



United States Nuclear Regulatory Commission

*Protecting People and the Environment*

# **RECORDS MANAGEMENT**

## **Records & Information Management Training**

**Records and Information Management Training**

*For*

**Records Liaison Officers**

Apr 27, 2010

**NRC RLO Training**  
April 27, 2010

**File Plans  
and  
Records Categorization**

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**Overview of Day**

- Introductions
- Module One – Status of the NRC Records Program
- Module Two – General Records Concepts
- Module Three – File Plan Initiative and Status
- Module Four – File Plans – A Breakdown
- Module Five – Records Categorization and Lines of Business
- Module Six – Practical Uses for Records Categorization
- Module Seven – Discussion – A Breather
- Module Eight – Going a Step Further with Metadata
- RLO Updates/ARCIS/Feedback

**AND BREAKS!**

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**Introductions**

- Information and Records Services Division Staff
- National Archives and Records Administration
- Records Liaison Officers (RLO)
  - Name, Office, How Long an RLO?
- Did You Know? *Amazing facts behind the information explosion*

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**Module One – Status of the NRC  
Records Program**



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**Vision for NRC Records**

The records of the NRC are well maintained in a variety of media and formats, from paper and microform to e-mail, blogs, and wikis. In order to serve as the evidence of organizational activities and meet all of the business and regulatory requirements, the NRC's records demonstrate the characteristics of reliability, integrity, and authenticity and can be easily located, retrieved and used throughout their lifecycle. In order to serve as foundational resources of the NRC's knowledge and information, records must be accessed easily whenever, wherever, and by whomever necessary. Because the records have both evidential and informational value, they are maintained and preserved in ways that sustain their usability and preserve both these capabilities throughout their life. The management of records is integrated with the management of all information assets because records cannot be appropriately managed independently from other information assets.

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**NRC'S Records Management Goals**

- Organize, maintain, store, and dispose/preserve all records in systematic, defined manner
- Comply with appropriate government laws and regulations
- Meet agency business, historical, and reference needs

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### The NRC Records Program

- Policies – Plan – Program
- Inventory
- Vital Records Protection
- File Plans
- Retention Schedules
- Building into the business process (Review of Privacy Impact Assessments, CPIC documents, PMM)
- Security and Access
- Metadata
- Records Center Operations
- Preservation
- Retention and Disposition
- Training
- Monitoring and Auditing

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### The Enterprise Content Management Program (ECM)

*Improve the quality, efficiency, and security of our regulatory and administrative processes by providing appropriate and straightforward access to information when needed, regardless of location or access device*

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### ECM Goals

- Transform the NRC and the way it does business by enabling the shift from paper-based, manual business processes to more effective, efficient, and user-friendly electronic processing of information.
- Enable business by providing the technologies and processes to allow internal and external stakeholders to successfully handle significant growth in information resources associated with increased business activity.
- Ensure transparent and timely information access to enable the agency to carry out its mission, regardless of location, format, or access device.
- Facilitate information sharing and collaboration among staff and stakeholders in day-to-day business operations by providing appropriate technologies and processes and accurate information about, and support for, those information resources.
- Ensure a robust application infrastructure to support evolving technology needs in a consistent and uniform manner across the agency.

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### Records Relationship to ECM

- ECM will make recordkeeping much more efficient
- The file plans will be used to develop the file codes within the updated ADAMS application to which all agency records will eventually be automatically associated
- The new ADAMS application has automated capture technologies that will:
  - Reduce the recordkeeping burden on staff,
  - Reduce the number of filing/profiling errors,
  - Enforce records policies and retention periods on documents and records
  - Greatly enhance the retrieval, use, and sharing of agency information

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### The R in ECM

- Modernizing the program
  - eFriendly Retention Schedules
  - File Plans Initiative
  - Discovery Readiness
  - Strategic RIM Assessment and Plan
  - Technical Assessment
  - Legacy Access

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### Gaining Momentum

- Organizational Structure
- Privacy Impact Assessment and Project Management Methodology
- Biannual Data Call
- IT Roadmap and Focus Groups– File Plans, Taxonomy, Discovery, PDF/A
- Video Content Working Group
- Knowledge Management Working Group
- Data Management Working Group
- Social Media Working Group

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### eFriendly Retention Schedules

- NUREG 0910, Comprehensive Records Retention Schedule, will be revised
- Revision will be organized by function, but will be able to sort by Office
- Retention schedules will be more broadly applied because easier to apply at higher aggregate.
- Retention options will be minimized.

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### File Plan Initiative

- A way to modernize and be support ECM
- A way to conduct survey of current recordkeeping
- A way to increase compliance
- A way to learn about staff processes
- A way to develop a usable, accessible tool for staff

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### Discovery Readiness

- Assessment of records program preparedness for discovery or disclosure
- OIS perceived gaps and readiness
- Where ECM and other processes can address information management challenges
- OIS recommendations

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### Strategic RIM Assessment and Plan

- Benchmarked against 36 CFR, ISO 15489, Generally Accepted Recordkeeping Principles
- Recognized that challenged with position, preparedness, and resources
- Constrained by current ADAMS and processes
- Restricted because of differing viewpoints of records role in Information Management
- Applied interpretation of definitions for record, non record, and personal papers are not consistent

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### Strategic RIM Assessment and Plan

- Findings result in three categories of risk:
  1. Documentation of activities can be compromised if not fully compliant with Federal Requirements
  2. Reputation damaged if cannot successfully explain, defend and demonstrate authenticity and reliability of records
  3. ECM and RM vision will not be fully achieved if program is not updated and upgraded.

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### Strategic RIM Assessment and Plan

- Near term approach to achieving the vision(s):
  - Update policy → build consensus → address governance process
  - Business Process Discovery
    - Priorities
    - Work Processes
    - Staff Assignments

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### Technical Assessment

- Analysis conducted by contractor to assist in sequencing and planning for RM and ECM
- Recommended faster approach to File Plan development. "Until complete, accurate file plans have been constructed, it will be extremely difficult to utilize the expanded functionality envisioned by the use of the new system."

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### Legacy Access

- NARA Pickup and Delivery
- Archival Facility Accountability System (AFAS)
- Archives and Records Center Information System (ARCIS)
- ADAMS

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**Module Two – General Records Concepts**



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**Some New, Some Review**

- Records Management
- Record, Non Record, Personal Papers
- Types of Records
- Lifecycle
- Records Scheduling
- Inventories
- Informational Value
- NARA's role

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**What is Records Management?**

- Planning
- Controlling
- Directing
- Organizing
- Training
- Promoting

Regarding:

- Records creation
- Records maintenance
- Records use
- Records disposition (includes a variety of actions, not necessarily destruction)

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### Records Management Benefits:

- Provide information for successors
- Create a complete record of official actions
- Ensure accountability to our stakeholders
- Protect information from inappropriate and unauthorized use
- Save staff time, office space, equipment and supplies
- Provide up-to-date, reliable instructions to staff for maintaining and disposing of records and nonrecord material in a consistent manner
- Allow for automated record-keeping procedures which reduce the decision-making burden on staff
- Help with FOIA requests, hearings and lawsuits

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### Good Business Sense

- Retrieve and access records for as long as needed regardless of the format they were created in
- Create authentic and reliable records supporting agency business
- Promote information assurance, including the preservation of vital records and continuity of operations

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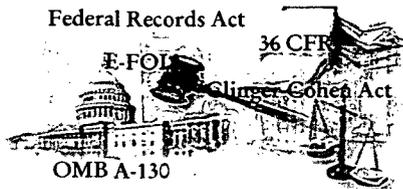
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**Compliance** — *part of business process and not the "stick approach"*



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### The Barriers – identified by Interagency Committee on Government Information

1. Records and information are not managed as agency business assets
2. Records Management, or RM is not viewed as critical to agency mission. It is either not incorporated into business processes or not incorporated early enough, particularly as these processes are automated
3. Marginal support for RM has led to a lack of training, tools, and guidance in Federal agencies
4. The RM and IT disciplines are poorly integrated within Federal agencies

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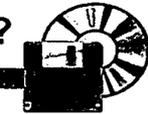
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### What are Records?

- Short Definition

– All documentary materials, regardless of physical form or characteristics, made or received under Federal law or in transacting Government business.



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### What is a Federal Record?

- Recorded information, regardless of media
- Made or received by a Federal agency in accordance with law or in the conduct of business
- Preserved or appropriate for preservation as *evidence of the organization, functions, policies, decisions or other activities of the Federal government or value . . . of information it contains.*

From 44 U.S.C. 3301

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**Records must have**

- Content
- Context
- Structure

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**Non-Records**

- Library and Museum materials
- Stocks of Publications
- Extra copies of documents preserved only for convenience of reference
- Example is what is found in Technical Reference Library in TWFN

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**Personal Papers**

- Definition: Materials belonging to an individual that are not used to conduct agency business
- Some Categories
  - materials accumulated before joining Government service
  - relate solely to an individual's family matters
  - relate to professional organizations where membership is not part of job

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### Records and Non Records

- Records may only be disposed of by using NARA-approved records retention schedules
- Non-record material may be destroyed at agency discretion



*All should still be managed.*

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### Administrative & Program Records

- Administrative records: housekeeping records common to most agencies: budget, personnel, supply, facilities, security, travel, etc.
- Program records: records documenting the unique functions you carry out to support your agency's mission

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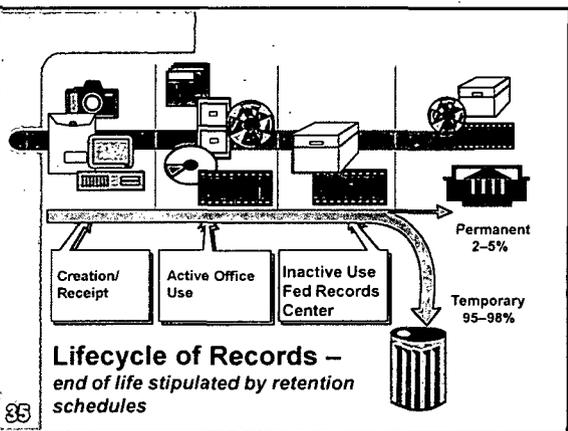
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### Lifecycle of Records – end of life stipulated by retention schedules

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### Records Retention Schedules

- The foundation of a records management program
- Describe each series of records or information systems
- States retention period and disposal instructions
- Recently mandated to report scheduling activities bi-annually to NARA.



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### Scheduling Records

- Scheduling is the process of developing a document that provides mandatory instructions for what to do with records no longer needed for current Government business
- Provides authority for the final disposition of records



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### Basic Steps in Scheduling Records



- Review functions and recordkeeping requirements
- Inventory
- Evaluate
- Draft
- Organize and clear internally
  - RLOs
  - PMDA Directors
  - OGC

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### Basic Steps in Scheduling Records, cont.

- Obtain approval from NARA
- Implement and Train
- Review and Update



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### Review functions and recordkeeping requirements

- Examine pertinent documents such as:
  - Laws
  - Regulations
  - Organization Charts
  - Functional Statements
- Consult with program managers, IT project managers, and users

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### Inventory

- Complete and accurate survey of an agency's business information including description, location, and other pertinent data needed to manage records
- Information is collected at the records series or system level, and includes non records
- Used for:
  - Records schedule
  - File plan
  - Vital records program
  - Audit
  - Identifying records problems and issues that need to be addressed

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### Records Series and Information Systems

- Non-electronic records are inventoried (and scheduled) at the series level.
- Electronic records are inventoried (and scheduled) by the information system.
- Not inventoried or scheduled by individual documents or individual files.

