#### National Archives and Records Administration

Federal Records Management Level 1: Maintenance and Use

Participant Guide

Module 3 – File Plans

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# Module 3: File Plans

## Module 3 Checklist

* Complete the online module.
* Create (or review and update) a file plan for your office or program.
  + If your agency has its own template or standards for file plans, follow your agency’s guidance.
* Reflect on what you have learned and on how your office uses (or could use) a file plan.

## Module Objectives and Agenda

Use records inventory information to update a file plan.

## Task Goal

Given a records inventory, update a file plan to accurately represent all necessary information.

### Task Objectives

* Recognize the importance of having an accurate file plan.
* Compare information fields in completed inventories and file plans.
* Follow procedures for approved distribution of a file plan.

## Records Schedules, File Plans, and Inventories

## File Plans

| **File Code** | **Series Title and Description** | **Filing and Disposition Instructions** | **Location** |
| --- | --- | --- | --- |
| PM-507 | **Project History Files**  Files documenting the establishment, management, and completion of projects. | File by project number.  Cut off upon completion or closure of project. Destroy 15 years after cutoff.  Disposition Authority:  N1-700-12-010 | Shared drive P: |

## Accurate File Plans

How can accurate file plans help?

What risks could an inaccurate file plan pose?

## Fields from the records inventory that support the file plan

* Records location
* File code
* Series title
* Description/notes about the series
* Disposition information
* Information about how records are filed
* Information about access and use restrictions

## Begin the File Plan Process



## Activity: Update a File Plan

Review the file plan on the following pages line by line and compare it against the Records Inventory Worksheets and records schedule for each series.

As you review each line of the file plan, look for updates the office needs to make based on the information it has found in the inventory and the retention information from the schedule. Look for any errors, additions, and corrections the office should make.

## Activity: Update a File Plan – File Plan to update

Agency for Natural Resources Protection, Laguna Niguel Office

Organization: Agency for Natural Resources Protection, Laguna Niguel Field Office

Prepared by: Jane Filesalot, Phone 7-5555

Reviewed by: Manny Jurr, 10/01/2017

| **File Code** | **Series Title/Description** | **Filing and Disposition Instructions** | **File Location** |
| --- | --- | --- | --- |
| 2.6-010 | **Insect Population Studies**  Combined data reports, draft outlook reports, final outlook reports documenting research used to study insect population increases, decreases, and migrations. | File alphabetically by scientific name (Genus, species).  PERMANENT.  Cut off at the end of each fiscal year. Send to the Records Center 5 years after cutoff. Send to NARA 15 years after cutoff.  Disposition Authority:  N1-64-87-1 | Central files area, room 205, Cabinet 5, drawers 1-3. |
| 2.6-010 | **Insect Population Tracking Data**  Raw data collected by human and digital insect counters throughout the U.S. as part of insect population studies. | File by month collected, then alphabetically by scientific name (Genus, species).  TEMPORARY.  Cut off data files at the end of each year.  Disposition Authority: N1-64-87-1 | I:EnvironmentalResearch\IAD\InsectStudies\PopulationTrackingData |
| 2.6-030 | **Lake Recreation Studies**  Files documenting the environmental impact of the recreational use of natural and manmade lakes throughout the U.S. Files include water quality testing reports, photographs, videos, maps and nautical charts, and final documents reporting study results. | File alphabetically by name of body of water.  PERMANENT.  Close files at the end of the calendar year in which the research is completed. Send files to the Records Center 5 years after closure. Send to NARA 10 years after sending to the Records Center.  Disposition Authority: N1-64-91-1 | Central Files area, room 205, Cabinet 2, drawer 1. |
| 2.6-070 | **Environmental Impact Assessments**  Documents that record the effort to protect the environment in carrying out federal programs. Includes a description of the proposed project, an analysis of the project's possible environmental effects, and an examination of alternative courses of action. | File by project number.  PERMANENT.  Cut off at the end of the calendar year in which the project is completed. Transfer to NARA 75 years after cutoff.  Disposition Authority: | Central Files area, room 205, Cabinet 4, drawers 1-2.  Records Center. |
| 2.6-080 | **Water Data Records**  Cut off files at end of fiscal year. Retire to the Records Center after active reference ceases. Destroy 30 years after retirement to the Records Center. | Inland waters study data including temperature, aeration and flow, gaging station data, and well logs.  Disposition Authority: N1-64-95-1 | Central Files area, room 205, Cabinet 4, drawers 3-4.  Records Center. |

