#### National Archives and Records Administration

Federal Records Management Level 1: Maintenance and Use

Participant Guide

Module 4: File Records

Table of Contents

[Module 4: File Records 3](#_Toc15454797)

[Module 4 Checklist 3](#_Toc15454798)

[Task Goal 3](#_Toc15454799)

[Filing Rules – Review – Notes 3](#_Toc15454800)

[Sample Filing Policies 4](#_Toc15454801)

[Activity: Name That Policy – Notes 4](#_Toc15454802)

[Filing Practice – File Plan – Notes 5](#_Toc15454803)

[Filing Practice – Hard Copy Folder Labeling 5](#_Toc15454804)

[Hard Copy Files – Practice – Notes 5](#_Toc15454805)

[File Plan for Filing Practice Activities 7](#_Toc15454806)

[Sample Electronic File Naming Conventions 11](#_Toc15454807)

[Electronic Record Filing – Notes 12](#_Toc15454808)

[Module 4 Assignments 12](#_Toc15454809)

# Module 4: File Records

## Module 4 Checklist

* Complete this online module.
* Complete the optional e-File Naming Practice module.
* Find and review your agency's filing guidance.

## Task Goal

Given a set of records, you will be able to apply correct procedures to file them accurately and efficiently.

## Filing Rules – Review – Notes

## Sample Filing Policies

**Filing Policies**

**Agency for Natural Resources Protection – Environmental Research Staff**

**General rule:** All files will first be filed numerically by their file code numbers. This maintains records together by record series.

**Filing within file codes will be as follows:**

1. All plant and animal scientific report files must be filed alphabetically by scientific name (Genus, species).
2. All plant and animal scientific data files must be filed by month collected, then alphabetically by scientific name (Genus, species). Create a new sub-folder for each month.
3. All environmental impact reports must be filed numerically by project number. Create a new subfolder for each project.
4. All data and reports related to bodies of water must be filed alphabetically by name of body of water. Create a new sub-folder for each body of water.
5. All employee files must be filed alphabetically by last name, first name, middle initial of employee. Create a new sub-folder for each employee.
6. All photographic related materials must be filed by geographical region, then alphabetically by state.

## Activity: Name That Policy – Notes

## Filing Practice – File Plan – Notes

## Filing Practice – Hard Copy Folder Labeling

This agency requires the following information when labeling:

* File Code
* Series Title
* Unique Identifier (e.g., case number, name, project number)
* Year
* Disposition Instructions

## Hard Copy Files – Practice – Notes

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## File Plan for Filing Practice Activities

**Agency for Natural Resources Protection, Laguna Niguel Office File Plan**

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

Prepared by: Jane Filesalot, Phone 7-5555

Reviewed by: Manny Jurr, 5/30/2020

| **File Code** | **Series Title/Description** | **Filing and Disposition Instructions** | **File Location** |
| --- | --- | --- | --- |
| 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. | 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 10 years after cutoff.  Disposition Authority: N1-64-87-1 | Central files area, room 205, Cabinet 5, drawers 1-3.  Agency Warehouse  Shared drive:  I:\PopulationStudies |
| 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. The data is collected monthly, resulting in a single yearly Combined Data Report that is incorporated into the Insect Population Studies file for that year. | File by month collected, then alphabetically by scientific name (Genus, species).  Cut off data files at the end of each fiscal year. Create a new digital folder for each year. Retain the raw data for 5 years after cutoff, then delete.  Disposition Authority: N1-64-87-1 | I:\PopulationTracking |
| 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 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.  Disposition Authority: N1-64-91-1 | Central Files area, room 205, Cabinet 2, drawer 1.  Agency Warehouse. |
| 2.6-060 | **Boat Operator Case Files**  Paper case file for boat operators containing training records, certifications, medical records and CPR, first aid, and mandatory forms. | File alphabetically by last name, first name, middle initial of employee.  Once case file record becomes inactive (operator inactive), transfer to Records Center. Destroy 65 years after transfer.  Disposition Authority: N1-64-93-1 | Central Files area, room 205, Cabinet 3, drawers 1-4. |
| 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, a description of the existing environment of the project, an analysis of the project's possible environmental effects, and an examination of alternative courses of action. | File numerically by project number.  PERMANENT.  Cut off at the end of the calendar year in which the project is completed. Transfer to NARA 25 years after cutoff.  Disposition Authority: N1-64-95-1 | Central Files area, room 205, Cabinet 4, drawers 1-2.  Agency Warehouse. |
| 2.6-080 | **Water Data Records**  Inland waters study data including temperature, aeration and flow, gaging station data, and well logs. | File by fiscal year, then alphabetically by name of body of water.  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.  Disposition Authority: N1-64-95-1 | Central Files area, room 205, Cabinet 4, drawers 3-4.  Agency Warehouse. |
| 2.6-090 | **Digital Aerial Photographs**  Digital photographs and digitized negatives of 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. | File geographically by region, then alphabetically by state, then by location and date of negative.  Cut off files at the end of each fiscal year, Create a new digital folder each year for each geographical region. Retain for 10 years after cutoff, then delete.  Disposition Authority: N1-03-17-1 | I:\PhotographyCartography |

## Sample Electronic File Naming Conventions

Agency for Natural Resources Protection – Environmental Research Staff Electronic File Naming Conventions

* Place elements in logical order based on purpose of file and relationship to other files.
* Use unique file names and identifiers.
* Entire file path should be less than 250 characters.
* Use capital letters, hyphens, or underscores to separate words.
* Do not use spaces.
* Format dates as YYYY-MM-DD or YYYYMMDD.
* Version number: Use v (e.g., v01).
* Use letters A – Z and numbers (no special characters ? / $ % &).
* When using names of individuals, format as last name, then first name, then middle initial.

## Electronic Record Filing – Notes

# Module 4 Assignments

* Complete the optional E-File Naming Practice module.
* Find and review your agency's filing and e-file naming guidance.