cont'd.)**

- 4. NARA has issued a General Records Schedule describing records created and maintained by Federal Chief Financial Officers.

Slide 5-18

- 4. NARA issued a General Records Schedule describing records created and maintained by Federal Chief Financial Officers.

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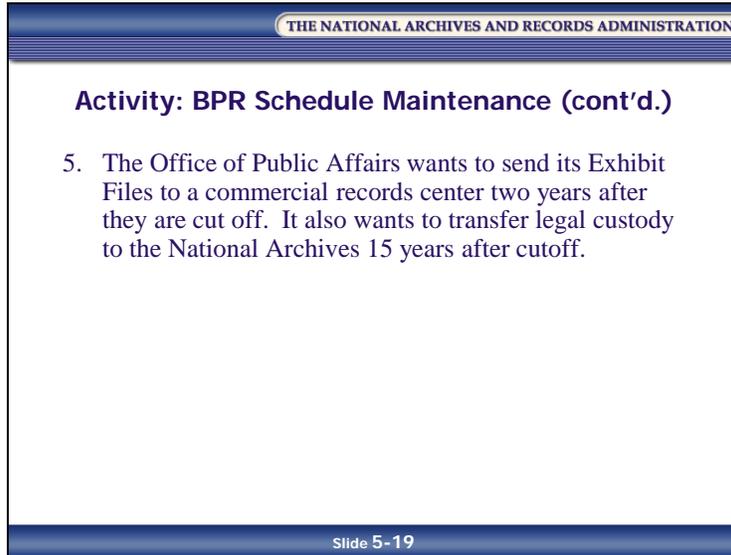
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Slide 5-19

A rectangular box with a blue header and footer. The header contains the text "THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION". The main body of the box contains the text "Activity: BPR Schedule Maintenance (cont'd.)" followed by a numbered list item: "5. The Office of Public Affairs wants to send its Exhibit Files to a commercial records center two years after they are cut off. It also wants to transfer legal custody to the National Archives 15 years after cutoff." The footer contains the text "Slide 5-19".

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

**Activity: BPR Schedule Maintenance (cont'd.)**

5. The Office of Public Affairs wants to send its Exhibit Files to a commercial records center two years after they are cut off. It also wants to transfer legal custody to the National Archives 15 years after cutoff.

Slide 5-19

5. The Office of Public Affairs wants to send its Exhibit Files to a commercial records center two years after they are cut off. It also wants to transfer legal custody to the National Archives 15 years after cutoff.

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## **BPR Schedule Maintenance Worksheet**

For the scenario assigned to you, identify the next steps you, as the Bureau of Public Recreation's ARO, need to take to ensure that BPR's records schedule and disposition plan remain current.

To ensure proper records disposition in these scenarios, note the following:

- If there is an existing schedule, does it need to be changed
- BPR processes to be updated
- Internal and external organizations to be notified
- Whether a new ERA Records Schedule needs to be submitted to NARA
- Any other actions you would want to take

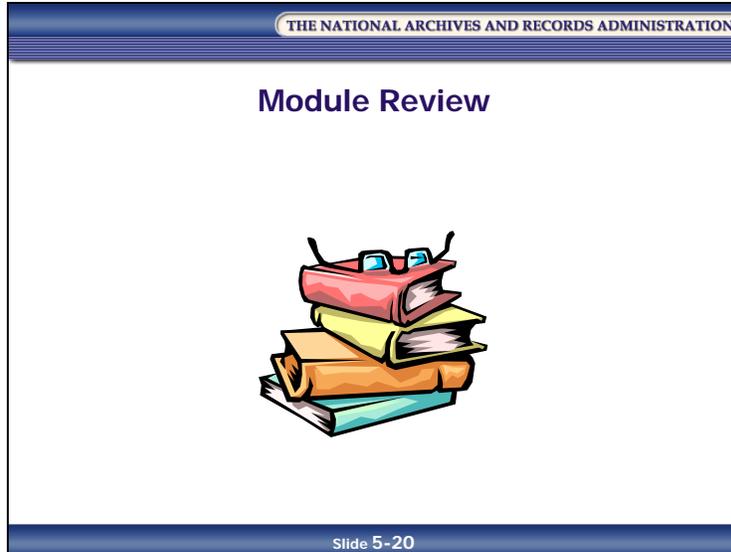
Scenario #: \_\_\_\_\_

**What are the next steps you need to take?**

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## Module Review

Slide 5-20



In Module 5, you learned:

- Why records schedules should be updated
- The types of changes that can affect a records schedule
- The types of records schedule changes that require NARA approval
- That changes to a records schedule may also necessitate updates to the schedule's disposition instructions
- How to track changes that may affect a records schedule
- That you need to get word out about:
  - How to recognize changes that could affect the records schedule
  - Records schedule changes that have been put in place
- That everyone has a part to play in maintaining a current, accurate schedule
- The process for updating a records schedule

### NOTES

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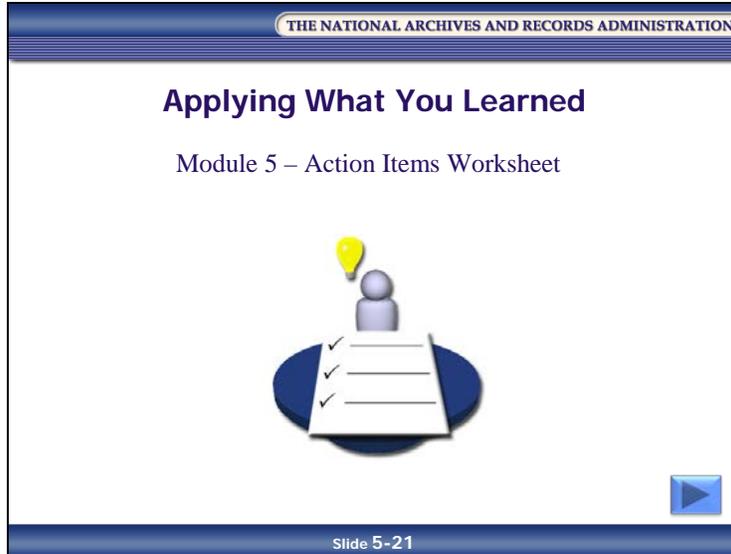
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## Applying What You Learned

Slide 5-21



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

### NOTES

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## Module 5 – Action Items Worksheet

**What did I learn about maintaining a records schedule that will help me at my job?**

List at least one thing you learned about maintaining a records schedule that is relevant to your records management roles and responsibilities.

**How will I apply what I learned about maintaining a records schedule to my job?**

List at least one thing you learned about maintaining 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.

(“Changes to a records schedule may necessitate updating the disposition instructions!?! Aha!”)

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Participant Guide  
January 2017

# Knowledge Area 4: Records Schedule Implementation

## Course Wrap-Up



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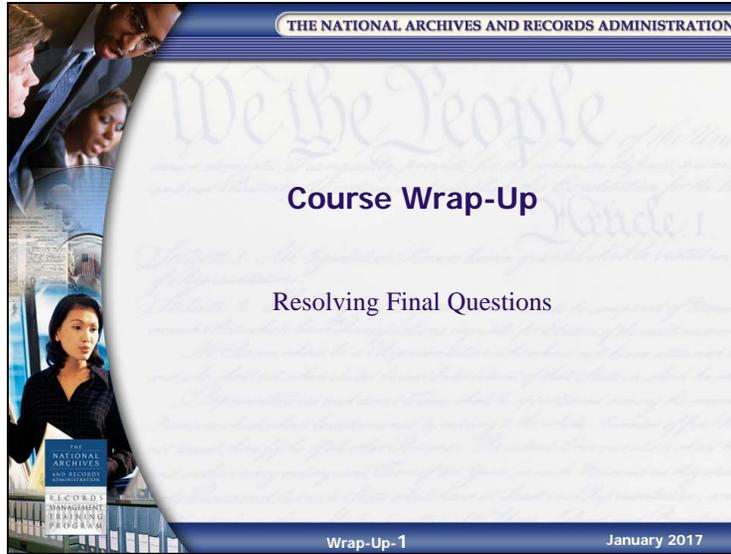
## Table of Contents

