

Knowledge Area 4

Records Schedule Implementation

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Administrative Items

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



Getting to Know You: Time Machine

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

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

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

Your Records Management Experience

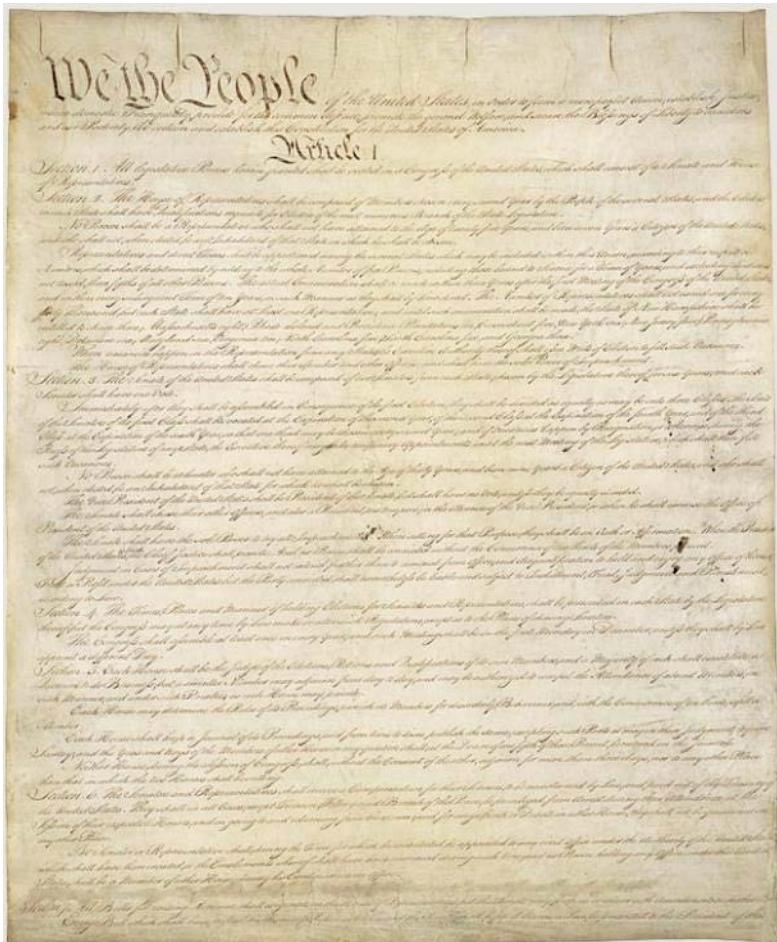
How much records management experience do you have?

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

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

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

About NARA



NARA provides for timely access to and preservation of government records, thus safeguarding the rights and liberties of American citizens.

NARA also displays to the entire world documents crucial to our democracy – including the Charters of Freedom:

- The Declaration of Independence
- The Constitution of the United States
- The Bill of Rights

About NARA (cont'd.)

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

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



NARA's Federal Records Centers (FRCs) provide records management services to Federal agencies.

A map of the United States with 15 blue dots indicating sampling locations. The dots are distributed across the country: one in the Pacific Northwest (Washington), one on the California coast, one in southern California, one in the Southwest (New Mexico), one in the central US (Colorado), one in the Great Plains (Nebraska), one in the Midwest (Illinois), one in the Midwest (Indiana), one in the Northeast (New York), one in the Northeast (Connecticut), one in the Northeast (Massachusetts), one in the Southeast (Georgia), one in the Southeast (Alabama), one in the Southeast (Louisiana), and one in the Southeast (Florida).

Knowledge Area 4

Course Outline

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

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

Course Objectives

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

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

Course Objectives (cont'd.)

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

Course Agenda

Day 1

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

Course Agenda (cont'd.)

Day 2

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

Course Materials

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

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

Course Outline

Applying What You Learned

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Action Items Worksheets

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



Course Outline

Why Are We Here?

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The Importance of Implementing a Records Schedule



vs.



Key Laws and Regulations

The main laws and regulations governing NARA are:

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

Module 1: Interpreting a Records Schedule

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Module 1 Learning Objectives

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

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

Module 1 Learning Objectives (cont'd.)

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

Module 1: Interpreting a Records Schedule

Key Terms

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Key Term – Definition of a Federal Record

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

Key Term – Records Inventory

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

Key Term – Administrative Records

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

Key Term – Program Records

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

Key Term – Record Series

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

Key Term – File Plan

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

Table 1-1: Human Resource Staff

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

Module 1: Interpreting a Records Schedule

Lesson 1: Records Schedules

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Definition of a Records Schedule

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

What Records Schedules Tell Us

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

Key Term – Disposition

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

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

Key Term – Disposition Authority

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

Disposition Authority: The GRS

General Records Schedules (GRS):

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

Disposition Authority: Agency Schedules

Agency Records Schedules:

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

Common Elements of Records Schedules

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

Comprehensive Schedules

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

Functional Arrangement

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

Table 1-2: Functional Arrangement

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

Organizational Arrangement

Record series and systems are arranged by organizational unit.

