#### National Archives and Records Administration

Federal Records Management Level 1: Maintenance and Use

Participant Guide

Module 2: Conduct a Records Clean-Up

Table of Contents

[Module 2: Conduct a Records Clean-up 3](#_Toc15968265)

[Objectives and Agenda 3](#_Toc15968266)

[Verify Inventory Information 3](#_Toc15968267)

[Matching Records to a Records Schedule 3](#_Toc15968268)

[Activity: Using a Records Schedule 4](#_Toc15968269)

[Activity: Using a Records Schedule - Notes 4](#_Toc15968270)

[Sample Records Schedule for Module Activities 5](#_Toc15968271)

[Unscheduled Records 9](#_Toc15968272)

[Calculating Records Disposition 9](#_Toc15968273)

[Calculating Disposition Dates – Notes 10](#_Toc15968274)

[Task: Conduct a Records Clean-up 11](#_Toc15968275)

[Records Clean-Up Questions to Ask 11](#_Toc15968276)

[Records Clean-Up – Notes 12](#_Toc15968277)

[Activity: Records Clean-up – Worksheet 13](#_Toc15968278)

[Module 2 Assignment 14](#_Toc15968279)

[Planning an Office Records Clean-Up 14](#_Toc15968280)

# Module 2: Conduct a Records Clean-up

## Objectives and Agenda

* Discuss things to look for when evaluating inventory information.
* Recognize questions to ask when planning a records clean-up.
* Match records to a schedule or file plan and calculate disposition dates.

## Verify Inventory Information

* Look for missing or incomplete information.
* Look for gaps in coverage.
* Compare information gathered to records schedule or file plan.

## Matching Records to a Records Schedule

* Compare the information you found in your inventory to your office file plan or approved agency records schedule.
* Match the records to the schedule by reviewing the title of the record series, the description, and the disposition information.
* Ask, “Is this category a good fit?” You do not want to force records into a category that is not a good fit for the records.

## Activity: Using a Records Schedule

Use the Sample Records Schedule on the following pages to match the descriptions of records to their approved records schedule items.

## Activity: Using a Records Schedule - Notes

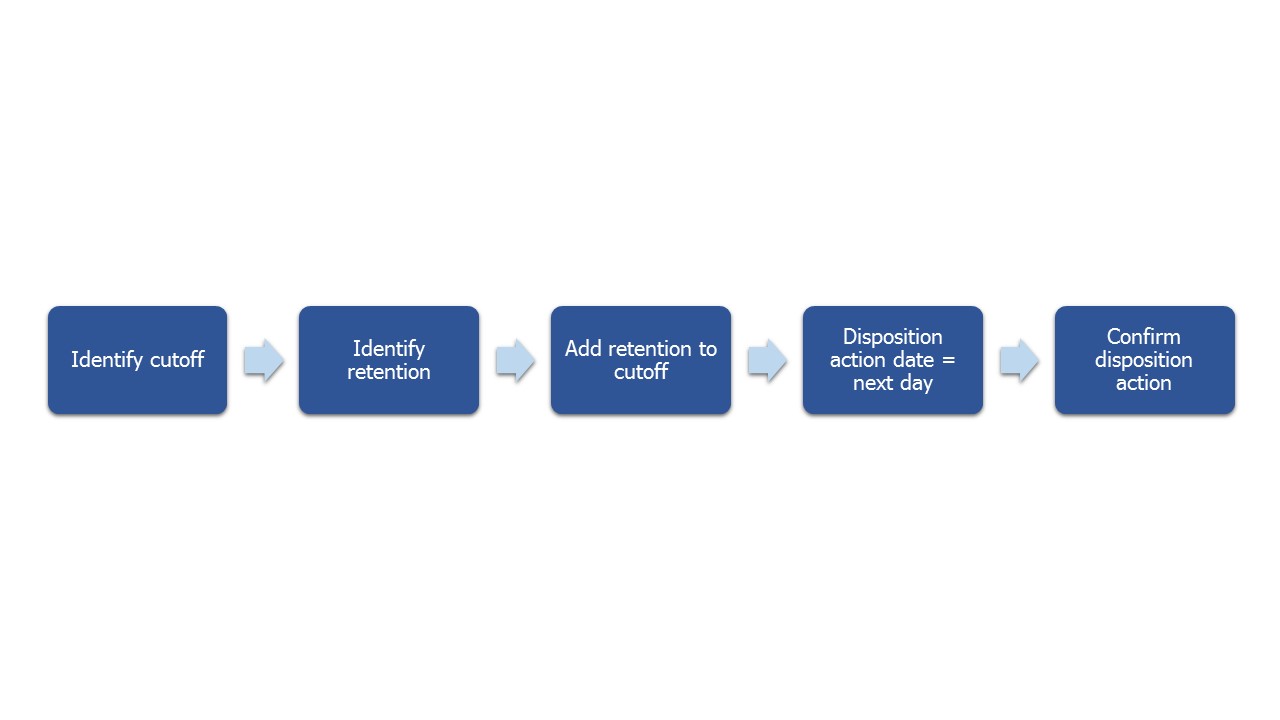
## Sample Records Schedule for Module Activities

