

The NARA Learning Center

If I had an account in the last learning management system (LMS), how do I access the Learning Center and request a password for access?

1. Visit <https://nara.csod.com>.
2. Click the **Forgot Password?** Link.
3. Enter your email address in the **login credential** field and click submit.
4. You will receive an email with a link to reset your password.

Your login will be the email address. You can reset your password using the Forgot Password? feature at any time.

If I have trouble accessing the Learning Center, who do I contact for help?

If you encounter problems accessing the Learning Center, please request assistance using this link: <https://clientsupport.eskillz.com/Launch/LiveSupport.aspx?RoomID=355>. Be prepared to provide your first and last name, email address, phone number, and a description of the problem you're having.

How do I see what Records Management Training Courses are available if I do not have an account?

Copy and paste this URL into your

browser: <https://nara.csod.com/default.aspx?c=%255e%255e%255ePmn2Ns5zyP6NG9q6M1ZXfw%253d%253d>. You will be able to view the course catalog and other information about the training program.

I did not have an account in the old LMS. How do I create an account in the new Learning Center?

Copy and paste this URL into your

browser: <https://nara.csod.com/default.aspx?c=%255e%255e%255ePmn2Ns5zyP6NG9q6M1ZXfw%253d%253d> Click the Create an Account button.

My transcript is missing some of my coursework history. How do I report missing learning records?

Please note that the transcript history for the initial release contains a limited set of records. We will be loading historical data over the coming weeks. If you are missing transcript history for the Records Management Training Program and need that information, please email RMT1@nara.gov.

How do I register and pay for courses?

1. After you login, hover over Learning and select **Browse for Training** or **Events Calendar**.



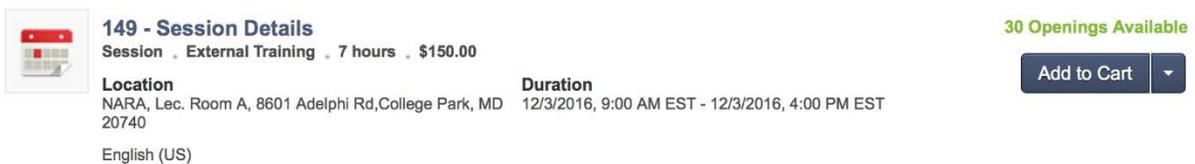
2. Click on the course you want to attend.

Browse for Training

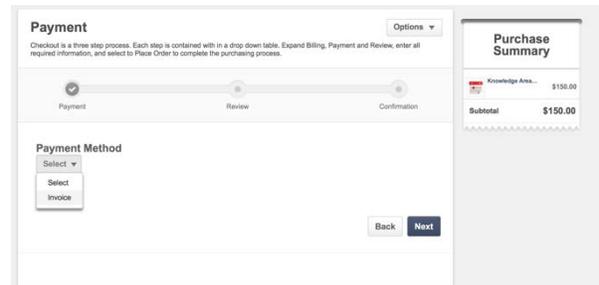
My Subjects



3. The course description will be displayed with the course sessions that are available. The session details include the class location, dates, times, and cost. Click **Add to Cart** next to the session that you want to attend.

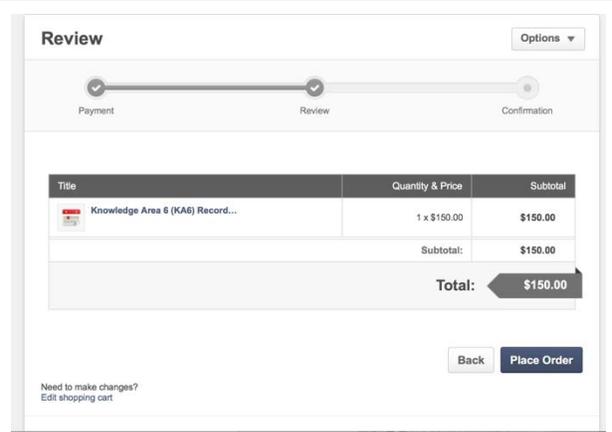


4. When you are done adding courses, click **Proceed to Checkout**. On the next screen, select Invoice as the billing method and click **Next**.



5. Review your order and click **Place Order**. You will receive an email confirming your request for the course and an email confirming the pending payment status of your request. Both emails contain information on how to submit your payment.

We will enable credit card payments in the shopping cart in the coming months so that you can complete your payment without sending us any forms.



What is ARCIS?

Archives and Records Centers Information System (ARCIS) is a Web-based IT system of the Federal Records Centers Program (FRCP) of the National Archives and Records Administration. The system is the online portal through which agencies can do business with the FRC facilities.

ARCIS is a secure system that runs on standard browsers, allowing agencies to conduct transactions online, saving time and reducing paperwork. It allows for the tracking of agency transactions electronically, giving instance access to information about your records.

ARCIS can expedite your data entry. The system saves your profile, so frequently entered information, such as your record group and your mailing address, is filed in automatically every time you log in. There are easy-to-use drop-down menus that allow you to select the right option for your transaction.

An upgraded version of ARCIS is now available. In addition to Reference Requests, there are three new interdependent modules: User Administration, Access Controls, and Records Transfers.

The User Administration module gives Agency Records Officers complete control over:

- How many users have access to the system
- Who those users are
- What they are allowed to do:
 - Create records transfers and reference requests
 - Give authority to approve and submit records transfer to the National Archives
 - Create other administrators to distribute workload in a hierarchical structure

Access Controls restrict users to the records with which they can interact via:

- Records Center
- Record Group
- Charge Account (if the Record Group uses stratified billing)
- Security Classification and Security Level
- Branch (optional)
- Agency Defined Fields (optional)

The Records Transfers module enables:

- Creation of an SF 135 (Records and Transmittal and Receipt) online
- Submission of a new SF 135 directly to an FRC facility
- Forwarding of a new SF 135 to an agency internal approver prior to submission to an FRC facility
- Limitation of users so they can only create specific attributes of a new records transfer as defined by the users access rights

Once the Records Transfer module is turned on for your agency, it will replace the current SF 135 process.

Are Agencies required to use ARCIS for reference requests?

Agency are not required to use ARCIS, however, submitting a reference request using ARCIS is highly recommend as it provides the agency with 100% tracking information for the processing and shipping of the request.

How do I sign up for ARCIS?

For assistance in getting an ARCIS account please contact the ARCIS help desk at arcishelp@nara.gov or 314-801-9300.

Is there ARCIS Training?

The Federal Records Centers have developed a number of resources to help you learn about ARCIS. The FRCP offers computer-based training tutorials on a number of topics that you can review anytime and learn at your own pace. From time to time, there are free, instructor-led webinars and instructor-led training on individual ARCIS modules. You can also download the ARCIS manual at <http://www.archives.gov/frc/training/>.

What is ERA?

The Electronic Records Archives (ERA) is the National Archives and Records Administration's (NARA) system that allows Federal agencies to perform critical records transactions with NARA online. ERA is designed to preserve and manage NARA's electronic records and to manage the lifecycle of records and other holdings, including support for records retention schedules and the accessioning process for all Federal records.

ERA does more than just store data. ERA provides a true digital archive that complies with all laws and regulations that apply to Federal, Presidential, and Congressional records. ERA also provides workflow support for many of the transactions that occur between NARA and its agency customers to process and preserve electronic records.

ERA also makes certain unstructured electronic records available to the public through the Online Public Access (OPA) tool at <http://www.archives.gov/research/search/>.

Are agencies required to use ERA?

NARA Bulletin 2012-03, issued August 21, 2012, informed Federal agencies that, beginning October 1, 2012, they are instructed to use ERA for scheduling records and transferring permanent records to the National Archives. NARA will revise the Code of Federal Regulations (CFR) and other publications regarding the use of ERA, and until NARA issues the CFR revisions, agencies should follow the instructions in NARA Bulletin 2012-03.

For the complete text of the bulletin, please go to <http://archives.gov/records-mgmt/bulletins/2012/2012-03.html>.

Who uses ERA and what does it do?

Federal agencies use NARA's ERA to:

- Perform records management transactions online
- Draft new records retention schedules (SF 115s) for records *in any format*
- Officially submit records retention schedules (SF 115s) for approval
- Request the transfer of permanent records (SF 258s) in any format for accessioning or pre-accessioning
- Submit electronic records for storage in the ERA electronic records repository

NARA staff use ERA to:

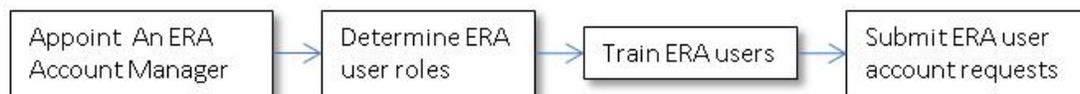
- Review and approve or reject proposed record schedules
- Review and approve or reject transfer requests that authorize an agency to transmit records to NARA
- Review and approve or reject legal transfer instruments

- Create and submit a transfer request on behalf of an agency or a legacy migration transfer on behalf of NARA
- Package legacy NARA electronic records, as well as other files received by NARA on behalf of an agency and send them to ERA
- Ingest digital records
- Document certain discrepancies; NARA accessioning staff will document transfer discrepancies via the transfer processing results – which is visible to agencies but not editable

Watch a You-Tube video of ERA in the process of accessioning records at <http://www.youtube.com/watch?v=lNXpaAXcCvk>

How do agencies get started using ERA?

Getting started in ERA is a four step process, as illustrated below:



Step One – Appoint an ERA Account Manager

The ERA Account Manager is the person within an agency who approves user access to ERA. Frequently, the agency Records Officer serves as the ERA Account Manager. The agency Records Officer should email the name of the ERA Account Manager to ERAaccounts@nara.gov.

Step Two – Determine ERA User Roles

ERA is a role-based system. Individuals approved to function in a particular role can access the screens needed to perform that function and take certain actions, such as submitting records schedule (SF 115) and transfer requests (SF 135 and 258) information. More than one person can be assigned multiple roles, and one person can be assigned many or all of the roles.

Permissions determine what functions ERA and NARA users can view and access. Agency users can access record schedules and transfer requests for their agency only. NARA users will have access to multiple agencies.

Roles for Scheduling Records

- Records Scheduler: This role should be assigned to users who will be preparing records schedules and submitting them to the Certifying Official for approval
- Certifying Official: This role should be assigned to users who will be certifying that the agency is officially submitting records schedule information to NARA for approval. The paper equivalent of this role is the person who signs in Box 6 of the SF 115.

Roles for Transferring Permanent Records to NARA

- Transferring Official: This role should be assigned to users who will create transfer requests and submit them to the Transfer Approving Official for approval
- Electronic Transfer Staff: For electronic records transfers only, this role should be assigned to users who will package and transmit electronic files to ERA via an electronic transfer method
- Transfer Approving Official: This role should be assigned to users who have authority to approve transfer requests and legal transfer instruments on behalf of the agency. The paper equivalent of this role is the person who signs in Box 2A of the SF 258.

Step Three – Train ERA users

Once the ERA Account Manager has identified the agency staff and their roles, the staff members must complete online training before they can obtain an ERA user ID and password.

Online training is available at <http://www.archives.gov/era/training/>.

Scheduling Records training contains two lessons:

- Lesson 1 – Creating a Records Schedule
- Lesson 2 – Creating Record Schedule Items

Transferring Records training contains six lessons:

- Lesson 1 – Creating a Transfer Request
- Lesson 2 – Submitting a Transfer Request to NARA
- Lesson 3 – Preparing Files for Transfer Using the Packaging Tool (Agency)
- Lesson 4 – Finalizing the Creation of a Package (Agency)
- Lesson 5 – Transferring Electronic Files into ERA via HTTPS
- Lesson 6 – Secure File Transfer Protocol

The ERA Agency User Manual and other support materials are located here <http://www.archives.gov/records-mgmt/era/>.

Step Four – Submit ERA User Account Requests

After training, staff members submit a request for a NARA user account by completing an online ERA User Account Request Form (NA 3070 – see link below). Staff should submit the form to the NARA Account Representative who reviews the information and sends it via email to the agency ERA Account Manager. The ERA Account Manager approves the user account request by typing “approve” in the body of the email and sending it back to the NARA Account Representative. The ERA help desk will then contact the new user and arrange for a user ID and temporary password to be established for the user.

Link to ERA Account Request Form <http://www.archives.gov/forms/era/era-account-request.html>.

How does the paper SF-258 map to ERA Transfer Request (TR) fields?

To help users transition from paper forms to ERA, cross-walk documents have been created to show how SF 258 fields correspond to ERA Transfer Request (TR) fields for:

- Textual Records
- Motion and Analog Records
- Stills and Digital Records
- Electronic Records

All cross-walk documents are included in the ERA Agency User Manual Appendix. Individual cross-walk documents can also be found here <http://www.archives.gov/records-mgmt/era/crosswalk.html>.

How is a legacy schedule added to ERA?

In order to create a transfer request in ERA, the user must select the disposition authority for the records. Not all currently approved disposition authorities have been entered into ERA. Records Management Services (ACNR) is implementing a project to systematically enter legacy disposition authorities into ERA. In the meantime, ACNR will enter legacy disposition authorities upon request. To request entry of a legacy disposition authority:

1. Send your request via email to legacy.schedule@nara.gov. Your request must be a complete disposition authority citation (NARA SF 115 job number and item number). We will not accept manual citations.
2. You will receive a confirmation email. The authority should be entered and available within two business days of receipt of the request. If you request more than five (5) authorities in one day, NARA cannot guarantee the request will be fulfilled within 48 hours. If you need to request more than five (5) authorities, please submit your request and we will give you an estimate on how long it will take to enter them in the system.
3. You will receive a message from legacy.schedule@nara.gov when the disposition authority is ready for use

ERA Connectivity

ERA is accessed via the Internet. It works best using Firefox, Chrome, or Internet Explorer through Version 10. There are technical issues that may prohibit other browsers from working effectively with ERA.

Users should contact ERAhelp@nara.gov with questions about browser compatibility.

NARA will need the range of Internet Protocol (IP) addresses each agency uses. Send questions to ERAaccounts@nara.gov, which can provide additional information.

Link to ERA log-on page

The ERA log-on screen for agency and NARA users is here <http://www.archives.gov/records-mgmt/era/>.

Help for all ERA users – Agency and NARA

For technical ERA system issues such as resetting of passwords, etc., all users should call the ERA Help Desk. Agency personnel who have questions about record schedules, transfer requests or other records management business processes should contact their agency's NARA representative at <http://www.archives.gov/records-mgmt/appraisal/index.html>.

- The ERA Help Desk can be reached from 6 a.m. to 8 p.m. EST at 1-877-372-9594
- The ERA Help Desk can be reached by email. Send questions to ERAHelp@nara.gov.

