

A Guide to Records Management

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A Guide to Records Management

The Federal Records Act (44 U.S.C. 31) and other statutes require all federal agencies to create records that document their activities, file records for safe storage and efficient retrieval, and dispose of records according to Agency schedules.

Introduction

Records Management is the planning, controlling, directing, organizing, training, promoting and other managerial activities involving the life cycle of information, including creation, maintenance (use, storage, retrieval) and disposal, regardless of media.

As a Federal employee, at the Court Services and Offender Supervision Agency, employees will be creating and using Federal government records. They may be in many formats: paper, electronic, audio-visual, maps, etc. Records document the organization, functions, policies, decisions, procedures, operations and other activities of the Agency.

There are rules governing the use and destruction of all Federal records. It is the employee's responsibility to protect Federal records in his or her custody, and there are legal implications for destroying records without the proper authority. Following good records management practices can benefit the Agency in many ways such as: improving access to information, saving time, space and money.

Keys to good filing practices are filing only what an employee needs to file, filing it in a way that facilitates access and disposition, and doing it consistently.

What is a Record?

Records include 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 in them. (44 U.S.C. Chapter 33, Sec. 3301)

Applicable Statutes and Regulations

United States Code

5 U.S.C. Chapter 5, Subchapter II - Administrative Procedure

- § 552. Public information; agency rules, opinions, orders, records, and proceedings
- (Freedom of Information Act, as amended)
- § 552a. Records maintained on individuals
- (Privacy Act of 1974, as amended)
- § 553. Rule making
- (Administrative Procedure Act)

18 U.S.C. Chapter 101 - Records and Reports

- § 2071. Concealment, removal, or mutilation generally

18 U.S.C. Chapter 121 - Stored Wire and Electronic Communications and Transactional Records Access

(Electronic Communications Privacy Act of 1986)

28 U.S.C. Chapter 115 - Evidence; Documentary

- § 1732. Record made in regular course of business; photographic copies
- (Uniform Photographic Copies of Business and Public Records as Evidence Act (UPA))

31 U.S.C. Chapter 11 - The Budget and Fiscal, Budget, and Program Information

(Budget and Accounting Procedures Act of 1950)

40 U.S.C. Subtitle III - Information Technology Management

(Clinger-Cohen Act of 1996, also known as the Information Technology Management Reform Act of 1996)

44 U.S.C. Chapter 21 - National Archives and Records Administration

44 U.S.C. Chapter 29 - Records Management by the Archivist of the United States and by the Administrator of General Services

44 U.S.C. Chapter 31 - Records Management by Federal Agencies

(Federal Records Act)

44 U.S.C. Chapter 33 - Disposal of Records

(Federal Records Disposal Act)

44 U.S.C. Chapter 35 - Coordination of Federal Information Policy

(Paperwork Reduction Act of 1980, as amended; Paperwork Reduction Reauthorization Act of 1995; and Government Paperwork Elimination Act)

Code of Federal Regulations

5 CFR Chapter III, Subchapter B - OMB Directives

- Part 1320. Controlling Paperwork Burdens on the Public

36 CFR Chapter XII, Subchapter B - Records Management

- Part 1220. Federal Records; General
- Part 1222. Creation and Maintenance of Federal Records
- Part 1223. Managing Vital Records
- Part 1224. Records Disposition Programs
- Part 1225. Scheduling Records
- Part 1226. Implementing Disposition
- Part 1227. General Records Schedules
- Part 1228. Loan of Permanent and Unscheduled Records

- [Part 1229. Emergency Authorization to Destroy Records](#)
- [Part 1230. Unlawful or Accidental Removal, Defacing, Alteration or Destruction of Records](#)
- [Part 1231. Transfer of Records from the Custody of One Executive Agency to Another](#)
- [Part 1232. Transfer of Records to Records Storage Facilities](#)
- [Part 1233. Transfer, Use and Disposition of Records in a NARA Federal Records Center](#)
- [Part 1234. Facility Standards for Records Storage Facilities](#)
- [Part 1235. Transfer of Records to the National Archives of the United States](#)
- [Part 1236. Electronic Records Management](#)
- [Part 1237. Audiovisual, Cartographic, and Related Records Management](#)
- [Part 1238. Microforms Records Management](#)
- [Part 1239. Program Assistance and Inspections](#)