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

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# Final Questions

Slide Wrap-Up-1



## Resolving Final Questions

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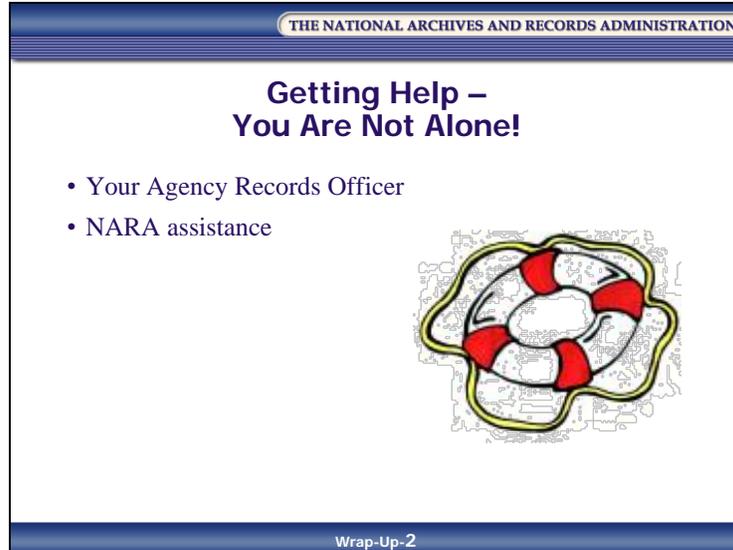
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# Where to Go for Help

Slide Wrap-Up-2



## Help Resources

Help is available:

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

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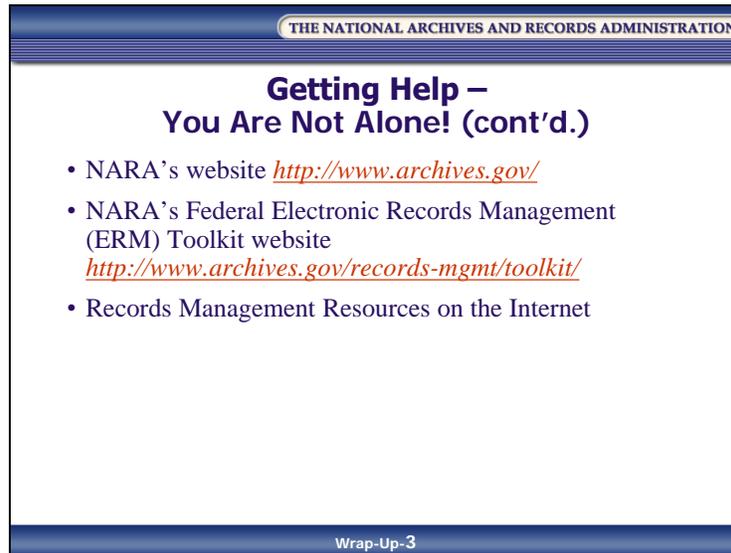
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Slide Wrap-Up-3



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

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Slide Wrap-Up-4



- Publications:
  - NARA has a variety of publications and posters. Most are available via the Internet. The publications and posters may be downloaded and reproduced as needed.  
<http://www.archives.gov/publications/records-mgmt.html>.

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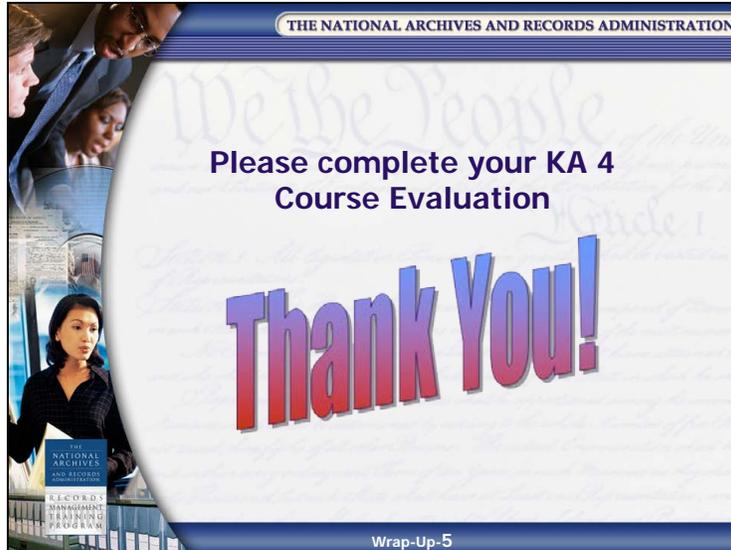
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# Course Evaluation

Slide Wrap-Up-5



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

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