NARA Staff (non-Agency) Training Materials

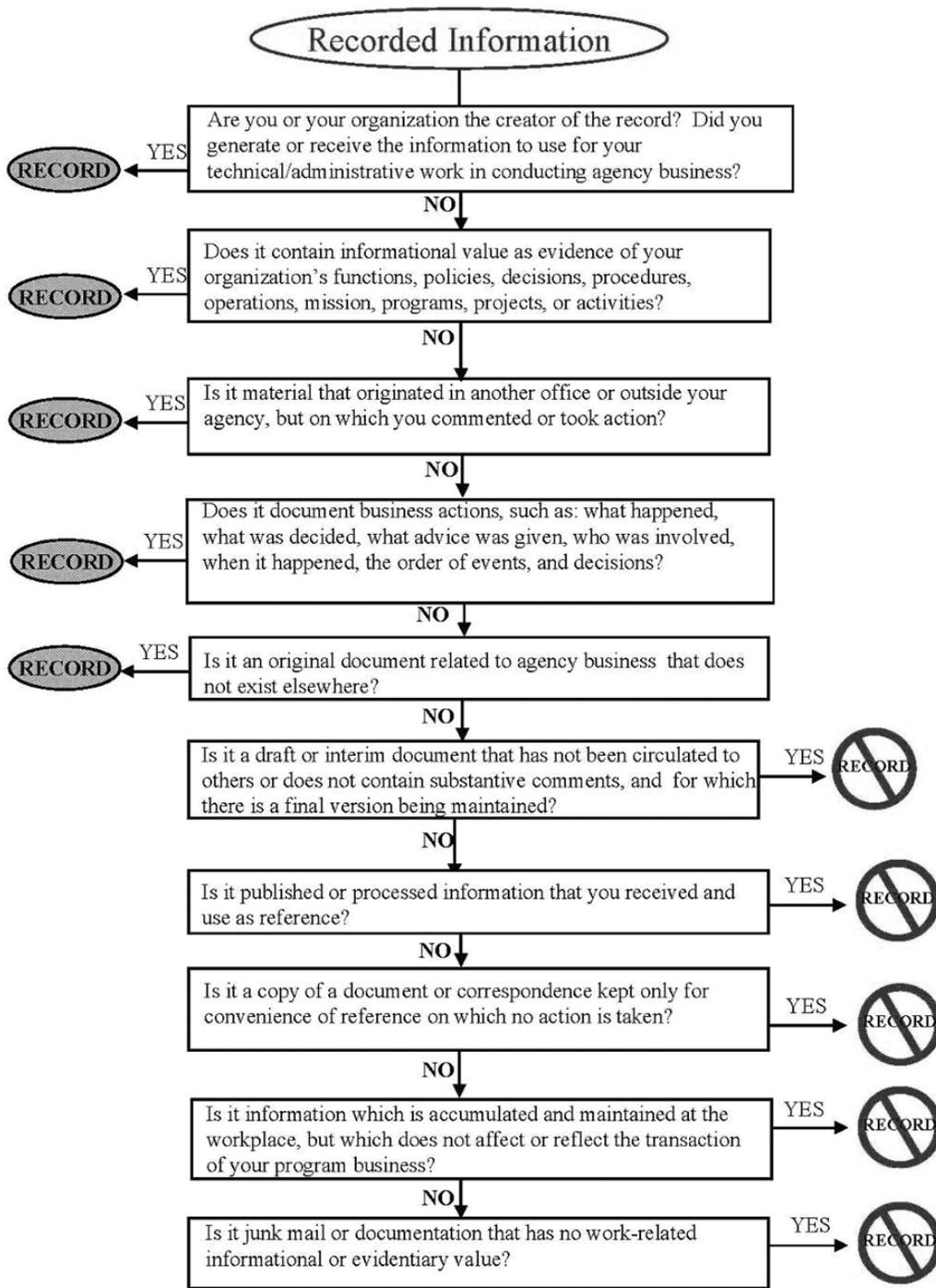
- Online Training: [NARA Staff ERA Training: Non-electronic Transfer](#)
- [ERA Internal User Manual – Textual Accessioning](#)
- [ERA Internal User Manual – Special Media Accessioning](#)
- [ERA Internal User Manual – Electronic Records](#)

All the above manuals are located here: http://www.nara-at-work.gov/project_information/era/index.html.

NOTE: These links are only accessible inside NARA's firewall.

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Is It A Record?



July 28, 2005

Prepared by Recorded Information Management Program of Sandia National Laboratories.

[d](#)

Sandia is a multiprogram laboratory operated by Sandia Corporation, a Lockheed Martin company, for the United States Department of Energy's National Nuclear Security Administration under contract DE-AC04-94AL85000.

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**Bonneville Power Administration
Comprehensive Records Disposition Schedule**

*Note: Modified per stakeholder review and with consent of BPA records officer.
12/04/2007*

9. Procurement, Billing, Budget, and Accounting Records

Data and documents recording activities and BPA-approved records systems that track and manage procurement, billing, budget, and accounting records. These activities and systems may maintain and monitor financial statements and ledgers, treasury borrowing, contract management, claims and losses, and wildlife agreements.

a. Data and documents consisting of procurement-related manuals; billing, budget and accounting request-related reports; analyses; forecasting; and supporting records used for reference and information having no further business purpose once superseded, updated, or replaced.

TEMPORARY: Destroy when superseded, updated, replaced, or no longer applicable.

b. Data and documents recording procurement, billing, budget, and accounting analyses; studies; reviews; statistics; requests; and information on staff planning, capital projects, purchases and repairs, goods and services, reimbursables, and operating plans having a short-term business purpose for reference or documentation after the records are closed. These data and documents do not record financial, contractual, or other enforceable obligations and commitments.

TEMPORARY: Destroy no sooner than 3 years and no later than 5 years after the records are closed.

c. Data and documents recording rights; analyses; statutory requirements; and financial, contractual, and other enforceable obligations including commitments, payroll, collections, disbursements and trust agreements, and expenditure documentation.

TEMPORARY: Destroy no sooner than 7 years and no later than 10 years after the records are closed.

d. Data and documents recording reports containing substantive projections, historical trends, and analyses having long-term value even after closed, superseded, updated, or replaced. These records also contain contract compliance, revenue and receipts, bond refinancing, depreciation summaries, and repayment to the U. S. Treasury information.

TEMPORARY: Destroy no sooner than 10 years and no later than 20 years after the records are closed.

e. Data and documents recording the establishment and implementation of wildlife agreements, bond financing and refinancing information, and information on depreciation and costs for the major components of BPA's power and transmission infrastructure.

1. Data and documents recording the establishment and implementation of wildlife agreements, summary bond financing and refinancing information used to provide information for new bond issues and answer questions about previous bond issues, and information on depreciation, replacement cost, and Federal Energy Regulatory Commission design and cost information for the major components of the BPA's power and transmission infrastructure.

TEMPORARY: Destroy no sooner than 20 years and no later than 50 years after the records are closed.

2. Historically significant records identified by the BPA program/project manager in consultation with the BPA Records Officer. These records document, at the agency level, wildlife agreements containing loss assessments, mitigation actions, and the implementation of policies and procedures issued under the authority of the Administrator of BPA for maintaining the environment and complying with environmental laws and regulations. These records document the BPA activities that established a precedent for changing policy, received extensive media coverage, resulted in significant controversy, were the subject of extensive litigation, and/or provided unique and significant information on fish, wildlife, and habitats. These records have long-term research and informational value after BPA no longer has a business purpose for the records.

PERMANENT: Transfer textual records to NARA 20 years after the records are closed. If the recordkeeping copy is in electronic form, transfer to NARA in 5 year blocks when the most recent record in the block has been closed for 5 years. Transfer electronic records in accordance with NARA regulations and procedures in place at the time of transfer, and destroy BPA program copy when no longer needed.

NOTE: The final determination of the value of these records rests with NARA. Records found not to have research value will be destroyed.

**Bonneville Power Administration
Large Aggregation Flexible Schedule Cross Walk
July 11, 2007**

Existing Schedule Item	Large Aggregation Item
BU-11 BPA Budget Formulation	GRS
BU-11-15a BPA Budget and RPAs - Call Memos	5/d
BU-11-15b BPA Budget and RPAs - Budget Review Meetings	GRS
BU-11-15c BPA Budget and RPAs - Requests for Program/Project Authorizations	9/b
BU-11-15d BPA Budget and RPAs - Printouts from Budget Formulation System (BFS)	9/b
BU-11-16a FTE Planning - Internal BPA Formulation of Program/Org Levels	9/b
BU-11-16b FTE Planning - Approval of FTE Proposals	9/b
BU-11-16c FTE Planning - Incoming DOE Requests and BPA Responses	7/b
BU-11-18a OMB Budget - OMB Budget Instructions	5/d
BU-11-18b OMB Budget - Presentation of BPA's Budget to the OMB	9/b
BU-11-19a Congressional Budget - Congressional Budget Instructions	5/d
BU-11-19b Congressional Budget - Congressional Budget Instructions	9/b
BU-13 Operating Year Resources	9/b
BU-13-11 OMB Apportionment	9/b
BU-13-13 BPA Allocations	9/b
BU-13-14 Operating Year Plans	9/b
BU-13-15 Outlays	9/b
BU-13-16 Reception and Representation Fund	9/b
BU-13-17 Capital Analyses	9/b
BU-13-18 Program and Reporting Analyses	9/b
BU-14 Program Resource Requirements	9/b
BU-14-11 Capital Equipment Resource Requirements	9/b
BU-14-13 Fish and Wildlife Resource Requirements	12/b

**Bonneville Power Administration
Large Aggregation Flexible Schedule Cross Walk
Verbose Version
August 10, 2007**

BPA Schedule Cross Walk – Verbose Version

BU-11	BPA Budget Formulation New Schedule Item: GRS Retention: 2 Year(s)
BU-11-15a	BPA Budget and RPAs - Call Memos New Schedule Item: 5/d Permanent Retention: 25 Year(s)
BU-11-15b	BPA Budget and RPAs - Budget Review Meetings New Schedule Item: GRS Retention: 1 Year(s)
BU-11-15c	BPA Budget and RPAs - Requests for Program/Project Authorizations New Schedule Item: 9/b Retention: 1 Year(s) <i>New Retention: 3 Year(s)</i>
BU-11-15d	BPA Budget and RPAs - Printouts from Budget Formulation System (BFS) New Schedule Item: 9/b Retention: 1 Year(s) <i>New Retention: 3 Year(s)</i>
BU-11-16a	FTE Planning - Internal BPA Formulation of Program/Org Levels New Schedule Item: 9/b Retention: 1 Year(s) <i>New Retention: 3 Year(s)</i>
BU-11-16b	FTE Planning - Approval of FTE Proposals New Schedule Item: 9/b Retention: 1 Year(s) <i>New Retention: 3 Year(s)</i>
BU-11-16c	FTE Planning - Incoming DOE Requests and BPA Responses New Schedule Item: 7/b Retention: 1 Year(s)
BU-11-18a	OMB Budget - OMB Budget Instructions New Schedule Item: 5/d Permanent Retention: 25 Year(s)

FILE CODE	RECORDS SERIES, TITLE, DESCRIPTION, DISPOSITION	OFFICE OF RECORD/ORIGIN
810	FILE GUIDE AND RETENTION SCHEDULE: BUDGET	
	Last Revision Date:	March 18, 2010
BU	Budget Material relating to the development, presentation and approval of BPA's yearly budget, analyses of funding and resources issues, administration and oversight of funding allocations and use of fiscal and human resources. All records in this chapter are scheduled in media neutral format. <i>Retention Schedule: N1-305-07-1</i>	
BU-11	BPA Budget Formulation Material relating to the development of BPA's planning year, budget year and outyear budgets. See also BU-13, Operating Year Resources. <i>Retention Schedule: GRS-5/1</i> <i>Retain for 2 years and then destroy.</i>	FB
BU-11-15a	BPA Budget and RPAs - Call Memos (a) The BPA Budget Instructions (call memos) that guide the formulation of the BPA Budget. <i>Retention Schedule: N1-305-07-1-5/d</i> <i>Retain for 25 years and then destroy.</i> <i>NARA Permanent: Offer in 5 year blocks when retention is met.</i>	FB
BU-11-15b	BPA Budget and RPAs - Budget Review Meetings (b) Material relating to the preparation, analysis, presentation and approval of BPA's budget, budget review meetings and documentation of budget decisions. <i>Retention Schedule: GRS-5/2</i> <i>Retain for 1 years and then destroy.</i> <i>Destroy 1 year after the close of the fiscal year covered by the budget.</i>	FB
BU-11-15c	BPA Budget and RPAs - Requests for Program/Project Authorizations (c) Requests for Program/Project Authorization (RPAs) are documents that communicate proposed programs/projects or significant changes in previously approved programs/projects for management approval. <i>Retention Schedule: N1-305-07-1-9/b</i> <i>Retain for 3 years and then destroy.</i>	FB

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Best Practice Example – EPA’s Instructions for Transferring Electronic Records to the National Archives

From EPA’s

“Preparing Electronic Records for Transfer to the National Archives”:

<http://www.epa.gov/records/tools/etransfer.htm>

The National Archives and Records Administration (NARA) requires EPA to transfer all permanent records, including electronic information systems [36 CFR 1235 subpart c], to the National Archives according to the instructions in approved records schedules. The following guidance pertains to the transfer of such systems. For a complete list, please refer to the permanent electronic systems. Find out if your office or region is responsible for transferring a copy to the National Archives.

Until recently, transferring records to NARA meant filling out a paper SF 258 form and sending it to NARA to initiate the transfer. Now, however, NARA has developed the Electronic Records Archives (ERA) system to enable the transfer of permanent records. The SF 258 has been replaced by transfer requests (TR) that can be created within ERA.

The EPA transferring official creates the transfer request for the permanent electronic information system and submits it to the agency approving official. Once the TR is approved internally, NARA reviews and approves it. Then the transfer of records can take place. The transferring official is Barbara Felton (contractor) (202-566-0170); the agency approving official is John Ellis (202-566-1643).

A successful transfer of permanent electronic records to NARA requires coordination by the records sponsor or custodian (the person who is responsible for maintaining the records) with the assistance of:

- The Records Liaison Officer (RLO)
- The information technology (IT) support staff
- The National Records Management Program (NRMP)
- NARA

Before You Begin

There are several pieces of information you, as the records custodian, need to have prior to beginning the transfer process:

- Review the records schedule which provides information on what is to be transferred and when
- Review NARA's requirements for electronic records management at 36 CFR Part 1236
- Determine if there are any special restrictions on the information; for example, confidential business information (CBI), or information subject to the Privacy Act
- Identify your organization's technical support person to assist with the transfer

Here are the steps to follow to make a smooth transition to ERA:

Step 1

Collect the documentation you need to prepare:

- Notify NRMP Records Help Desk (202-566-1494) when data is eligible for transfer
- Complete worksheet for ERA Transfer Request developed by NRMP for headquarters.
- The worksheet may be obtained upon request from the NRMP Records Help Desk at records@epa.gov
- Additional documentation needed by NARA is the completion of NA 14097 or the equivalent
- Contact the Records Help Desk if you have additional questions

Step 2

Call EPA’s electronic records representative at NARA, Paula 301-837-3062, or Ted Hull (Theodore.Hull@nara.gov, 301-837-1824) to:

- Establish a contact
- Describe the records to be transferred
- Set a date for a meeting to include EPA program and technical staff and a representative from NARA to discuss the process

Step 3

Prepare records for transfer. Each transfer must include the following:

- Electronic records in the format specified by NARA (see below)

- System documentation that provides information on how the system captures, manipulates, and outputs data, e.g., data layouts, data models, and code lists
- A PDF is the preferred format for the documentation. If the system documentation is on the EPA Internet, indicate which pages to download. If the system documentation is available only in paper, make a complete copy and send to NARA with the electronic data.