Office of Management and Budget Circulars

- [OMB Circular No. A-123 - Management's Responsibility for Internal Control](#)
- [OMB Circular No. A-130 - Management of Federal Information Resources](#)

General Records Schedules

A records schedule constitutes CSOSA's official policy on how long to keep Agency records (retention) and what to do with them afterwards (disposition). [The National Archives and Records Administration \(NARA\)](#) provides Federal government oversight and policy for records management and the archiving of Federal records. NARA, in their oversight capacity, has provided the Federal Agencies with a [General Records Schedule \(GRS\)](#), which provides disposition instructions for many commonly occurring records in the Federal agencies. There are also [CSOSA-Specific Records Control Schedules](#).

Records Liaisons

The CSOSA Records Management Program was established to ensure proper controls over the creation, maintenance, and use of records in the conduct of Agency business. Records Liaisons play a critical role as the point of contact for all records management-related issues. Their duties and responsibilities may include:

- Ensuring that each office creates and maintains records documenting its program and administrative activities.
- Working with the Records Officer to make sure that all the records are listed in the office file plan.
- Reminding the staff not to mix personal papers and non-record materials with the Federal records, and not to remove records from the office without proper authorization.
- Cooperating with the Records Officer in periodic evaluation of the office's records.

The CSOSA Records Officer coordinates with the network of Records Liaisons to ensure that CSOSA's records and information assets are appropriately managed in accordance with laws and regulations from the National Archives and Records Administration (NARA), the Executive Office of the President, and the Office of Management and Budget (OMB).

Links and Resources

Federal Agencies

- [U.S. National Archives and Records Administration \(NARA\)](#)
 - [Basic Laws and Authorities](#)
 - [NARA Transfer Guidance](#)
 - [Federal Register](#)
 - [Records Management Programs](#)
 - [Code of Federal Regulations relating to records management](#)
 - [NARA Bulletins](#)
 - [General Records Schedules \(GRS\)](#)
 - [Records Management Training](#)
 - [Archives and Records Centers Information System \(ARCIS\)](#)
 - [Records Management Guidance and Regulations \(NARA\)](#)
 - [Records Management Publications](#)
 - [Disposition of Federal Records](#)
 - [Documenting Your Public Service](#)
 - [Frequently Asked Questions](#)
 - [Managing Audiovisual Records](#)
 - [Managing X-Ray Films as Federal Records](#)
 - [Moving? Consolidating? Reorganizing?](#)
 - [Records Management Self-Evaluation Guide](#)
 - [Vital Records and Records Disaster Mitigation and Recovery](#)
 - [Records Center Locations](#)
 - [Washington National Records Center](#)
- [U.S. Department of Justice Office of Information Policy](#) This office maintains information about the Freedom of Information Act and Privacy Act.

Records Organizations

- [Association for Information and Image Management \(AIIM\) International](#)
- [Association of Records Managers and Administrators \(ARMA\) International](#)
- [National Association of Government Archives and Records Administrators \(NAGARA\)](#)
- [Professional Records & Information Services Management \(PRISM\) International](#)
- [Society of American Archivists \(SAA\)](#)
- [Academy of Certified Archivists \(ACA\)](#)
- [Institute of Certified Records Managers \(ICRM\)](#)

Glossary

Accession. The transfer of the legal and physical custody of records from an agency to an archival agency or a records center. The agency retains legal custody of the records when transferred for temporary storage at a records center.

Accession Number. A number assigned to identify shipments of records in the records center.

Adequacy of Documentation. A standard of sufficiently and properly recorded actions and/or decisions. Derives from the legal requirement that agency heads "make and preserve records containing adequate and proper documentation of the organizations, 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" (U.S.C. 3101).