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## Update a File Plan: Records Inventory Worksheet 1

| **Type of Information** | **Information Collected** |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Insect and Arachnid Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Jane Crawley |
| 1. **Records location (room, file cabinet, file/folder path)** | Central files area, room #205, Cabinet 5, drawers 1-3. Cut off paper files are in 21 boxes in Records Center.  Digital files: I:EnvironmentalResearch\InsectArachnidDivision\InsectStudies\PopulationStudies |
| 1. **File Code and Series Title** | 2.6-010a Insect Population Studies |
| 1. **Notes about the series** | Combined data reports, draft outlook reports, final outlook reports documenting research used to study insect population increases, decreases, and migrations. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 2015 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Paper and digital |
| 1. **How records are filed**   **(by name, by number, geographically, etc.)** | Alphabetical by subject: Insect scientific name |
| 1. **Volume** | 25.5 cubic feet |
| 1. **Access/use restrictions** | None |

## Update a File Plan: Records Inventory Worksheet 2

| **Type of Information** | **Information Collected** |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Insect and Arachnid Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Jane Crawley |
| 1. **Records location (room, file cabinet, file/folder path)** | Digital files: I:EnvironmentalResearch\InsectArachnidDivision\InsectStudies\PopulationTrackingData |
| 1. **File Code and Series Title** | 2.6-010 Insect Population Tracking Data |
| 1. **Notes about the series (e.g., series description, are these records related to other records, are there finding aids or indexes to the records?)** | Raw data collected by human and digital insect counters throughout the U.S. as part of insect population studies. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 2015 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Digital |
| 1. **How records are filed**   **(by name, by number, geographically, etc.)** | By month collected, then alphabetical by insect scientific name |
| 1. **Volume** | 10 GB |
| 1. **Access/use restrictions** | None |

## Update a File Plan: Records Inventory Worksheet 3

| **Type of Information** | Information Collected |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Inland Waters Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Flo Agua |
| 1. **Records location (room, file cabinet, file/folder path)** | Central Files area, room #205, Cabinet 2, drawer 1. Older files are in 15 boxes in the Records Center |
| 1. **File Code and Series Title** | 2.6-030 Lake Recreation Studies |
| 1. **Notes about the series (e.g., series description, are these records related to other records, are there finding aids or indexes to the records?)** | Files documenting the environmental impact of the recreational use of natural and manmade lakes throughout the U.S. Files include water quality testing reports, photographs, videos, maps and nautical charts, and final documents reporting study results. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 2013 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Paper |
| 1. **How records are filed**   **(by name, by number, geographically, etc.)** | Alphabetical by name of lake |
| 1. **Volume** | 16.5 cubic feet |
| 1. **Access/use restrictions** | None |

## Update a File Plan: Records Inventory Worksheet 4

| **Type of Information** | **Information Collected** |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Inland Waters Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Flo Agua |
| 1. **Records location (room, file cabinet, file/folder path)** | Central Files area, room 205, Cabinet 4, drawers 1-2; 45 boxes in Records Center |
| 1. **File Code and Series Title** | 2.6-070 Environmental Impact Assessments |
| 1. **Notes about the series (e.g., series description, are these records related to other records, are there finding aids or indexes to the records?)** | Documents that record the effort to protect the environment In carrying out federal programs. Includes a description of the proposed project, an analysis of the project's possible environmental effects, and an examination of alternative courses of action. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 1993 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Paper |
| 1. **How records are filed**   **(by name, by number, geographically, etc.)** | Numerical by project number |
| 1. **Volume** | 48 cubic feet |
| 1. **Access/use restrictions** | None |