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### Conducting an Inventory

- Check by Cabinets, Folders, Shared drives, etc.
- Questionnaire/Surveys
- Interviews (*similar to the current File Plan Initiative*)

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### Evaluate for Records Disposition

An action taken regarding records no longer needed for current Government business including:

- Transfer to an agency storage facility
- Transfer to a records center
- Transfer permanent records to NARA
- Destruction of temporary records
- Transfer from one agency to another or donation



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### Evaluate for Temporary vs. Permanent

- **Temporary records** are approved by NARA for destruction, either immediately or after a specified *retention period*
- **Permanent records** are determined by NARA as having sufficient historical, informational, or other value, such as accountability, to warrant continued preservation

*Note: **Unscheduled records** do not have a disposition authority approved by NARA and must be treated as "Permanent."*

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### Note:

We do not "archive" temporary records, they are "stored" at a Federal Records Center and the NRC still has legal custody.



Permanent records are eventually transferred to the National Archives for their physical and legal custody.

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### Draft Disposition Instructions

- On the SF 115, Request for Records Disposition Authority, include:
  - "Temporary" or "Permanent"
  - Cutoff instructions
  - FRC retirement instructions
  - "Destroy/Delete" if temporary
  - NARA transfer instructions if permanent
  - Base retention period on assessment of administrative, legal, and fiscal values
  - Make retention period realistic and in line with business needs

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**Organize and Clear Internally**

- RASS Staff
- Custodians or Users
- RLOs
- PMDA Directors (Sign SF-115)
- OGC (Sign SF-115)
- Records Officer (Sign SF-115)

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**NARA Approval Process**

- Register Proposed Retention Schedule (SF-115)
- Distribute to NARA internal stakeholders
- Meet with NRC staff and review records
- Write appraisal memorandum
- Publish Federal Register for records proposed as temporary (30 days)
- Submit to the Archivist of the United States for approval/signature
- Provide signed copy to NRC

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**NARA Appraisal**

- Appraisal is the process by which NARA evaluates records to determine their final disposition, making them either temporary or permanent
  - Decides which records to keep:
    - Records protecting the rights of American citizens
    - Records documenting the actions of Federal officials or agencies
    - Records documenting the national experience
  - Decides which records will be destroyed

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### Evaluating Records: The Agency's Viewpoint

- Agency record values fall into three overlapping categories:
  - Administrative Value
  - Business value
  - Fiscal Value
  - Legal Value

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### Evaluating Records: NARA's Viewpoint

- NARA approves the final disposition of Federal records by examining the values of records
  - Evidential Value
  - Informational Value

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### Evidential Value



Documents...

- Organization
- Function
- Policies
- Actions

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### Evidential Value

- Types of Evidential Records:
  - Issuances
  - Organizational charts and studies
  - Press releases, annual reports, publications
  - Subject/correspondence files of high level officials
  - Significant case files

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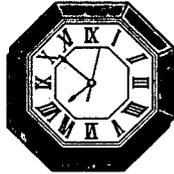
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### Informational Value

- Information about
  - People
  - Places
  - Things



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### Informational Value

- Importance
- Uniqueness
- Institutional Precedents
- Usability
- Researcher Value

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### Considerations Affecting Appraisal

- Government Accountability
- Legal rights and interests of the citizen/stakeholders
- Continuing research value
- Volume: sampling, selection criteria
- Format

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### Electronic Records Considerations

- Hardware/software dependent?
- Documentation available?
- Migration of data?
- Storage considerations?
- Ease of use?



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### NRC Receipt of Approved Schedule

- Post
- Train
- Implement
- Publish in NUREG 0910

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**NUREG 0910 - Agency's Comprehensive Records Schedule**

- Applicable GRS disposition authorities intended primarily for administrative, or housekeeping, records common to several or all Federal agencies
- SF 115 disposition authorities intended primarily for the unique, program records of each agency and for those administrative records not covered by the GRS

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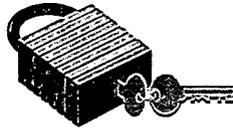
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**NRC Comprehensive Records Schedule – NUREG 0910**

- Organized by office
- Description of records series and information systems
- Disposition instructions
  - cut off instructions
  - retirement instructions
  - transfer instructions



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**Changing NUREG 0910 Starts Now...**



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**Module Three – File Plans Initiative and Status**



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**Purpose of Project**

File Plans:

- Help manage records and information
- Ensure compliance with Federal recordkeeping regulations
- Assist in implementing new technologies

*Cannot accurately update NUREG 0910 without this process.*

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**Project Timeline**



Varies per office, but is an EDO Performance Measure to complete at least 5 in FY2010. However, the migration and use of new ADAMS (IBM PB) necessitates faster delivery.

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**Project Steps**

- Develop project plan and timeline
- Hold kick-off meeting
- POCs to review draft file plans with Program Staff
- Meet with OIS records analysts, RLOs, and program staff biweekly
- OIS to review and approve revised draft file plans

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**OIS Role**

- Oversee project
- Provide initial draft of file plan
- Review, revise, and finalize drafts
- Work with National Archives and Records Administration on any follow up activities
- Assist with training and audits

*Available for meetings and questions/answers*

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**Program Office Roles**

- Records Liaison Officer (RLO) and Point of Contact (POC) roles:
  - Act as liaison with offices
  - Assist OIS in developing file plan
- Staff roles:
  - Provide information on business processes and records/information they create and maintain

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**Primary RASS Staff for File Plans**

- Rebecca Fitzgerald, RM Analyst, [Rebecca.Fitzgerald@nrc.gov](mailto:Rebecca.Fitzgerald@nrc.gov), 415-8715
- Tony Conti, RM Analyst, [Tony.Conti@nrc.gov](mailto:Tony.Conti@nrc.gov), 415-8742
- Mary Haynes, RM Analyst, [Mary.Haynes@nrc.gov](mailto:Mary.Haynes@nrc.gov), 415-8160
- Jay Blewett, RM Contractor, [Jay.Blewett@nrc.gov](mailto:Jay.Blewett@nrc.gov), 415-8063
- Deborah Armentrout, NRC Records Officer, [Deborah.Armentrout@nrc.gov](mailto:Deborah.Armentrout@nrc.gov), 415-7228

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**Module Four – File Plans –  
A Breakdown**



[Redacted]

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**What is a File Plan?**

[Redacted]

A listing in outline form of the main file headings and subdivision headings for each record series and system *in an office*:

- Records and nonrecords kept in an individual office or central file area (NOT an item-by-item list)
- Titles and Series Descriptions
- Location of the records
- Format of the records
- Name of the person that maintains them
- Retention period and final disposition of the records
- And many other items as needed

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**What is a File Plan?**

[Redacted]

Record Series	Series Title	Series Description	Location	Format	Retention	Disposition	Responsible Person	Notes
1000	Administrative	...	...	...	...	...	...	...
2000	Personnel	...	...	...	...	...	...	...
3000	Financial	...	...	...	...	...	...	...
4000	Legal	...	...	...	...	...	...	...
5000	Public Affairs	...	...	...	...	...	...	...
6000	Records Management	...	...	...	...	...	...	...
7000	Information Systems	...	...	...	...	...	...	...
8000	Library	...	...	...	...	...	...	...
9000	Other	...	...	...	...	...	...	...

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### Why Have a File Plan?

- Easier filing
- Consistent records practices
- Quick reference to records dispositions
- Office-specific information
- A key tool when implementing an electronic records management system
- Categorized file arrangement
- Effectiveness, efficiency, and overall improvement of a records program

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### File Plans

#### File Plan Objectives:

- User information retrieval
- Record set integrity (Provenance)
- Uniform classification system
- Maintain intellectual control of office records

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### Record Series

A group of documents or records which are filed together in a convenient way because they:

- Relate to a particular subject or function
- Result from the same activity
- Document a specific kind of transaction
- Take a particular physical form
- Or have some other relationship such as restrictions on access and use

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### Electronic Information System

- A system that contains and provides access to computerized Federal records and other information
- Most often refers to a system containing electronic records, which involve
  - Input or source documents
  - Records on electronic media
  - Output records
  - Documentation needed to maintain and use the electronic records
  - Any indexes

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### Title and Description

- Well understood and used title
- Typically only contains an abstract of the records series or system information system description.
- The complete description is found in comprehensive records retention schedule (NUREG 0910).

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### Retention and Disposition

- How long records are kept in agency, active or inactive
- Temporary or Permanent

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**Media and Location**

- How is the information kept?
  - Paper
  - Electronic (MS Word, Excel, Power Point, PDF, JPEG, WAV)
  - Etc.
- Where is the information kept?
  - ADAMS
  - SharePoint
  - Website

*We can help make recommendations (or requirements) on how and where to keep records based on business needs but we need to know where and how they are used.*

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**Vital Record**

- Needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions, or to protect the legal and financial rights of the Government and those affected by the Government's actions.

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**Lines of Business (LOBs)**

- Initially based on Federal Enterprise Architecture, Business Reference Model and then defined by agency.
- What is the function?
- What is the activity?

*We are defining LOBs and will base records categorization and apply retentions at the highest level possible.*

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**NUREG 0910 #**      **NARA Approval #**

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- Taken from NUREG 0910, Rev 4 (and Rev 3) so we can track and show links when we move from organization to function
- Taken from NUREG 0910, Rev 4 (and Rev 3) so we can track and show links when we move from organization to function
- Preferred method of citation as how NARA refers to records series and systems

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**POC Assigned**

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- Using POC for File Plan Initiative
- Can change for Office use to identify owner of a system or someone (or organization) who has primary custody of the series or system.

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**Additional Information**

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- File plans can be customized for divisions, branches, teams, projects, and even for individuals.
- File plans can be expanded to include profiling and key word information. (More on this...)
- Most importantly, they should be used as a tool for staff

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**Module Five –  
Records Categorization  
and Lines of Business**



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**Records Categorization**

- Remember Goal of Records Program?
  - Organize, maintain, store, and dispose/preserve all records in systematic, defined manner



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**Records Classification**

- Process of putting like things—records of similar subject or category together
- Two common schemes:
  - Case or project files organized alphabetically or numerically
  - Subject file organized alphabetically or numerically

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## Records Categorization

- Defined in File Plans
- Flexibility to sort by Series, Systems, Lines of Business, Office
- Taxonomies
  - A type of controlled vocabulary
  - Defines hierarchical relationships between the terms
  - Goes from the general to the specific
- File plan are taxonomies that have "function"

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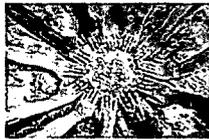
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## Records Categorization and File Plan Architecture

Identify an organizing principle that will make sense to most of the users.



Why?

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## Records Categorization and File Plan Architecture

Because it is easier and over the long run, more consistent, the primary sort will be by Lines of Business:

- Regulation
- License Approval and Oversight
- Inspection and Oversight
- Administrative Services



When shopping at the grocery store, do you shop by going to vegetables, meat, dairy or by Organic Farms, Dole, Grimmway Farms?

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### Records Categorization and File Plan Architecture

- Easier access because commonly applied terms.
- Easier to apply retentions and keep retentions consistent.
- Informational value doesn't change so won't have to go back to NARA for approval.
- Easier for people and computers to connect if "talking the same language."