Agency Records (FOIA Records). The Supreme Court has articulated a basic, two-part test for determining what constitutes "agency records" under the FOIA: "Agency records" are records that are (1) either created or obtained by an agency, and (2) under agency control at the time of the FOIA request. Inasmuch as the "agency record" analysis usually hinges upon whether an agency has sufficient "control" over a record, courts have identified four relevant factors for an agency to consider when making such a determination: the intent of the record's creator to retain or relinquish control over the record; the ability of the agency to use and dispose of the record as it sees fit; the extent to which agency personnel have read or relied upon the record; and the degree to which the record was integrated into the agency's recordkeeping system or files. Agency "control" is also the predominant consideration in determining the "agency record" status of records that are either generated or maintained by a government contractor.

Alphabetic-Subject Filing System. A classification system in which subjects are arranged in alphabetical order regardless of their relationship to one another. For example, the subject "adrenalin" might immediately follow the subject "administration."

Appraisal. The process of determining the value, and thus the final disposition of records, making them either temporary or permanent.

Archives. The noncurrent records of an organization, preserved because of their continuing or enduring value.

Audiovisual Records. Records in pictorial or audio form, regardless of format. Includes still photographs or still pictures, graphic arts (posters and original art), motion pictures, video recordings, audio (or sound) recordings, and related records.

Block. A chronological grouping of records consisting of one or more segments of cutoff records, that belong to the same series and are dealt with as a unit for purposes of their sufficient transfer, especially the transfer of permanent records to the National Archives. For

example, the records schedule may direct a transfer of permanent records in 5-year blocks. In electronic recordkeeping, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output.

Cartographic Records. Graphic representations at reduced scale of selected physical and cultural features of the surface of the earth and other planets. Includes maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Also includes geographic information system records, or digital cartographic records, which are managed like other electronic records.

Central Files. Files accumulated by several offices organizational units, and maintained and supervised in one location; also called centralized files. This arrangement is most effective in small organizations.

Charge Out. The act and result of recording the removal and loan of a document or a file, from the main filing system, to include its location. Usually involves the use of a form, such as OF-23, Charge out Record.

Classification. The process of determining the sequence or order in which to arrange documents.

Classified Information. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

Closed File. A file unit or series containing documents, on which action has been completed and to which more documents are not likely to be added. A file unit or series to which access is limited or denied.

Contingent Records. Records scheduled for final disposition after the occurrence of an event at some unspecified future time, such as an internal audit.

Continuity Reference. A reference form used to replace material withdrawn for consolidation with more up-to-date material.

Current Records. (Also referred to as "active records.") Records that are necessary for conducting the current business of an office and must be maintained in office space and equipment.

Costing. The calculated financial cost of storing 1 cubic foot of records both on and off site for a government facility.

Cut-Off. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and to permit the establishment of new files. (Also called file cutoff or file break.)

Decentralized Files. Files accumulated by each principal element of an agency and maintained at the point of reference.

Disposal. The actions taken regarding temporary or nonpermanent records after their retention periods expire, and including either destruction or, in rare instances, donation. Also, when so specified, the actions taken regarding non-record materials when no longer needed, especially their destruction.

Disposal Authority. Legal approval empowering an agency to transfer permanent records to the National Archives or carrying out the disposal of temporary records. Must be obtained from the National Archives and Records Administration and also, for certain records proposed as temporary, from the General Accounting Office. The agency's approval of disposition instructions for non-record material.

Dispose. To carry out disposal, which includes either the destruction or the donation of temporary records, but not the transfer of permanent records to the National Archives.

Disposition Schedule. A document providing authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the SF-115, Requests for Records Disposition Authority, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for non-record materials.

E-discovery. An abbreviated term for electronic discovery, is the obligation of parties to a lawsuit to exchange documents that exist only in electronic form. Amendments to the Federal Rules of Civil Procedure, enacted in late 2006, now compel include civil litigants to preserve and produce electronic evidence. Examples of electronic documents and data subject to e-discovery are e-mails, voicemails, instant messages, e-calendars, audio files, data on handheld devices, animation, metadata, graphics, photographs, spreadsheets, websites, drawings and other types of digital data.

