

1  **Withdrawing Permanent Federal Records from an FRC – Your Responsibility.**  
*Permanent Records Capture*

*Series 2.*

2  **Today's Agenda**

The briefing should last about thirty to forty minutes. With a Q&A to follow.  
This briefing is for individuals who have transferred, or are familiar with the transferring  
of federal records to a Federal Records Center.

Who We Are and Why We Are Here.

Key Terms.

Two scenarios will be presented based on actual real-life examples.

Please make a note of the slide # and save all questions to the end of the briefing,  
during the Q&A session.

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Why We Are Here:

“Public access to government records strengthens democracy by allowing Americans to  
claim their rights of citizenship, hold their government accountable, and understand  
their history so they can participate more effectively in their government.” NARA Mission  
Statement.

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6  **Simplified Basic Definitions**

Temporary Records = your agency or the FRC disposes of these at the end of the retention  
period in your agency's records schedule.

Permanent Records = your agency sends these records to the National Archives for eventual  
public research access at the end of the retention period stated in your agency's records  
schedule.

Only five % of all Federal records are permanent, so they are critical to understanding our  
government, its decisions, and the rights of its citizens.

7  **Today's confusing terms**

- *Temporary* Withdrawal from an FRC.

- Of Temporary Records.
  - Temporary Withdrawal (loan)- most reference requests (formerly O.F. 11) are for temporary withdrawals of agency records. Temporary withdrawals are returned after agency use to the records center for refiling in the FRC.
- Of Permanent Records.
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- Permanent Withdrawal from an FRC.
  - Of Temporary Records.
  - Of Permanent Records.
    - Permanent Withdrawal – are removed and retained by the agency. The agency may only return permanently withdrawn whole boxes from an accession of multiple boxes by submitting a new SF135. These records must be submitted in new boxes with a new transfer number.
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8  **Today's Single Concern**

- PERMANENT Withdrawal from an FRC of your agency's PERMANENT RECORDS.

– That's are main topic for today, folks!

9  **Temporary Withdrawal**

10  **Permanent Withdrawal**

11  **Use the FEEDBACK Tool on the Left**

How many people in attendance have withdrawn permanent records from an FRC?

- A. Never have.
- B. I don't know or not sure.
- C. Yes I have permanently withdrawn at least one box/folder.
- D. I'm a PRO at permanently withdrawing records with 5 or more instances.

12  **Real-life Example #1**

The Bureau of Public Recreation (BPR) transfers to the Federal Records Center (FRC) One Hundred boxes of permanent records. The following year, it does a *permanent withdrawal* of boxes 26 to 30 from that transfer. BPR's original transfer is now listed in ARCIS as having 95 boxes as the actual volume, with those five boxes listed as being "permanently withdrawn." As requested, the FRC returns boxes 26 to 30 to BPR.

13  **Real-life Example #1 continued**

- The following year, BPR does a permanent withdrawal of boxes 43 to 49 from that same FRC transfer. The original transfer now has an actual volume of 88.
- The original box list remains in box 1 of last year's BPRs transfer, but is no longer accurate.

14  **Here is a Question for you!**

Questions?

15  **Your Responsibility**

16  **Real-life Example #2**

BPR permanently withdraws two boxes of permanent case files from a transfer of ten boxes.

They add to those two boxes some records from the same case that they found in an abandoned file cabinet. They also add some new *related documents* that were created after the case was closed. The records now fill three boxes. They want to return the (now) three boxes to the FRC. What must the agency do?

- *Send As NEW Transfer to FRC.*
- *With an Accurate Folder List.*
- *Ask FRC to Annotate the S F 135.*
- *Send Updated Folder List with New Transfer.*

17  **Legitimate Reasons to Permanently Withdraw Permanent Records**

- Re-opened Case – files added.
- Lawsuit.
- Audit.
- New Restrictions Added.
- To Better Prepare for Transfer to National Archives.