Table 1-3: Information Resources Management Staff

#	Description	Functional Arrangement
404	System Planning Files Files documenting the planning and development of Bureau information systems and annual IT plans.	PERMANENT Cut off at end of FY. Transfer to NARA 3 to 5 years after cutoff.
405	System Administration Files Copies of documentation for all systems used in the Bureau, including both off-the-shelf products and unique applications developed by agency staff.	TEMPORARY Destroy when no longer needed to operate system
406	System Backup Tapes Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data	<ol style="list-style-type: none">1. Delete or destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later2. Delete or destroy full backup tapes when second subsequent backup is verified as successful, or when no longer needed for system restoration, whichever is later

Flexible Schedules

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

Big Bucket Schedule

Disposition instructions apply to multiple record series or systems.

Broad program area.

202	Advisory Commissions This schedule covers records in any and all media, in any and all formats, and produced using any and all tools. Files documenting the commission's establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as: <ul style="list-style-type: none">♦ original charter, renewal and amended charters, organization charts, functional statements, directives or memorandums, to staff concerning their responsibilities, and other material that document the organization and functions of the commission and its components.♦ agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiotapes and/or videotapes of meetings and hearings which were not fully transcribed.	PERMANENT Transfer to NARA on termination of Commission. Earlier transfer is authorized for commissions operating for 3 years or longer. GRS 26/2a
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Type of records included.

Retention Bands

Disposition instructions include minimum and maximum retention periods.

Table 1-4: Records Common to Most Offices

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

Review Activity

Guidance for Implementing a Flexible Records Schedule



Why We Have Records Schedules and Why We Implement Them

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



Locating Your Agency's Current Records Schedule(s)

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

Module 1: Interpreting a Records Schedule

Lesson 2: Setting Up a Records Disposition Program

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Elements of a Records Disposition Plan

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

Stakeholders – Disposition

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

Developing Policy and Procedures

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

Staff Training

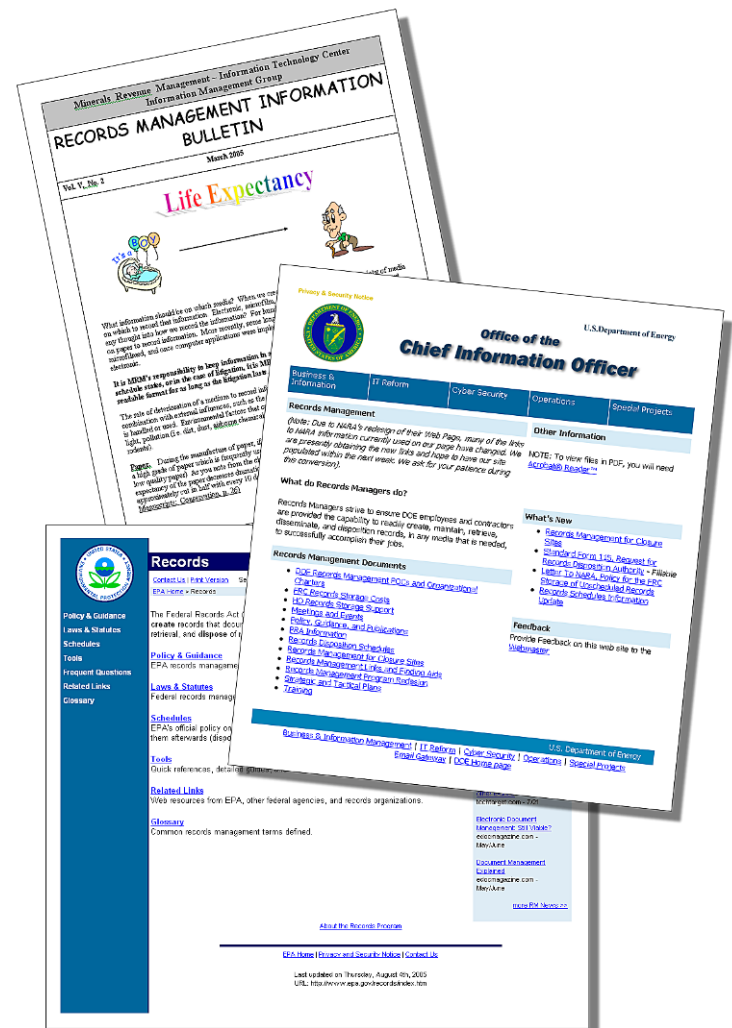
- Fosters good records management and consistent recordkeeping practices
- Reduces records-related risks (e.g., unauthorized destruction) and liability
- Promotes staff efficiency
- Reduces costs

What Needs to Be Taught?

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

Best Practices – Training Staff

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



Creating Buy-in

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

The Records Disposition Plan – A Living Document

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

Module 1: Interpreting a Records Schedule

Lesson 3: Applying a Records Schedule

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Applying the Schedule

Follow the disposition instructions for the records as outlined on the approved records schedule.