Note: When the work is done by the National Computer Center (NCC), they may charge your working capital fund to perform the work.

Step 4

- Email completed worksheet and NA 14097 to the transferring official (felton.barbara@epa.gov)
- Hold electronic data until arrangements have been made with NARA for the actual transfer

Step 5

The last step... When the records are physically transferred, NARA takes legal custody of the records by approving the Legal Transfer Instrument in ERA.

NARA’s electronic format requirements: NARA has special format requirements as stated in [36 eCFR 1235 Subpart C](#). In addition to the formats specified in the Code of Federal Regulations (CFR), NARA is now accepting other formats:

- Portable Document Format (PDF) files (<http://www.archives.gov/records-mgmt/initiatives/pdf-records.html>)
- Scanned images (<http://www.archives.gov/records-mgmt/initiatives/scanned-textual.html>)
- Email (<http://www.archives.gov/records-mgmt/initiatives/email-attachments.html>)
- Digital photographs (<http://www.archives.gov/records-mgmt/initiatives/digital-photo-records.html>)
- Geospatial information (<http://www.archives.gov/records-mgmt/initiatives/digital-geospatial-data-records.html>)
- Web content (<http://www.archives.gov/records-mgmt/initiatives/web-content-records.html>)

Note that the formats required for transfer to NARA may be different than the formats currently used (e.g., NARA's PDF requirements are different than EPA's standard) and provisions must be made for eventual transfer of permanent electronic records to NARA in their accepted format. *For example: Nara has specific instructions that PDFs should be made with a certain version; this may not be compatible with the version that you may be using in your office. To make sure that your format matches NARA’s requirements, please contact a NARA electronic records representative.*

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Done?	Tasks	Start	Finish	Responsible Person	Notes
	Familiarize yourself with the records regulation and requirements			Records Manager	Before you begin to develop your records disposition plan, you must first familiarize yourself with 44 U.S.C. and NARA's records guidance: 36 CFR 1224, 36 CFR 1226, and 36 CFR 1229; ISO 15489.1; and DoD 5015.2.
	Identify stakeholders			Records Manager	Use the agency organization chart to identify stakeholders responsible for each organization. Determine who has responsibility for final disposition within each organization.
	Obtain management support			Records Manager	Emphasize policy, directives, and value of managing agency records. Request management to issue a directive to all staff regarding their responsibility for records disposition.
	a. Management sends memo requesting cooperation of staff to support the records disposition program			Management	It is important that those in the field know that management expects them to dispose of records as required by the agency records schedule and work with the records manager to determine proper method.
	Develop policy and procedure			Records Manager	Develop agency policies and procedures for the maintenance and disposition of Federal records and business information.
	a. Create instructions for distribution to stakeholders			Management	It is important that those in the field know when and how to dispose of records as required by the agency records control schedule and procedure for transferring records to the National Archives.
	b. Provide assigned responsibilities to appropriate stakeholders			Records Manager and Program Managers	Develop and issue list of assigned responsibilities to appropriate stakeholders.
	c. Provide disposition procedures			Records Manager	Develop and issue disposition procedures for temporary and permanent records. This includes cutoff instructions, inactive transfer guidance, and pre-accessioning of permanent e-records.
	d. Provide disposal procedures			Records Manager	Develop and issue disposal procedures for in-house destruction and off-site destruction.
	e. Provide erroneous disposal procedures			Records Manager	Develop and issue procedures for notification in the event of an alienated or erroneous disposal of Federal records.
	f. Provide procedures for maintaining Federal records			Records Manager	Develop policy and procedures for the maintenance of agency Federal records, business information, and personal papers.
	g. Develop storage procedures			Records Manager	Develop policy and procedures for the storage of agency Federal records.
	h. Develop review procedure for Records Retention Schedule			Records Manager	Develop procedures for the annual review of the Records Retention Schedule.
	i. Develop policy for records management training			Records Manager	Develop policy for annual records management training.
	Provide briefings			Records Manager	Provide briefings to management and staff throughout the year.
	a. In-briefing			Records Manager	Before implementing the disposition plan, provide an in-briefing to management and staff. During the in-briefing, you should explain the purpose of the disposition plan, the benefits of the plan, how the plan will be conducted, what is required of the stakeholders, and the expected outcomes.
	b. Ongoing briefings			Records Manager	Provide quarterly briefings to management and stakeholders.
	c. Out-briefing			Records Manager	Provide an out-briefing at the end of the project, describing vital records.

Done?	Tasks	Start	Finish	Responsible Person	Notes
	Provide for maintenance of Federal records			Records Manager	
	a. Inventory records			Records Manager	Issue instructions for annual inventories.
	b. Provide files plan			Records Manager	Issue instructions for creating and updating agency files plan. Provide due date for final files plan.
	Provide for storage			Records Manager	
	a. Issue policy and procedures for the active records			Records Manager	Issue guidance for storage of information in all formats including online storage of e-records.
	b. Issue policy and procedures for inactive records			Records Manager	Issue guidance for storage of inactive records in all formats including cutoff procedures, files closeout procedures, storage media, and transfer procedures. Provide system closure procedures, system cutoff, and pre-accession guidance for permanent e-records.
	Partner with IT			Records Manager and IT Manager	Work with IT to develop instructions for the implementation of Big Bucket schedules and review of e-records annually. Review and update the list of e-systems and applications annually.
	Monitor performance			Records Manager	Annually inspect office on the implementation of the records management policy and procedures. This should include the proper closing of files, cutoff of files, and implementation of the schedule. Look for possible problems such as erroneous disposal, incomplete records, no management of duplicate records, and inactive records stored improperly.
	Schedule Review			Records Manager	Implement procedures for the annual review of the Records Retention Schedule. Create ERA Records Schedule for all identified unscheduled records.
	Develop training			Records Manager	Develop all employee training for the procedures for inventorying records, creating files plans, implementing records schedules, disposing of temporary records, and transferring permanent records to National Archives. Develop records management training for new employees

Disposition Date Chart

Table 1: Retention Period in Years

Cutoff Date	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 10	Year 15	Year 20	Year 25
CY 1995	----	----	----	----	----	----	----	----	----		1/16	1/21
FY 1995	----	----	----	----	----	----	----	----	----		10/15	10/20
CY 1996	----	----	----	----	----	----	----	----	----		1/17	1/22
FY 1996	----	----	----	----	----	----	----	----	----		10/16	10/21
CY 1997	----	----	----	----	----	----	----	----	----		1/18	1/23
FY 1997	----	----	----	----	----	----	----	----	----		10/17	10/22
CY 1998	----	----	----	----	----	----	----	----	----	1/14	1/19	1/24
FY 1998	----	----	----	----	----	----	----	----	----	10/13	10/18	10/23
CY 1999	----	----	----	----	----	----	----	----	----	1/15	1/20	1/25
FY 1999	----	----	----	----	----	----	----	----	----	10/14	10/19	10/24
CY 2000	----	----	----	----	----	----	----	----	----	1/16	1/21	1/26
FY 2000	----	----	----	----	----	----	----	----	----	10/15	10/20	10/25
CY 2001	----	----	----	----	----	----	----	----	----	1/17	1/22	1/27
FY 2001	----	----	----	----	----	----	----	----	----	10/16	10/21	10/26
CY 2002	----	----	----	----	----	----	----	----	----	1/18	1/23	1/28
FY 2002	----	----	----	----	----	----	----	----	----	10/17	10/22	10/27
CY 2003	----	----	----	----	----	----	----	----	1/14	1/19	1/24	1/29
FY 2003	----	----	----	----	----	----	----	----	10/13	10/18	10/23	10/28
CY 2004	----	----	----	----	----	----	----	----	1/15	1/20	1/25	1/30
FY 2004	----	----	----	----	----	----	----	----	10/14	10/19	10/24	10/29
CY 2005	----	----	----	----	----	----	----	1/14	1/16	1/21	1/26	1/31
FY 2005	----	----	----	----	----	----	----	10/13	10/15	10/20	10/25	10/30
CY 2006	----	----	----	----	----	----	1/14	1/15	1/17	1/22	1/27	1/32
FY 2006	----	----	----	----	----	----	10/13	10/14	10/16	10/21	10/26	10/31
CY 2007	----	----	----	----	----	1/14	1/15	1/16	1/18	1/23	1/28	1/33
FY 2007	----	----	----	----	----	10/13	10/14	10/15	10/17	10/22	10/27	10/32
CY 2008	----	----	----	----	1/14	1/15	1/16	1/17	1/19	1/24	1/29	1/34
FY 2008	----	----	----	----	10/13	10/14	10/15	10/16	10/18	10/23	10/28	10/33

Cutoff Date	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 10	Year 15	Year 20	Year 25
CY 2009	----	----	----	1/14	1/15	1/16	1/17	1/18	1/20	1/25	1/30	1/35
FY 2009	----	----	----	10/13	10/14	10/15	10/16	10/17	10/19	10/24	10/29	10/34
CY 2010	----	----	1/14	1/15	1/16	1/17	1/18	1/19	1/21	1/26	1/31	1/36
FY 2010	----	----	10/13	10/14	10/15	10/16	10/17	10/18	10/20	10/25	10/30	10/35
CY 2011	----	1/14	1/15	1/16	1/17	1/18	1/19	1/20	1/22	1/27	1/32	1/37
FY 2011	----	10/13	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

Records Management Procedures for Storage, Transfer, and Retrieval of Records from WNRC

RETIREMENT OF RECORDS

1. The Program Office is responsible for origination the Records Transmittal and Receipt Form (SF 135), and sending them to IM-23 for approval.
2. IM-23 review the SF 135 for completeness and correctness. (Coordinates with the originating office by email if more information is required)
3. IM-23 sends the SF 135 for approval to Washington National Records Center (WNRC).

PREPARING RECORDS FOR THE TRANSFER TO THE WNRC

1. Use your organization's Records Information Disposition Schedule (RIDS) as a guide toward accessing records for storage. Refer to DOE O 243.1, dated 2-3-06, which states that Headquarters Elements and both their management and operating contractors must:

"Develop and maintain a records management program which preserves adequate records documenting the organization, functions, policies, decisions, procedures, and essential transactions, including record material containing evidence or information appropriate for preservation because of its administrative, legal, scientific, research, or historic value."
2. Remove all non-record material and extra copies of records from official files. (Only record material is eligible for storage in Federal Records Centers.)
3. Records must be separated into series. A series is defined as a "block of records having the same disposition authority and same disposition date." Each item or subordinate item in your records schedule represents a series. Identify and separate your records into blocks (series) by item number and cutoff date.
4. The National Archives and Records Administration (NARA) requires that each series of temporary records must be transferred as a separate accession. Each accession must consist of at least one box and normally only one closing year date for a series of temporary records. Send only completed or closed case files, contracts, and so forth.
5. Classified records are boxed separately from unclassified records, with at least 80 percent of the box containing classified records.

RECORDS RETRIEVAL ACCESS MEMO:

1. To gain admittance to the RHA, or request records from WNRC an email must be submitted by the Program Office. Every Program Office must provide a list of authorized personnel within their organization that they wish to be responsible for accessing their records. This email must include the person(s) name, badge level, routing symbol, reason

for access, and the duration of access. Only those persons so designated on the list will be able to retrieve the records under their organization's cognizance.

2. Authorization for third party removal of records must be issued by the Program Office and approved by the Director of Records Management Division each time records are to be removed by persons not so designated or employed by the Program Office.

REQUESTING RECORDS FROM THE RHA/WNRC:

1. Program Office requests retrieval of records from the RHA/WNRC by email or telephone. (Only those persons authorized from each Program Office may remove records from the RHA/WNRC – see previous section on Access Memo). When requesting records, the Program Office must provide the RHA staff with the job number, accession number (if appropriate), and box number.
2. All records requested from RHA/WNRC will be delivered to the Program Offices for review.
3. When the requested records are located at the WNRC, the RHA processes the request by ordering the boxes electronically by using Archives and Records Centers Information System (ARCIS). The request is processed within 48 hours. The RHA handles emergency requests by telephone or fax.
4. RHA prepares a "Request for Service – Document Receipt" HQ F1324.12, documenting the boxes, files, or record material that will be reviewed in the RHA or removed from the RHA on a temporary basis. The original and a copy for the requesting Program Office is sent to the Program Office for signature. The original must be returned immediately to the RHA, once the records are in the custody of the Program Office.
5. Requests for less than six boxes are handled by the DOE Couriers, MA-42. If requests consist of six boxes or more, the boxes will be transported by the DOE Movers, MA-432. The RHA prepares the required paperwork and schedules to pick up the records.

RETURNING RECORDS FROM THE WASHINGTON NATIONAL RECORDS CENTER:

1. Program Office notifies the RHA via telephone or email that the records are ready to be returned.
2. The RHA coordinates with the Program Office to schedule the pickup of records from their office with DOE Couriers or Movers.
3. When the boxes are returned to the RHA/WNRC, the buff copy of the Document Receipt, HQ F 1324.12, is signed and returned to the Program Office. This documents that the Program Office returned the records to the RHA/WNRC as indicated on the document.

