



**Court Services and Offender Supervision Agency  
for the District of Columbia**

Policy Statement 1111  
Policy Area: Records Management  
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# **POLICY STATEMENT**

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Approved:

## **RECORDS MANAGEMENT**

### **I. COVERAGE**

This Policy Statement provides guidance to all employees of the Court Services and Offender Supervision Agency for the District of Columbia (CSOSA or Agency) on the creation, maintenance, use, and disposition of Agency records and other documentary material. This Policy Statement does not apply to the Pretrial Services Agency for the District of Columbia.

### **II. BACKGROUND**

Records are a basic component of the Agency's information resources. Records protect the legal, financial, and other rights of the government and its citizens and ensure continuity and consistency in Agency administration. Because all Agency staff are involved in creating, maintaining, or using Agency records, it is important that everyone understands his or her records management responsibilities.

Federal records are defined in 44 U.S.C. 3301, as amended by Public Law 113-187, as including "*all recorded information regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them.* (See also 36 CFR 1222.10 for a further explanation of this definition).

The National Archives and Records Administration (NARA) and the General Services Administration (GSA) share statutory responsibilities for the Federal Records Management Program. Under this program, each federal agency must issue a directive establishing program objectives, responsibilities, authorities, standards, guidelines, and instructions for its records management program.

The General Records Schedules (GRS) provides disposition authority for records common to several or all federal agencies. The GRS covers records documenting administrative functions. CSOSA-unique records schedules describe the records that are created within CSOSA and are not covered by the GRS. The records schedules provide mandatory instructions for the retention and disposition of each record series. With NARA approval and in accordance with the CSOSA Records Officer and the Office of General Council, records schedules authorize the systematic removal of unneeded records from CSOSA. It is important to understand that all CSOSA records series must be scheduled and approved by the Archivist of the United States.

Section III of this Policy Statement serves to inform staff of the Agency's records management program objectives. References and/or links to the various federal statutes, regulations, and policies which govern records management are contained in Section IV. The procedures attached to this Policy Statement serve to inform staff of records management responsibilities and instructions (see Appendix A).

### **III. POLICY**

It is the policy of CSOSA to maintain agency records in accordance with federal law and specific instructions from NARA. As such employees of CSOSA must receive training on records management and maintain records as required by law and NARA.

Agency employees, by virtue of following pertinent Agency policy and procedures, shall create or receive records that are sufficient to document the organization, functions, policies, decisions, procedures, and essential transactions of the Agency.

Agency records are to be maintained so that they are separated from non-record materials and personal papers, properly preserved, and can be accessed easily.

Agency records are to be listed and described in approved records schedules and be disposed of only as authorized by that schedule.

Agency offices shall maintain a centralized list and description of the records in use by the office, including electronic recordkeeping systems.

Agency records which are no longer sufficiently active to warrant retention in office space, but not ready for destruction should be removed and forwarded to a federal or other approved records center for storage.

Agency records should be destroyed according to the schedule approved by NARA or, if permanent records, sent to NARA for permanent storage.

Agency records are the property of the federal government, not the property of individual employees. Agency records may not be removed from the Agency without proper authority and the approval of the employee's supervisor.

#### **IV. AUTHORITIES, SUPERSEDURES, REFERENCES, AND ATTACHMENTS**

##### A. Authorities

- 18 U.S.C. §2071(a) and (b) (Fines and Penalties)
- 44 U.S.C. Chapter 31 (Records Management by Federal Agencies)
- 44 U.S.C. Chapter 33 (Disposal of Records)
- 36 C.F.R. Parts 1220 to 1238 (Records Management)
- 41 C.F.R. Parts 201-6 to 201-11 (Records Management)
- 48 C.F.R. Chapter 1 (Federal Acquisition Regulations System)
- OMB Circular A-130 (Management of Federal Information Resources)

##### B. Supersedures

CSOSA Policy Statement 1003, Records Management

##### C. Procedural References

CSOSA's Continuity of Operations Programs

PS 2053 Automated Agency Email Archiving Policy

Documenting Your Public Service, a NARA publication, may be found at [http://www.archives.gov/records\\_management/publications/documenting\\_your\\_public\\_service.html](http://www.archives.gov/records_management/publications/documenting_your_public_service.html)