Electronic Mail System. A computer application used to create, receive, and transmit messages and other documents or create calendars that can be used by multiple staff members. 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 databases on either personal computers or mainframe computers, and word processing documents not transmitted on an E-mail system.

Electronic Record. Numeric, graphic, text, and any other information recorded on any medium that can be read using a computer and satisfies the definition of a Federal record in 44 U.S.C. 3301. This includes, but is not limited to, both on-line storage and off-line media such as tapes, disks, and optical disks. [36 CFR 1234.1]

Electronic Mail Message. A document created or received on an E-mail system, including brief notes, substantive documents, and any attachments which may be transmitted with the message.

Emergency-Operating Records. Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency.

Federal Records Center. A storage facility operated by the National Archives and Records Administration.

File Plan. A listing of the files (not necessarily records) contained in a specified location. An inventory is a descriptive listing of each record series or system and other pertinent data.

Files. A collective term usually applied to all records and non-record materials of an office or agency.

Files Custodian. The individual or office in charge of agency files. Often used interchangeably with records custodian.

Filing System. A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. (Sometimes called recordkeeping system.)

Finding Aids. Indexes or other lists, manual or automated, that are designed to make it easier to locate relevant files.

Fiscal Value. The usefulness of records in documenting an agency's financial transactions and obligations.

FOIA Records (Agency Records). The Supreme Court has articulated a basic, two-part test for determining what constitutes "agency records" under the FOIA: "Agency records" are records that are (1) either created or obtained by an agency, and (2) under agency control at the time of the FOIA request. Inasmuch as the "agency record" analysis usually hinges upon whether an agency has sufficient "control" over a record, courts have identified four relevant factors for an agency to consider when making such a determination: the intent of the record's creator to retain or relinquish control over the record; the ability of the agency to use and dispose of the record as it sees fit; the extent to which agency personnel have read or relied upon the record; and the degree to which the record was integrated into the agency's recordkeeping system or files. Agency "control" is also the predominant consideration in determining the "agency record" status of records that are either generated or maintained by a government contractor.

Frozen Records. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period. Also see Litigation Hold.

General Records Schedule. Schedules authorizing the disposal, after the lapse of specified periods of time, of records common to several or all agencies, if such records will not, at the end of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government. [44 U.S.C. 3303A(d)]

Inactive or Noncurrent Records. Records no longer required to conduct agency business and therefore ready for final disposition.

Information Technology (IT) System. A discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual to support HHS' or OPDIV's mission. An interconnected set of information resources under the same direct management control, which shares common functionality. A system normally includes hardware, software, information, data, applications, communications, and people. Refers to a set of information resources under the same management control that share common functionality and require the same level of security controls.

Intrinsic Value. In archives administration, the value of those permanent records that should be preserved in their original form rather than as copies.

Inventory. A survey of agency records and non-record materials taken before developing schedules. A File Plan is a listing of the files (not necessarily records) contained in a specified location. An inventory is a descriptive listing of each record series or system and other pertinent data.

Item. A separately numbered entry describing records on Form SF-115, Request for Records Disposition Authority. Usually consists of a record series or part of an information system. A document.

Legal Custody. Guardianship, or control, of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

Legal Value. The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

Life Cycle of Records. The concept that records pass through three main stages: creation, maintenance and use, and disposition.

Litigation Hold. Within the context of records management, a "hold" is an agency's temporary suspension of disposition action(s) because of legal, audit, or investigative needs. When a hold is initiated, documentary materials, regardless of physical location, are required to be kept for as long as the hold is in place. Because this category of records potentially could affect multiple OPDIVs, it is imperative that all potential holders of the information be informed to preserve and not destroy or alter any documents of any type, including hard copy, electronic format, and e-mails. Also see Frozen Records.

Mnemonic Filing System. A classification system in which records are coded by symbols that remind the user of the subjects; for example, ADM for administration and PER for personnel. These symbols are usually arranged alphabetically.

National Archives. The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records.

National Archives and Records Administration (NARA). The agency having overall responsibility for the records management program throughout the Federal Government. When permanent records are transferred to the National Archives, they are placed in the custody of NARA's Office of the National Archives.

