REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER	N1–064–08– 7
Date received	2/26/08

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

1 FROM (Agency or establishment) National Archives & Records Administration (NARA)	NOTIFICATION TO AGENCY
2 MAJOR SUBDIVISION Office of the Archivist of the United States (N)	In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3 MINOR SUBDIVISION Policy and Planning Staff (NPOL) Life Cycle Data Coordination Team	

4 NAME OF PERSON WITH WHOM TO CONFER Diana Johnston (NHR)	5 TELEPHONE NUMBER (301) 837-1857	DATE 6/13/08	ARCHIVIST OF THE UNITED STATES Allen Weinstein

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 1 page are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

✓ Is not required   ☐ is attached; or   ☐ has been requested.

DATE FEB 2 1 2008	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE NARA Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached for descriptions of and dispositions for components of NARA's Archival Research Catalog (ARC) Application: (1) <u>ARC Data Entry System</u> – Items 1, 2, 3, and 4 (2) <u>ARC Web</u> – Items 5 and 6 (3) <u>ARC Terminal Server</u> – Items 7 and 8		

AH 6/18/08 copies sent to Agcy, NWMW, NR

File No. 14xx: Archival Research Catalog (ARC) Data Entry System: Within the ARC Database, this is the archival description and reference system. The Data Entry System (a "production system" since 2003) is where users enter descriptions of archival materials (i.e., records, personal papers, and artifacts) that are located in National Archives facilities in the Washington, DC area, and in the regional archives and Presidential libraries. Types of archival materials include, but are not limited to: textual records; data files; artifacts; and special media items (e.g., moving images, sound recordings, and photographs). Describers enter ARC descriptive data into the Data Entry System and reviewers in the describers' units review and approve the ARC descriptions. Final review and denormalization of authorized descriptions into the ARC Web System are performed by the organization that administers the lifecycle data management function.

[As of February 2000, the lifecycle data management function was assigned to the Lifecycle Coordination Staff, a subordinate organization of the Policy and Planning Staff (NPLN) within the Office of the Archivist. As of the date of approval of the ARC Records Schedule, the Life Cycle Data Coordination Team administers the lifecycle data management function under direction of the Policy and Planning Staff (NPOL) which was reorganized in October 2005. The current NPOL is a successor to NPLN and the Policy and Communications Staff (NPOL). The Office of the Archivist remains the organization where NPOL and the Life Cycle Data Coordination Team are organizationally located.]

Categories of operational records for the ARC Data Entry System include:
- NARA Archival Information Locator (NAIL) descriptions;
- Data residing in the Archival Descriptions "Authorized" and Under Edit" Domains of the Data Entry System;
- ARC Target Reports and other reports; and
- Authority files and lists (i.e., data management tools).

Item 1. [File No. 14xx-1:] NARA Archival Information Locator (NAIL) Descriptions. NAIL was the online prototype for ARC, having been available on the Internet from 1997 to 2002. The original NAIL descriptions (nearly 600,000) were uploaded to the ARC Data Entry System in 2002 and 2003. These original descriptions reside on electronic media outside of the Data Entry System.

NOTE: See item 1425, "Finding Aid Files," for descriptions of and disposition instructions for types of finding aids that are used by describers and reviewers during the ARC data entry and review processes.

> *Proposed Disposition*: TEMPORARY. Cut off data when obsolete and then translate data into another system (i.e., ARC). Delete 5 years after the end of the fiscal year in which the last data were cut off.

Item 2. [File No. 14xx-2:] Data in Archival Descriptions Domains. Data constitute descriptions of archival materials at the record group, collection, series, file unit, and item levels. Also included are digital copies linked to their

descriptions. There are two domains for archival descriptions: "Authorized" and "Under Edit."

Item 2a. [File No. 14xx-2a:] Archival Descriptions in "Authorized" Domain. Contains archival descriptions used to populate the ARC Web System. The Authorized Domain is a read-only domain that cannot be directly edited. The describer's unit has initially reviewed the descriptions for adherence to ARC standards. The organization that administers the lifecycle data management function has done a final review and approval of the descriptions prior to synchronizing them with ARC Web.

> *Proposed Disposition*: TEMPORARY.
> - Overwrite when descriptions become superseded; OR
> - Delete if corresponding archival materials are deaccessioned.

Item 2b. [File No. 14xx-2b:] Archival Descriptions in "Under Edit" Domain. Contains new archival descriptions and copies of authorized archival descriptions that can be edited. All data entry is done in this domain. The organization that administers the lifecycle data management function has *not* yet approved descriptions saved in the Under Edit Domain.

> *Proposed Disposition*: TEMPORARY.
> - Update/overwrite when descriptions become superseded;
> - Delete when descriptions become obsolete (e.g., if corresponding archival materials are deaccessioned); OR
> - Delete when descriptions are no longer needed for current reference and operations.