Key Term – Unscheduled Records

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

Closed and Cutoff Files

Difference between closed and cutoff files

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

Best Practices – Applying a Schedule

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

Schedule Coverage

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

Media Neutral Schedule Items

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

Module 1: Interpreting a Records Schedule

Review and Wrap-Up

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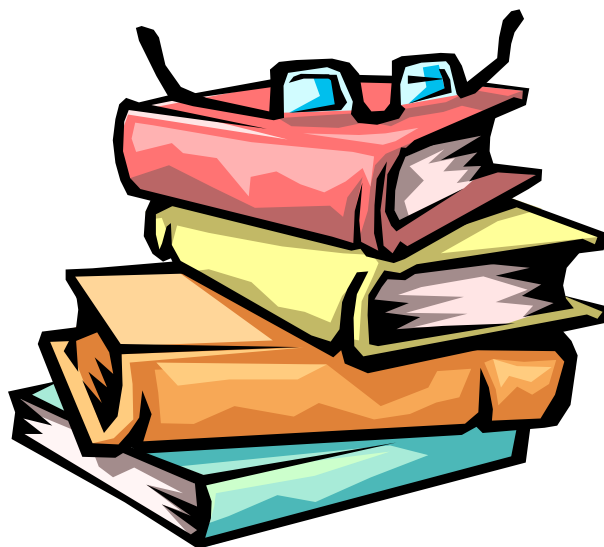
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Review Activity

Interpreting a Records Schedule



Module Review



Applying What You Learned

Module 1 – Action Items Worksheet



Mod 2

Module 2: Storing Federal Records

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Module 2 Learning Objectives

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

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

Module 2: Storing Federal Records

Lesson 1: Transferring Records to Off-Site Storage

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What is Records Transfer?

The process of moving records from one location to another:

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

Transferring Records Off-Site: A Business Decision

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

Which Records Can Be Transferred to Off-Site Storage?

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

Identifying Cutoff, Transfer, and Disposal Dates

Table 2-1: Identifying Record Cutoff Date

Step	Example
<p>Identify the record's cutoff date</p> <ul style="list-style-type: none">▪ Fiscal Year (FY) cutoff = September 30▪ Calendar Year (CY) cutoff = December 31▪ Action or event = ???	<p>Cutoff date: CY 2009 = 12/2009</p> <p>Disposition clock begins: 01/2010</p>

Calculating Disposal Dates

Table 2-2: Steps to Calculate Disposal Dates

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

Disposition Date Chart

Table 2-3: Retention Period in Years

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

DestructDate Calculator

[Click here for DestructDate Calculator](#)

DestructDate 4.0

Ending Date, Month: <input type="text"/>	Ending Date, Year: <input type="text"/>	Quarterly System:
Years: <input type="text" value="0"/>	Months: <input type="text" value="0"/>	<input type="text" value="Federal"/> ▼
Disposition: <input type="text"/>	<input type="button" value="Calculate Date"/>	<input type="button" value="Show Help"/>
		<input type="button" value="Save Setting"/>

The Process for Transferring Records to Off-Site Storage

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

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

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

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

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

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

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

Transfer Information You Need for Managing Off-Site Records

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

Tracking Records Information

Records Management - RMO View		
Records Center: RHA	Office: ASW	Accession: 135-2002-0003
Record Type: Inactive - Temporary		
Volume: 1	Box Number: 1	Location: 180215 - 180215
Series: 103-10.b __ GAO/IG Audit Report Files - Information Copy __ NLN		
Comments: Social Security Number Audit		
Restriction: W - Witnessed disposal required		
Critical Dates		
Arrival: 9/17/2002	Disposal: 1/1/2005	Closed: 8/31/2002
Contract Number	Contract Title	Freeze Title
		Tobacco Litigation

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

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

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

Review Activity

Disposition Recommendation



Module 2: Storing Federal Records

Lesson 2: Storage Options

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Types of Storage Facilities

- Federal Records Centers (FRCs)
- Agency Records Centers
- Commercial Records Centers