CSOSA-specific Records Schedules may be found at: <https://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/independent-agencies/rg-0562>

General Records Schedules may be found at <http://www.archives.gov/records-mgmt/ardor/records-schedules.html>

##### D. Attachments

Appendix A. General Procedures

Appendix B. File Plan Form

Appendix C. Transferring Records to a Federal Records Center

Appendix D. Standard Form 115, Request for Records Disposition Authority

Appendix E. Standard Form 135, Records Transmittal and Receipt

Appendix F. Record Decision Tree

Appendix G. Definitions

## **APPENDIX A GENERAL PROCEDURES**

### **A. Responsibilities**

1. Agency employees must create or receive records sufficient to document their activities, maintain official Agency records separately from personal files and other nonrecord materials, and follow the retention and disposition guidance specified in the schedules and office recordkeeping requirements. Employees may not destroy or remove records except in accordance with a General Records Schedule or a CSOSA-specific schedule.
2. Managers or supervisors have the additional responsibility for the overall documentation of the activities of their program or unit. They must ensure that:
  - Records are being created, maintained, and used by their program or unit (including records being created for Agency use by contractors) according to federal regulations and Agency policy.
  - Written procedures are in place to ensure that records are protected from theft, loss, and unauthorized access (e.g., securing offender files and other confidential records and removing them from desk tops and plain view).
  - Written procedures are in place for expunged, set-aside, and sealed records.
  - Records Liaisons are appointed for their program or unit.
  - File stations are identified for all records.
  - Inactive records are transferred or disposed of according to the appropriate schedule.
  - The Records Officer is notified of organizational or program changes that will result in the establishment of new types of records, the transfer or destruction of records no longer required, or an increase or decrease in the retention time of the records.
3. The Agency's Records Officer is responsible for:
  - Developing Agency records management policy, procedures, guidance, and training materials.
  - Inventorying and scheduling Agency records.
  - Coordinating the approval of Agency records disposition schedules with NARA's Appraisal Archivist.
  - Coordinating with NARA to transfer Agency records to federal records centers or approved records storage facilities.
  - Reviewing records disposition schedules and submitting the new schedules for approval by NARA.
  - Reviewing file plans and procedures prepared for approval by Agency managers and/or supervisors.

- Providing training and technical assistance to Agency Staff on development of unit file plans.
  - Preparing and submitting annual reports to NARA.
  - Developing and implementing internal agency accountability measures.
4. The Agency's Chief Information Officer is responsible for ensuring that electronic applications adopted for use by the Agency include appropriate records management capabilities, and/or can be adapted to an enterprise data records management system.

#### B. Records Creation and Maintenance

1. Agency employees must create and maintain adequate and proper documentation for the program or cases for which they are responsible in accordance with pertinent Agency policies and procedures.
2. Program Office managers shall ensure that Statements of Work prepared for their offices shall specify the delivery of necessary records and data in accordance with 36 CFR 1222.48 and the Federal Acquisition Regulation.
3. Records may vary in their physical form or characteristics. Records may be paper-based, electronic, audiovisual, or based on other media. For example, records pertinent to the case management of a defendant or an offender may consist of paper forms and progress notes, photographs, and entries in database systems.
4. Email is not meant for indefinite storing of information or documents. Email used for documenting business activities are to be incorporated into an appropriate record file.

#### C. Records Filing

1. Each Agency component must establish a file plan for records created for its use. File plans ensure that duplicative or nonrecord materials (see Section D) are not needlessly maintained.
2. The file plan (see Appendix B for the form) identifies: the records to be created and/or maintained by the component; staff or staff positions creating or maintaining the records; the location and format of the records; the retention period for the records, and the approved disposition authority for the records.
3. Operating units shall strive to standardize file arrangement systems and filing procedures and techniques. These shall be designed to enhance the current use of the files, the preservation of archival records, and the prompt and systematic disposition of temporary records according to the appropriate records schedule.

4. The Records Officer shall conduct a review of the Agency's file plans at least once every two (2) years and shall report the findings, including any recommendations for change, to the appropriate Associate Director for consideration.
5. Associate Directors shall ensure that the file plans and disposition schedules for their component records are current and adequate.