## Update a File Plan: Records Inventory Worksheet 5

| **Type of Information** | **Information Collected** |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Inland Waters Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Flo Agua |
| 1. **Records location (room, file cabinet, file/folder path)** | Central Files area, room 205, Cabinet 4, drawers 3-4; 15 boxes in Records Center |
| 1. **File Code and Series Title** | 2.6-080 Water Data Records |
| 1. **Notes about the series (e.g., series description, are these records related to other records, are there finding aids or indexes to the records?)** | Inland waters study data including temperature, aeration and flow, gaging station data, and well logs. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 2013 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Paper |
| 1. **How records are filed**   **(by name, by number, geographically, etc.)** | Alphabetically by name of body of water. |
| 1. **Volume** | 18 cubic feet |
| 1. **Access/use restrictions** | None |

## Update a File Plan: Records Inventory Worksheet 6

| **Type of Information** | **Information Collected** |
| --- | --- |
| 1. **Date of inventory** | 5/12/2020 |
| 1. **Name of person conducting inventory** | U. R. Self |
| 1. **Office(s) maintaining records** | Agency for Natural Resources Protection, Laguna Niguel Field Office, Environmental Research Staff, Inland Waters Division |
| 1. **Subject matter expert (name of person providing information about the records)** | Flo Agua |
| 1. **Records location (room, file cabinet, file/folder path)** | I:\EnvironmentalResearch\InlandWaters\PhotographyCartography |
| 1. **File Code and Series Title** | Need to check records schedule |
| 1. **Notes about the series (e.g., series description, are these records related to other records, are there finding aids or indexes to the records?)** | Digital aerial photographs documenting stream and channel conditions at particular points in time; extreme hydrologic events such as floods, mudflows, and volcanic eruptions which can and have altered the characteristics of streams. |
| 1. **Date range covered by the records (indicate if the series is ongoing)** | 2016 to present |
| 1. **Disposition instructions** | Need to check records schedule |
| 1. **Medium (paper, video, audio, etc.)** | Digital aerial photographs (TIFF, JPG) |
| 1. **How records are filed (by name, by number, geographically, etc.)** | Geographical by region, then alphabetical by state, then by location, and then by date of negative |
| 1. **Volume** | 15 GB |
| 1. **Access/use restrictions** | None |

## Update a File Plan – Records Schedule

**Agency for Natural Resources Protection, Environmental Research Office**

**Records Schedule**

**2.6-001 Waterfowl Conditions Maps**

Maps documenting bird migration patterns throughout the United States

Disposition: Permanent. Transfer to the Records Center 15 years after the year in which created. Send to NARA 25 years after creation. N1-64-86-3

**2.6-010a Insect Population Studies**

Combined data reports; draft outlook reports; final outlook reports documenting research used to study insect population increases, decreases, and migrations.

Disposition: Permanent. Cut off at the end of each fiscal year. Send to the Records Center 5 years after cutoff. Send to NARA 15 years after cutoff. N1-64-87-1

**2.6-010b Insect Population Tracking Data**

Raw data collected by human and digital insect counters throughout the U.S. as part of insect population studies.

Disposition: Temporary. Cut off data files at the end of each fiscal year, Create a new digital folder for each fiscal year, with sub-folders for each geographic location’s data. Retain the raw data for 5 years after cutoff, then delete. N1-64-87-1

**2.6-020 Research, Testing, and Technical Miscellany Policy**

Material which serves to establish policy or precedents pertinent to future and continuing actions for research, testing, and technical miscellany activities.

Disposition:Permanent. Place in inactive file when cancelled, superseded, or revoked. Cut off file at the end of the calendar year policy was cancelled, superseded, or revoked. Transfer to Archives 3 years after cutoff. N1-64-90-4

**2.6-030 Lake Recreation Studies**

Files documenting the environmental impact of the recreational use of natural and manmade lakes throughout the U.S. Files include water quality testing reports, photographs, videos, maps and nautical charts, and final documents reporting study results.