Standards for the Storage of Federal Records

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

Facility Approval and Agency Responsibility

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

Facility Inspection Requirements

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

Basic Services Needed from a Storage Facility

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

Things to Consider When Selecting a Storage Facility

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

Storage Contracts

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

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

Review Activity

Storage Contracts



Module 2: Storing Federal Records

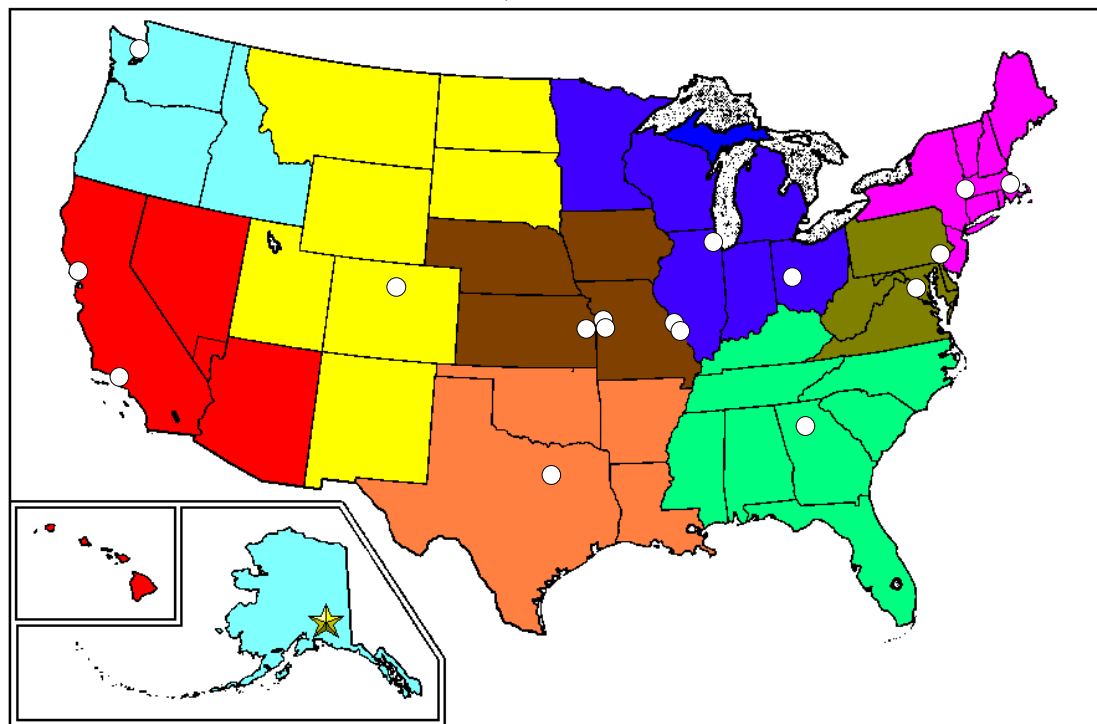
Lesson 3: Federal Records Centers

THE
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AND RECORDS
ADMINISTRATION

RECORDS
MANAGEMENT
TRAINING
PROGRAM

Introduction to Federal Records Centers

FRCs provide records management services to Federal agencies.



NARA's Federal Records Centers

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

Contracting with Federal Records Centers

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

Transferring Records to Federal Records Centers

Two FRC-specific requirements must be followed:

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

FRC-Specific Transfer Guidelines

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

FRC-Specific Transfer Guidelines (cont'd.)

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

FRC-Specific Transfer Guidelines (cont'd.)

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

SF 135, Records Transmittal and Receipt

The SF 135 serves a dual purpose:

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

Best Practices – SF 135, Records Transmittal and Receipt

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

Completing the SF 135

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

NSN 7540-00-634-4093

135- 107

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

NARA – Records Transfers

2 - ARCIS Online - Pre QA 2.5 - Windows Internet Explorer

http://gpeatest.archives.gov/arciscustpreqa/start.swe?SWECmd=Login&SWEPL=1&SWETS=1288796726031

File Edit View Favorites Tools Help

Google Search Share Check Translate AutoFill Sign In Convert Select

Favorites Suggested Sites Free Hotmail

2 - ARCIS Online - Pre QA 2.5

THE NATIONAL ARCHIVES Archives.gov Home

Personal Profile Log Out

Home Records Transfers Reference Requests User Administration Agency Profile

Records Transfer

Save and Finish Later Attachments Go Back Continue Help Agency Help

About the Transfer	About the Records	About the Records	About the Agency Personnel
Transfer #: *Status: Initiated Customer Reference # (optional): ARMA *Record Group: 992 *Charge Account: T39992T3 Branch: SUPER Customer Defined: NONE *Records Center: FRC - Philadelphia Security Classification Type:	*Type of Records: TEXTUAL Container Type: Standard Number of Containers: 2 Inclusive Start Date (MM/DD/YYYY): 11/9/2010 Inclusive End Date (MM/DD/YYYY): 11/9/2010 *Description of Records: ARMA CONFERENCE	Disposition Code: Temporary Proposed Disposition Authority: ABC-123 Proposed Disposition Date (MM/DD/YYYY) (optional for active & contingent records): 1/1/2050 Comments:	Created By: SUPER.TEST2@NARA.GOV *Agency Contact Last Name: SUPER Agency Contact First Name: TEST2 Agency Approver Last Name: SUPER Agency Approver First Name: TEST2 *Agency Official Last Name: ROOT Agency Official First Name: TEST2

Trusted sites

start Novell GroupWise - M... Microsoft PowerPoint ... 2 - ARCIS Online - Pr... 11:23 AM

NARA – Reference Requests

1 - ARCIS Online - QA 3.0.0 - Windows Internet Explorer

http://gpeatest.archives.gov/arciscustqa/start.swe?SWECmd=Login&SWEPL=1&SWETS=1299676677000