#### D. Nonrecord Materials and Personal Papers

1. Nonrecord materials are those federally-owned informational materials that do not meet the statutory definition of records (44 U.S.C. § 3301) or that have been excluded from coverage by the statutory definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.
2. Items in the nonrecord category include:
  - Working papers that do not represent significant steps in the preparation of the record copy of official documentation.
  - Information copies of correspondence, directives, forms, and other documents on which no administrative action is taken.
  - Routing slips and transmittal sheets adding no information to that contained in the transmitted material.
  - Tickler, follow-up, or suspense copies of correspondence, provided they are extra copies of the originals.
  - Duplicate copies of documents maintained in the same file.
  - Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set.
  - Catalogs, trade journals, and other publications that are received from other government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken.
  - Physical exhibits, artifacts, and other material objects lacking evidential value.
3. Nonrecord materials are not to be filed together with records and are to be destroyed when no longer needed for reference.
4. *Personal papers (or personal files)* are those documentary materials maintained in federal offices that belong to an individual because they relate solely to an individual's own affairs (e.g., files relating to political activities, personal and family matters, or social or civic activities) or are used exclusively for that individual's convenience and were not used in the transaction of government business or are indirectly related to agency business but outside the scope of the definition of federal records (i.e., not used to conduct government business). Personal files are to be maintained separately from the

records of the Agency. Proper identification of personal papers is most important for the Agency's senior executives. Traditionally, senior executive personal files have included the following categories of material:

- business or professional files created before entering government service, files created during or relating to previously held positions, political materials, and reference files.
  - private files brought into, created, or received in the office; family and personal correspondence; and materials documenting professional activities and outside business or political pursuits, including manuscripts and drafts for articles and books and volunteer and community service records that are considered personal, even if created or received while in office, because they do not relate to agency business.
  - personal files including diaries, journals, notes, and personal calendars and appointment schedules; not used during the transaction of official government business.
5. Any question about the status of material as either a record, a nonrecord, or a personal paper must be referred to the Records Officer who is responsible for consulting with the General Counsel and with NARA.

#### E. Safeguarding Records

1. Agency employees having custody or control over records or other nonrecord material are responsible to ensure their proper use and protection. Employees shall not allow Agency records or nonrecord materials to leave the custody or control of the Agency, even on a temporary basis, other than as authorized by Agency policy and procedures.
2. Records and nonrecord materials (as defined in D.1. above) are the property of the federal government, not the property of individual employees. Records are to be used to conduct Agency business in accordance with Agency policy and procedures. Records may not be removed from the Agency without proper authority and/or the approval of the employee's supervisor. All officers and employees shall maintain records and nonrecord materials separately from one another.
3. The concealment, mutilation, obliteration, falsification, or unauthorized removal or destruction of federal records is against the law and may lead to a fine and/or up to three years imprisonment, and possible forfeiture of the employee's position and disqualification from holding any other federal office (18 U.S.C. § 2071(b)).
4. Employees are required to report any apparent instances of unauthorized disposition (for example, unlawful or accidental removal, defacing, alteration, or destruction of Agency records) to their immediate supervisor, or, in the absence of the immediate supervisor, to the next level of supervision. The supervisor shall refer such reports with any pertinent

comment to the Agency's Records Officer who shall make appropriate referrals to the Agency's Office of Professional Responsibility. The Director of the Office of Professional Responsibility shall make appropriate notifications regarding these reports to the Director, Associate Directors, the National Archives and Records Administration, and to the Department of Justice.

5. The Agency's vital records are to be identified and maintained by the program and by the Continuity of Operations (COOP) Manager, in accordance with the Agency's Continuity of Operations Programs.

#### F. Records Scheduling and Disposition

1. Records are classified as either permanent records or temporary records.
  - Permanent Records. These are sufficiently valuable for historical or other purposes to warrant continued preservation. The administrative record (that is, documentation of the development and approval) for agency policies and procedures is an example of a permanent record as are the policies and procedures themselves and much of the rulemaking process documentation (including public comments received by the agency).
  - Temporary Records. These records are used for agency business for a fixed period of time or until the occurrence of a particular event. The time is identified in a records disposition schedule and may range from a few months to many years. For example, offender case files have been assigned a disposition date of twenty (20) years after the close of supervision. Most Agency records are temporary records.
2. Schedules are to be initiated by the responsible program official through a Standard Form 115, "Request for Records Disposition Authority" (see Appendix D) to be submitted to the Agency's Records Officer for review and approval. The Agency's Records Officer is responsible for submitting approved SF 115s to NARA.
3. NARA has issued General Records Schedules (GRS) for many administrative records common to most federal agencies. See Section IV.C of this Policy Statement for the URL address for the GRS. The disposition instructions in the GRS are mandatory and must be adhered to unless an exception is approved by the Archivist of the United States on an SF 115.
4. The disposition instructions in operating unit record schedules are mandatory. Employees may not dispose of records prior to their authorized disposal date or retain them beyond that date. If a program official determines that records need to be retained longer than authorized by the schedule, the Agency's Records Officer shall be contacted to obtain approval from NARA and, if necessary, to revise the schedule. Records whose authorized retention periods have expired therefore are to be promptly disposed of in