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### Records Categorization and File Plan Architecture

- Divide Major Headings into Primaries, e.g.,
  - Administration and Operational
    - Budget & Finance
    - Human Resources
    - Information Services
    - Inspector General
    - Security

*RM plans to build records retention schedule around these heading or subheadings. Going much lower than 3-4 levels becomes cumbersome.*

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### Revisiting the File Plan

Item No.	Dis. Authority	Primary / Secondary	Retention	Access	File Plan	Value	Level of Detail	Number of Records	NARA Ref.	FOIA Exemption
1		Primary	10 yr	Open	✓			100,000	25.101-101	
2		Primary	10 yr	Open	✓			100,000	25.101-101	
3		Primary	10 yr	Open	✓			100,000	25.101-101	
4		Primary	10 yr	Open	✓			100,000	25.101-101	
5		Primary	10 yr	Open	✓			100,000	25.101-101	
6		Primary	10 yr	Open	✓			100,000	25.101-101	
7		Primary	10 yr	Open	✓			100,000	25.101-101	
8		Primary	10 yr	Open	✓			100,000	25.101-101	
9		Primary	10 yr	Open	✓			100,000	25.101-101	
10		Primary	10 yr	Open	✓			100,000	25.101-101	

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### Flipping to Functional Structure – First Level

- Budget
  - FY 2009
    - Budget Projections
      - Drafts
        - 09PROJ\_DFTA.xls
      - Final
        - 09PROJ\_FINL.xls
    - Expenditures
    - Contracts
      - Closed, Completed
        - NAME01\_CON.wpd
      - Open, In Progress
      - Drafts
      - Correspondence
        - Formal
        - Memos

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### Functional Structure – Second Level

- FY2009
  - Contracts
    - Closed, Completed
      - NAME01\_CON.wpd
    - Open, In Progress
      - NAME99\_CON.wpd
    - Drafts
      - NAME02\_DFT\_CON.wpd
    - Signed Correspondence
      - 03032009\_LTR.pdf
      - 04152009\_MEM.pdf

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### Functional Structure – Third Level

- Contracts
  - FY2008
    - Closed, Completed
      - NAME01\_CON.wpd
    - Open, In Progress
      - NAME99\_CON.wpd
  - FY2009
    - Closed, Completed
      - NAME03\_CON.wpd
    - Open, In Progress
      - NAME02\_CON.wpd

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**Schedule – Can retention be applied at highest level?**

- 1. Allegation Case Files
  - 1-a Licensee A
  - 1-b Licensee B
- 2. Antitrust Case Files
  - 2-a Licensee A
  - 2-b Licensee B
- 3. Committee and Conference Records
  - 3-a Committee and Conference Organization
    - 2-a-1 International Committee - Fuels
    - 2-a-2 Interagency Committee - Regulations
    - 2-a-3 International Conference – Plant Development
  - 3-b Committee and Conference Meeting Agenda/Minutes
    - 2-b-1 International Committee - Fuels
    - 2-b-2. Interagency Committee - Regulations
    - 2-b-3 International Conference – Plant Development



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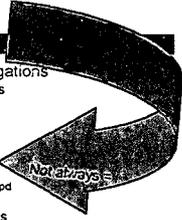
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**Schedule – Can retention be applied at highest level?**

- 16.00 Office of Special Investigations
  - 16.01 Allegations and Inquiries
    - Open
      - Casename1
        - 04032003.pdf
        - 05092004.wpd
      - Casename2
        - All Cases Draft Versions
        - Filename\_RPT\_DFT.wpd
    - Closed
  - 16.02 Confidential Source Files
    - 16.02.a Confidential Source Log
    - 16.02.b Confidential Source Files
      - 01022000DFT.wpd
      - 01142001DFT.wpd



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**Not always =?**

- Working on NUREG 0910 and File Plans an analysis is occurring on whether retentions will be bucketed in 5 main disposition categories.
  - Transitory
  - Short Term
  - Medium Term
  - Long Term Temporary
  - Permanent



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**Module Six - Practical Uses for  
Records Categorization**



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**S:\07TRAVEL\701-2 Travel Correspondence - General**

Address: S:\07TRAVEL\701-2 Travel Correspondence - General

Name	Size	Type	Date Mod
2003 Federal Travel Handbook...	720 KB	Adobe Acrobat D...	1/21/2003
Milton Sedona Resort Hotel Co...	45 KB	Microsoft Word D...	3/20/2004
Milton Sedona Resort Hotel Co...	142 KB	Microsoft Word D...	3/20/2004
Milton Sedona Resort Hotel Co...	541 KB	Microsoft Word D...	3/23/2004
HMRA Travel EFT Form.doc	25 KB	Microsoft Word D...	7/26/2004
New Travel Set Lib Form as of...	142 KB	Adobe Acrobat D...	1/20/2004
Summary of Changes to Milton...	21 KB	Microsoft Word D...	3/20/2004
Travel and Expenses Form as...	22 KB	Microsoft Word D...	1/20/2004
Travel Expense.xls	41 KB	Microsoft Excel W...	1/13/2003
TRAVEL SETUP FORM act 4...	21 KB	Microsoft Word D...	4/23/2003
TRAVEL SETUP FORM.doc	214 KB	Microsoft Word D...	5/20/2003

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**S:\08BUDGET\701-2 Operating Budget Plan**

Address: S:\08BUDGET\701-2 Operating Budget Plan

Name	Size	Type	Date Mod
PY2004-PY2006-1-00 Expenses...	1,629 KB	Microsoft Excel W...	
PY 2003 budget calendar.xls	28 KB	Microsoft Excel W...	
PY 2004 budget calendar.xls	29 KB	Microsoft Excel W...	
NHRS PY 2002 Operating Budg...	17 KB	Microsoft Excel W...	
NHRS Allocated quick coding...	57 KB	Microsoft Excel W...	
NHRS APD quick coding list.xls	67 KB	Microsoft Excel W...	
NHRS Quick Code List FY 200...	122 KB	Microsoft Excel W...	
NHRS RCD quick coding list.xls	25 KB	Microsoft Excel W...	
NHRS RM quick coding list.xls	62 KB	Microsoft Excel W...	
NHRS Allocated quick coding...	59 KB	Microsoft Excel W...	
NHRS APD quick coding list.xls	67 KB	Microsoft Excel W...	
NHRS Quick Code List FY 200...	144 KB	Microsoft Excel W...	
NHRS RCD quick coding list.xls	89 KB	Microsoft Excel W...	
NHRS RM quick coding list.xls	60 KB	Microsoft Excel W...	
RCD GRP FY2004-PY2006 Co...	147 KB	Microsoft Word D...	
RCD GRP FY2004-PY2006 Co...	24 KB	Microsoft Word D...	

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### Maintenance and Change Management

- Maintenance doesn't mean *status-quo* gate-keeping.
- Actively oversee the life of the e-files
  - Maintain relevant documents.
  - Delete documents that no longer have a useful life.
  - Maintain an updated E-File Plan.
  - Train and engage the cooperation of new staff.
  - Add new folders for new program mission areas
  - Go with the paper flow in electronic form.

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### Basic Steps

- A written plan and schematic for a system.
- A written agreement on procedures and protocols among users.
- Support from management.
- Enlist cooperation with IT staff.
- Assign an E-workspace coordinator.
- Maintain, update, change E-workspace as the paper workplace changes.

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## Module Seven – Discussion – A Breather



Can you see where your  
organization fits into the draft  
Lines of Business?  
Any suggestions?  
Any concerns?

**DRAFT**  
**LINES OF BUSINESS**

**REGULATION**

<b>Regulations</b>	
• Development	
• Publication (including public review and comment resolution)	
<b>Industry Standards Development</b>	
• Research (R&D) Programs	
• Standard Development, Review and Publication	
<b>Rulemaking &amp; Guidance Development</b>	
• Generic Issue Management	
• Industry Experience & Lessons Learned	

**LICENSE APPROVAL AND OVERSIGHT**

<b>Power, Test and Research Reactors [Naval Reactors?]</b>	
• Decommissioning	
• Design & Licensing	
• Environmental Considerations	
• Fuel Storage (Fuel Pool and Independent Spent Fuel Storage Installations [ISFSI])	
• Operations	
<b>Nuclear Materials</b>	
• Agreement State Agreements & Oversight	
• Fabrication & Design Licenses	
• Ownership & Use Licenses	
• Waste Storage	
• Spent Fuel & Special Nuclear Material	
• Low Activity Waste (Byproduct & Source)	
• Transportation	
• Cask Design	
• Scheduling/Shipments	
<b>Nuclear Fuel Cycle Facilities</b>	
• Licensing of Mining and Uranium Recovery Operations	
• Certification of Fuel Enrichment and Licensing of Fuel Fabrication Facilities	
• Oversight and Inspection	
• Decommissioning	
<b>Personnel</b>	
• Operator Qualification / Requalification	
• Operator Investigation	
<b>Public Hearings &amp; Adjudication</b>	
• Independent Review Panels Activities (e.g., ASLBP / ACRS)	
• Hearings and Appeals	
<b>Nuclear Incident Response</b>	
• Incident Response	
• Emergency Preparedness & Planning	
• Incident Management	
• Safeguards	
• Facility Design & Planning	
• Testing and Evaluation (Drills)	
• Inter-Agency Coordination	

# DRAFT

<b>Radiation Protection</b>	
• Standards Development	
• Monitoring Exposure and Releases	
• Access Restrictions, including signage and barriers	

## INSPECTION & OVERSIGHT

<b>Facility Inspections</b>	
• Daily (Resident) Monitoring	
• Special Inspections	
<b>Program Monitoring</b>	
• Requirements Definition	
• Data Collection and Publication	
• Evaluation	
<b>Enforcement Activities</b>	
• Allegation Investigations	

**DRAFT**

<b>NRC INTERNAL ACTIVITIES AND PROGRAMS</b>	
<b><u>NRC MANAGEMENT OVERSIGHT</u></b>	
Commissioner's Actions (including SECY actions)	
EDO Operations - Activities	
International	
NRC Organization and Responsibilities	
Policy & Procedures	
Task / Action Tracking Systems	
<b><u>ADMINISTRATIVE SERVICES</u></b>	
Acquisition	
• Small Business Programs	
NRC Administration	
• Management Controls	
• Outreach	
Records and Document Management	
Security	
• Facility Security	
• Personnel Clearances and Badging	
<b><u>FINANCIAL MANAGEMENT</u></b>	
Accounting and Reporting	
Expenditures	
Licensing Receipts	
Budget	
<b><u>HUMAN RESOURCES MANAGEMENT</u></b>	
Benefits and Payroll Administration	
Equal Employment Opportunity / Civil Rights Programs	
Recruitment & Hiring	
Personnel Administration – Labor Relations	
Training	
Workforce Planning	
<b><u>LEGAL RECORDS (OGC)</u></b>	
Legal Support to NRC Staff	
Regulations Development	
<b><u>INFORMATION TECHNOLOGY (OIS)</u></b>	
Computation and Office Applications	
Information Security	
Content Management	
Technology Infrastructure	
<b><u>PUBLIC &amp; CONGRESSIONAL RELATIONS</u></b>	
Congressional Hearings & Submittals	
Press Releases / Public Meetings	
<b><u>OFFICE OF THE INSPECTOR GENERAL</u></b>	
Administration	
Allegations	
Investigations	