File Edit View Favorites Tools Help

Google Search Share Check Translate AutoFill Sign In Convert Select

Favorites 1 - ARCIS Portal - 4.0 1 - ARCIS Prod 4.0 3 - ARCIS QA 3.0 Suggested Sites message

1 - ARCIS Online - QA 3.0.0

THE NATIONAL ARCHIVES Archives.gov Home

Personal Profile Log Out

Home Records Transfers **Reference Requests** User Administration Agency Profile

Reference Request

Edit Back to Reference Requests Cancel Request Continue

About the Request	About the Records	About the Recipient	About Status and Shipping
Reference Request #: ARR1-107680401 Record Group: 992 Agency: Testing Agency 2 Last Name: SUPER First Name: TEST2 Nature of Service: Temporary Loan of Records Service Level: Standard	Request Category: General Reference Records Transfer #: PT-992-2010-0002 Container #: 1 Case/File Information: TEST Whole Container: No # of Units: 1 Security Classification: Unclassified Security Level: Standard Storage Charge Account: T39992T3 Stored At:	Recipient Name TEST2 SUPER Address Line 1 14700 TOWNSEND ROAD Address Line 2 City PHILADELPHIA State PA Zip Code 19154 Country USA Phone # (240) 338-3616 Fax # E-mail	Status: Reference Received Reason Not Found: Not Found Comments: Shipping Method: Fax Shipping Carrier: Shipping Account #:

Done

start 1 - ARCIS Online - Q... Microsoft PowerPoint ...

Trusted sites

8:22 AM

What is SmartScan?

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

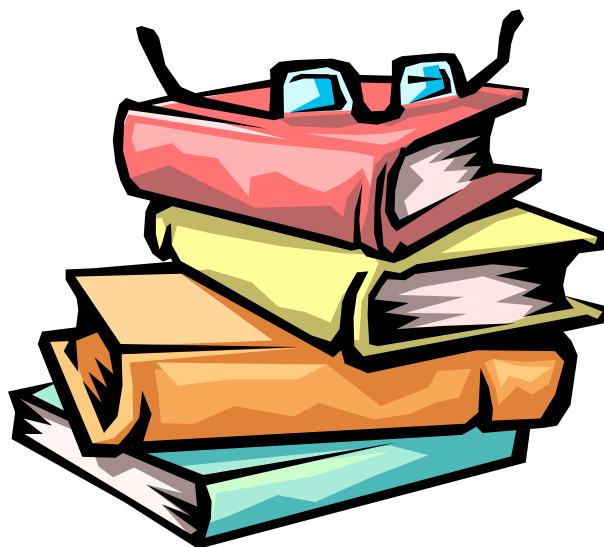
Module 2: Storing Federal Records

Review and Wrap-Up

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Module Review



Applying What You Learned

Module 2 – Action Items Worksheet



Day 1
Wrap

Mod 3

Day 1 Wrap-Up

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Course Agenda

Day 1

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

Course Agenda (cont'd.)

Day 2

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



Day 2 Welcome Back

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TRAINING
PROGRAM

Course Agenda

Day 1

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

Course Agenda (cont'd.)

Day 2

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

Mod 3Mod 4

Module 3: Disposing of Temporary Federal Records

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Module 3 Learning Objectives