Standards Incorporated by Reference in 36 CFR 1234

American Society of Testing and Materials (ASTM)

- E 119-98, *Standard Test Methods for Fire Tests of Building Construction and Materials*

National Fire Protection Association (NFPA)

- NFPA 10, *Standard for Portable Fire Extinguishers* (1994 Edition)
- NFPA 13, *Standard for the Installation of Sprinkler Systems* (1996 Edition)
- NFPA 20, *Standard for the Installation of Centrifugal Fire Pumps* (1996 Edition)
- NFPA 40, *Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film* (1997 Edition)
- NFPA 42, *Code for the Storage of Pyroxylin Plastic* (1997 Edition)
- NFPA 72, *National Fire Alarm Code* (1996 Edition)
- NFPA 101, *Life Safety Code* (1997 Edition)
- NFPA 221, *Standard for Fire Walls and Fire Barrier Walls* (1994 Edition)
- NFPA 231, *Standard for General Storage* (1998 Edition)
- NFPA 231C, *Standard for Rack Storage of Materials* (1998 Edition)
- NFPA 232, *Standard for the Protection of Records* (1995 Edition)
- NFPA 232A, *Guide for Fire Protection of Archives and Records Centers* (1995 Edition)

Underwriters Laboratory (UL)

- UL 611, *Central-Station Burglar-Alarm Systems* (February 22, 1996)
- UL 827, *Central-Station Alarm Services* (April 23, 1999)
- UL 1076, *Proprietary Burglar Alarm Units and Systems* (February 1, 1999)

American Society of Heating, Refrigerating and Air-Conditioning Engineers, Inc. (ASHRAE)

- ANSI/ASHRAE 55-1992, *Thermal Environmental Conditions for Human Occupancy*
- ANSI/ASHRAE 62-1989, *Ventilation for Acceptable Indoor Air Quality*

American National Standards Institute (ANSI)

- ANSI/NAPM IT9.18-1996, *Imaging Materials – Processed Photographic Plates – Storage Practices*
- ANSI/NAPM IT9.20-1996, *Imaging Materials – Reflection Prints – Storage Practices*
- ANSI/NAPM IT9.23-1996, *Imaging Materials – Polyester Base Magnetic Tape – Storage*
- ANSI/PIMA IT9.11-1998, *Imaging Materials – Processed Safety Photographic Films – Storage*
- ANSI/PIMA IT9.25-1998, *Imaging Materials – Optical Disk Media – Storage*

Table 2: Compliance with 36 CFR 1234.10 Facility Requirements

§1234.10 paragraph:	Requirement	OK	No	Other
(a)	The facility must be constructed with noncombustible materials and building elements, including walls, columns, and floors.			
(a) exception 1	If the roof is constructed of combustible material it is protected by a properly installed and maintained wet-pipe automatic sprinkler system.			
(a) exception 2	Existing records storage facility with combustible building elements has an approved waiver from NAS that allows continued use until October 1, 2009, provided documentation has been submitted that indicates a fire-suppression system designed to mitigate the risk is present.			
(b)	A facility with two or more stories must be designed or certified by a licensed fire protection engineer and civil/structural engineer to avoid catastrophic failure of the structure due to an uncontrolled fire on one of the intermediate levels.			
(c)	The building must be sited a minimum of 5 feet above and 100 feet from any 100-year flood plain areas, or be protected by an appropriate flood wall (see FEMA flood maps).			
(d)	The facility must be designed in accordance with national, regional, state or local building codes (whichever is more stringent) to provide protection from building collapse or failure of essential equipment from earthquake hazards, tornadoes, hurricanes, and other natural disasters.			
(e)	Roads, fire lanes, and parking areas must permit unrestricted access for emergency vehicles.			
(f)	A floor load limit must be established for the records storage area by a licensed structural engineer.... The allowable load limit must be posted in a conspicuous place and must not be exceeded.			
(g)	The facility must ensure that the roof membrane does not permit water to penetrate the roof. (New buildings: effective 9/28/2005; existing buildings: effective 10/1/2009).			
(h)	Piping (with the exception of sprinkler piping and storm water roof drainage piping) must not be run through the records storage area unless supplemental measures are used to prevent water leaks.... (New buildings: effective 9/28/2005; existing buildings: effective 10/1/2009).			
(i)(1)	All storage shelving must be designed and installed to provide seismic bracing that meets the requirements of applicable state, regional, and local building code (whichever is most stringent).			

§1234.10 paragraph:	Requirement	OK	No	Other
(i)(2)	Racking systems, steel shelving, or other open-shelf records storage equipment must be braced to prevent collapse under full load. Each shelving unit must be industrial style shelving rated at least 50 lbs per cubic foot supported by the shelf.			
(i)(3)	Compact shelving, if used, must be designed to permit proper air circulation and fire protection....			
(j)	The records storage area must be equipped with an anti-intrusion alarm system ... meeting the requirements of UL 1076, Proprietary Burglar Alarm Units and Systems (level AA) The alarm system must be monitored in accordance with UL 611, Central Station Burglar Alarm Systems.			
(k)	The facility must comply with the requirements for a Level III facility. (Appendix A—see separate checklist.)			
(l)	Records contaminated by hazardous materials ... must be stored in separate areas having separate air handling systems from other records.			
(m)	The facility must have an Integrated Pest Management program.			
(n) (n.1) (n.2) (n.3) (n.4) a. b. c.	<p>The following additional requirements apply only to new facilities:</p> <p>(1) No mechanical equipment containing motors in excess of 1 HP within records storage areas (excluding material handling and conveyance equipment that have operating thermal breakers on the motor).</p> <p>(2) No high-voltage electrical distribution equipment (i.e., 13.2kv or higher) in records storage areas.</p> <p>(3) A redundant source of primary electrical service ... should be provided Manual switching between sources of service is acceptable. (See text in rule; applies to HVAC, fire and security alarms.)</p> <p>(4) For new facilities that store permanent records:</p> <p>a. A facility storing permanent records must be kept under positive pressure.</p> <p>b. No intake louvers in loading dock areas, parking or other areas subject to vehicle traffic.</p> <p>c. Separate air supply and exhaust system for loading docks.</p>			

Table 3: Compliance with 36 CFR 1234.12 Fire Safety Requirements

§1234.12 paragraph:	Requirement	OK	No	Other
(a)	The fire detection and protection system must be designed or reviewed by a licensed fire protection engineer. Review requires submission of a report under the seal of a licensed fire protection engineer; see rule text for minimum requirements.			
(b)(1)	All walls separating records storage areas from each other and from storage areas within the building must be 3-hour fire-resistant.			
(b)(2)	The quantity of Federal records stored in a single fire compartment shall not exceed 250,000 cubic feet.			
(c)(1)	For existing records storage facilities, at least 1-hour-rated fire barrier walls must be provided between the records storage area(s) and other auxiliary spaces.			
(c)(2)(a)	For new records storage facility, 2-hour-rated fire barrier walls must be provided between the records storage area(s) and other auxiliary spaces.			
(c)(2)(b)	For new facilities, at least one exterior wall of each stack area must be designed with a maximum fire resistive rating of 1 hour, or, if rated more than 1 hour, there must be at least one knock-out panel in one exterior wall of each stack.			
(d)	Penetrations in the walls must not reduce the specified fire resistance ratings.			
(e)	The fire resistive rating of the roof must be a minimum of ½ hour.			
(e) alternate	Unrated roof is protected in accordance with NFPA 13.			
(f)	Openings in fire barrier walls must be protected by self-closing or automatic Class A fire doors, or equivalent doors that maintain the same rating as the wall.			
(g)	Roof support structures that cross or penetrate fire barrier walls must be cut and independently supported on each side of the fire barrier wall.			
(h)	If fire barrier walls are erected with expansion joints, the joints must be protected to their full height.			
(i)	Building columns in records storage areas must be 1-hour fire-resistant.			
(i) alternate	Unrated columns are protected in accordance with NFPA 13.			
(j)(1)	Automatic roof vents for routine ventilation purposes must not be designed into new records storage facilities.			

§1234.12 paragraph:	Requirement	OK	No	Other
(j)(2)	Automatic roof vents, designed solely to vent in the case of a fire, with a temperature rating of at least twice that of the sprinkler heads are acceptable.			
(k)	Where lightweight steel roof or floor supporting members are present, they must be protected either by applying a 10-minute fire resistive coating to the top chords of the joists, or by retrofitting the sprinkler system with large drop sprinkler heads. (See rule text.)			
(l)	Open flame (oil or gas) unit heaters or equipment, if used, must be installed or used in any records storage area in accordance with NFPA 54 and the UMC.			
(m)	For existing records storage facilities, boiler rooms or rooms containing equipment operating with a fuel supply ... must be separated from records storage areas by a 2-hour-rated fire barrier wall with no openings directly from those rooms to the records storage area(s). Such areas must be vented directly outside to a location where fumes will not be drawn back into the facility.			
(n)	For new records storage facilities, boiler rooms or rooms containing equipment operating with a fuel supply ... must be separated from records storage areas by a 4-hour-rated fire barrier wall with no openings directly from those rooms to the records storage area(s). Such areas must be vented directly outside to a location where fumes will not be drawn back into the facility.			
(o)	For new records storage facilities, fuel supply lines must not be installed in areas containing records, and must be separated from such areas with 4-hour-rated construction.			
(p)	Equipment rows running perpendicular to the wall must comply with NFPA 101 Life Safety Code, with respect to egress requirements.			
(q)(1)	No oil-type transformers, except thermally protected devices included in light ballasts, may be installed in records storage areas.			
(q)(2)	All electrical wiring must be in metal conduit, except that armored cable may be used where flexible wiring connections to light fixtures are required.			
(q)(3)	Battery charging areas for electric forklifts must be separated from records storage areas with at least a 2-hour-rated fire barrier wall.			
(r)	Hazardous materials ... must not be stored in records storage areas.			

§1234.12 paragraph:	Requirement	OK	No	Other
(s)	<p>All records storage and adjoining areas must be protected by a professionally designed fire-safety detection and suppression system that is designed to limit the maximum anticipated loss from any single fire event to a maximum of 300 cubic feet of records destroyed.</p> <p>For systems in accordance with App. B, attach checklist. For other designs, see §1228.242 for documentation requirements.</p>			

Table 4: Compliance with 36 CFR 1234.14, Environmental Control Requirements

§1234.41 Paragraph:	Requirement	OK	No	Other
(a)	Paper-based temporary records must be stored under environmental conditions that prevent the active growth of mold. (See Rule text.)			
(b)	Nontextual temporary records, including microforms and audiovisual and electronic records, must be stored in records storage space that will ensure their preservation for their full retention period. Effective 9/28/2005 for new records storage facility and 10/1/2009 for existing facilities. (See Rule text.)			
(c)	Paper-based permanent, unscheduled, and sample/select records must be stored in records storage space that provides 24 hour/365 days per year air conditioning equivalent to that required for office space. (See Rule text.) Effective date: New facilities, 9/28/2005; existing facilities 10/1/2009			
(d)	Nontextual permanent, unscheduled and/or sample/select records: see parts 1236, 1237, and/or 1238 of 36 CFR Chapter XII.			

Table 9: Compliance with 36 CFR Part 1234 Appendix B
(Complete this section ONLY if the facility claims to be using the system described in Appendix B)

Paragraph	Requirement	OK	No	Part
2a.	The records storage height must not exceed the nominal 15 feet (+/-3 inches) records storage height.			
2b.	All records storage and adjoining areas must be protected by automatic wet pipe sprinklers.			
2c.	1. The sprinkler system must be rated at no higher than 285 degrees Fahrenheit utilizing quick response (QR) fire sprinkler heads.			
	2. The sprinkler system must be designed by a licensed fire protection engineer to provide the specified density for the most remote 1,500 square feet of floor area at the most remote sprinkler head in accordance with NFPA 13 (1996), Standard for the Installation of Sprinkler Systems.			
	3. Installation of the sprinkler system must be in accordance with NFPA 13 (1996), Standard for the Installation of Sprinkler Systems.			
	4. Contractor's Material and Test Certificates per NFPA 13 chapter 8.			
	5. Hydraulic Calculations.			
2d.	1. Maximum spacing of the sprinkler heads must be on a 10-foot grid.			
	2. The positioning of the heads must provide complete, unobstructed coverage, with a clearance of not less than 18 inches, but not more than 60 inches, from the top of the highest stored materials.			
2e.	The sprinkler system must be equipped with a water-flow alarm connected to a continuously staffed fire department or central station, with responsibility for immediate response.			
2f.	1. A manual fire alarm system must be provided with central station services or other automatic means of notifying the municipal fire department.			
	2. A manual alarm pull station must be located adjacent to each exit.			

Paragraph	Requirement	OK	No	Part
2g.	All water cutoff valves in the sprinkler system must be equipped with automatic closure alarm connected to a continuously staffed station, with responsibility for immediate response.			
2h.	A dependable water supply free of interruption must be provided. This normally requires a backup supply system having sufficient pressure and capacity to meet both fire hose and sprinkler requirements for 2 hours.			
2i.	Interior stand-pipe stations equipped with 1 ½ inch diameter hose may be provided in the records storage areas if required by the local fire department, enabling any point in the records storage area to be reached by a 50-foot hose stream from a 100-foot hose lay. If hose is provided, the cabinets must be marked “For Fire Department Use Only.”			
2j.	Where fire hose cabinets are not required, stand-pipes must be provided at each floor landing in the building core or stair shaft. Hose outlets must have easily removable adapter and cap. Threads and valves must be compatible with the local fire department’s equipment. Spacing must be so that any point in the records storage area can be reached with a 50-foot hose stream from a 100-foot hose lay.			
2k.	In addition to the designated sprinkler flow demand, 500 gpm must be provided for hose stream demand. The hose stream demand must be calculated into the system at the base of the main sprinkler riser.			
2l.	1. Fire hydrants must be located within 250 feet of each exterior entrance or other access to the records center that could be used by fire-fighters.			
	2. All hydrants must be at least 50 feet away from the building walls and adjacent to a roadway usable by fire apparatus. Fire hydrants must have at least two 2½-inch hose outlets and a pumper connection. All threads must be compatible with local standards.			
2m.	Portable water-type fire extinguishers (2½ gallon stored-pressure type) must be provided at each fire alarm striking station (see also NFPA 10).			

Paragraph	Requirement	OK	No	Part
2n.	1. Where provided, the walking surface of the catwalks must be of expanded metal at least 0.09-inch thickness with a 2-inch mesh length. The surface opening ratio must be equal or greater than 0.75.			
	2. The sprinkler water demand for protection over bays with catwalks where records are not oriented perpendicular to the aisles must be calculated to give 0.3 gpm per square foot for the most remote 2,000 square feet.			

Federal Records Centers Terms and Conditions Agreement

I. PURPOSE

This agreement sets forth the terms and conditions under which the National Archives and Records Administration's (NARA's) Federal Records Centers will store and service records that remain in the legal custody of the (**agency name**), hereafter referred to in this document as the customer agency. Terms in italics are defined in Attachment A to this agreement.

II. COVERAGE

This agreement will become effective on October 1, 2012, and will continue through September 30, 2013. This agreement covers customer agency records stored and serviced in NARA's Federal Records Centers (including the Washington National Records Center and the National Personnel Records Center) where legal ownership of the records remains with the customer agency. In some instances, regional or local agreements may supersede or augment this agreement. This agreement will be updated annually, but may be amended sooner if deemed necessary by NARA and the customer agency.

A fully executed agreement is to be in place by October 1, 2012. If an agreement or an acceptable substitute is not in place by that date, NARA may have to suspend records center services until the agreement or an acceptable substitute is in place.

III. FEDERAL RECORDS CENTER STORAGE AND SERVICES

A. Storage

1. NARA will store records of the customer agency's record groups, in a safe and secure environment that meets the requirements outlined in 36 CFR part 1234.4.
2. In most instances, NARA will store the customer agency's records in the NARA Federal Records Center that is designated to serve the geographic area in which the records originated or were maintained by the customer agency. In certain situations, NARA may retire a customer agency's records to a NARA facility outside the geographic area. NARA may also elect to transship a customer agency's records to a NARA facility outside the geographic area. NARA will keep the customer agency informed about the location of the records. A directory that indicates the geographic areas served by each NARA Federal Records Center can be found as Attachment B to this agreement. Classified records can be retired only to the Washington National Records Center in Suitland, MD.
3. NARA will assist the customer agency in properly implementing, managing, and removing disposition freezes placed on Federal records by court order or agency directives. Agencies will notify NARA when a freeze should be lifted. NARA will generally provide assistance involving freezes without imposing additional charges.
4. Extracts from automated reporting systems will be made available to the customer agency as needed. NARA will generally provide extracts from automated reporting systems without imposing additional charges.

5. For billing purposes, NARA will charge the customer agency based on the volume of records stored. Separate storage fees are assigned to *classified*, *textual environmentally controlled*, *non-textual environmentally controlled*, and *Electronic Records Vault* holdings.
6. [Reserved for specific agency storage requirements or locations.]