**Module Eight –  
Going a Step Further with Metadata**



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**The Role of Metadata in Organizing Files**

- Data about data
- Provides information about information (content) objects, such as title, author, date, media, subject matter

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**The Role of Metadata in Organizing Files**

- Including metadata in information objects or in a separate index enables users to limit searches to
  - Files within a date range
  - Files with a specific title
  - Files by a specific author
  - Available for disposition

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### Metadata Considerations

- Descriptive metadata – how much is enough?
  - locally defined metadata
- Administrative metadata – what to capture?
  - E.g. Changes to the metadata record
- Process metadata – what to capture?
  - E.g. Check-in / check-out
- Links between/among metadata records
  - Structural metadata
- Links between/among metadata elements
  - Records management processes
- Preservation/archival metadata

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### Metadata & Taxonomies

<b>CONTENT ITEM</b> Acme Inc. Budget – Final John Smith CFO November 8, 2006	<b>TAXONOMY</b> Facilities Management (2-01) Financial Management (2-02) Cash Management (2-02-01) Financial Planning (2-02-02) Budget Working Papers (2-02-02-01) Budgets (Approved) (2-02-02-02) Financial Reporting (2-02-03) Human Resources Management (2-03)
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**METADATA RECORD**  
Title: Acme Inc. Budget – Final  
Creator: Smith, John  
Position: CFO  
Date: 2006-11-08  
Class Code: 2-02-02-02  
Class Name: Budgets (Approved)

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### Steps to Success



- Align with other standards – use what is applicable
- Involve all stakeholders – RM, CM, DM, Web, Library, Archives, Data Mgmt
- Review standards for development of metadata element sets and application profiles
- Obtain senior management support
- System independent
- Interoperability across the enterprise
- Look at other models internationally, nationally, locally

*Note - metadata will differ in detail according to organizational or specific requirements for jurisdiction*

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**Metadata Authorities**

- ISO Technical Specification 23081-1, *Information and documentation – Records management processes – Metadata for records – Part 1: Principles*, 2006.  
<http://www.iso.org/iso/en/CatalogueDetailPage.CatalogueDetail?CSNUMBER=40832&ICS1=1&ICS2=140&ICS3=20>
- ISO Technical Specification 23081-2, *Information and documentation – Records management processes – Metadata for records – Part 2: Conceptual and Implementation Issues*, 2007  
<http://www.iso.org/iso/en/CatalogueDetailPage.CatalogueDetail>

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**Metadata Authorities**

- ISO International Standard 15489-1, *Information and documentation – Records management – Part 1: General*, 2001  
<http://www.iso.org/iso/en/CatalogueDetailPage.CatalogueDetail?CSNUMBER=31908&ICS1=1&ICS2=140&ICS3=20>
- ISO Technical Report 15489-2, *Information and documentation – Records management – Part 2: Guidelines*, 2001  
<http://www.iso.org/iso/en/CatalogueDetailPage.CatalogueDetail>

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**Metadata Resources**

- National Archives of Australia, *Recordkeeping Metadata Standard for Commonwealth Agencies*, May 1999 [under revision]  
<http://www.naa.gov.au/recordkeeping/control/rkms/contents.htm>
- Minnesota, *Recordkeeping Metadata Standard*, Apr 2003  
<http://www.mnhs.org/preserve/records/metadastandard.html>
- Government of South Australia, *Recordkeeping Metadata Standard*, Mar 2006 – Mar 2007  
[http://www.archives.sa.gov.au/files/management\\_standard\\_metadata.pdf](http://www.archives.sa.gov.au/files/management_standard_metadata.pdf)

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### Metadata Resources

- U.S. Department of Defense, *Design Criteria Standard for ERMS Applications*, DoD 5015.2, Apr 2007  
<http://jitic.fhu.disa.mil/recmgt/index.html>
- ANSI/AIIM/ARMA, *Framework for Integration of EDMS & ERMS*, TR48-2006, Nov 2006  
<http://www.aiim.org/standards.asp?ID=24484>

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### Metadata Resources

- Government of Canada Records Management Metadata Standard ,  
(<http://www.collectionscanada.ca/information-management/002/007002-5000-e.html>)
- Dublin Core, interoperable online metadata standards that support a broad range of purposes and business models,  
<http://dublincore.org/>

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**RLO Updates/ARCIS**



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**RLO Updates**

- Next Meeting
  - NARA Updates
  - Demos, Presentations?
- Next Training
  - Second offering on Records Categorization and File Plans (who would attend?)
  - Business Analysis for Records
- Part of Business Discovery/Resource Analysis
  - Daily Activities
  - % of day spent on records
  - Who else does this in organization

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**AFAS and ARCIS**

- AFAS
  - Moving to Sequel Server
  - Making more robust
  - Building more functionality
- ARCIS
  - On Line Training?
  - Limited functionality
  - Determine what parts we will use (must use for transfer/delivery)

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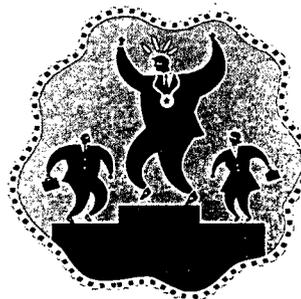
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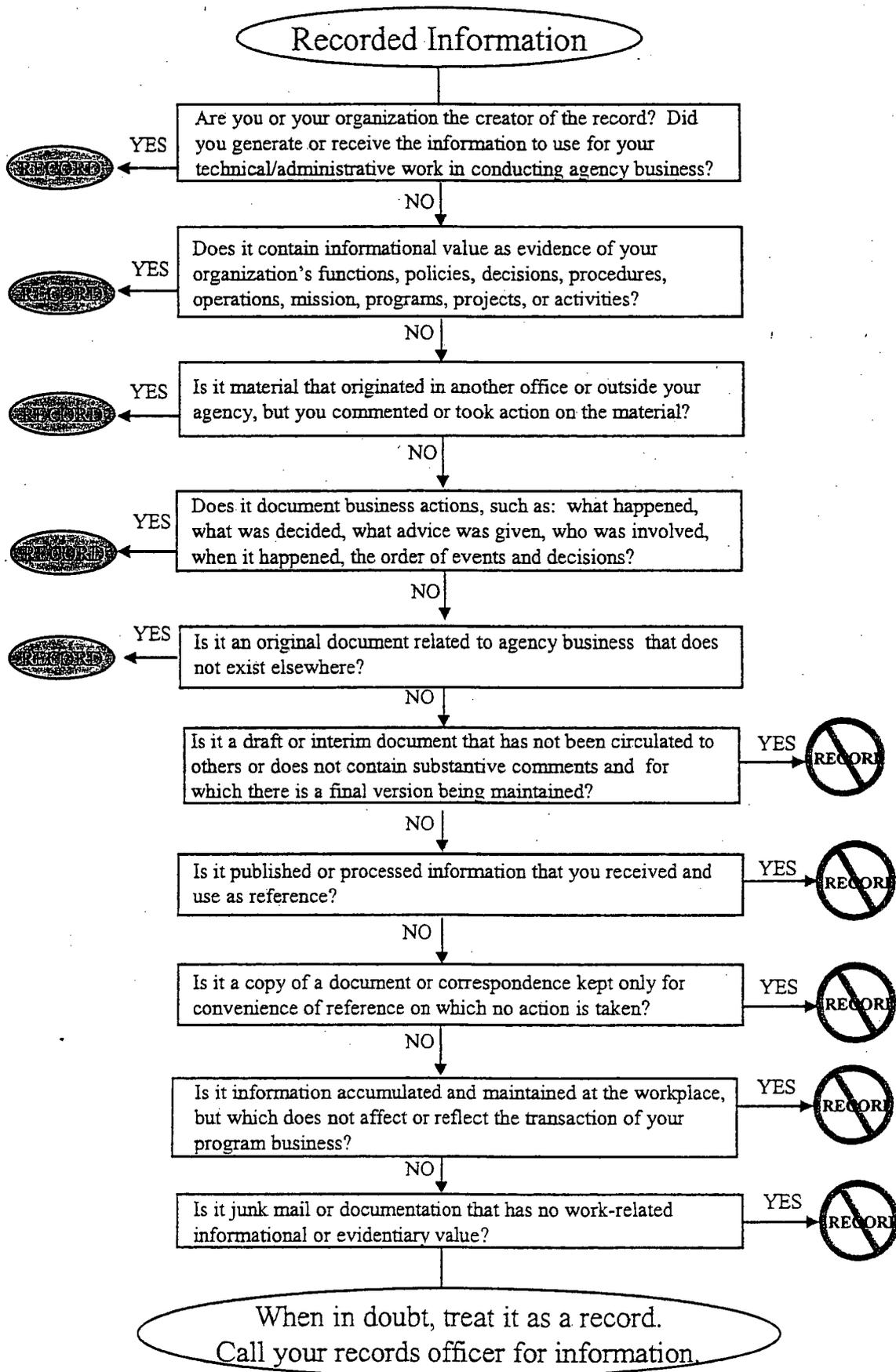
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## Lingering Questions - End of Day



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# Is It A Record?



March 26, 2009

Author: Anna Nusbaum, CRM Sandia National Lab, NM

# Recordkeeping Roles and Responsibilities

## Introduction

This description of roles begins with the Agency Head, proceeds through the normal records management network (CIO, Agency Records Officer, Records Liaison, and Records Custodian), covers the Program Manager (supervisor), refers briefly to various other officials, and concludes with the average staff member (employee).

## Agency Head

- ◆ The Agency Head is responsible for the entire records management program in the agency, but normally delegates this responsibility to the Agency Records Officer. The statutory basis (The Federal Records Act of 1950, as amended) is as follows:
- ◆ The head of each Federal agency shall
  - a. "Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities." (44 U.S.C. 3101)
  - b. "Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency." (44 U.S.C. 3102)

## Chief Information Officer (CIO)/IRM Official

- ◆ Serves as the agency official responsible for the information resources management program; that is, the process of managing information resources to accomplish agency missions, which encompasses both information itself and related resources, or assets, such as personnel, equipment, funds, and information technology.
- ◆ Coordinates with the Agency Records Officer to ensure that the design and implementation of the agency's information systems incorporate Federal and agency records management requirements.

## Agency Records Officer

- ◆ Serves as the official responsible for overseeing the agency's records management program.
- ◆ Ensures that the agency has an up-to-date records management directive.
- ◆ Creates and maintains a network of Records Liaisons responsible for overseeing the program in headquarters and field offices in cooperation with the Records Officer.

- ◆ Serves as the primary agency official who coordinates records management matters with NARA and other oversight agencies.
- ◆ Coordinates the development of a records schedule with NARA, IRM, program and agency officials. The records schedule identifies records as either temporary or permanent. All records schedules must be approved by NARA.
- ◆ Coordinates matters relating to records management with the agency's FOIA/Privacy Act Official(s), IRM Official, System Administrators, Program Managers, the Inspector General, the General Counsel, the Public Affairs Officer, the Web Manager, the Agency Historian, and the Imaging and Micrographics Manager, as well as with program officials responsible for other special media, such as audiovisual records, cartographic and architectural records, and printed records.
- ◆ Ensures that recordkeeping requirements are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special records.