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

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

Module 3: Disposing of Temporary Federal Records

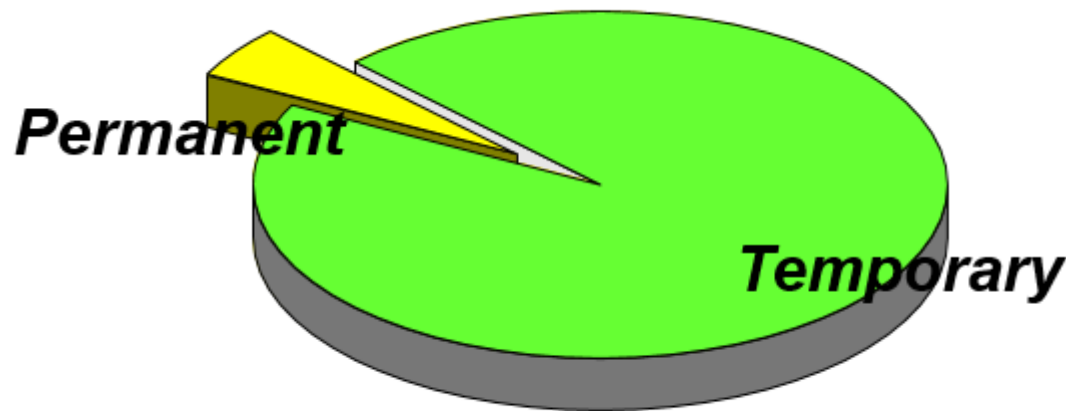
Lesson 1: Records Disposal

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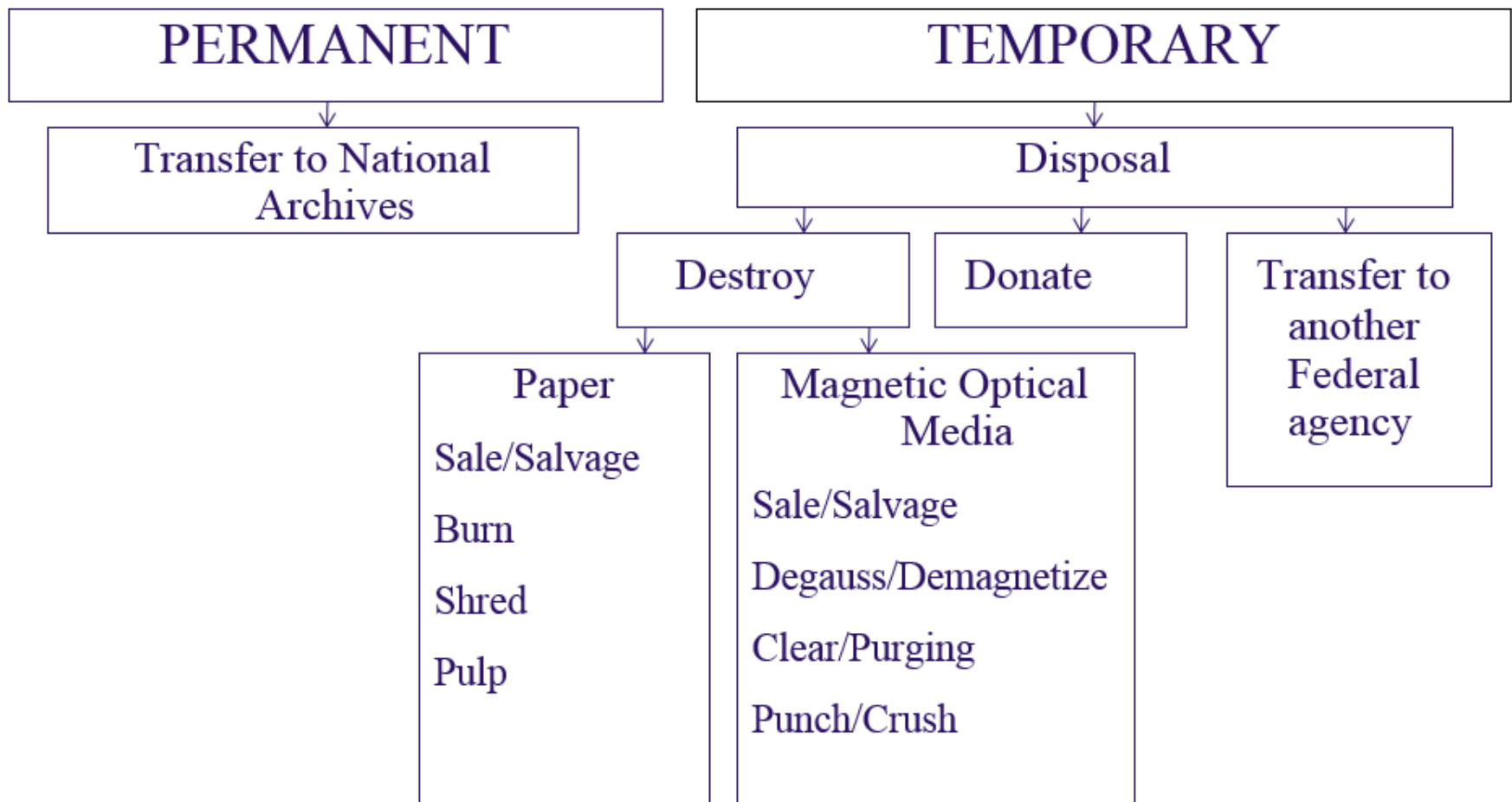
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Records Disposal

Records disposal is the final action taken regarding temporary records after their retention periods expire.



Disposition



Reasons for Records Disposal

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

Records Disposal Risk Issues

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

Key Term – Unauthorized Disposal

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

Module 3: Disposing of Temporary Federal Records

Lesson 2: Disposal Instructions

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Overview of Disposal Instructions

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

Disposal Notification

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

Disposal Notification at Federal Records Centers

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

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

Disposal Notification Report – Temporary Records

DISPOSAL NOTIFICATION REPORT

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

Disposition Number : ADN1-335699697

Notification Date : 02/08/2011

Transfer # : L021-98-0087

Disposition Code : Temporary

Disposal Date : 01/01/2011

Actual Volume (C.F.) : 59

Series Description : CIVIL CASES

Inclusive End Date : 12/31/1994

Disposition Authority : N1/021/10/2/7B6

DA Last Name : HERRAN OMAR

Agency Name : U.S. Courts

Street Address : THURGOOD MARSHALL FED BLDG

Street Address 2 : ONE COLUMBUS CIRCLE, NE, RM 4-454

City : WASHINGTON, DC, 20544, USA

The transfer listed above is eligible for disposal or is scheduled for disposal contingent on completion of some action or event. See above for specifics. Please review this transfer to determine 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# 59