Item 3. [File No. 14xx-3:] ARC Target Reports and Other Reports. ARC Target Reports, weekly invoices, and other reports that contain statistical and other information generated by the ARC Data Entry System. ARC Target Reports and invoices are prepared on a recurring basis by reviewers who administer the lifecycle data management function. Other reports may be produced by describers and reviewers in any unit involved in ARC work processes.

> *Disposition*: TEMPORARY. Cut off annually (i.e., end of fiscal year). Destroy when 5 years old. (N1-64-05-5, item 1b)

Item 4. [File No. 14xx-4:] Authority Files and Lists. Data management tools that are in the following ARC domains of information:

- Organizations – Authority files with descriptions of organizations that are the creators, contributors, and subjects of archival descriptions;

- People/Anglo-American Cataloging Rules, Second Edition (AACR2)
  Organization – Authority files of person names, non-federal corporate
  organization names, and meeting names;
- Subjects – Authority files of terms used to index content of archival
  descriptions (e.g., Topical Subjects, Specific Records Types, Geographic
  Places, Program Areas, and General Records Types); and
- Reference Data – Authority lists used to control various aspects of data
  entry (e.g., information used in list boxes and pull-down menus).

Disposition: TEMPORARY.
- Update/overwrite when data entry or element becomes superseded;
- Delete/destroy when data entry or element becomes obsolete (e.g.,
  if corresponding archival materials are deaccessioned); OR
- Delete/destroy when data entry or element is no longer needed for
  current reference and operations. (N1-64-05-5, item 3a)

File No. 14xx: Archival Research Catalog (ARC) Web: This is the read-only portion of
the ARC database and an online catalog in which Internet users search for descriptions
and digital copies of NARA archival materials (i.e., records, personal papers, and
artifacts) that are located in the Washington, DC area, regional archives, and Presidential
libraries. Archival holdings are described at levels of description within the archival
hierarchy (i.e., record group, collection, series, file unit, and item). ARC Web contains
descriptions and digital copies of various types of archival materials, including:
- Textual records;
- Artifacts;
- Data files and web pages;
- Architectural and engineering drawings;
- Maps and charts;
- Moving images (including, but not limited to, motion pictures, video recordings,
  and television broadcasts);
- Photographs and other graphic materials (including, but not limited to, prints,
  posters, and original art); and
- Sound recordings.

Item 5. [File No. 14xx-1:] ARC Web System. Contains descriptions and digital
copies of archival materials that are accessible via the Internet. Also includes
authority files and lists that allow Internet users to search archival descriptions by
a variety of search methods (e.g., keyword, document location, or digital image).
NARA's main public web site (see item 841-1) contains links to ARC Web.

Proposed Disposition: TEMPORARY.
- Overwrite when existing descriptions, digital copies, and/or entries in
  authority files and lists become superseded; OR
- Delete when descriptions, digital copies, and/or entries in authority
  files and lists become obsolete and/or if corresponding archival
  materials are deaccessioned.

Item 6. [File No. 14xx-2:] Printouts of descriptions, digital copies, and/or brief results. These printouts may be generated on a random basis or as part of a standardized ARC work process.

> *Proposed Disposition*: TEMPORARY. Destroy when no longer needed for reference.

> **NOTE**: If ARC Web printouts are used for another work process (e.g., preparing an office's quarterly report, responding to a researcher's inquiry, or verifying descriptive data for an archival project), file the printouts with the records that document the process.

File No. 14xx: Archival Research Catalog (ARC) Terminal Server: This system allows for connection to the ARC Data Entry System by NARA staff members, volunteers, students, and contractors who have been trained in ARC data entry. Log-in procedures consist of logging on (via user account names and complex passwords) to the Data Entry System "environment" and then to the ARC application itself. Permissions and privileges for accessing functions, menus, and archival descriptions are held in individual Users' records and checked when users log on to the ARC application. Within Users' Accounts, allocations to "user groups" are based on what users do (their "functions") within ARC work processes (e.g., users with read-only access, describers, reviewers, and system administrators). Users are also assigned to "data control groups" according to their organization, although those users who have higher privileges (i.e., staff in the organization that administers the lifecycle data management function) are assigned to multiple data control groups. The functions for viewing, creating, and editing archival descriptions are controlled by assignment(s) to Data Control Groups.

Item 7. [File No. 14xx-1:] Records maintained for Information Technology (IT) Systems Support Functions. Login files and other records relating to establishing, modifying, and deactivating individual users' Training and User Accounts. Records are in electronic and hard copy formats.

> *Disposition*: TEMPORARY. Deactivate User Accounts for those users who no longer require access to the ARC Terminal Server and ARC Data Entry System. Delete/destroy when determined that files are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 1c)

Item 8. [File No. 14xx-2:] Records maintained for Lifecycle Data Management Functions. Included are hard copy and electronic records pertaining to establishing, modifying, and deactivating Training and User Accounts. Records are maintained for individual users.

> *Proposed Disposition*: TEMPORARY. Destroy/delete when determined that records are no longer needed for current reference or operations.