### **Records Liaison**

- ◆ Coordinates the records management activities of a major component, whether at headquarters or in the regions.
- ◆ Serves as the primary component official who coordinates records management matters with the regional NARA office and any other local oversight agencies.
- ◆ Coordinates changes to the records schedule with the Agency Records Officer and local program managers.
- ◆ Coordinates matters relating to records management with the component's FOIA/Privacy Act Official(s), IRM Official, System Administrators, Program Managers, Internal Auditors, visiting Inspector(s) General, Counsel, the Public Affairs Officer, the Web Manager, the Agency Historian, and the Imaging and Micrographics Manager as well as with program officials responsible for other special media, such as audiovisual records, cartographic and architectural records, and printed records.
- ◆ Ensures that component recordkeeping procedures are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special records.
- ◆ Coordinates with the Agency Records Officer to report that each office within the component has a designated Records Custodian.
- ◆ Ensures that each office creates and maintains records documenting its program and administrative activities.
- ◆ Works with Records Custodians to make sure that all the records of each office are listed in the office file plan and are described accurately in the agency's records schedule.
- ◆ Works with Records Custodians to ensure the transfer of eligible records to a records center, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to NARA.

- ◆ Ensures the proper training of Records Custodians and employees and the proper briefing of Program and Senior Managers.
- ◆ Promotes the records management program within the component.
- ◆ Conducts periodic evaluations of records management activities within the component.

### **Records Custodian**

- Has assigned responsibility within a particular office for records management matters and complies with guidance issued by the Records Liaison and the Agency Records Officer.
- Makes sure that all the office's records are listed in the office file plan and are described accurately in the agency's records schedule. Checks with the Records Liaison or the Agency Records Officer for assistance.
- Follows the agency's records schedule to ensure the proper disposition of the office's records, including:
  - Systematic file cutoffs (breaks)
    - The retirement of eligible records to a records center
    - The prompt disposal of temporary records when their retention periods expire
    - The timely transfer of permanent records to NARA
- Assists the Program Manager in reminding the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove records from the office without proper authorization.
- Assists the Program Manager in implementing procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody.
- Cooperates with the Records Liaison and the Agency Records Officer in periodic evaluations of the office's records.

### **Program Manager (Supervisor)**

- Ensures that the office has a designated Records Custodian who coordinates the office's records management activities with the Records Liaison and others.
- Ensures that the staff receives basic records management training and guidance.
- Ensures that the staff creates and maintains records documenting the office's program and administrative activities.
- Works with the Records Custodian to make sure that all the office's records are listed in the office file plan and described accurately in the agency's records schedule.
- Reviews the office file plan annually.
- Reminds the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove records from the office without proper authorization.
- Implements procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody.

- Ensures that the Records Custodian follows the agency's records schedule in carrying out the disposition of the office's records.
- Cooperates with the Records Custodian, the Records Liaison, and the Agency Records Officer in efforts to promote and evaluate the office's records management activities.

### **System Administrator (Information Technology Manager)**

- Serves as the person primarily responsible for managing an information system.
- Works with the Records Liaison, the Records Custodian, and others to ensure that the design and implementation of the system incorporates Federal and agency records management requirements.

### **Web Manager**

- Serves as the person primarily responsible for managing the web pages within a component, i.e., assuring compliance with agency and local directives. Usually not the person responsible for content of a web page.
- Works with the Records Liaison, the Records Custodian(s), and others to ensure the web Page Managers understand and adhere to Federal and agency recordkeeping requirements.

### **Inspector General**

- Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud and to improve agency management.
- Coordinates with the Agency Records Officer and others regarding any recordkeeping deficiencies identified during inspections and investigations.

### **General Counsel**

- Serves as the official responsible for providing legal advice and assistance to agency officials and employees.
- Provides advice to the Agency Records Officer and others regarding the legal value of the agency's records and the issue of public access to them.

### **Public Affairs Officer**

- Serves as the official responsible for coordinating information being released to the public such as news releases, speeches by high-level officials, media presentations, appearances of agency representatives at public events, etc. The Public Affairs Officer may be responsible for coordinating content of public web sites.
- Works with the Records Liaison to ensure release of information is in compliance with Federal and agency public affairs directives.

### **Historian**

- Serves as the official responsible for writing narratives of past agency activities.
- Provides advice to the Agency Records Officer on what agency records are likely to have long-term or permanent value.

**Imaging and Micrographics Manager**

- ◆ Serves as the official responsible for directing the agency's imaging and microfilming operations, or monitoring contractors who scan or microfilm records for the agency.
- ◆ Cooperates with the Agency Records Officer to ensure that the agency's scanned and microform records comply with Federal and agency requirements.

**Staff Member (Employee)**

- ◆ Obtains basic records management training and guidance from the office's Records Custodian, Records Liaison, or Agency Records Officer.
- ◆ Recognizes that the office's records are Government property and consist of recorded information (documentary materials) required by law or used to conduct agency business.
- ◆ Creates and maintains records documenting office activities.
- ◆ Cooperates with the Records Custodian to ensure that all records are listed in the office file plan and described accurately in the agency's records schedule.
- ◆ Does not mix personal papers and nonrecord materials with Federal records.
- ◆ Cooperates with the Records Custodian in transferring eligible records to a records center and permanent records to NARA.
- ◆ Cooperates with the Records Custodian in destroying records only as authorized in the agency's records schedule.
- ◆ Avoids removing records from the office without proper authorization.

## Migration Strategies Quick Reference Guide

### *Plan for migration activities...*

1. All Business Process Redesign projects should address records migration issues. When changing from a paper-based or microfilm records system to an electronic records system, build migration into your formulas for future activities and expenditures.
2. Include migration tasks in all Requests for Proposal (RFP) and contracts with software vendors and records management service providers.
3. Review your media once a year for degradation. Refresh media on a regular cycle based on your specific storage conditions (e.g., temperature, humidity, and method of storage) and media.
4. Migrate to a proven, open architecture system every five to ten years, depending on your agency's needs. By building migration into RFPs and contracts, software vendors and records management service providers will be involved in this process.
5. Maintain one generation plus the current system.
6. Conduct a records migration pilot before conversion. When implementing a conversion, run both the old and the new systems until you are sure that the new system is working to your expectations and users' needs.
7. Develop and implement written policies and procedures for migration. Maintain an audit trail of migration activities and any changes made during these activities to ensure that the records are readable, understandable, and retrievable. Conduct quality control reviews of migrated records. Policies and procedures must be in place to attest to the fact that the integrity of the records has been maintained, and that the records are complete, accurate, and authentic.
  - Migration should result in little or no loss of structure and no loss in content or context. However, migration may change the appearance of the records. If the content, context, and structure of the records can no longer be supported because of migration then authenticity must be reestablished by documenting all actions taken and validating that the intellectual content of the records has not been altered.
  - Migration must be performed routinely in the normal course of business. Documentation of this process is required to substantiate migration activities.
  - Maintain evidence that the records, after migration, are relied upon in the same manner as before migration.

## Migration Strategies Quick Reference Guide

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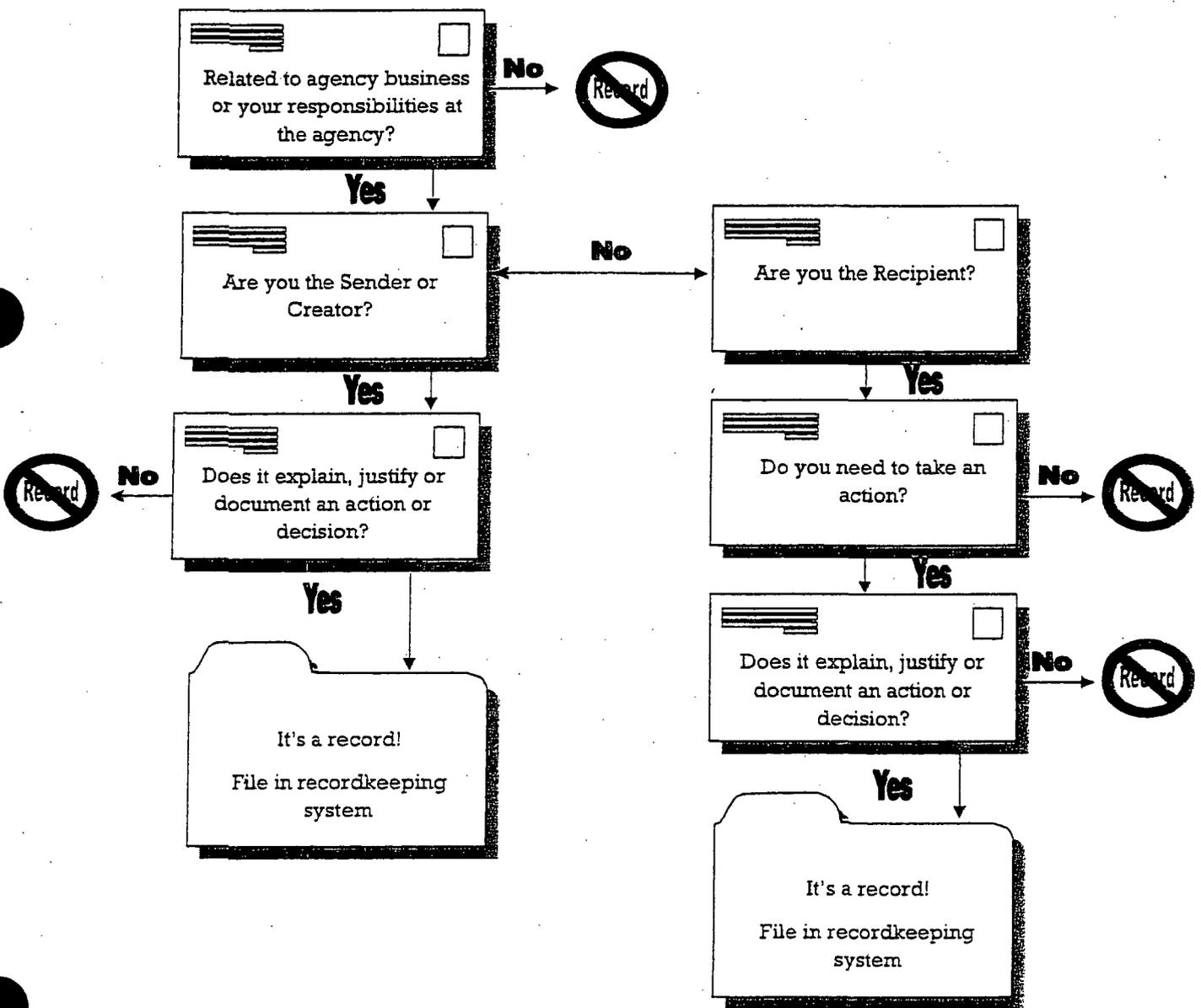
# Email as a Record

## When are e-mail messages records?

You should treat e-mail messages the same way you treat paper correspondence. An e-mail message is a record if it documents the agency's mission or provides evidence of an agency's business transaction and if you or anyone else would need to retrieve the message to find out what had been done or to use it in other official actions.

## E-mail Record Decision Tree

### How to decide if an e-mail is a record



## E-mail Quick Reference Guide

### *E-mail Messages Are Records When...*

- They are made or received by your agency under Federal law or in connection with public business; *and*
- They are preserved or are appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the information value of the data they contain.