accordance with 36 CFR 1228.58, usually by destruction (records may be destroyed by burning, pulping, shredding, macerating, or other suitable means).

#### G. Records Transfer

1. Records that are no longer needed in the office but which are not yet eligible for final disposition or are considered permanent records should be timely and systematically transferred to a designated records storage site.
2. Procedures for transferring records are well established and relatively simple. Failure to adhere precisely to them may result in extensive re-boxing or return of the records from the federal records center. See Appendix C, Transferring Records to a Federal Records Center, for further details.
3. Records transferred to a federal records center remain the property of the Agency and may be retrieved upon request by the Records Officer.

#### H. Training

1. All staff must complete CSOSA's computer-based training module, Records Management 101, on an annual basis. New employees must complete the module within sixty (60) calendar days of their arrival. Current employees who have not completed the module must complete the module within 180 calendar days of the effective date of this Policy Statement.
2. Upon approval by the appropriate Associate Director, staff designated as Records Liaisons or others given significant records management responsibilities should enroll in additional records management training, including possible completion of NARA's Federal Records Management Training Certificate in accordance with CSOSA policy on external training and conferences.



**APPENDIX C**  
**TRANSFERRING RECORDS TO A FEDERAL RECORDS CENTER**

- a. Except as noted below, records must be shipped in 15" x 12" x 10" boxes specifically designed for records storage (National Stock Number 8115-00-117-8249). Program offices should consult their Agency's Records Officer to obtain NARA-approved boxes for shipping oversized records, drawings, ledgers, and other records not appropriate for standard records storage boxes.
- b. The document used to transfer records is an SF 135, Records Transmittal and Receipt. Instructions for its completion are on the back of the form. A detailed folder list or inventory of the contents of each box must accompany the SF 135 when it is sent to the Records Officer for review, approval, and assignment of an accession number.<sup>1</sup> This list is essential to identify and retrieve temporary records and is required to be sent to the federal records center for permanent records.
- c. A separate SF 135 must be prepared for each records series or item in the records schedule. For example, contract case files may not be included with contract administration subject files. In addition, except in the case of a one-box shipment, all the records covered by the SF 135 must be for the same year. For example, contract case files closed in Fiscal Year (FY) 1991 may not be transferred under the same SF 135 as contract case files closed in FY 1990. Similarly, contract administration subject files from different years must be transferred separately. For this reason, program offices should cutoff and transfer records on a regular basis rather than allow files to accumulate and become intermingled. Because it will affect the month of disposition, the records description on the SF 135 should indicate whether the records span the fiscal year or the calendar year.
- d. When packing boxes, all correspondence files must be in folders with labels to facilitate retrieval. Letter size files should face the front of the box, i.e., the narrow side of the box opposite the side on which the box is stapled. Legal size files should face the left side of the box. The boxes should not be marked or labeled in any way until after the proposed shipment is reviewed and approved by the Records Officer. Box tops should never be sealed with tape. The box top flaps should be interfolded instead.
- e. Do not over pack the boxes. Leave a 1 - to 2 - inch space in each box to allow ease of reference.
- f. After reviewing and approving the proposed transfer, the Records Officer will assign an accession number to the shipment and enter it on the SF 135. This number, which will consist of seven or eight digits, must be written, using a heavy black felt tip marker, in 1

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<sup>1</sup> Accession numbers for CSOSA are assigned by the Washington National Records Center in Suitland, Maryland.