| **File Code and Series Title** | **Records Description** | **Disposition Instructions** |
| --- | --- | --- |
| 1.1-001  Financial Management and Reporting Administrative Records | Records related to managing financial activities and reporting. Records include: correspondence, feeder reports, workload management and assignment records. | Temporary.  Destroy when 3 years old.  Disposition authority:  DAA-GRS-2016-0013-0001 |
| 1.1-010  Financial Transaction Records | Records related to procuring goods and services, paying bills, and accounting. Records include contracts, requisitions, purchase orders, invoices, and leases. | Temporary.  Destroy 6 years after final payment or cancellation.  Disposition authority:  DAA-GRS2013-0003-0001 |
| 1.1-009  Program Subject Files | Program correspondence, decision memos, and other documents accumulated by the Division Director. | Permanent.  Cut off at the end of each Fiscal Year. Retire to records center when 3 years old. Transfer to NARA when 10 years old.  Disposition authority:  N1-62-94-01 |
| 2.01-060  Financial Mgmt. and Reporting Records. Contract appeals case files. | Records of contract appeals arising under the Contracts Dispute Act. Includes:   * notice of appeal * acknowledgment of notice * correspondence * copies of contracts, plans, specifications, exhibits, * change orders, and amendments * hearing transcripts * documents received from concerned parties * final decisions * other related papers | Temporary.  Destroy 1 year after final resolution, but longer retention is authorized if required for business use.  Disposition authority:  N1-62-93-02 |
| 2.05  EmployeeSeparation Records.  Records documenting capture of institutional and specialized knowledge. | Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.  Exclusion: Formal oral histories recorded with an employee before his/her departure are not covered by this item. These must be scheduled separately by the agency. | Temporary.  Destroy when no longer required for business use.  Disposition authority:  N1-62-93-03 |
| 2.08-040  Employee Ethics Records. Office of Government Ethics program questionnaire records. | Questionnaires completed by ethics officials, such as the “Annual Agency Ethics Program Questionnaire,” the “Annual Agency Ethics Officer (DAEO) Survey,” and other questionnaires and surveys, including records created or collected to prepare responses to ethics program questionnaires and surveys. | Temporary. Destroy 3 years after submission, but longer retention is authorized if required for business use.  Disposition authority:  N1-62-94-01 |
| 2.08-046 Employee Ethics Records. Financial disclosure supporting documentation. | Supporting documentation used to review and verify the filer’s report submission. Includes records such as:   * reviewer’s notes * background research reports * memorialized verbal comments of filer in response to reviewer questions | Temporary.  Destroy at the same time an individual’s related financial disclosure report is destroyed or 6 years after the individual has submitted their last financial disclosure report; or when no longer needed for active investigation, whichever is later.  Disposition authority:  N1-62-94-05 |
| 2.11 Visual Services Photographs Used in Production of House Publications. Photo Library | Photographs used in the production of "house publications." | Temporary. Destroy when no longer needed for agency purposes.  Disposition authority:  N1-62-94-06 |
| 2.15 Echocardiogram Video Cassette Recording Tapes | Each tape contains approximately 10 patients' tests. Contains images captured on videocassette tapes showing the position and motion of the heart. | Temporary. Cut off at the end of the year in which the last image was captured and a report filed in the patient's health record. Destroy 5 years after cutoff.  Disposition authority:  N1-62-94-07 |
| 2.16 Thrift Savings Plan Election Form | Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan. | Destroy when superseded or after separation of employee.  Disposition authority:  N1-62-97-01 |
| 4.01-030 Records Management Records. Essential (vital) records program records. | Records involved in planning, operating, and managing the agency’s essential (vital) records program. Includes:   * essential records inventories * essential records cycling plans * results of tests, surveys, or evaluations * reports of corrective action taken in response to agency essential records tests | Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed for business use.  Disposition authority:  N1-62-97-03 |

## Unscheduled Records

* Treat as permanent
* Notify
* Track

## Calculating Records Disposition



The steps involved in calculating records disposition are:

1. Identify cutoff
2. Identify retention time
3. Add the retention time to the cutoff
4. Identify the disposition action date (next day)
5. Confirm the disposition action by checking the schedule

## Calculating Disposition Dates – Notes

## Task: Conduct a Records Clean-up

Given a situation requiring records clean-up and a completed inventory, you will be able to analyze the records information to decide on actions to correct records management issues.

## Records Clean-Up Questions to Ask

* Destroy
* Keep locally
* Transfer to storage
* Transfer to NARA
* Consolidate
* Record copy
* Unscheduled
* Unarranged
* Unsecured

## Records Clean-Up – Notes

## Activity: Records Clean-up – Worksheet

1. Financial management and reporting administrative records (paper)
2. Electronic financial management and reporting administrative records
3. Financial transaction records
4. Program subject files
5. Unsolicited contractor bids

# Module 2 Assignment

Your assignment for Module 2 is:

* Identify and describe one area or one type of records (any format) in your program or office that could benefit from a records clean-up. Use the Planning an Office Records Clean-Up questions below to plan your approach.

## Planning an Office Records Clean-Up

Choose an area or a type of records in your program/office that needs a records clean-up. Consider the following questions:

What area (or type of records) could use a cleanup?

When would be a good time to tackle this?

Who should be involved?

How will you approach them?

What supplies and space (physical and virtual) will you need?

How will you celebrate and communicate your success?