### *Principal Categories of E-mails to be Preserved*

Preserve any e-mail correspondence that:

- Documents the formulation and execution of basic policies and decisions and the taking of necessary actions
- Documents important meetings
- Facilitates action by you or your successors
- Makes possible a proper scrutiny by the Congress or by duly authorized agencies
- Protects the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions

### *E-mail Messages that May Constitute Federal Records*

Your e-mail may be a Federal record if it:

- Provides key substantive comments on a draft action memorandum, or adds to a proper understanding of the formulation or execution of Agency action
- Provides documentation of significant Agency decisions and commitments reached orally (person-to-person, by telecommunications, or in conference) that is not otherwise documented in your files
- Conveys information of value on important Agency activities, or adds to a proper understanding of Agency operations and responsibilities

### *Points to Remember about E-mail*

- Agency e-mail systems are for "official use" only by authorized personnel
- Before deleting any e-mail message, determine whether it meets the legal definition of a record and, if so, preserve a copy of the message
- Printed messages kept as a record should contain essential transmission, receipt data, and attachments; if not, print the data or annotate the printed copy
- File printed messages and essential transmission and receipt data with related files
- Delete messages that are not records when no longer needed
- Delete messages that are records, after they have been placed in a recordkeeping system

# E-mail Directive

## Electronic Mail Record

This section establishes Agency policies for managing electronic mail.

**1. Summary.** This section establishes policies and responsibilities for managing the creation, maintenance, use, and disposition of electronic mail. In this section, electronic mail includes the message and all attachments.

**2. Authority.** The management of electronic mail complies with 44 U.S.C. Chapters 21, 29, 31, 33 and 33 and 18 U.S.C. Chapter 101, and regulations established by NARA for managing Federal records as stated in 36 C.F.R. parts 1220, 1222, 1228, and 1234. The agency manages electronic mail in accordance with 36 C.F.R. 1234.24. The agency uses the standards contained in 36 C.F.R. part 1234 to manage Federal electronic mail that is maintained in an electronic recordkeeping system.

### 3. General Policy

- a. All Government employees and contractors are required by law to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. In addition, Federal regulations govern the lifecycle of these records: they must be properly stored, preserved, and available for retrieval, and may be disposed of only in accordance with NARA approved records control schedules.
- b. Employees are encouraged to use electronic mail because it is a cost-effective communications tool. This guidance assists agency personnel with effectively managing electronic mail.
- c. Agency electronic mail systems are for official use only by authorized personnel. The information in these systems is Departmental, not personal. Utilization of electronic mail for other than official, authorized purposes is prohibited. No expectation of privacy or confidentiality applies.
- d. Users of agency electronic mail systems will not alter or improperly dispose of any electronic mail message, record of transmission and receipt date, or attachment (such as a document) which meets the definition of a Federal record.

**4. Definitions**

- a. **Electronic Mail (Message).** A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.
- b. **Electronic Mail Record.** A document created by or received via an electronic mail system which meets the definition of a Federal record as specified in 44 U.S.C. 3301.
- c. **Electronic Mail System.** A computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and electronically generated documents not transmitted on an electronic mail system.
- d. **Federal Record.** All books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
- e. **Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.**
- f. **Transmission Data.** Information in electronic mail systems regarding the identification of sender and addressee(s), and the date and time messages were sent.
- g. **Receipt Data.** Information in electronic mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s).
- h. **Recordkeeping System.** A manual or electronic system in which records are collected, organized, and categorized to facilitate their presentation, retrieval, use, and disposition.

## 5. Maintaining and preserving electronic mail.

- a. Determine if electronic mail is a Federal record. The sender and the person who receives electronic mail independently determine whether or not the message and its attachments meet the definition of a Federal record for their office (See Chapter One, Section Four). The following are examples of electronic mail that constitute Federal records:
  - (1) Electronic mail that contains substantive information that is necessary to adequately and properly documents the activities and functions of the agency.
  - (2) Electronic mail that provides key substantive comments on a draft action memorandum if the electronic mail message adds to a proper understanding of the formulation or execution of agency action.
  - (3) Electronic mail that provides documentation of significant agency decisions and commitments reached orally (person-to-person, by telecommunications, or in conference).
  - (4) Electronic mail that conveys information of value on important agency activities if the electronic mail message adds to a proper understanding of agency operations and responsibilities.
  - (5) Electronic mail that documents the formulation and execution of basic policies and decisions.
  - (6) Electronic mail that documents important meetings.
  - (7) Electronic mail that denotes actions taken by agency officials and their successors.
  - (8) Electronic mail that makes possible a proper scrutiny by the Congress or other duly authorized agencies of the Government.
  - (9) Electronic mail that protects the financial, legal, and other rights of agency and of persons directly affected by the Department's actions.
- b. Electronic mail that is a Federal record. Electronic mail determined to be Federal records falls into three categories: permanent records, temporary records, and transitory records.
  - (1) Permanent electronic mail are those messages that NARA appraises as having sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States. Electronic mail is scheduled as permanent by a NARA approved Request for Records Disposition (SF 115) because the records have continuing value as documentation of the organization and functions of agency or because the records document the nation's history by containing significant information on persons, things, problems and conditions. Electronic mail may be scheduled as permanent as part of a larger series or as the electronic mail of a designated agency official, such as, an Under Secretary.

(2) Temporary electronic mail are those messages that NARA approves for either immediate disposal or for disposal after a specified period of time or an event in accordance with a NARA approved Request for Records Disposition (SF 115) or the General Records Schedules. Temporary records may document agency business processes or document legal rights of the government or the public, document government accountability, or contain information of administrative or fiscal value. Depending on the type of record, the retention period may range from immediate destruction to as long as 100 years.

(3) Transitory electronic mail are those messages of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory electronic mail messages includes:

(a) Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;

(b) Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;

(c) Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records. (See General Records Schedules 23, item 7.)

(d) Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities (See GRS 23, item 5b).

c. Maintaining electronic mail.

(1) Electronic mail must be preserved for its appropriate retention period (which may be transitory), along with essential transmission and receipt data (names of sender and addressee(s) and date message was sent) for each electronic mail message in order for the context of the message to be understood. Disposition of all electronic mail records will be made in accordance with an authorized records disposition schedule.

(2) Permanent and temporary electronic mail are maintained and made available for office use by:

(a). Printing the e-mail message (with attachment) and filing, when paper files are used as the recordkeeping system. The printed copy of the electronic mail must be filed in the manual recordkeeping system.

(b). Filing the e-mail electronically, when an electronic recordkeeping system is used as the recordkeeping system. (See 36 C.F.R. 1234.24 (a)-(d)). Note that organizations that choose to manage electronic mail records electronically must either: (1) be able to perform all requirements of preservation, protection, storage, retrieval, and disposition through the electronic mail application system itself, or (2) copy electronic mail records

into an electronic recordkeeping system able to perform all the functional requirements of the Federal regulations. "Backups" made as a normal part of electronic mail systems operation and maintenance do not meet these requirements and should not serve as an electronic recordkeeping system.

(3.) Transitory electronic mail may be maintained in the "live" e-mail system. These e-mails with attachments will be deleted after 90 days by the automated delete feature of the e-mail system.

## 6. Retention and Disposition of electronic mail records

- a. When electronic mail is retained as a Federal record, the retention period is governed by the appropriate NARA approved agency records control schedule or the General Records Schedules. Temporary records are kept for defined periods of time pending destruction and permanent records are transferred to the National Archives of the United States for permanent preservation.
- b. Electronic mail users who are uncertain about the disposition of electronic mail messages should contact their program office records officer or the agency records officer for assistance.
- c. If an electronic mail item, either sent or received, is a Federal record, it is the responsibility of the agency employee to ensure that a copy is preserved by making it a part of the official files of agency, unless it is a transitory record.
- d. Besides the text of electronic mail messages, electronic mail systems may provide records transmission and receipt data. Transmission data (such as the identity of the sender and addressee(s) and the date on which the message was sent) must be preserved with all electronic mail items defined as Federal records. Just as with a paper record, this transmission data is necessary for an electronic mail record to be complete and understandable.
- e. Electronic mail systems may also provide users with the ability to request acknowledgments or receipts showing that an electronic mail message reached the mailbox or inbox of addressee(s) and was accessed. Electronic mail users should request receipt data when it is needed for adequate and proper documentation of agency activities, especially when it is necessary to confirm that an electronic mail message was received and accessed. In such instances, receipt data associated with the record copy of the electronic mail message will be preserved.
- f. When the recordkeeping copy is maintained in paper, the printed electronic mail message with attachments will be annotated to document that it is the official file copy before being placed in the official files of the responsible organization.

**7. Electronic mail received from external sources.** These procedures also apply to electronic mail received from nonagency and other outside sources, e.g., through the Internet or other commercial network services.

**8. Compliance Reviews.** Compliance with these procedures will be accomplished through periodic reviews and evaluations to be conducted under the supervision of the agency records officer.

## Working Papers Quick Reference Guide

Working papers are rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of activity being documented. Working papers, including drafts, background information, etc., may or may not be needed as part of the documentation for activities.

### *When to Retain Working Papers*

In some cases, working papers such as drafts, notes, comments, and background materials may be needed to adequately document agency activities. Drafts and working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations should be preserved and included in an Agency's records schedule.

### *Principal Categories of Disposable Working Papers*

In other cases, working papers may not be needed once a document is completed. There are two principal types of disposable working papers:

Disposable Type	Example
Working papers that receive no official action themselves, are not reviewed or approved by others, and are simply used to prepare documents for official action such as review, signature, publication, etc.	Budget calculations using different parameters, preliminary outlines for a report, lists of suggested points to be included in a memo.
Working papers that relate to preliminary, interim, or ancillary activities that are <b>not needed</b> as part of the official record of the activity.	Drafts of routine memoranda and correspondence and proposed changes, informal comments received on a draft publication, documents used to brief staff and achieve concurrence on a proposed action.

### *Specific Types of Working Papers*

#### **Drafts**

Drafts, and the comments on them, require special attention. In some cases, drafts and comments on them must be included in the official files as part of the documentation of the activity. Although records of Federal agencies usually contain high-level policies and decisions, policy formulation and execution may be poorly documented. Support documents such as drafts and working files for reports, special studies, memoranda, and correspondence that support major program policy development may not be incorporated into office files. These support documents may be needed to fully understand the alternatives and options considered for high-level program initiatives, and the basis for deciding on a course of action. Some drafts contain unique information in substantive annotations or comments added during circulation for comment or approval. Agencies should maintain such drafts, with the file copy of the final document, if any, when the drafts relate to formulation and execution of high-level policies, decisions, actions, or responsibilities.

*However*, there are many instances when drafts can be safely destroyed. Drafts and working papers or files that relate to routine program or administrative operations or that contain only corrections or editorial or stylistic changes may be disposed of as nonrecord materials. Examples include drafts not circulated for comment and drafts of most general publications, correspondence, internal memoranda, and other documents not related to critical functions. In such cases, drafts and editorial comments can be destroyed once changes have been included in a revised version.

## Notes

Unless otherwise specified, notes may be destroyed/deleted once they are incorporated into a final product. Examples include notes used to prepare minutes of meetings, records of telephone conversations, decision memoranda, or other documents when the gist of the discussion, conversation, direction, or other activity is embodied in a document that states the official Agency decision, position, or outcome.

## Comments

Unless otherwise specified, comments received on drafts, proposals, suggestions, and similar things can be deleted/destroyed once they have been incorporated or summarized for the official record. Examples include editorial comments on drafts of internal memoranda, routine correspondence, and reports.