1/2-inch high digits on the upper left-hand corner of the front of the box, i.e., the narrow side opposite the side on which the box is stapled together. On the upper right-hand corner of the front of the box should be written the specific box number and the total number of boxes in the shipment, e.g., 1/10, 2/10, and 3/10, or, alternatively, 1 of 10, 2 of 10, and 3 of 10. It is imperative that the marking be done correctly the first time. The federal records center will not accept boxes with corrections, and the records will have to be reboxed by the program office. It is not necessary to write any other information on the box, although individual operating units may establish specific requirements in this regard.

**Additional information on transferring records is available on the National Archives and Records Administration website at: <http://www.archives.gov/frc/toolkit.html#transfer>.**

**APPENDIX D**

**STANDARD FORM 115, REQUEST FOR RECORDS DISPOSITION AUTHORITY**

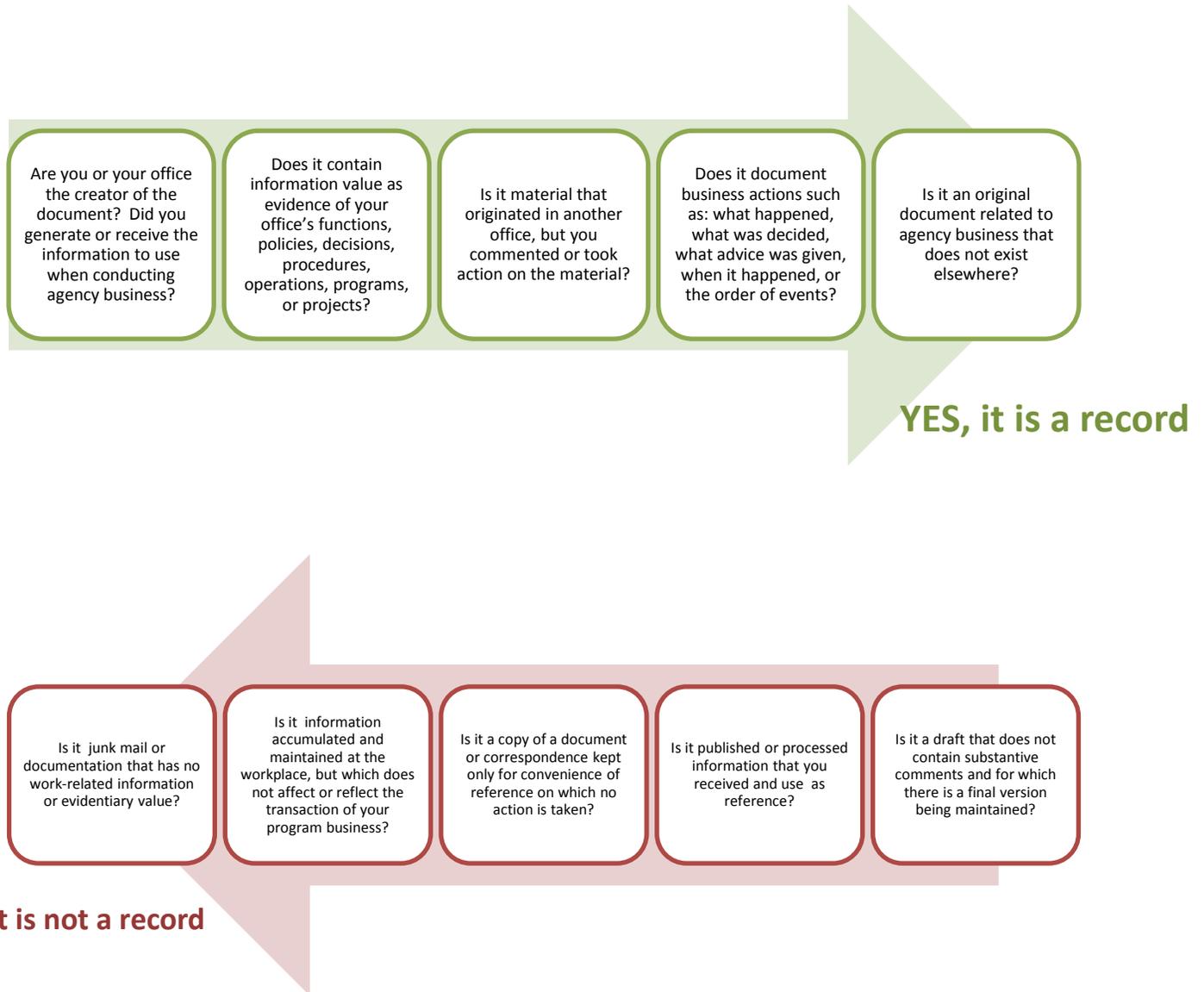
<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER	
1. FROM (Agency or establishment)		Date Received	
2. MAJOR SUB DIVISION		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
<p>6. AGENCY CERTIFICATION</p> <p>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,</p> <p><input type="checkbox"/> is not required      <input type="checkbox"/> is attached; or      <input type="checkbox"/> has been requested.</p>			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached sheets		
115-109		PREVIOUS EDITION NOT USABLE	
		STANDARD FORM 115 (REV. 3-91) PRESCRIBED BY NARA 36 CFR 1228	

