#### National Archives and Records Administration

Federal Records Management Level 1: Creation and Receipt

Participant Guide

Module 4 – Filing and e-File Naming Conventions

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# Module 4: Filing and e-File Naming Conventions

## Module 4 Checklist

* Complete the Module 4 online lesson.

## Task Goal

Given a set of records, you will be able to follow proper procedures for setting paper and electronic files.

### Task Objectives

* Demonstrate how to set up paper file folders
* Demonstrate how to name electronic files

## Filing Methods and Labeling – Notes

## Activity: Paper Folder Setup

We’ll review two descriptions of files we need to store. For each file, review the file plan on the following pages and decide 1) what file code to use and 2) what information you’ll need to add to the label.

### Folder Setup Instructions for Records

This agency requires the following information on its paper file folder labels:

* File Code
* Series Title
* Unique Identifier
* Year
* Disposition Instructions

020 Individual Employee Separation Case Files Smith – 7832 2019

Temporary. Destroy 1 year after date of separation or transfer.

### File Review and Folder Setup 1

We have official correspondence between the National Marine Fisheries Service and Agency for Natural Resources Protection regarding a Blue Fin Tuna habitat studies project done in areas designated as essential fish habitat. The letters are dated between April and September of 2019.

### File Review and Folder Setup 2

We have an Environmental Impact Statement final report for the Kermit Creek wetland restoration project. The team issued the final report on Oct. 23, 2019.

### File Plan Excerpt for File Labeling and File Naming Activities

| **File Number** | **Series Title/ Description** | **Filing, Retention and Disposition** | **Location** |
| --- | --- | --- | --- |
| 100-21 | **Training Workshop Records.**  Case files documenting workshops conducted by the agency for external customers. Each file includes information about the administration, setup, and delivery of the workshop, including instructor information, attendee lists, and one copy of any training materials used. | File by date, then by name of workshop.  Temporary.  Cut off at the end of the fiscal year in which the training was delivered.  Destroy 3 years after cutoff.  DAA-0370-2015-0006 | Central Files, Room 1274 |
| 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. | File by name of audit.  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. | File by year, then by topic.  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. | File by name of habitat.  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. | File by location – state, then county, then city.  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. | File by diver name.  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. | File by date.  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 |

## Labeling Paper Files – Notes

## Naming Electronic Files and Folders – Notes

## Sample Electronic File Naming Conventions

* Arrange elements of the file name in logical order, based on purpose of file and relationship to other files.
* Use unique file names and identifiers.
* Use letters A – Z and numbers in file names. Avoid special characters like $, &, %, and # in file names.
* Use capital letters, hyphens, or underscores to separate words in file names. Do not use spaces in file names.
* Use leading zeros to improve sorting. Example: Policy123-v01.docx.
* Format dates as Year-Month-Day. Examples: YYYY-MM-DD or YYYY\_MM\_DD or YYYYMMDD. Variations: YYYY, YYYY-MM, YYYY-YYYY.
* Use “v” to indicate the version number. Example: Policy123-v02.docx.
* When labeling with names of individuals, use last name followed by first initial).

### Apply Naming Conventions – Name that File – Practice 1

Training completion certificate

Diver Barry Cuda

CPR training completed April 22, 2019

File is in PDF format

### Apply Naming Conventions – Name that File – Practice 2

Final report for the Environmental Impact Statement for the Kermit Creek wetland restoration project.

The final report was issued on October 23, 2019.

## Your Action Plan

* Find your agency’s file naming guidance.
* Review your files.
  + Are they matched to the correct categories in your file plan or records schedule?
  + Are they named correctly?
* Determine what next steps you need to take to bring your paper and electronic files into compliance with your agency’s guidelines.