Disposition: Permanent. Close files at the end of the Fiscal Year in which the research is completed. Send files to the Records Center 5 years after closure. Send to NARA 5 years after sending to the Records Center. N1-64-91-1

**2.6-040 Publications, Status of Reports.**

Computerized list of status of reports.

Disposition: Temporary. Cut off file at end of fiscal year. Destroy in agency at end of fiscal year. N1-64-91-2

**2.6-045 Reports Publication, Financial Records.**

Requisitions, bills, and statements kept in binders and ledgers documenting cost of publishing reports.

Disposition: Temporary. Destroy in agency when three years old. N1-64-92-4

**2.6-060 Boat Operator Case Files**

Case file for boat operators documenting training records, certifications, medical records, and CPR, first aid, and other mandatory forms.

Disposition: Temporary. Once the case file becomes inactive (operator is inactive) it can be transferred for storage to the Records Center and retained for a period of 65 years and then destroyed. N1-64-93-1

**2.6-070 Environmental Impact Assessments**

Documents that record the effort to protect the environment in carrying out Federal programs. Includes a description of the proposed project, an analysis of the project's possible environmental effects, and an examination of alternative courses of action.

Disposition: Permanent. Close at the end of the calendar year in which the project is completed. Transfer to NARA 25 years after cutoff. N1-64-95-1

**2.6-080 Water Data Records**

Inland waters study data including temperature, aeration and flow, gaging station data, and well logs.

Disposition: Temporary. Cut off files at end of fiscal year. Retire to the Records Center after active reference ceases. Destroy 30 years after retirement to the Records Center. N1-64-95-1

**2.6-085 Technical Research Reports, Manuals, and Standards**

Summary or technical research reports pertaining to research projects, testing, design standards, technical manuals and miscellany.

Disposition: Temporary. Cut off files at the end of fiscal year in which research ends. Transfer to the records center. Destroy 5 years after cut off. N1-64-95-1

**2.6-090 Aerial Photographic Negatives**

Photo negatives documenting stream and channel conditions at particular points in time; extreme hydrologic events such as floods, mudflows, and volcanic eruptions which can and have altered the characteristics of streams.

Disposition: Permanent. Send to Records Center when no longer needed for active reference in the agency. Transfer to NARA after 10 years. N1-64-95-1

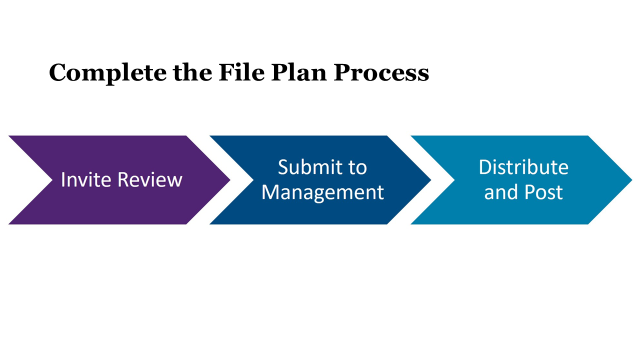
**2.6-095** **Digital Aerial Photographs**

Digital aerial photography documenting stream and channel conditions at particular points in time; extreme hydrologic events such as floods, mudflows, and volcanic eruptions which can and have altered the characteristics of streams.

Disposition: Temporary. Cut off files at the end of each fiscal year, Create a new digital folder each year for each geographical region. Retain the raw digitized photos for 10 years after cutoff, then delete. N1-03-17-1

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## Complete the File Plan Process



# Module 3 Assignments

* Create (or review and update) a file plan for your office or program.
  + If your agency has its own template or standards for file plans, follow your agency’s guidance.
* Reflect on what you have learned and on how your office uses (or could use) a file plan.

## Module 3 Notes