**APPENDIX E**

**STANDARD FORM 135, RECORDS TRANSMITTAL AND RECEIPT**

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE 1	OF PAGES	
1. TO <small>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</small>  <p style="text-align: center;"><b>Federal Records Center</b></p>				5. FROM <small>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)</small>						
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <small>(Signature and title)</small>			DATE						
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <small>(Name, office and telephone No.)</small>									
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <small>(Signature and title)</small>			DATE						
<i>Fold Line</i>										
6. RECORDS DATA										
ACCESSION NUMBER		VOLUME <small>(cu. ft.)</small>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <small>(With inclusive dates of records)</small>	RESTRICTION	DISPOSAL AUTHORITY <small>(Schedule and item number)</small>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER		
RG <small>(a)</small>	FY NUMBER <small>(b) (c)</small>							LOCATION <small>(j)</small>	SHELF PLAN <small>(k)</small>	CONT. TYPE <small>(l)</small>
NSN 7540-00-634-4093			135-107			Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152				

**APPENDIX F**  
**RECORD DECISION TREE**



## APPENDIX G

### DEFINITIONS

**Accession.** The transfer of the legal and physical custody of permanent records from an agency to the National Archives.

**Archival value.** The determination by appraisal that records are worthy of permanent preservation by the Archivist of the United States. See historical value.

**Cutoff.** Termination of files at specific intervals to permit transfer, retirement, or disposal in periodic (quarterly, semiannual, or annual) blocks. Sometimes called “file break.”

**Convenience file.** Non-record copies of correspondence, completed forms, publications, and other information maintained for ease of access and reference. Sometimes referred to as “working files.”

**Copy.** A reproduction of the contents of an original document, prepared simultaneously or separately, and usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy, information or reference copy, official copy, and tickler copy. For electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source. See non-record material and records.

**Current records.** Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also called “active records.”

**Destruction:** In records management, the major type of disposal action. Non-records and records which have reached the end of their retention period per the appropriate record schedule can be legally destroyed. Records containing PII must be shredded, pulped or burned, and never simply placed in the trash.

**Disposition:** The actions taken regarding records no longer needed for current government business. These actions include transfer to agency storage facilities or federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.

**Disposal.** Physical destruction of temporary records. See also disposition.

**Disposal authority.** The legal authorization for the disposition of records obtained from the Archivist of the United States empowering an agency to transfer permanent records to the NARA and to carry out the disposal of temporary records. Also called “disposition authority.”

**Disposition instruction.** An instruction for the cut off, transfer, retirement, or destruction of documents.

**Electronic records.** Records stored in a form that only a computer can process and satisfies the definition of a federal record, also referred to as machine-readable records or automatic data processing records.

**Federal Records Center.** A facility, sometimes specially designed and constructed, for the low-cost, efficient storage and furnishing of reference service on semi-current records pending their ultimate disposition. Generally, this term refers to the FRCs maintained by NARA, but provisions exist, providing stringent criteria are met, to permit individual federal agencies to create their own records centers or to contract this service out to civilian enterprises.

**Frozen records.** Those temporary records that cannot be destroyed on schedule because special circumstances, such as a preservation or court order, require a temporary extension of the approved retention period.

**General Records Schedule.** A schedule issued by the Archivist of the United States governing the disposition of specified recurring series common to several or all agencies of the federal government. These series include civilian personnel and payroll records, procurement, budget, travel, electronic, audiovisual, and administrative management records. When records described in the GRS are used by any federal agency, their disposition is governed thereby. Exceptions may be granted only by the Archivist of the United States. The GRS does not apply to an agency's program records.