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

Notification for Contingent Disposal

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

Disposal Notification Report – Temporary-Contingent Records

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 : **ADN1-328422325**

Notification Date : 01/19/2011

Transfer #: PT-372-2011-0012

Disposition Code : Temporary - Contingent

Disposal Date : 01/01/2011

Actual Volume (C.F.) : 3

Series Description : CONTRACT AUDIT CASE FILES

Inclusive End Date : 09/30/2004

Disposition Authority : 5015-1/820

DA Last Name : GONZALEZ DIANNA

Agency Name : Defense Contract Audit Agency

Street Address : WESTERN REGION

Street Address 2 : 18700 VALLEY VIEW, SUITE 300

City : LA MIRADA, CA, 90638,

The transfer listed above is eligible for disposal or is scheduled for disposal contingent on completion of some action or event. See above for specifics. Please review this transfer to determine 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# 3

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

Continued Retention

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

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

Key Term – Records Freeze

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

Extension of Retention Period

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

Notification of Continued Retention

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

Court Orders

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

Module 3: Disposing of Temporary Federal Records

Lesson 3: Disposal Methods

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How Are Records Destroyed?

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

Destruction Methods

Shredding



Degaussing Machine



Hard Drive Crusher



Punching Hard Drives



Logistics of Records Destruction

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

Donation of Records

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

Module 3: Disposing of Temporary Federal Records

Review and Wrap-Up

THE
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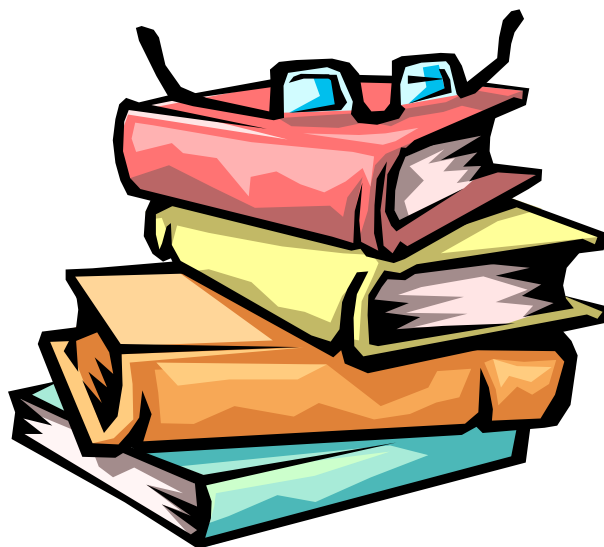
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Review Activity

To Dispose or Not to Dispose?



Module Review



Applying What You Learned

Module 3 – Action Items Worksheet



Module 4: Transferring Permanent Records to the National Archives

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Module 4 Learning Objectives

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

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

Module 4: Transferring Permanent Records to the National Archives

Lesson 1: Permanent Records

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Key Term – Permanent Records

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

Custody of Permanent Records

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

Why Permanent Records Are Transferred to the National Archives

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

Module 4: Transferring Permanent Records to the National Archives

Lesson 2: Transfer and Pre-Accession

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The Process of Transferring Permanent Records to the National Archives

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

Transferring Permanent Records from an FRC

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

Transferring Permanent Records from Agency Storage or a Commercial Facility

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

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

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

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

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

Proper Use of the ERA Transfer Request

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

Information Required to Complete an ERA Transfer Request

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

Review Activity

ERA Records Transfer Request Q&A



Pre-Accession

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

Pre-Accessioning vs. Accessioning

Table 4-1: Pre-Accessioning vs. Accessioning

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

Why Pre-Accession?

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

ERA Transfer Request Process

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

Transfer Guidance for All Permanent Electronic and Special Media Records

Permanent electronic and special media records have special requirements for transfer to the National Archives, including:

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

Transfer Guidance for Specific Types of Permanent Electronic Records

NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records, specifies which file formats are acceptable when transferring permanent electronic records to NARA.

Transfer Guidance for Specific Types of Permanent Electronic Records (cont'd.)

NARA also has transfer requirements specific to the following types of permanent electronic records:

- Computer aided design (CAD)
- Digital audio
- Digital moving images
- Digital still images
- Geospatial
- Presentation
- Textual data
- Structured data
- Email
- Web records

Best Practices – Transferring Permanent Electronic Records

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

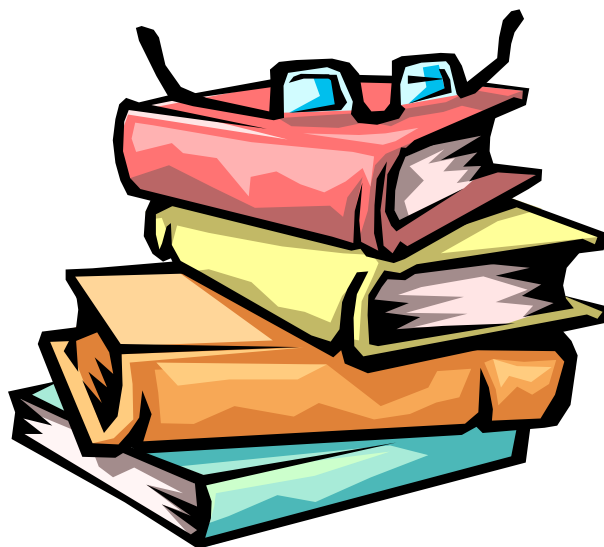
Module 4: Transferring Permanent Records to the National Archives