B. Services

1. NARA shall provide the customer agency with the following services:
 - a. *Transferring*
 - (1) To initiate a retirement of records, the customer agency must submit a Standard Form 135 (SF 135), *Records Transmittal and Receipt*, to the appropriate NARA Federal Records Center. (See Attachment B for addresses, phone numbers, names of contacts, email addresses, and the geographic areas served by each center.) The SF 135 must be completed according to NARA instructions. Acceptable methods of transmittal include but are not limited to *ARCIS*, mail through the United States Postal Service, express delivery services, fax, or as an email attachment. (If submitting the SF 135 via email or fax, the customer agency should ensure that the SF 135 is placed in box 1 of the *transfer* when the records are shipped). Proposed transfers of *scheduled permanent* and *unscheduled records* must include a detailed box listing attached to the SF 135. Additional guidance on transmitting SF 135s and preparing records for shipment is available from each NARA Federal Records Center. An electronic SF 135 can be found at <http://www.archives.gov/frc/forms/sf-135-intro.html>.
 - (2) NARA will process submitted SF 135s, either by approving the *transfer* or by initiating corrective action, within 10 *business days* of receipt. The approved SF 135 will be returned to the customer agency.
 - (3) Once approval has been granted via the SF 135, the customer agency may ship the *transfer* to the appropriate NARA Federal Records Center. Shipping methods include but are not limited to services provided by the United States Postal Service, express delivery services, or freight carriers. Additional guidance on labeling boxes and shipping records is available from each NARA Federal Records Center. Some shipments may require providing advance notice to the NARA Federal Records Center. Special arrangements for the shipping and handling of *classified* records may be made with the receiving NARA Federal Records Center on a case-by-case basis. Shipping costs are the responsibility of the customer agency.
 - (4) To safeguard the records and the information they contain, the records must be packaged in sturdy, approved containers. Commonly used containers include Federal Records Center boxes with flaps, tubes with end caps, and map boxes with covers. The containers must be securely sealed with packing tape. If improperly packaged records are received by the NARA Federal Records Center, NARA will contact the customer agency to arrange for corrective action.

Corrective action may include the repackaging of the records by NARA staff or the return of the records to the customer agency for repackaging. Either action will be at the customer agency's expense.

- (5) If an approved *transfer* is not received within 90 calendar days of approval of the SF 135, records center staff may contact the customer agency to determine the cause of the delay and recommend appropriate action.
- (6) The customer agency will maintain its own collection of SF 135s for all of the records it ships to NARA. However, each NARA Federal Records Center will maintain a comprehensive collection of SF 135s for the customer agency records in its holdings. Copies of SF 135s may be provided for a fee.
- (7) The customer agency will maintain its own detailed box listing of, or index to, all records for each *transfer* that is retired to a NARA Federal Records Center. When practical, the customer agency will provide NARA with a copy of this document by placing it in the first box of the *transfer* to which it pertains. The copy provided to NARA will serve as an off-site backup copy for the customer agency. As specified in item (1), proposed transfers of *scheduled permanent* or *unscheduled records* must include a detailed box listing attached to the SF 135.
- (8) The customer agency will identify, and NARA will protect, sensitive Personally Identifiable Information (PII) as specified in Attachment D to this agreement.
- (9) For billing purposes, a *processing fee* is applied to each separate *transfer* submitted by the customer agency for processing. A *transfer* fee is applied per cubic foot for records shipped to NARA. A separate *transfer* fee is assigned to *classified* records. For customers in the Washington, DC, metropolitan area, the Washington National Records Center (WNRC) offers a pick-up service for *transfers* with volumes greater than 25 cubic feet. A *specialized shipping and handling* fee is applied for pick-up service provided by the WNRC trucks.

b. Disposal

- (1) Ninety calendar days prior to the beginning of a quarterly disposal cycle, NARA will notify the customer agency of each *transfer* eligible for *disposal* by sending an NA Form 13001, *Notice of Eligibility for Disposal*, to the customer agency's records officer or other designee. It is the customer agency's responsibility to keep NARA informed of any changes in the identity or address of the records officer (or designee) and to review each NA Form 13001. The records officer should verify that the *transfer* identified on each NA Form 13001 is no longer needed (for example, for internal business, pending litigation, or FOIA requests) before concurring on the *disposal*. If agency concurrence is not received prior to the *disposal* cycle start date (January 1, April 1, July 1, or October 1), the *transfer* may not be destroyed until the next *disposal* cycle, in which case the customer agency would be responsible for an additional 90 to 180 days of storage fees.
- (2) Records will be destroyed within 90 calendar days of eligibility, as determined by the applicable records *disposition* schedule and NARA receipt of written concurrence from the customer agency, whichever comes later. Possible exceptions to this general rule would include *transfers* containing *classified* or non-standard records, mixed or special media requiring non-routine or special destruction methods, and significantly large volumes of records resulting from a freeze lift. Even in exceptional cases where the actual destruction may not occur within the 90-day window, customer billing for storage of these records will cease after 90 days.
- (3) If NARA is unable to accomplish the *disposal* of the customer agency's records within 90 calendar days of their becoming eligible for *disposal*, the customer agency will not be responsible for the storage costs for these disposable records beyond the initial 90-day period. If, however, any records are retained beyond the 90-day period at the request of or for the benefit of the customer agency, including but not limited to court-ordered freezes, normal storage charges will continue to apply. Under circumstances where an ordered freeze has been lifted, any eligible transfers will have an NA Form 13001 generated for the next eligible *disposal* cycle, and billing for storage will cease a maximum of 90 days after agency concurrence is received. NARA will negotiate with the customer agency to establish a reasonable time frame within which the actual *disposal* will be accomplished, since this is dependent upon local resources and may severely burden local staff if the freeze affected a significant volume of records.
- (4) NARA will dispose of all temporary records in accordance with Federal regulations and as specified in the records schedule item cited on the *disposal* notice. NARA shall also ensure that access to the records is restricted throughout the *disposal* process. *Disposal* will occur under contract with a wastepaper or other recycling company or by NARA.
- (5) NARA will provide *disposal* witnessing services when required by Federal regulations. Unless instructed otherwise in writing, NARA will provide contractor witnessed disposal. NARA charges an additional fee for witnessed disposal.

- (6) NARA may require additional reimbursement from the customer agency for the *disposal* of non-textual media and textual records that contain a significant amount of non-textual material that must be removed prior to shredding (clips, binders, mylar, and other non-paper materials). In such instances, NARA will notify the customer agency in advance that additional charges are warranted.
 - (7) NARA will follow the procedures established in the current NARA Information Security Manual and Executive Order 12958–Classified National Security Information for the disposal of security *classified* materials.
 - (8) For billing purposes, a *disposition* fee is applied per cubic foot for records properly destroyed by NARA. A separate *disposition* fee is assigned to *classified* records.
- c. Accessioning of Scheduled Permanent Records to the National Archives of the United States*
- (1) For permanent records stored in a Federal Records Center and eligible (as determined by the applicable records schedule) for *accessioning* into the National Archives of the United States under the regular transfer cycle, NARA will create a Transfer Request in the Electronic Records Archives (ERA) at the beginning of the fiscal year.
 - (2) The customer agency will review the ERA Transfer Request, update the information as necessary, and submit the completed ERA Transfer Request to the appropriate NARA archival unit for approval.
 - (3) Transfers of permanent records from Federal Records Centers to archival units will occur at least semi-annually, during the January–March and July–September quarters. For records to be considered for transfer in the January–March quarter, the customer agency must submit a completed ERA Transfer Request by December 1. For records to be considered for transfer in the July–September quarter, the customer agency must submit a completed ERA Transfer Request by June 1.
 - (4) It may be possible to transfer permanent records from a Federal Records Center to an archival unit during other quarters, if both the Federal Records Center and the archival unit can accommodate the transfer. The customer agency should contact its account manager to inquire about first- and third-quarter transfers of permanent records.
 - (5) If an ERA Transfer Request is approved by the appropriate archival unit at the beginning of a transfer quarter, and if NARA is unable to accomplish the *accessioning* of the customer agency’s records within that transfer quarter, the customer agency will not be responsible for the storage costs of these records beyond that quarter.

- (6) If the customer agency declines to *accession* all or any part of the records identified on an ERA Transfer Request, it will notify NARA in writing of the declination. The customer agency will continue to be responsible for storage charges for declined records until an *accession* is authorized via a properly completed and submitted ERA Transfer Request that has been approved by NARA.
- (7) NARA will follow all security procedures applicable to the physical *accessioning* and storage of security classified permanent records in the National Archives of the United States.
- (8) If a properly completed ERA Transfer Request is not submitted, NARA will attempt to remind the customer agency once. After the initial reminder, the customer agency will be reminded of the pending accession at least once every 5 years.
- (9) For billing purposes, a *disposition* fee is applied per cubic foot for records accessioned into the National Archives of the United States. A separate *disposition* fee is assigned to *classified* records. The customer agency will pay the *disposition* fee for all *accessions* whenever they are completed. The *disposition* fee covers costs incurred by the NARA Federal Records Center only; all other costs associated with *accessioning* records into the National Archives of the United States are borne by NARA and are not charged to the customer agency.

d. *Permanent Withdrawal*

- (1) The customer agency may submit a request for the *permanent withdrawal* of individual boxes of customer agency records from the physical custody of the NARA Federal Records Center using *ARCIS*, an Optional Form 11 (OF 11), or other NARA-approved forms.
- (2) The NARA Federal Records Center will prepare the records for shipment, update *ARCIS*, and update the SF 135.
- (3) Requests for the *permanent withdrawal* of an entire record group or records series of customer agency records will be negotiated between NARA and the customer agency in regards to costs, timeframes, and shipping methods.
- (4) For billing purposes, a *permanent withdrawal* fee is applied per cubic foot for records requested to be permanently returned to the customer agency. *Permanent withdrawals* of an entire record group or records series are billed to the customer agency as a project using labor and material costs.

e. Reference

- (1) The customer agency may submit reference requests using *ARCIS*, an Optional Form 11 (OF 11), or other NARA-approved forms. The preferred method of submitting reference requests is electronically through *ARCIS*. Other acceptable methods of transmittal include but are not limited to mail through the United States Postal Service, express delivery services, fax, agency courier, or telephone. Additional guidance on submitting reference requests is available from each NARA Federal Records Center.
- (2) When submitting reference requests, the customer agency must provide the NARA Federal Records Center with sufficient information to locate the records. Additional guidance on submitting reference requests is available from each NARA Federal Records Center.
- (3) When servicing reference requests, NARA Federal Records Center staff may annotate each requested folder with an *ARCIS* barcode, the *transfer* number, the box number, and the NARA Federal Records Center shelf location number. This will facilitate refiling the folder at a later date.
- (4) *Routine reference* requests will be serviced within one *business day* of receipt by the NARA Federal Records Center. Requests for extremely low-reference records stored on pallets are typically serviced within two weeks, but exceptions can be negotiated on a case-by-case basis.
- (5) *Emergency reference* requests will be serviced on an expedited basis (same day or less than one *business day* turnaround) for an additional fee. The determination that a reference request qualifies as an emergency will be made solely by the customer agency, but if the customer agency designates a request as an emergency, it must be willing to pick up the requested items within one *business day* or pay for overnight delivery service. For an additional fee, NARA staff will also accommodate the customer agency by reading portions of a file over the telephone, scanning portions of a file and transmitting the scanned image as an email attachment, or sending via fax certain portions of a file to the customer agency.
- (6) *After-hours emergency reference* requests will be serviced for an additional fee. *After-hours* requests for non-publicly available records must be made by the customer agency's records officer or designee.
- (7) NARA will ship *routine reference* requests to the customer agency via USPS First Class service or via UPS or FedEx Ground Service. For billing purposes, a shipping and handling fee is added based on the weight of the records being delivered. Other delivery methods, such as couriers and overnight delivery, incur additional charges.

- (8) Upon request, NARA will provide on-site office space at each of its NARA Federal Records Centers for customer agency personnel or other authorized individuals to review any records the customer agency has retired to that Federal Records Center. Appointments may be required.
- (9) For requests that cannot be serviced without corrective action, NARA will contact the customer agency to resolve the problem. The customer agency must provide a point of contact, including a current telephone number, on all reference requests it submits to the NARA Federal Records Centers.
- (10) For billing purposes, a reference fee is applied per request. A separate reference fee is assigned to *classified* records. *Emergency reference* requests incur an additional charge.

f. Refiles and Interfiles

- (1) Acceptable methods of submitting *refiles* and *interfiles* include but are not limited to *ARCIS*, mail through the United States Postal Service, express delivery service, or courier. Special guidance for the shipping and handling of *classified* records may be obtained from each NARA Federal Records Center.
- (2) When submitting *refiles*, the customer agency should ensure that the records being returned to the NARA Federal Records Center for *refiling* remain in the same file folder that was previously recalled from the NARA Federal Records Center. In these cases, the folder will already be annotated with sufficient information to perform the *refile* (see paragraph III.B.1.e.(3) above). If the records to be *refiled* have been placed in new folders, the customer agency must provide the NARA Federal Records Center with sufficient information to perform the *refile*. Additional guidance on submitting *refiles* is available from each NARA Federal Records Center.
- (3) When submitting *interfiles*, the customer agency must provide the NARA Federal Records Center with sufficient information to perform the *interfile*. This information may be transmitted informally by attaching a paper transmittal to each document or set of documents to be *interfiled* into a specific folder. Additional information on submitting *interfiles* is available from each NARA Federal Records Center.
- (4) NARA will *refile* records within five *business days* of receipt and *interfile* records within ten *business days* of receipt.
- (5) For *refiles* and *interfiles* that cannot be serviced without corrective action, NARA will contact the customer agency to resolve the problem. The customer agency must provide a point of contact, including a current telephone number, with all *refiles* and *interfiles* it submits to the NARA Federal Records Centers.
- (6) For billing purposes, a *refile* or *interfile* fee is applied per *refile* or *interfile*. A separate *refile* or *interfile* fee is assigned to *classified* records.

g. Photocopies

- (1) When directed by the customer agency, a NARA Federal Records Center will make photocopies of customer agency records within one *business day* of receipt of the request.
- (2) When directed by the customer agency, a NARA Federal Records Center will make photocopies of SF 135s and other customer agency documents within five business days of receipt of the request.
- (3) For billing purposes, a photocopy fee is applied per photocopied page.

h. Quality Assurance

- (1) NARA will continuously and thoroughly review its Federal Records Centers Program operations to ensure that the highest quality service is being delivered.
- (2) All reference requests that are determined by NARA staff to be unserviceable will be reviewed by NARA within one *business day* of the initial search to determine the appropriate corrective action.

i. Customer Orientation Services

- (1) On a semi-annual basis, each NARA Federal Records Center will offer at least one workshop highlighting services offered by the NARA Federal Records Center. Customer agency personnel may attend these workshops free of charge. These workshops will usually be conducted on the premises of the NARA Federal Records Center.
- (2) NARA will continue to offer free *ARCIS* training for customer agencies interested in using this system to submit transactions electronically.
- (3) NARA will continue to distribute technical reference materials to customer agency personnel free of charge.

j. Archives and Records Centers Information System (ARCIS)

- (1) *ARCIS* is a new web-based system that serves as the online portal through which customer agencies conduct business with the NARA Federal Records Centers. Customer agency personnel are encouraged to use *ARCIS*, but will be permitted to continue to conduct business with NARA Federal Records Centers using other approved methods, such as mail, fax, telephone, and email, listed in Sections III.B.1.a through III.B.1.g.
- (2) When prompted by NARA, the customer agency will designate an *ARCIS* Point of Contact (POC), whose role will be to assist NARA in creating and maintaining individual user accounts for the customer agency, including setting rights and responsibilities for conducting transactions in *ARCIS*.