*However*, comments received via a formal Agency comment process, comments received from the public/regulated community, or comments received during a formal review by outside experts should be carefully documented for the record, either by keeping the original comments themselves, or, if volume is extensive, keeping a summary of the comments and how they were used. Substantive comments added during circulation for comment or approval of policy and other important documents should be retained.

## Development Materials

Special attention should be given to notebooks, calculations, and other background materials that may contain information needed to supplement formal records. *However*, documents such as preliminary calculations, approaches to issues, outlines, and other documents that the individual uses to prepare documents for official action can be destroyed/deleted once they are incorporated into a final product.

Examples include annotated copies of documents, preliminary calculations, results of preliminary investigations, lists of points to be considered or included, ideas or suggestions received from coworkers, and other documentation used in the development of documents for official action.

## Points to Remember about Working Papers

- Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of activity being documented.
- When in doubt, contact your Records Manager for further guidance.

## What Happens When I Leave?

This document addresses three common questions for Federal employees leaving government service. Remember, as the graphic shows ... you can't take it with you. Contact your agency records officer or NARA representative for more information.

### *What happens to the records in my office when I leave?*

- Some may be needed for continuing business.
- Others may be sent to storage or destroyed.
- Your "permanent" records will eventually be transferred to NARA.
- You can arrange to have access to your records after you leave the government.

### *Can I take copies of Federal records with me when I leave?*

- Only if the removal of these copies
  - Is approved by records officials
  - Will not diminish the official record
  - Will not exceed normal administrative costs
  - Does not include information that is security classified, subject to the Privacy Act, or otherwise prohibited from release



### *Can I donate Federal Records?*

- Federal records are not yours to donate, but you may be able to donate copies of certain records.
- You may, of course, make arrangements to donate your personal papers.

## Managing Contractor Records

There are a number of records-related concerns you as a program manager have when dealing with contractors. The following list can help you ensure that you've covered all your bases:

- Do contracts identify which contractor-created records are Federal records?  
 Yes       No
- Does the program provide contractors with the regulations and procedures governing Federal records?  
 Yes       No
- Particularly when electronic records are involved, do contracts specify the delivery of background data that may have further value to the agency, in addition to the final product?  
 Yes       No
- Do contracts involving development of electronic systems specify the delivery of systems documentation to the agency along with the final product?  
 Yes       No
- Particularly when electronic records are involved, do contracts specify the delivery of final products and background data in a format that is compatible with program records maintenance and retention guidelines?  
 Yes       No
- Are deferred ordering and delivery of data clauses included in contracts when it is impractical to identify in advance all electronic data that should be delivered to the Government?  
 Yes       No

# **Records Management Resources on the Internet:**

## **Where to Go for More Information**

The proper management of Federal records is crucial for conducting Government business, ensuring Government accountability, and protecting the rights of American citizens. As a Federal employee you have responsibilities for ensuring that the records you create and receive are managed properly so they can be found when needed.

These information resource links consist of Internet addresses that provide pointers to resources that will give you information about these responsibilities, provide guidelines for managing Federal records, and aid you in understanding the core role of records management in a well-run agency.

The first links provide records management information found on/available through the National Archives (NARA) web site ([www.archives.gov](http://www.archives.gov)). Subjects are arranged alphabetically and include general records management information which every Federal employee needs to know, and specific records-related information for agency legal staff. What follows are other Government sites and commercial/non-Government sites of interest. There is some overlap in referenced subjects, but scope and coverage vary.

### **National Archives:**

#### **Agency Recordkeeping Requirements, a Management Guide**

[www.archives.gov/records-mgmt/publications/agency-recordkeeping-requirements.html](http://www.archives.gov/records-mgmt/publications/agency-recordkeeping-requirements.html)

#### **Agency Records Officers**

[www.archives.gov/records-mgmt/agency/officers-lists.html](http://www.archives.gov/records-mgmt/agency/officers-lists.html)

#### **Appraisal and Scheduling Work Groups (NARA points of contact)**

[www.archives.gov/records-mgmt/appraisal/index.html](http://www.archives.gov/records-mgmt/appraisal/index.html)

#### **Definition of Records**

[www.archives.gov/about/regulations/part-1222.html#parta](http://www.archives.gov/about/regulations/part-1222.html#parta)

#### **Departing Employees, Documenting Your Public Service**

[www.archives.gov/records-mgmt/publications/documenting-your-public-service.html](http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html)

#### **Department of Defense (DoD) 5015.2 Design Criteria Standard for Electronic Records Management Software Applications**

[www.archives.gov/records-mgmt/resources](http://www.archives.gov/records-mgmt/resources)

#### **Disposal of Records**

[www.archives.gov/about/laws/disposal-of-records.html](http://www.archives.gov/about/laws/disposal-of-records.html)

**Electronic Records Archives (ERA) Program**

*www.archives.gov/era/*

**Electronic Records Management (ERM) Guidance**

*www.archives.gov/records-mgmt/policy/fast-track.html*

**Electronic Signature Technologies**

*www.archives.gov/records-mgmt/faqs/pdf/electronic-signature-technology.pdf*

*www.archives.gov/records-mgmt/policy/pki.html*

**Fast Track Products (electronic recordkeeping)**

*www.archives.gov/records-mgmt/policy/prod6a.html*

**Frequently Asked Questions (FAQs) About Records Management**

*www.archives.gov/records-mgmt/faqs/*

**NARA Basic Laws and Authorities**

*www.archives.gov/about/laws/*

**NARA Regulations in Title 36, Code of Federal Regulations (CFR)**

*www.archives.gov/about/regulations/#nara*

**Paperwork Reduction Act (PRA)**

*www.archives.gov/federal-register/laws/paperwork-reduction/*

**Publications and posters dealing with records management issues**

*www.archives.gov/publications/records-mgmt.html*

**Records Management by Federal Agencies**

*www.archives.gov/records-mgmt/laws/*

**Training opportunities from NARA**

*http://nara.learn.com/recordsmanagement-training*

**Transfer guidance for permanent electronic records to NARA**

*www.archives.gov/records-mgmt/initiatives/transfer-to-nara.html*

**Transfer of Records to NARA**

*www.archives.gov/about/regulations/part-1228/index.html*

## **Other National Archives:**

**National Archives of Australia**  
[www.naa.gov.au](http://www.naa.gov.au)

**Library and Archives Canada**  
[www.archives.ca](http://www.archives.ca)

**The National Archives, United Kingdom**  
[www.nationalarchives.gov.uk](http://www.nationalarchives.gov.uk)

## **Other U.S. Government Sites:**

**Environmental Protection Agency (NRMP, National Records Management Program)**  
[www.epa.gov/records/](http://www.epa.gov/records/)

**Federal Chief Information Officers (CIO) Council**  
[www.cio.gov/](http://www.cio.gov/)

**Federal Judicial Center**  
[www.fjc.gov/](http://www.fjc.gov/)

**GSA Forms Library**  
[www.gsa.gov/forms/nara.html](http://www.gsa.gov/forms/nara.html)

**Office of Management and Budget (OMB)**  
OMB Circulars  
[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

**U.S. Army Material Command**  
The Government Paperwork Elimination Act (the GPEA, P.L. 105-277)  
[www.army.mil/ciog6/references/legislation\\_docs/GPEA.doc](http://www.army.mil/ciog6/references/legislation_docs/GPEA.doc)

**U.S. Code web site**  
Title 44  
[www.access.gpo.gov/uscode/title44/title44.html](http://www.access.gpo.gov/uscode/title44/title44.html)

**U.S. Department of Justice**  
Office of Information and Privacy (FOIA, E-FOIA, Privacy Act guides)  
[www.usdoj.gov/oip/oip.html](http://www.usdoj.gov/oip/oip.html)  
Legal Considerations in Designing and Implementing Electronic Processes  
[www.cybercrime.gov/eprocess.htm](http://www.cybercrime.gov/eprocess.htm)

## **Commercial/Non-Government Sites:**

**Association of Information and Image Management (AIIM)**

[www.aiim.org/](http://www.aiim.org/)

**Association of Records Managers and Administrators (ARMA International)**

[www.arma.org/](http://www.arma.org/)

**Cornell University Law School, Legal Information Institute**

Federal Records Act (the FRA, 44 U.S.C. 3101)

[www4.law.cornell.edu/uscode/](http://www4.law.cornell.edu/uscode/)

Federal Rules of Civil Procedure

[www.law.cornell.edu/rules/frcp/](http://www.law.cornell.edu/rules/frcp/)

**Disaster Recovery Institute International (for information on contingency planning)**

[www.drii.org](http://www.drii.org)

**Federal Rules of Evidence**

[www.law.cornell.edu/rules/fre/](http://www.law.cornell.edu/rules/fre/)

**E-Discovery Standard**

[www.lexisnexis.com/applieddiscovery/lawlibrary/newsletter.asp](http://www.lexisnexis.com/applieddiscovery/lawlibrary/newsletter.asp)

**Electronic Privacy Information Center (EPIC)**

E-FOIA Amendments of 1996 (P.L. 104-231)

[www.epic.org/open\\_gov/foia/us\\_foia\\_act.html](http://www.epic.org/open_gov/foia/us_foia_act.html)

**Federal Computer Week**

[www.fcw.com/](http://www.fcw.com/)

**Institute of Certified Records Managers**

[www.icrm.org](http://www.icrm.org)

**Legal XML Home Page**

[www.legalxml.org](http://www.legalxml.org)

**National Association of Government Archives and Records Administrators (NAGARA)**

[www.nagara.org/](http://www.nagara.org/)

**Privacy Act (the PA, 5 U.S.C. 552a)**

[www4.law.cornell.edu/uscode/html/uscode05/usc\\_sec\\_05\\_00000552---a000-.html](http://www4.law.cornell.edu/uscode/html/uscode05/usc_sec_05_00000552---a000-.html)

**The Sedona Conference**

[www.thesedonaconference.org/](http://www.thesedonaconference.org/)

**The Society of American Archivists (SAA)**

[www.archivists.org](http://www.archivists.org)

## NARA Records Management Key Terms

The following is a list of key terms used in NARA's core records management training. These are not formal definitions but rather an explanation of the terms as generally used in NARA training material. The list is not exhaustive.

KEY TERM	DEFINITION
<b>Access</b>	The availability of, or permission to consult, records.
<b>Accession</b>	The act and procedures involved in a transfer of legal title and the taking of records into the physical custody of the National Archives (adapted from the Society of American Archivists Glossary).
<b>Administrative Records</b>	Documents that are preserved because they facilitate the operations and management of an agency, but do not relate directly to programs that help the agency achieve its mission.  These include such documents as the agency budget, personnel, supplies, travel, and training. They are found in every agency, and often (but not always) their dispositions are covered by the General Records Schedules (GRS).
<b>Agency Mission</b>	The agency mission addresses the following questions: Why does the agency exist? What is the agency's purpose? What business functions does it perform?
<b>Agency Records Schedule</b>	See <b>Records Schedule</b> .
<b>Alienated Records</b>	Records in the possession of an individual or organization not legally entitled to them.
<b>Asset</b>	Anything of value or perceived value.
<b>Asset Management</b>	The process of documenting and controlling all assets, either in use or under development by an agency. Asset management involves identifying an agency's assets and the steps taken to protect and take care of them.
<b>Big Bucket/Large Aggregation Schedule</b>	A type of flexible schedule in which disposition instructions are applied against a body of records that are grouped at a level of aggregation greater than the traditional file series/electronic system and that can be organized along a specific program area, functional line, or business process. The goal of this type of flexible scheduling is to provide for the disposition of records at a level of aggregation that best supports the business needs of agencies, while ensuring the documentation necessary to protect legal rights and guarantee Government accountability.
<b>Blocking</b>	Grouping files within a series so that they are bounded by cutoff points and are treated as a unit for disposition purposes. The cutoff instructions should specify if transfer or disposal is done in blocks. For example, during the transfer of permanent records to the National Archives, records may be transferred in 5-year blocks. This means that the block would include all files in the series that were cut off between January 1, 2000 and December 31, 2004.