Review and Wrap-Up

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Module Review



Applying What You Learned

Module 4 – Action Items Worksheet



Module 5: Maintaining an ERA Records Schedule

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Module 5 Learning Objectives

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

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

Module 5: Maintaining an ERA Records Schedule

Lesson 1: Changes That May Affect a Records Schedule

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Why Update Records Schedules?

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

Changes That May Affect a Records Schedule

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

Changes Requiring NARA Approval

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

Updating Disposition Instructions

- Nonrecord materials instructions
- Cutoff instructions
- Transfer instructions

Keeping Track of Changes That May Affect a Records Schedule

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

Bureau of Public Recreation

Table 5-1: Using a Records Status Document to Track Changes

Record	Schedule/ Item	NARA Job/ Document/ Reference	Description	Status or Pending Info	Last Date Updated (M/Y)
Field and Laboratory Notebooks	1/304	N1-700-10-#	Environmental Research	Pending	03/10
Personnel Law	1/605c	N1-700-09#	Case Files	Approved	11/11
Site Containment and Clean-Up Files, Maps, and Photographs	1/multiple	DAA-700-2012-0001	Terrestrial Recreation	Submitted	08/12
Accident Files	1/multiple		Terrestrial Recreation	Under review	

(Revised 08/01/13)

Inform Stakeholders of Records Schedule Changes

- Inside your agency
- External partners

Module 5: Maintaining an ERA Records Schedule

Lesson 2: How to Update a Records Schedule

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

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

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

Module 5: Maintaining an ERA Records Schedule

Review and Wrap-Up

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Review Activity

BPR Schedule Maintenance



Activity: BPR Schedule Maintenance

Scenarios:

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

Activity: BPR Schedule Maintenance (cont'd.)

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

Activity: BPR Schedule Maintenance (cont'd.)

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

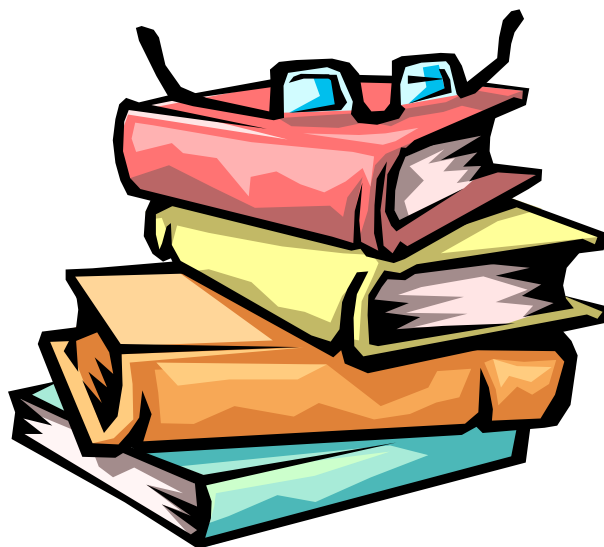
Activity: BPR Schedule Maintenance (cont'd.)

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

Activity: BPR Schedule Maintenance (cont'd.)

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

Module Review



Applying What You Learned

Module 5 – Action Items Worksheet



Wrap-
Up

Course Wrap-Up

Resolving Final Questions

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Getting Help – You Are Not Alone!

- Your Agency Records Officer
- NARA assistance



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

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

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

The screenshot shows a Microsoft Internet Explorer browser window displaying the NARA Publications - Records Management page. The address bar shows the URL: <http://www.archives.gov/publications/records-mgmt.html>. The page features a navigation bar with links to Archives.gov Home, Subject Index, Contact Us, and FAQs. Below the navigation bar is a banner image with the word "Publications" and various historical document covers. The main content area is titled "Records Management Publications" and includes a paragraph about NARA's policy on disseminating records management publications and posters. It also provides contact information for the National Archives and Records Administration, including the address, telephone, fax, and email. A section titled "Currently Available" lists "Posters" and "Publications". At the bottom, there is a section for "Records Management Posters" with a note about updated text on posters and a link to "Our Records/Your Responsibilities".

PUBLICATIONS

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

Records Management Publications

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

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

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

Telephone: 301-837-3560
Fax: 301-837-3699
E-mail: records.mgt@nara.gov

Currently Available

- [Posters](#)
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Records Management Posters

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

- [Our Records/Your Responsibilities](#)

Please complete your KA 4
Course Evaluation

Thank You!

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