- (3) *ARCIS* is an intuitive, web-based system that does not require the customer agency to install software or other executable programs. NARA will support the use of *ARCIS* by providing online webinars, tutorials, FAQs, and manuals and will maintain a help desk that can be reached via telephone or email. NARA will also provide customer-specific training where warranted, including training on use of the new User Administration and Records Transfers modules and the new access-control functionality.

k. Electronic Specialty Services and Reimbursable Records Management Services

- (1) NARA will provide other specialty services to the customer agency as required. These services may include but are not limited to scanning, data migration, electronic servicing of records, records consolidation, records management consulting and assistance, and other services that may be desired and available.
- (2) Special Services: This section specifies procedures for the retirement and servicing of the customer agency's official personnel folders (OPFs) at the National Personnel Records Center (NPRC).
- a. The customer agency will:
- (1) Transfer OPFs of separated employees to the NPRC (Civilian Personnel Records Branch) as soon as possible after separation, ensuring that the file is complete.
- (2) Ensure that each OPF is labeled in the upper right corner to identify the employee by name (last name first), date of birth, and Social Security number only.
- (3) Make every effort to locate all long-term documents required in the OPF and to file them before the folder is transferred. Temporary records must be removed from the folders before transmittal.
- (4) Transmit all OPFs to the NPRC in sealed envelopes or containers. No advance notification or transmittal documents are required.
- (5) Forward immediately to the NPRC any long-term documents essential for filing in an OPF that may be found after the OPF has been transferred to the NPRC. A cover letter must accompany loose documents forwarded for interfiling, and each document must contain the former employee's current name (and name under which formerly employed, if different), date of birth, Social Security number, and date of separation.
- (6) Submit a Standard Form 127, *Request for Official Personnel Folder (separated employees)*, in duplicate when requesting the return of OPFs of separated employees.
- (7) Be responsible for all costs associated with the transfer of OPFs to the NPRC and with the storage and servicing of OPFs at the NPRC, including requests for OPFs initiated either by the customer agency or by authorized third parties.

b. The NPRC will:

- (1) Receive, store, and service OPFs of employees separated from service with the customer agency.
- (2) Provide official transcripts of service and normal reference service to designated officials of the customer agency.
- (3) Arrange for the destruction of records according to disposal schedules approved by the customer agency.

IV. LOCAL AGREEMENTS [Reserved. These agreements may be attached or referenced here. See also Article II. COVERAGE]

V. RATES

A. Rates for Storage and Services are listed in Attachment C.

1. All storage rates are expressed as a monthly value per cubic foot.
2. A *transfer processing fee* is applied to each customer agency *transfer*.
3. Separate rates are applied for the storage and servicing of *classified* records.
4. Separate rates are applied for the storage of *textual environmentally controlled* records.
5. Separate rates are applied for the storage of *non-textual environmentally controlled* records.
6. Separate rates are applied for the storage and servicing of *Electronic Records Vault* records.
7. Separate rates are applied to selected records requiring *specialized services*. If applicable, the *specialized services* are detailed in Section III.B.2 and separate rates are detailed in Section V.B.
8. Separate rates are applied for shipping and handling.
9. Separate rates are applied to *specialized shipping and handling* involving *emergency reference* and transmission of material to the customer agency via fax, telephone, scanning, and the pick-up service provided by the WNRC truck fleet.
10. Additional charges may be levied for the destruction of non-textual material.
11. Additional charges may be levied for negotiated project type work involving scanning services, Fast Pack services, *permanent withdrawals* over 25 cubic feet, and other activities.

B. Special Services [Reserved]

C. Adjustments—Rates may be adjusted or supplemental billings effected to reflect the actual costs of services provided.

1. Rates may be adjusted or supplemental billings effected to reflect the actual costs of services provided.

VI. BILLING

- A. NARA will bill the customer agency on a monthly basis. In order to comply with OMB requirements, NARA may process a monthly invoice that consists of a current-month estimate for storage and services, a reversal of the prior month's estimate for storage and services, and the charges for the prior month's actual storage and services.
- B. The storage-charge component of the invoice will be based on the total number of cubic feet that the customer agency has in NARA-provided storage on the last *business day* of each month, as reflected in the *ARCIS* inventory of the agency's holdings on that date. The monthly storage charge will be computed by multiplying the holdings figure (according to the record type) by the rate listed in Attachment C.
- C. The service-charge component of the invoice will be based on the volume of service provided (according to the record type) multiplied by the appropriate rate in Attachment C.
- D. NARA billings are processed by the Bureau of Public Debt. Requests for payment shall be made monthly via the Intra-government Payment and Collection (IPAC) system in accordance with Treasury Financial Manual Bulletin 2007-03. Federal agencies that do not wish to use the IPAC system for payment must obtain written approval from the Department of the Treasury, Financial Management Service (FMS) [TFM 2007-03 Attachment I, III.G.].
- E. The NARA billing will be supported by documentation that will be forwarded to the address provided above. Questions regarding invoices should be directed to the customer agency's account manager at NARA. The account manager's name, address, telephone number, and email address will be provided on every invoice.
- F. Payments are due upon receipt of invoice. If invoices are not paid within 30 days, NARA may impose additional fees to recover the costs associated with the delinquency or may suspend services until payment is received.
- G. Additional terms and conditions apply for customer agencies that have elected to receive a *stratified* billing.
- H. Customer agencies retain legal custody of temporary records retired to a NARA Federal Records Center. The customer agency retains responsibility for any storage and service charges for the records, regardless of any internal restructuring within the customer agency. Should an agency desire to transfer legal custody of any portion of its records to another agency's legal custody, the agency relinquishing custody agrees to retain financial responsibility for the records until all details of the transfer have been worked out with NARA.

VII. AUTHORITY

For temporary and permanent records: 44 USC §2901 note, (Public Law 106-58)
NARA Revolving Fund Authority

For accessioned records: 31 USC §1535, the Economy Act (For NARA
use ONLY)

***AGENCY DOCUMENTS FOR THE STORAGE AND SERVICING OF TEMPORARY OR
PERMANENT RECORDS THAT CITE THE ECONOMY ACT WILL BE RETURNED
FOR CORRECTION.***

VIII. APPROVALS

For NARA:

DAVID WEINBERG
Director
Federal Records Center Program

Date

For: **(Agency's Name)**

Date

Required Materials for Transferring Records to a Federal Records Center

FRC requires agencies to use specific types of materials for preparing records transfers. The supplies and forms are available in the current General Services Administration (GSA) Supply Catalog as shown below:

- Standard-size record box for legal- or letter-size files 3/4:
14-1/2" × 12" × 9-1/2"

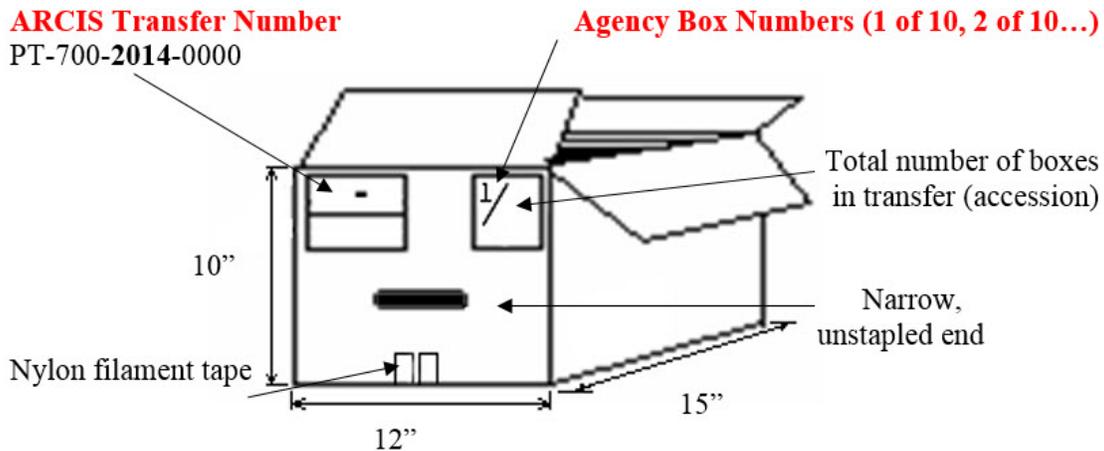
Note: Boxes exceeding these dimensions will not fit on records center shelving.
GSA Supply Catalog NSN/Mfr Part #: NSN 8115-00-117-8249

- Special-purpose boxes:
 - Half-size box:
14-3/4" × 9-1/2" × 4-3/4"
GSA Supply Catalog NSN: 8115-00-117-8338
 - X-ray box:
18" × 15" × 5-1/2"
GSA Supply Catalog NSN: 8115-00-290-3386
 - Magnetic tape box (lock bottom):
14-3/4" × 11-3/4" × 11-3/4"
Note: This box is intended only for magnetic tape. It will not fit on standard records center shelves.
GSA Supply Catalog NSN: 8115-00-117-8347
- Other materials:
 - Tape (recommended)
GSA Supply Catalog NSN: 7510-00-073-6094 (The clear tape does not obscure numbers)
 - Tape (tan: 3")
GSA Supply Catalog NSN: 7510-00-079-7905
 - Standard Form 135
GSA Supply Catalog NSN: 7540-00-634-4093
 - Felt-tip marker
GSA Supply Catalog NSN: 7520-00-973-1059
 - Optional Form 11
GSA Supply Catalog NSN: 7540-00-682-6423

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*National Archives and Records Administration
Federal Records Center – Riverside
23123 Cajalco Road
Perris, California 92570-7298*

Records Shipment Instructions



Shipment must arrive at the Records Center by: 12/31/2014

Please following the steps below **carefully and completely** to avoid rejection of your shipment.

Mark the **ARCIS** transfer number in the upper left corner of the **narrow, unstapled end of the box**, as illustrated above. Use **black** felt-tip marker, making characters 1 ½” to 2” in size. Note: All new ARCIS Transfer Numbers begin with “PT-“ and the fiscal year that you are sending the boxes now has four digits instead of two after your Record Group Number (PT-RG#-2009-####). Print box numbers in upper right corner, as illustrated above. **Please leave 3” of space in each box. Place a copy of the processed SF 135 in Box 1 with your consolidated Box List.**

Boxes can be secured with nylon filament or Kraft mailing tape if boxes are mailed. Boxes sent by courier or other ground transportation can be inter-flapped rather than taped.

The Federal Supply Service stock number for preferred standardized boxes is:

8115-00-117-8249

Shipments over 50 boxes are normally palletized, and **must** be in numerical order so that the first box being unloaded is the last box of the transfer. If your shipment is coming via courier or ground transportation, instruct freight lines to contact the Transfer & Disposition Team at **(951) 956-2065** or **email**

riverside.deliveries@nara.gov at least 24-48 hours in advance prior to delivery.

Hours of receiving are Monday through Friday, except Federal holidays, from 8:00 a.m.-3:30 p.m.

Physical Address:

National Archives and Records
Administration

Includes UPS, FEDEX and USPS

Federal Records Center-Riverside
23123 Cajalco Road
Perris, California 92570-7298

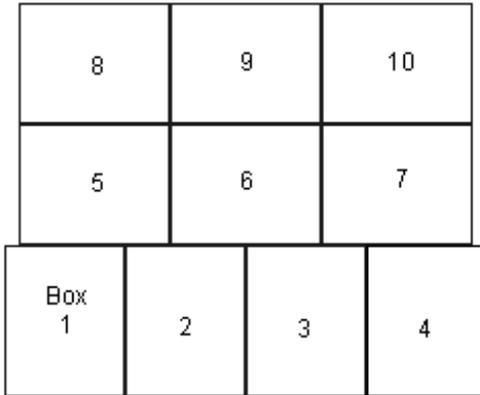
Shipping or freight charges are the responsibility of the shipping agency. We offer a Courier Service for Agency locations within 100 miles of the Center with 50 or more boxes. If you are interested in our Courier Service, please call Diane Jones at (951) 956-2064 or email riverside.courier@nara.gov.



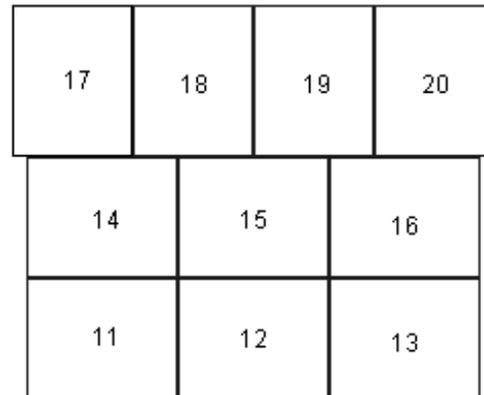
SUSIE BIELAWSKI
Assistant Director
Federal Records Center-Riverside

FULL PALLET: 50 Boxes with five rows of 10 Boxes. Start with the first 10 boxes on the bottom, in order, with #1 through #4 in front, as indicated in the drawing, below left. Boxes #11 through #20 are in the second layer, as indicated in the drawing, below right.

