#### National Archives and Records Administration

Federal Records Management Level 1: Creation and Receipt

Participant Guide

Module 3 – Separating Files for Filing

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# Module 3: Separating Files for Filing

## Module 3 Checklist

* Complete this module and its activities.

## Task Goal

Given sets of records, you will be able to follow proper procedures to separate files in preparation for filing.

### Task Objectives

* Identify common reasons for folder creation
* Separate records appropriately for filing

## General Categories of Files

* Case
* Subject
* Transitory
* Technical Reference

## Module 3 Notes

## Activity: A Year in the Life of an Office

As you review the Types of files – A year in the life of an office lesson, note the events, dates, actions, and other factors that might cause Records Manager Terry Taylor and the team at the Playground Safety Testing Division to create new files and new folders.

What types of files should Terry anticipate?

What events, dates, and other factors cause your office to create new files and folders?

## Module 3 Notes – Separating Files by Series

## Activity: Separation Anxiety

Listed below are files that need to be separated and filed. Determine the type of file (subject, case, technical reference) and use the file plan to identify the file code, series title, and disposition authority number.

| **File Description** | **File Code** | **Series Title** | **Year** |
| --- | --- | --- | --- |
| An original, finalized document released on September 23, 2017, to give added guidance on the implementation on a new leave policy. |  |  |  |
| Letter received on January 30, 2016, from a member of the public requesting information regarding the 2016 operational schedules of agency fleet ships in the Gulf of Alaska. |  |  |  |
| Official correspondence between the National Marine Fisheries Service and Agency for Natural Resources Protection regarding Blue Fin Tuna habitat studies project done in areas designated as essential fish habitat. The letters are dated between April and September of 2017. |  |  |  |
| CPR training completion certificate dated April 22, 2017, for diver Barry Cuda. |  |  |  |
| Thunder Bay National Marine Sanctuary Boundary Expansion Project Final Environmental Impact Statement dated August 4, 2017. |  |  |  |
| Office of Audits reports pertaining to the Marine Education Grants Program. Includes two draft reports with extensive comments from FY2016 and the final audit report date January 10, 2017. |  |  |  |

### File Plan Excerpt for Activity: Separation Anxiety

| **File Number** | **Series Title/ Description** | **Retention and Disposition** | **Location** |
| --- | --- | --- | --- |
| 200-02a(1) | **Audit Case Files.**  Case files of internal and external audits of agency programs, operations, and procedures, including contractors and grantees. Files contain audit reports, correspondence, memoranda, and supporting working papers. | Temporary.  Cut off at the end of the fiscal year in which the case is closed.  Destroy 8 years after cutoff.  DAA-0370-2015-0006 | Central Files, Office of Audits, Room 1111 |
| 1201-01(d) | **Common Mission Guidance Files.**  Record copy of guidance given to operating offices on policies or procedures. | Permanent.  Cut off at end of calendar year when created.  Transfer to NARA 10 years after cutoff.  NC1-370-79-03 | Central Files, Human Resources, Room 2345 |
| 1503-16a | **Essential Fish Habitat Consultation Files.**  Correspondence between the agency and Federal agencies, state agencies, and councils concerning measures to minimize the adverse effects of actions on essential fish habitats. | Permanent.  Cut off annually. Retire to FRC when 5 years old. Transfer to NARA with related indexes when 25 years old.  N1-370-01-004 | Central Files, Ichthyology, Room 818 |
| 1609-04A | **Environmental Impact Statements and Environmental Assessments.**  **Final Reports.**  Documents that record the effort to protect the environment in carrying out Federal programs. Statements include a description of the proposed project and existing environment of the project and an examination of the alternative courses of action. | Permanent.  Cut off at the end of the calendar year in which the project is completed. Transfer to NARA 25 years after the calendar year in which the file was cut off.  N1-370-02-003 | Central Files, Room 1274 |
| 1805-11 | **Diver Case Files.**  Case file established for each individual diver. Contains training records, certifications, medical records, and CPR, First Aid, and individual dive logs. | Temporary. Cut off when diver becomes inactive, then transfer to FRC. Destroy 75 years after cutoff.  N1-370-09-001 | Central Files, Room 1274 |
| 1901-13 | **Information Request Files**  Requests for data and related information. Includes requests, correspondence, and related documents. | Cut off at end of calendar year when created. Destroy 2 years after cutoff.  NC1-370-83-01 | Central Files, Room 1274 |
| Non-record | **Field Reference Guides for Distribution**  Stocks of printed Field Reference Guides for distribution to diving instructors and fleet vessel crews. | Non-record copies. Recycle when superseded or obsolete. | Publications Storage Closet, Room 057 |