KEY TERM	DEFINITION
<b>Business Analysis</b>	An evaluation of an agency's business to determine what information it needs to create or receive and maintain to support specific programs.
<b>Comprehensive Schedule</b>	Printed agency manual or directive containing descriptions of and disposition instructions for all documentary materials, record and nonrecord, created by a Federal agency or major component of an Executive department. Unless taken from the General Records Schedules (GRS) issued by NARA, the disposition instructions for agency records must be approved by NARA on one or more Standard Form(s) 115, Request for Records Disposition Authority, prior to issuance by the agency. The disposition instructions for the nonrecord materials are established by the agency and do not require NARA approval.
<b>Contingent Records</b>	Records schedule for final disposition at some unspecified future time after the occurrence of a particular event, such as the decommissioning of a vessel, the sale of property, or the destruction of a building.
<b>Custody</b>	Care and control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.
<b>Cutoff (a.k.a. File Break)</b>	The breaking or ending of files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence, to permit the establishment of new files.
<b>Destruction (destroy/delete/salvage/sell)</b>	The disposal of documents of no further value by incineration, maceration, pulping, or shredding.
<b>Direct Offer</b>	Records accessioned by NARA directly from agency space (including non-NARA records centers), rather than from a NARA records center (Federal Records Center).
<b>Disposal</b>	The action taken regarding temporary records after their retention periods expire, and consisting usually of destruction/deletion. On rare occasions, with permission, records may be donated (36 CFR 1228.60).
<b>Disposition</b>	<p>Instructions for what is to be done with a record that is no longer needed to support agency business. There are two types of dispositions for records:</p> <p><b>Temporary</b>—Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired.</p> <p><b>Permanent</b>—Permanent records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in national history, and as a result will be preserved by NARA.</p>
<b>Disposition Authority</b>	<p>The legal approval empowering an agency to transfer permanent records to the National Archives or to carry out the disposal of temporary records.</p> <p><b>Note:</b> "Legal approval" comes at the point at which an authority (the SF-115) is signed by the Archivist of the United States, not when it is first submitted to NARA.</p>

KEY TERM	DEFINITION
<b>Disposition Instructions</b>	Directions for cutting off records and carrying out their disposition in compliance with NARA's regulations. Includes directions for screening out nonrecord materials and carrying out their disposal when no longer needed by the agency.
<b>Disposition Schedule</b>	See <b>Records Schedule</b> .
<b>Document Management Application (DMA)</b>	A system used for managing documents that allows users to store, retrieve, and share documents with security and version control. A word processor can integrate DMA support so that you can create, edit, and manage your documents through the word processor. DMAs are sometimes called Electronic Document Management Systems (EDMSs).
<b>Donation</b>	The transfer of temporary records to an eligible person or organization after the authorized retention period has expired. A donation is a very rare occurrence.
<b>Electronic Mail (e-mail )</b>	A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word-processing and other electronic documents, which may be transmitted with the message. (Defined in the CFR as an electronic mail message.)
<b>Electronic Records/ e-Records</b>	Records stored in a form that only a computer can process. Records can be numeric, graphic, and text information; media can include, but are not limited to, magnetic media, such as tapes and disks, and optical disks.
<b>File Break (a.k.a. Cutoff)</b>	See <b>Cutoff</b> .
<b>File Plan</b>	A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office.  See also <b>Filing System</b> .
<b>Filing System</b>	A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called a <b>Recordkeeping System</b> .
<b>Flexible Retention</b>	An arrangement and disposition method that can be applied to individual or groups of record series/electronic systems to establish consistent retention periods. This allows for series/electronic systems within work process functions to have the same stated minimum and/or maximum retention periods. Flexible retention is a flexible scheduling tool that can be used as a component of a "Big Bucket"/large aggregation schedule or in a traditional series-based schedule, and gives agencies the retention flexibility they need to manage their records.
<b>Flexible Schedule</b>	A document providing disposition instructions that allow flexibility in the way information or categories of information are grouped or that provide a minimum and/or maximum, rather than a fixed retention period.

KEY TERM	DEFINITION
<b>Frozen Records</b>	Temporary records held for litigation, investigation, or audit purposes. Frozen records can be destroyed only after completion of litigation, audit, or investigation and notification from the appropriate authority.
<b>Functional Arrangement</b>	A method of arranging a records schedule by record series or systems that share the same purpose or function, regardless of where they are created and maintained. For example, many of the General Records Schedules are arranged by function.
<b>General Records Schedules (GRS)</b>	GRS are issued by the Archivist of the United States under the authority of 44 U.S.C 3303a (d) to provide disposition authority for records common to several or all Federal agencies. The GRS cover records documenting administrative functions rather than program functions. Agencies must apply the GRS to the greatest extent possible.
<b>Information System</b>	An organized set of procedures and techniques designed to store, retrieve, manipulate, analyze, and display information. If automated, information system also includes hardware and software.
<b>Inventory</b>	A survey of agency records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems.
<b>Lifecycle</b>	The management concept that records pass through three stages: creation, maintenance and use, and disposition.
<b>Metadata</b>	Data describing stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records.
<b>NA 13000, Agency Review for Contingent Disposal</b>	A NARA form used to obtain agency concurrence to dispose of records whose disposal is contingent upon completion of some action or event.
<b>NA 13001, Notice of Eligibility for Disposal</b>	A NARA form used to obtain agency concurrence to dispose of records eligible for destruction.
<b>Nonrecord Materials</b>	Nonrecord materials are documentary materials excluded from the legal definition of records. The United States Code defines "nonrecord materials" to include material such as unofficial copies of documents kept only for convenience or reference, stocks of publications and near-print documents, and library or museum material intended solely for reference or exhibition.
<b>OF 11, Reference Request—Federal Records Center</b>	Form used by Federal agencies to request records or information stored in a Federal Records Center. Use of this form is optional.
<b>Organizational Arrangement</b>	A method of arranging a schedule in a structure consistent with the hierarchical arrangement of an agency, such as by bureau or other major unit, and thereunder by its subordinate units, such as divisions or offices.
<b>Permanent Record</b>	Record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.
<b>Personal Papers</b>	Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business.

KEY TERM	DEFINITION
<b>Pre-accessioning</b>	Occurs when NARA fully processes permanently valuable electronic records in order to assume physical custody before the records are scheduled to become part of the National Archives of the United States. The agency maintains legal custody and responsibility for access.
<b>Program Records</b>	Those records created by each Federal agency in performing the unique functions that stem from the distinctive mission of the agency. The agency's mission is defined in enabling legislation and further delineated in formal regulations.
<b>Record</b>	Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. (44 United States Code [U.S.C.] 3301, Definition of records, disposal of records)
<b>Record Series</b>	A group of records arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, exist in the same media format, or have some other type of relationship.
<b>Record Values</b>	The value of a record encompasses its value for current business—i.e., its administrative, fiscal, legal/accountability value—as well as its historical value.
<b>Recordkeeping Requirements</b>	Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency.
<b>Recordkeeping System</b>	See <b>Filing System</b> .
<b>Records Analysis</b>	A process used to determine records retention and disposition requirements based on how the records are used to support the business needs of an organization, and to ensure Government accountability and protect the rights of citizens.
<b>Records Control Schedule</b> <b>Records Disposition Schedule</b>	See <b>Records Schedule</b> .
<b>Records Inventory</b>	See <b>Inventory</b> .
<b>Records Maintenance</b>	Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency.
<b>Records Management</b>	The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

KEY TERM	DEFINITION
<b>Records Management Application (RMA)</b>	Software used by an organization to manage its records. An RMA's primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository.
<b>Records Retention</b>	See <b>Retention</b> .
<b>Records Schedule</b>	A records schedule or schedule is: (a) An SF 115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records; (b) A General Records Schedule (GRS) issued by NARA; or (c) A printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. (See also <b>Comprehensive Schedule</b> .)
<b>Retention</b>	The length of time a record must be kept (either in the office or in off-site storage) because it is needed for ongoing business, to document an action, or for statutory reasons. <b>Note:</b> This is also referred to as a "retention period."
<b>Retirement</b>	The transfer of records to agency storage facilities, a Federal Records Center, or a commercial records center.
<b>Risk</b>	The potential harm that may arise from some present process or some future event.
<b>Risk Analysis</b>	The systematic use of available information to determine how often specified events may occur and the magnitude of the consequences if they do occur.  In terms of records management, risk analysis is used to evaluate the probability of the risks identified in the risk assessment and the impact those risks would have on your records and information.
<b>Risk Assessment</b>	An examination of the potential harm that may result from exposure to certain hazards.  In terms of records management, risk assessment is used to identify the risks to your records and information.
<b>Risk Management</b>	The process of identifying (risk assessment) and evaluating (risk analysis) risk and then developing strategies to manage the risk
<b>Scheduled Records</b>	Records whose final disposition has been approved by NARA.
<b>Scheduling</b>	The process of determining and recording in a records schedule the appropriate retention period and ultimate disposition of a series. The records thus provided for are called scheduled records.
<b>Series</b>	See <b>Record Series</b> .
<b>Special Records/Special Media</b>	Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they are of nonstandard size. These include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

KEY TERM	DEFINITION
<b>Standard Form (SF) 115, Request for Records Disposition Authority</b>	Standard form used by Federal agencies for capturing record information for scheduling and requesting disposition authority from NARA.
<b>Standard Form (SF) 135, Records Transmittal and Receipt</b>	The form to be submitted by agencies to a Federal Records Center before transferring records there.
<b>Standard Form (SF) 258, Agreement to Transfer Records to NARA</b>	Standard form used by Federal agencies to transfer legal custody of permanent records to NARA.
<b>Temporary Record</b>	Record approved by NARA for disposal after a specified retention period.
<b>Transfer</b>	The process of moving records from one location to another, especially from office space to off-site storage facilities, from one agency to another, or from an agency office to a Federal Records Center or to NARA.
<b>Unauthorized Disposal</b>	The improper removal of records without NARA approval or the willful or accidental destruction of records without regard to a NARA approved records schedule. Unauthorized disposition of Federal records is against the law and punishable by up to \$250,000 in fines and imprisonment. (44 U.S.C. 3106 and 18 U.S.C. 2071)
<b>Unscheduled Records</b>	Records whose final disposition has not been approved by NARA. Unscheduled records may not be destroyed or deleted.
<b>Vital Records</b>	Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions ("emergency operating records"), or to protect the legal and financial rights of the Government and those affected by Government activities ("legal and financial rights records").
<b>Witness Disposal</b>	Disposal of certain classes of records, such as in classified records or records covered by the Privacy Act, that requires an authorized representative to verify the destruction.
<b>Working Files</b>	Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Also called working papers.