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18  **Doing a Permanent Withdrawal of Permanent Records for the WRONG REASONS**

- Someone's Retiring.
- We Don't Want the Public to See these Records.
- Agency Access Too Difficult in National Archives.
- These Are OUR Historical Records.
- WE Can Provide Public Access.
- College Bound?
- Just Because We Want Them.

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19  **What can POSSIBLY go wrong when Permanent Records are Permanently Withdrawn from the FRC?**

- Damage!
- Theft!
- Unintentional Destruction of Records.
- Intentional Destruction of Records.
- Forgotten With the Passage of Time.
- AND ...

20  **Someone's going to be in a Mess of Trouble!**

- It's Against Federal Law.
- CFR Requirement.
- Longer Retention = NARA Must Give Permission.
- Destruction, Damage, Loss of Permanent Records = Report to NARA.
- Preservation Standards are Best at NARA.
- Too Many Permanent Withdrawals Raises A red flag.
- Partial Withdrawal May Delay Transfer to National Archives.
- Loss of Agency's History.

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21  **Your Responsibility**

36 CFR 1232.16 - WHAT DOCUMENTATION MUST AN AGENCY CREATE BEFORE IT TRANSFERS RECORDS TO A RECORDS STORAGE FACILITY?

- (a) Documentation must include for each individual records series spanning one or more consecutive years transferred to storage:
  - (1) Creating office;
  - (2) Series title;
  - (3) Description (in the case of permanent or unscheduled records, the description must include a folder title list of the box contents or equivalent detailed records description);
  - (4) Date span;
  - (5) Physical form and medium of records (e.g., paper, motion picture film, sound recordings, photographs, or digital images);
  - (6) Volume;
  - (7) Citation to NARA-approved records schedule or agency records disposition manual (unscheduled records must cite the date the agency notified NARA or, if available, the date the SF 115 was submitted to NARA);
  - (8) Restrictions on access if applicable;
  - (9) Disposition ("permanent," "temporary," or "unscheduled; SF 115 pending");
  - (10) Date of disposition action (transfer to the National Archives of the United States or destruction);
  - (11) Physical location, including name and address of facility; and
  - (12) Control number or identifier used to track records.
- (b) In the case of permanent and unscheduled records, provide copies of such documentation to NARA and advise NARA in writing of the new location whenever the records are moved to a new storage facility. For permanent records, the agency must transmit this documentation to the National Archives and Records Administration, Office of Chief Records Officer (AC), 8601 Adelphi Road, College Park, MD 20740-6001 no later than 30 days after records are transferred to the agency records center or commercial records storage facility.
- (1) Retain temporary records until the expiration of their NARA-approved retention period and no longer, except as provided for in § 1226.18 of this subchapter.
- (2) Transfer permanent records to the National Archives of the United States in accordance with 36 CFR part [1235](#).

22  **How to get Permanently Withdrawn Permanent Records back to the FRC or the National Archives.**

- New Transfer to FRC = New SF 135
  - Gets To Archives Through the Annual Move.
- Direct Offer To the Archives of Overdue Records .
  - Create a new Transfer Request in ERA.

23  **Getting Permanent Records BACK to NARA**

24  **How to Avoid the Complications and Risks of Permanently Withdrawing Permanent Records from the FRC:**

- Will a temporary withdrawal meet your needs?
  - You can add related records if they are.

within the original transfer's date range.  
from the same records series.  
and are listed by you on an updated folder list.

Then send the box or boxes back to the FRC without doing a new FRC transfer. (Call the FRCs attention to the revised folder list when you send the records back to the FRC.)  
You can review records (for privacy, security, and other reasons) and send the box or boxes back to the FRC for refiling.  
You can copy, scan, or otherwise use the records to support litigation or FOIA requests, then return the boxes to the FRC for refiling. (If you've added material, see the first bullet point above.)

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Question (s)

And

Answer(s)

26  **We Can Help**

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27  **Three Additional Slides on CFR regulations**

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