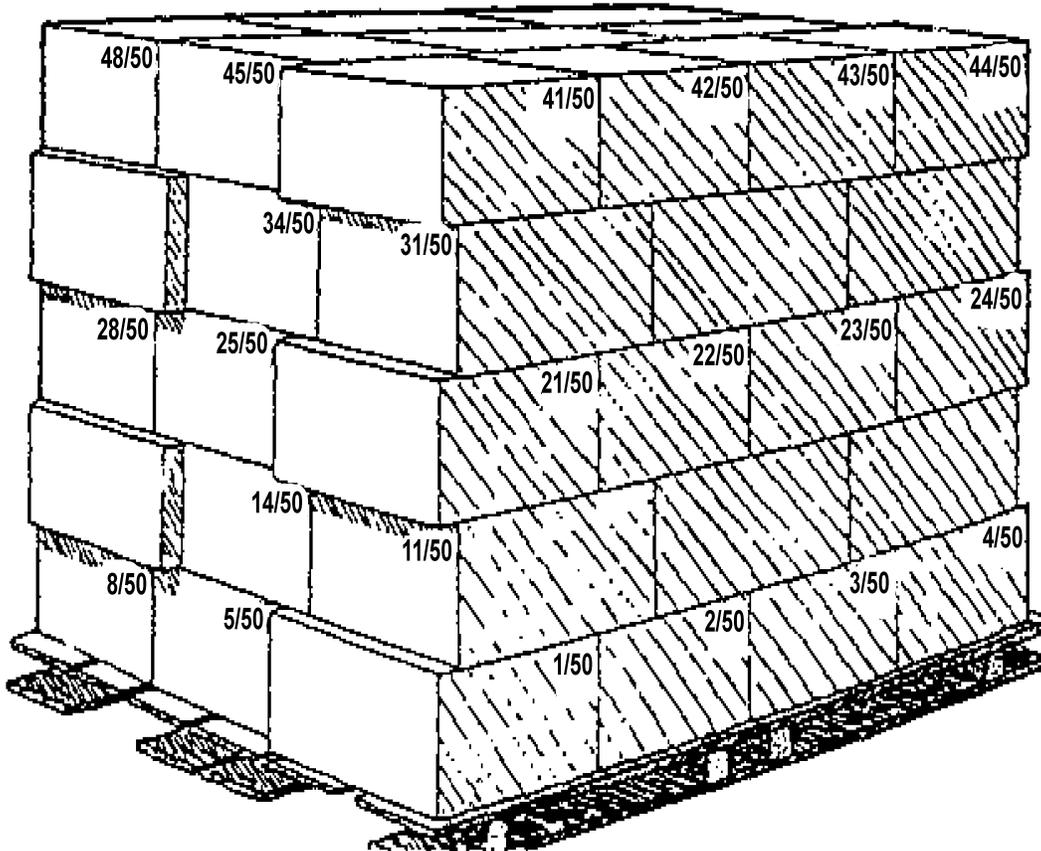
View from above:
Bottom layer (boxes 1-10)



View from above:
Second layer (boxes 11-20)



View from side, showing pallet fully loaded



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Checklist for the Disposition of Federal Records

Table 1: Disposition Checklist

Status	Item
<input type="checkbox"/>	Review your retention schedules
<input type="checkbox"/>	Check the status of contingent records
<input type="checkbox"/>	Notify all offices that all requests for disposition of records are sent to the Agency Records Officer or designated representative
<input type="checkbox"/>	Ensure that unscheduled records and records in the process of being rescheduled with a different retention are not destroyed until the schedule is signed by the Archivist
<input type="checkbox"/>	Check with the Office of General Counsel to ensure that no freezes, court orders, subpoenas, or other legal matters are outstanding, preventing the destruction of the records
<input type="checkbox"/>	Contact your FOIA office to determine if any FOIA requests would prevent the destruction of the records
<input type="checkbox"/>	Identify the location where the records are being destroyed (office or Records Center)
<input type="checkbox"/>	Make sure records are destroyed properly based on their classification (classified, PII, etc.)
<input type="checkbox"/>	Make sure an authorized person who is handling destruction signs off that the records were properly destroyed
<input type="checkbox"/>	Make sure you get a receipt from NARA for those permanent records transferred to NARA
<input type="checkbox"/>	Verify that all temporary records scheduled for destruction were destroyed and all permanent records scheduled for transfer to NARA were sent; keep a list of temporary records that were not destroyed and permanent records not transferred to NARA and the reason
<input type="checkbox"/>	Notify NARA of any records being kept longer than one year beyond the scheduled retention and the reason why they are being kept longer
<input type="checkbox"/>	Send NARA copies of any court orders requiring the records to be kept longer than the scheduled retention
<input type="checkbox"/>	If you find an unauthorized disposal, report it to NARA according to procedures

Status	Item
<input type="checkbox"/>	Make sure you receive notice when freezes and court orders are lifted and FOIAs are completed
<input type="checkbox"/>	Follow up in writing with those offices not complying and send a copy to General Counsel
<input type="checkbox"/>	

DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : ADN1-352170792

Notification Date : 12/15/2010

Transfer #: L700-2009-0002

Disposition Code : Temporary

Disposal Date : 01/01/2011

DA Last Name : Hudson Ray

Actual Volume (C.F.) : 5

Agency Name : Bureau of Public Recreation

Series Description : Long Range Studies

Street Address : AREA OFFICE

Inclusive End Date : 12/31/2004

Street Address 2 : 23458 YOU FIND IT

Disposition Authority : N1-700-98-01/208

City : YULE, FL 85423, 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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____

Proposed Containers for Disposal : Begin Box# 1, End Box# 100

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

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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 : ADN1-352170787

Notification Date : 12/15/2010

Transfer #: L700-2002-0026

Disposition Code : Temporary-Contingent

Disposal Date : 01/01/2011

Actual Volume (C.F.) : 29

Series Description : Program Review Files

Inclusive End Date : 09/30/2005

Disposition Authority : N1-700-98-01/403

DA Last Name : Hudson Ray

Agency Name : Bureau of Public Recreation

Street Address : AREA OFFICE

Street Address 2 : 23456 YOU FIND IT

City : YULE, FL 85423, 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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) :

Proposed Containers for Disposal : Begin Box# 1, End Box# 318

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

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National Archives and Records Administration

NA FORM 13001

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State Department's Destruction Guidelines

The following is an excerpt from the State Department's 5 FAH-4 H-300 Records Disposition Handbook, available at <http://www.state.gov/documents/organization/89250.pdf>.

5 FAH-4 H-315 DESTRUCTION

5 FAH-4 H-315.1 General

(TL:RMH-1; 10-30-95)

- a. All classified and administratively controlled records, including sensitive but unclassified records, authorized for destruction must be destroyed in accordance with provisions of applicable security regulations and 12 FAM.
- b. Sensitive but unclassified records contain information that could prove embarrassing or detrimental to Department or post operations if the information were to fall into unauthorized hands. These records are:
 - (1) Medical, personnel, financial, investigative or any other information release of which would result in substantial harm, embarrassment, inconvenience, or unfair treatment to any individual;
 - (2) Information relating to issuing or refusing visas or permits to enter the United States;
 - (3) Information that would jeopardize the physical safety of Department facilities, personnel, personnel dependents, and U.S. citizens overseas;
 - (4) Proprietary, trade secrets, commercial or financial information release of which would place a company or an individual at a competitive disadvantage;
 - (5) Information release of which would have a negative impact on foreign policy or relations;
 - (6) Information relating to official travel to locations deemed to have a terrorist threat;
 - (7) Information considered mission critical to an office or organization; and,
 - (8) Information which can be manipulated to commit fraud.
- c. The security regulations, themselves, do not constitute authorization to destroy records—only records disposition schedules authorize destruction. Records are to be bagged and burned or shredded. Unauthorized destruction is subject to criminal prosecution.

d. Unclassified material authorized for disposal, except as indicated above, may be destroyed by shredding, bagging and burning, or sold as waste paper. The Department encourages offices and posts to participate in the recycling of unclassified white paper. The disposition of unclassified material is to be carefully handled to see that those documents being sold as waste do not fit the criteria identified, above in 5 FAH-4 H-315.1 b.

e. Retain all records concerning pending litigation until the litigation has been terminated.

f. To avoid the inadvertent destruction of records, posts are to segregate them from those files eligible for destruction.

g. Posts are not to destroy financial records listed below under approved disposition authorities until they have been settled and adjusted by the General Accounting Office, except upon written approval of the Comptroller General of the United States:

(1) Claims and demands by the Government of the United States;

(2) Claims and demands against the Government of the United States; and

(3) Accounts in which the Government of the United States is concerned as debtor or creditor.

5 FAH-4 H-315.2 Posts

5 FAH-4 H-315.2-1 Destruction Log

(TL:RMH-1; 10-30-95)

The person responsible for the records must maintain a destruction log. The log contains a brief description of the records, the date of destruction and the volume destroyed. This information is included in the Biennial Records Report (BRR). See 5 FAH-4 H-312.3 for a description of the BRR.

5 FAH-4 H-315.2-2 Emergency Destruction and Safe Haven

(TL:RMH-1; 10-30-95)

a. In the event of an extreme emergency or evidence of the possible development of such an emergency, the records of a post may be destroyed according to instructions governing emergency and evacuation. Where prior knowledge of an impending emergency allows time to safe haven the records, such action is preferred to destruction.

b. Centralize the storage of all classified records in the IPC where the physical facilities permit.

c. Emergency actions, involving sending records to "safe haven" or destroying records, include the following:

(1) Act in accordance with Emergency Action Plan (EAP), which lists established priorities for destruction or safe haven and persons responsible for actual destruction.

(2) For the subject and chronological files belonging to the Chief of Mission and Deputy Chief of Mission and the program files in the Political and Economic Sections, send records for safe haven, whenever possible, rather than destroying them.

(3) Do not destroy the following unclassified records. These records are to be sent for safe haven, if possible, otherwise leave them intact at post:

(a) B&F records not duplicated in a Regional Administrative Management Center (RAMC) showing outstanding obligations and accounts receivable;

(b) Building history files;

(c) Deeds and titles of government property;

(d) Foreign Service Personnel files;

(e) Contract files; and

(f) Equipment inventories.

5 FAH-4 H-315.2-3 Reporting Emergency Destruction

(TL:RMH-1; 10-30-95)

Any emergency destruction must be reported to OIS/RA/RD by the Post Records Officer or Administrative Officer as soon as feasible. The notification will include:

a. Reason for destruction

b. Volume of records destroyed

c. Type of records

d. Inclusive dates of records

e. Date of destruction

5 FAH-4 H-315.2-4 Safe Haven

(TL:RMH-1; 10-30-95)

- a. At the discretion of the principal officer, the transfer of the post's records to a safe haven may be accomplished with or without activating the Emergency Action Plan.
- b. In accordance with 12 FAH-1, Emergency Planning Handbook, OIS will coordinate with posts the transfer of classified and sensitive but unclassified material to a safe haven, preferably Washington.
- c. Posts may safe haven records at a nearby post deemed appropriate. Records for long-term retention (more than one year) are sent to the Department for safe haven.

5 FAH-4 H-315.2-5 Preparation for Safe Haven

(TL:RMH-1; 10-30-95)

When records are to be sent to the Department or a safe haven post, the following procedures must be followed if possible:

- (1) Standard records size storage boxes will be issued to individual offices maintaining records;
- (2) Each office will pack its records and mark the cartons as to their contents; e.g., Panama, 1987, Political Files;
- (3) Notify OIS/RA/RD or the post where the records will be housed. This includes an estimated time for storage and, if storage is to take more than one year, then approval for retirement to the Department's Records Service Center is to be sought.

5 FAH-4 H-315.2-6 Responsibility of Safe Haven Sites

(TL:RMH-1; 10-30-95)

Posts serving as safe haven sites are responsible for providing reference service to the post whose records they hold. The records are to be segregated and clearly identified as those being held for safe haven. If after a year, these records are not called for or otherwise used, retire them to the Department. The safe haven post will note on Form DS-693B (Retirement of Records) that the records were for safe haven and the post where the records originated.

To Dispose or Not to Dispose?



National Archives and Records Administration

Bureau of Public Recreation
ATTN: Stacy Simpson
1200 Independence Ave, SW
Washington, DC

Dear Ms. Simpson:

Enclosed is the Disposal Notification Report of transfers that are eligible for destruction in January 2011. Please return the signed notices by December 1, 2010, in the envelope provided.

If we do not receive any response, another notice will be sent during the July (2011) disposal cycle. We will **not** dispose of any records without your written concurrence. Your agency will continue to be billed for storage until such time your written concurrence is received.

Please notify us if you believe the records are incorrectly scheduled for destruction or must be retained for a longer period due to current or ongoing litigation or due to a change in disposition authority after the records were sent. Should you need to defer the disposal date, please notify us of the accession number and new disposal date, so that we can defer any further notices until that time.

Please note that your written concurrence is also an acknowledgement that the records are not currently frozen.

Sincerely,

JAMES FLANDERS
Team Lead, Transfer & Disposition

DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : **ADN1-352170765**

Notification Date : 12/23/2010

Transfer #: L700-07-0012

Disposition Code : Temporary

Disposal Date : 01/01/2011

DA Last Name : Hudson Ray

Actual Volume (C.F.) : 15

Agency Name : Bureau of Public Relations

Series Description : Litigation Support Data Base

Street Address : AREA OFFICE

Inclusive End Date :

Street Address 2 : 23456 YOU FIND IT

Disposition Authority : N1-700-98-01/405

City : YULE, FL 85423, 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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____

Proposed Containers for Disposal : Begin Box# 1, End Box# 15

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

Return To :
FRC - Riverside
23123 CAJALCO ROAD
PERRIS CA 92570-7298

National Archives and Records Administration

NA FORM 13001

DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : **ADN1-352170759**

Notification Date : 12/23/2010

Transfer #: L700-05-0213

Disposition Code : Temporary

Disposal Date : 01/01/2011

DA Last Name : Hudson Ray

Actual Volume (C.F.) : 10

Agency Name : Bureau of Public Relations

Series Description : Telephone Contract Purchase Orders **Street Address :** AREA OFFICE

Inclusive End Date : 09/30/2004

Street Address 2 : 23456 YOU FIND IT

Disposition Authority : N1-700-98-01/419-1b

City : YULE, FL 85423, 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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____

Proposed Containers for Disposal : Begin Box# 1, End Box# 10

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

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DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : ADN1-352170753

Notification Date :	12/07/2010	DA Last Name :	Hudson Ray
Transfer #:	L700-00-0120	Agency Name :	Bureau of Public Relations
Disposition Code :	Temporary	Street Address :	AREA OFFICE
Disposal Date :	01/01/2011	Street Address 2 :	23456 YOU FIND IT
Actual Volume (C.F.) :	8	City :	YULE, FL 855423, USA
Series Description :	Aquatic Recreation Policy Proposals		
Inclusive End Date :	12/31/1999		
Disposition Authority :	N1-700-98-01/310		

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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____ **Proposed Containers for Disposal :** Begin Box# 1, End Box# 8

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

Return To :
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DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : ADN1-352170791

Notification Date :	12/23/2010	DA Last Name :	Hudson Ray
Transfer #:	L700-2009-0001	Agency Name :	Bureau of Public Recreation
Disposition Code :	Temporary	Street Address :	AREA OFFICE
Disposal Date :	01/01/2011	Street Address 2 :	23456 YOU FIND IT
Actual Volume (C.F.) :	25	City :	YULE, FL 85423, USA
Series Description :	Terrestrial Recreation Cse Tracking Files		
Inclusive End Date :	09/30/2008		
Disposition Authority :	N1-700-98-01/106		

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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____ **Proposed Containers for Disposal :** Begin Box# 1, End Box# 25

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

Return To :
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DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 38 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

Disposition Number : **ADN1-352170786**

Notification Date : 12/23/2010

Transfer #: L700-2002-0025

Disposition Code : Temporary

Disposal Date : 01/01/2011

DA Last Name : Hudson Ray

Actual Volume (C.F.) : 35

Agency Name : Bureau of Public Recreation

Series Description : Enviro-Cleen Product Testing Files

Street Address : AREA OFFICE

Inclusive End Date : 02/28/2006

Street Address 2 : 23456 YOU FIND IT

Disposition Authority : N1-700-98-01/306

City : YULE, FL 85423, 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 if/when 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

Reason(s) For Decline : _____

Proposed New Disposal Date (mm/dd/yyyy) : _____

Proposed Containers for Disposal : Begin Box# 1, End Box# 35

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 records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

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NARA Bulletin 2014-04

January 31, 2014

TO: Heads of Federal Agencies

SUBJECT: Revised Format Guidance for the Transfer of Permanent Electronic Records

EXPIRATION DATE: January 31, 2017

1. What is the purpose of this Bulletin? (See end note**)**

This Bulletin specifies which file formats are acceptable when transferring permanent electronic records to NARA. This Bulletin contains an appendix that will be updated to reflect the continual format changes in how agencies create and use electronic records. This Bulletin replaces all previous guidance identifying file formats that may be used when transferring permanent electronic records to NARA.

This guidance supports the requirements in Item A1, Section A, Part II, of OMB Memorandum M-12-18 Managing Government Records Directive to make available revised guidance for transferring permanent electronic records.