**Historical value.** The usefulness of records for historical research concerning the agency of origin.

**Housekeeping records.** Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or support operations normally common to most agencies, as distinguished from records that relate to an agency's primary functions. (See GRS.)

**Inactive records.** Records that are no longer required in the conduct of current business and therefore can be transferred to an FRC or destroyed, per approved disposition schedule.

**Information system.** The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated (EIS) or manual.

**Legal value.** The use of records containing evidence of legally enforceable rights or obligations of government or private persons.

**Life cycle of records.** The concept that records pass through three stages: creation/receipt, maintenance and use, and disposition. Records should be managed properly during all three phases of the life cycle.

**Metadata.** Data describing the structure, data elements, interrelationships, and other characteristics of an electronic record. Usually described as data about the data.

**Microform.** Any form containing greatly reduced images, or micro-images, usually on microfilm. Roll microforms include microfilm on reels, cartridges, and cassettes. Flat microfilms include microfilm jackets, aperture cards, and micro-cards, or micro-opaques.

**Non-record material.** U.S. Government-owned documentary materials that do not meet the conditions of records status or that are specifically excluded from the statutory definition of records (see record). An agency's records management program also needs to include managing non-record materials. There are three specific categories of materials excluded from the statutory definition of records:

- Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes), including physical exhibits, artifacts, and other material objects lacking evidential value.
- Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference).
- Stocks of publications and of processed documents. Catalogs, trade journals, and other publications that are received from other government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (Stocks do not include serial or record sets of agency publications and processed documents, including annual reports, brochures, pamphlets, books, handbooks, posters and maps.)

**Permanent records.** Records appraised by the Archivist of the United States as having enduring value because they document the organization and functions of the agency that created or received them or they contain significant information on persons, things, problems, and conditions with which the agency deals.

**Personal files (also referred to as personal papers).** Documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of federal records and are not owned by the government. Personal papers are required to be filed separately from official records of the office.

**Program records.** Records created or received and maintained by an agency in the conduct of the substantive mission functions (as opposed to administrative or housekeeping functions).

**Record group.** A body of organizationally related records established by NARA to keep track of agency records during and after the scheduling process, including those transferred to FRCs or the National Archives. The record group for CSOSA is 562.

**Records.** (Also referred to as federal records or official records). 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 U.S. 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.

**Records Center Container.** (Also referred to as records box or archives box). A corrugated cardboard box designed to hold one cubic foot of records, either legal or letter size, and used chiefly in records centers. These are the only containers authorized for shipment of CSOSA records to an FRC.

**Records Schedule:** Also called records disposition schedule, records control schedule, records retention schedule, records retention and disposition schedule, or schedule. A document that describes agency

records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with them when they are no longer needed for current government business. The term refers to: (1) an SF 115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of federal records; (2) a General Records Schedule (GRS) issued by NARA; and (3) 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. (Source: 36 CFR 1220.14)

**Records management.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of agency operations.

**Records Officer.** The person responsible for or engaged in a records management program. Sometimes called “records manager” or “records administrator.”

**Retention Period.** The time period that a specific series of records is to be kept.

**Retirement.** The movement of inactive files having a permanent or long-term value to an FRC for storage, servicing, and ultimate disposition. See transfer.

**Series.** File units or documents arranged in accordance with an approved filing system. Also called “record series.”

**Temporary Records.** Records designated for retention for a specified period of time and then authorized to be destroyed. Temporary records are most commonly found among housekeeping records and administrative files.

**Transfer.** The movement of records out of office space to a depository but not necessarily an FRC. (See retirement.)

**Transitory Records.** Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. The format or media of the record does not dictate its record value.

**Unscheduled Records.** Records whose final disposition has not been approved by the Archivist of the United States.

**Vital Records.** Documents essential to the continued functioning or reconstitution of an organization during and after an emergency and also those documents essential to protecting the rights and interests of that organization and the individuals directly affected by its activities. Sometimes called “vital files” or “essential records.” Includes both emergency-operating and right-and-interests records that are duplicates or extra copies of originals stored off-site.

**Working Files.** Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. In electronic records, temporary files in auxiliary storage. May also include non-record material and technical reference files.