2. Does this guidance apply to all Federal permanent electronic records?

Yes, this Bulletin applies to all electronic records that have been appraised and scheduled for permanent retention. Specifically, it covers electronic records that are created, used, and managed on computer systems and which can be moved between computer file systems without alteration of the original method of encoding. It applies to records that originated electronically, such as word processing files or digitally recorded sound, as well as those that are digital representations of records which originated in a non-electronic form such as paper or film. The records management and transfer requirements for audiovisual and cartographic formats that are dependent on specific physical media are described in 36 CFR 1237. Metadata requirements for electronic records will be issued separately. Until they are published, agencies must comply with existing requirements for documentation and metadata as described in 36 CFR §§ 1235.48, 1236.12, and 1237.28.

3. What are some of the ways this guidance is different from NARA's previous guidance?

Key changes from NARA's previous guidance include:

- a. 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. If PDF does not appear within a format category, then it is not appropriate for use with electronic records of that type;
- b. Scanned text and digital photographs are now together in the format category, Digital still images, which also includes a sub-category specifically for Digital posters;

- c. There are now categories for Digital audio and Digital moving images, which expand on the Frequently Asked Questions (FAQ) About Digital Audio and Video Records;
- d. There is a format category specifically for Computer aided design (CAD); and
- e. Word processing and office automation formats are identified as appropriate for use with textual records.

4. What electronic formats will NARA accept for transfer?

- This Bulletin describes several additional categories of electronic records and expands the number of acceptable formats that NARA will accept for transfer, based on their sustainability. Sustainability as it relates to electronic file formats is the suitability of a format to preserve encoded information over time.
- Factors that contribute to a format's sustainability include the availability and completeness of documentation, and the availability of applications that can interpret it. These factors are used by NARA to analyze formats that are in common use to determine their appropriateness for agencies transferring permanent records.
- 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. The categories serve to provide a convenient way to associate formats that are generally used to store a particular electronic record type. 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, statistical and scientific data)
 - Email
 - Web records

5. What formats are included in each category?

NARA has identified preferred and acceptable formats for each category in the tables found at <http://www.archives.gov/records-management/policy/transfer-guidance-tables.html> (see Appendix A). Because files formats change frequently, the tables will be updated as needed to reflect new preferred or acceptable formats. Criteria such as the availability of technical specifications and licensing restrictions will be used to determine whether a format is sustainable and appropriate for use with permanent electronic records.

Formats are identified by name and by the relevant specification that defines appropriate encoding methods. Many file formats, especially those used with digital audio and video, are composed of multiple parts including a wrapper, which is the file format, and an embedded encoding stream or codec. In these cases the format category table will include a column that specifies the codec or codecs that may be used with each format. Agencies must submit electronic records in files that are valid both according to the wrapper and any specified codec standards.

6. Do transfers have to be records of only one format?

Transfers do not have to be records of only one format. This guidance assumes that transfers will be permanent records described by schedule items and will include files that are encoded in a format identified as preferred or acceptable as listed in this guidance. NARA does not require embedded files, attachments to email messages, or other subsidiary files included in the transfer to conform to the format categories under which they would fall if they were transferred on their own.

Transformation of an electronic record from one format to another could result in changes to the record content, structure, or metadata. Agencies that maintain records in formats that do not conform to this Bulletin should contact the appropriate NARA office, as listed in Section 11, before migrating, converting, or altering the permanent records to meet the NARA format requirements.

7. How and when should I transfer permanent electronic records to NARA?

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. Acceptable transfer media and methods are described in 36 CFR 1235.46. More information on NARA transfer methods can be found on the NARA Transfer of Electronic Records page. When transferring electronic records, agencies should identify the applicable format category table and submit records in a format identified as 'Preferred', 'Acceptable', or 'Acceptable for Imminent Transfer'. Formats identified as 'Acceptable for Imminent Transfer' are legacy formats that are no longer in common use and that NARA will eventually stop accepting. Agencies with permanent records in any of these formats should contact the appropriate NARA office, as listed in Section 11, to arrange for transfer.

8. What other steps should I take before transferring permanent electronic records?

In some cases, additional 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 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; and
- Comply with any existing agency policies regarding the encryption of physical media used to transfer electronic records to NARA.

Where possible, agencies should use available technology to cull non-record information and temporary records that are eligible for disposal under a previously approved records disposition authority from transfers of permanent electronic records – e.g., transitory records. Where the agency does not take these steps, NARA may exercise its discretion to do so, using the authorization provided in the transfer documentation.

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 to NARA 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

In addition, in all cases, agencies must:

- Deactivate passwords or other forms of file level encryption including digital rights management (DRM) 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; and
- Retain a copy of all permanent electronic records transferred to NARA until receiving official notification that NARA has accepted legal custody of the records.

9. What access will I have to the records I transferred?

For accessioned records, NARA will provide access to all researchers requesting records accessioned from Federal agencies, subject to review of content for Freedom of Information Act (FOIA) 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. While compliance with these requirements will improve future access to accessioned records, NARA's ability to provide access to certain records will vary according to any hardware and software dependencies. At the present time, NARA provides users with the best available copy of fully releasable electronic record files on media currently approved by NARA. Users will be responsible for obtaining any hardware and software necessary to view the records.

10. What other NARA guidance on electronic records is available?

- **NARA Bulletin 2011-01 Checklist of Current NARA Bulletins and List of Records Management Guidance in Effect:** includes a checklist of the current NARA bulletins and list of records management guidance in effect;
- **NARA Bulletin 2013-02 Guidance on a New Approach to Managing Email Records:** provides agencies with a new records management approach, known as “Capstone,” for managing their Federal record emails electronically. This Bulletin discusses the considerations that agencies should review if they choose to implement the Capstone approach to manage their email records;
- **NARA Bulletin 2014-02 Guidance on Managing Social Media Records:** provides high-level recordkeeping requirements and best practices for capturing records created when Federal agencies use social media;
- **Toolkit for Managing Electronic Records:** provides descriptions of a collection of guidance products for managing electronic records. It includes resources (“tools”) that have been developed by NARA and other organizations.
- **NARA Bulletin 2010-05 Guidance on Managing Records in Cloud Computing Environments:** outlines the risks and challenges of records management in the cloud, highlighting the need for agencies to designate and control the record copies of all Federal records created in the course of business;
- **NARA Bulletin 2007-02 Guidance concerning the use of Enterprise Rights Management (ERM) and other encryption-related software on Federal records:** provides information on the use of Enterprise Rights Management (ERM) and other encryption-related software;

- **Frequently Asked Questions About Media Neutral Schedule Items:** NARA established that all records schedule items submitted on or after December 17, 2007 be media neutral, to improve the process of scheduling electronic records. This change in policy makes all schedules media neutral except for items explicitly limited to a specific recordkeeping medium (36 CFR 1225.12(e)); and
- **PKI Digital Signature Authenticated and Secured Transaction Records:** provides records management guidance to Federal agencies for PKI digital signature authenticated and secured electronic transaction records.

11. Who should I contact for additional information?

For information related to the transfer of electronic records, the agency must consult with the National Archives and Records Administration, Electronic Records Accessioning and Processing Staff (RDEP), 8601 Adelphi Road, College Park, MD 20740, general telephone number (301) 837-3420, email Etransfers@nara.gov.

For information specific to transferring digital photographs and their accompanying metadata, the agency must consult with the National Archives and Records Administration, Special Media Archives Services Division, Still Pictures (RDSS) for digital photographs, 8601 Adelphi Road, College Park, MD 20740 email stillpix.accessions@nara.gov. Special requirements for digital photographs are described in 36 CFR 1237.28.

For information specific to transferring digital audio or video files and their accompanying metadata, the agency must consult with the National Archives and Records Administration, Special Media Archives Services Division (RD-SM) for digital audio and video, 8601 Adelphi Road, College Park, MD 20740, telephone number (301) 837-2903.

If additional information is needed, or if you have questions about any part of this Bulletin, please contact your agency's Records Officer. A list of agency records officers can be found on the NARA web site at <http://www.archives.gov/records-mgmt/agency/officers-lists.html>. Your agency's records officer may contact the NARA appraisal archivist with whom your agency normally works. A list of the appraisal contacts is posted on the NARA web site at <http://www.archives.gov/records-mgmt/appraisal/>.

****NARA bulletins provide fundamental guidance to Federal agencies, who must then determine the most appropriate ways to incorporate recordkeeping requirements into their business processes and identify the specific means by which their agencies will fulfill their responsibilities under the Federal Records Act.

Updated: February 25, 2014

2.0 Background

PDF is a priority electronic records format identified by NARA and partner agencies as part of the Electronic Records Management (ERM) initiative, one of the 24 E-Gov initiatives under the President's Management Agenda. A major goal of this initiative is to provide the tools for agencies to access electronic records for as long as required and to transfer permanent electronic records to NARA for preservation and future use by government and citizens. NARA has previously issued transfer guidance for e-mail with attachments and scanned images of textual records under this ERM initiative.

These guidance documents and additional information about the ERM E-Gov initiative can be found on NARA's web site¹.

3.0 Transfer Requirements for PDF Records

NARA will accept transfers of PDF records that have been scheduled as permanent records on a SF 115, Request for Records Disposition Authority. Any agency that has permanent PDF records that do not meet the requirements in this guidance, should contact the NARA appraisal archivist assigned to that agency (see section 6.0).

To facilitate preservation processing and future access to these records, agencies must comply with the following minimum requirements:

3.1 PDF File Specification for All PDF Records

3.1.1 PDF records must comply with PDF versions 1.0 through 1.4 (i.e., all existing PDF versions as of the effective date of this guidance) and meet the requirements outlined in sections 3.2 through 3.4.

3.1.2 NARA periodically will update the list of acceptable PDF versions as required.

3.2 General Requirements for All PDF records

3.2.1 Security Requirements

3.2.1.1 PDF records must not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent NARA from opening, viewing or printing the record.

3.2.1.2 In addition, PDF records created after April 1, 2004, must have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) prior to transfer to NARA. Deactivating security settings ensures NARA's ability to support long term migration and preservation of the records.

3.2.2 Review of Special Features

Because of the complexities associated with certain PDF features, NARA will review PDF records containing special features on a case-by-case basis when the records are scheduled. Examples of special features include but are not limited to: digital signatures; links to other documents, files or sites; embedded files (including multimedia objects); form data; comments and/or annotations.

3.3 Requirements for Records Converted to PDF from Their Native Electronic Formats (e.g., office automation products)

3.3.1 Electronic records that have been converted to PDF from their native electronic formats must include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records must be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing.

3.3.1.1 PDF records that reference fonts other than the “base 14 fonts”² must have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file.

3.3.1.2 PDF records created after April 1, 2004, must have all fonts referenced in the record, including the “base 14 fonts,” embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

3.4 Requirements for Scanned Paper or Image Formats Converted to PDF

3.4.1 Scanned images of textual paper records converted to PDF must adhere to the requirements in NWM 02.2003, MEMORANDUM TO AGENCY RECORDS OFFICERS: Expanding Acceptable Transfer Formats: Transfer Instructions for Scanned Images of Textual Records (Scanned Images Transfer Guidance), dated December 23, 2002.³

Any agency that has PDF records that have not been scanned according to the minimum image quality specifications in the NWM 02.2003 guidance, should contact the NARA appraisal archivist assigned to that agency (see section 6.0).

3.4.2 PDF records that contain embedded searchable text based on Optical Character Recognition (OCR) must be identical in content and appearance to the source document. NARA understands that the ability to embed OCR'd text in PDF records enhances access to the records. While NARA will accept PDF records with uncorrected OCR'd text, it will not accept PDF records resulting from OCR processes that either alter the content or degrade the quality of the original bit-mapped image.

3.4.2.1 NARA will accept PDF records that have been OCR'd using processes that do not alter the original bit-mapped image. An example of an output process that accomplishes this requirement is Searchable Image–Exact.

3.4.2.2 NARA will not accept PDF records that have been OCR'd using processes that substitute OCR'd text for the original scanned text within the bit-mapped image. Such OCR processes may involve loss of data through imprecise interpretation of scanned characters. Examples of output processes that use this prohibited technique include Formatted Text and Graphics and PDF Normal.

3.4.2.3 NARA will not accept PDF records that have been OCR'd using processes that use lossy compression to reduce file size (e.g., JPEG). Such OCR processes degrade the quality of the original image and may make such images unsuitable for archival preservation. An example of an output process that uses this lossy compression technique for color and grayscale images is Searchable Image–Compact.

3.5 Transfer Documentation

This guidance supplements transfer documentation requirements in 36 CFR 1235.48 to ensure that transfers of records in PDF are clearly identified and described. Agencies must also submit a signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States (SF 258), as required by 36 CFR 1235.18.

3.5.1 For each transfer, agencies must supply documentation that identifies the software used to create the PDF records (if available) and the version(s), and the operating system (if available) and version(s).

3.5.2 Agencies must provide all external finding aids for the transferred PDF records (e.g., indexes; descriptive, administrative, or technical metadata; and/or databases of OCR'd text) in formats approved by NARA, with the appropriate documentation required by 36 CFR 1235.48

3.5.3 When an agency has developed standards or guidelines to assist in formatting, validating, or accessing PDF records (including recommended software or quality settings, and/or guidelines for embedding metadata within PDF records), a copy of these standards or guidelines must be included with the transfer.

3.5.4 PDF records converted from scanned images also must adhere to the transfer documentation requirements in section 3.3 of the Scanned Images Transfer Guidance.

4.0 Transfer Mechanisms

4.1 Agencies may transfer PDF records using any of the approved media or methods listed in 36 CFR Part 1235.46 that became effective January 29, 2003.⁴

4.2 PDF records must not be compressed (e.g., Winzip, PKZIP) or aggregated (e.g., TAR) for purposes of transfer unless NARA has approved the transfer in compressed or aggregated form in advance. In such cases, NARA may require the agency to provide the software to decompress the records [see 36 CFR 1235.50].

5.0 Levels of Access

NARA will provide access to the creating agency and to all researchers requesting PDF records accessioned from Federal agencies, subject to review of content for FOIA exemptions as is feasible. While compliance with these requirements will improve future access to accessioned PDF records, NARA's ability to provide access to certain records will vary according to their hardware and software dependencies. At the present time, NARA provides users with a copy of fully releasable electronic record files on any of the media currently approved by NARA. For PDF records transferred to NARA the user will be responsible for obtaining the necessary hardware and software to view the records.

6.0 Contact Information

For assistance in scheduling PDF records, or to discuss how to handle permanent PDF records that do not meet the specifications in section 3.0, contact your agency appraisal archivist in the Life Cycle Management Division (NWML). The NWML general telephone number is 301-837-3560.

For technical assistance in transferring PDF records to NARA, contact the Electronic and Special Media Records Services Division (NWME), 8601 Adelphi Road, College Park, MD 20740. The general telephone number is 301-837-3420.

¹ <http://www.archives.gov/records-mgmt/initiatives/erm-overview.html>

² The base 14 fonts are: Courier (Regular, Bold, Italic, and Bold Italic), Arial MT (Regular, Bold, Oblique, and Bold Oblique), Times New Roman PS MT (Roman, Bold, Italic, and Bold Italic), Symbol, and ZapfDingbats.

³ <http://www.archives.gov/records-mgmt/memos/nwm02-2003.html>

⁴ <http://www.archives.gov/about/regulations/part-1228-l.html>