Non-record. U.S. Government-owned informational materials excluded from the legal definition of records. Consists of extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum material intended solely for reference or exhibition.

Numeric-alphabetic Filing System. A classification system in which numbers are assigned to main divisions, and letters and numbers to succeeding subdivisions, and the records are arranged accordingly. For example, "ADM" might stand for "Administrative Management," and "1" for the subdivision "Policy." "ADM 2" might stand for "Reports and Statistics," and further subdivided under this subject may be "ADM 2-1, Activity Reports."

Office of Primary Responsibility (OPR). The office delegated responsibility for a specific function. This office normally maintains the official agency record, including the yellow copy and related incoming correspondence. The OPR may designate other offices to maintain the official agency record copy for that function.

Official File Station. Any location in an organization at which records are maintained for current use. Official Record Copy. The yellow file or otherwise designated copy maintained by the originating office. Also includes incoming correspondence used to document a specific function.

Permanent Records. Records appraised by the National Archives and Records Administration as having sufficient historical or other value to warrant continued preservation by the Federal Government, beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called "archival records."

Personal Papers. Nonofficial or private papers, relating solely to an individual's own affairs. Must be clearly designated as such and kept separate from the agency's records. Also called "personal files" or "personal records."

Preserved Record. Documentary materials that have been deliberately filed, stored, or otherwise systematically maintained as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational value of the data. This applies to documentary materials in a file or other storage system, including electronic files and systems, and those temporarily removed from the files or other storage systems.

Program Records. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

Public Records. In general usage, records accumulated by Government agencies. Records open to public inspection by law or custom.

Reading Files. Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. (Chronological (chron) or day files.)

Record Group. A body of organizationally related records, established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. National Archives and Records Administration uses record group numbers to keep track of agency records during and after the scheduling process, including those transferred to a Federal Records Center and/or the National Archives.

Records Maintenance System (Centralized). A centralized records maintenance system is one in which all records accumulating in an organization unit are centralized in one location, and designated personnel are assigned the responsibility to properly manage the organization's records. As technology advances and the need for information grows, a centralized records maintenance system may prove to be more cost effective and achieve greater benefits than those associated with a decentralized system.

Records Maintenance Systems (Decentralized). A decentralized records maintenance system is one in which accumulating records are maintained by the individuals performing the agency's functions, or the originators.

Record Series. File units or documents 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 kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.

Recordkeeping System. A system for collecting, organizing, and storing records to facilitate their preservation, retrieval, use, and disposition, and to fulfill recordkeeping requirements.

Records. According to 44 U.S.C. 3301, the term "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. 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." A simpler, working definition: Official Federal Government records include documentary material that you create, or that you receive from outside of AMS.

Records Maintenance and Use. Any action involving the location of Federal agency records

or the storage, retrieval, and handling of records kept at office file locations by, or for, a Federal agency. This is the second stage of the records life cycle.

Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records 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. [36 CFR 1220.14]

Records Management Program. A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Records Officer. The person assigned responsibility by the agency head for overseeing an agency-wide records management program. A person assigned a Record Group. Records Schedule. A document describing, providing instructions for, and approving the disposition of specified Federal records. It consists of one of the following:

- (a) An SF-115, Request for Records Disposition Authority, which the National Archives and Records Administration (NARA) has approved to authorize the disposition of Federal records;
- (b) the General Records Schedules (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-115's or issued by NARA in the GRS. [36 CFR 1220.14]

Retention Period. The length of time that records are to be kept.

Retirement. The sending of inactive records to the Federal Records Center or to the National Archives, either for storage until time for disposal (destruction) for permanent retention.

Rights-and-Interests Records. Vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

Screening. Reviewing files to apply access restrictions. Examining files to identify and remove documents of short-term value, especially those eligible for immediate destruction. Also called weeding or purging.

Security Backup. Copy of a record in any medium created to provide a means of ensuring retention and access in the event the original record is destroyed, inaccessible, or corrupted.

Special Records. Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care, and/or because they have nonstandard sizes. Includes electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

Standard Form 115, Request for Records Disposition Authority. The form used by Federal agencies to obtain disposition authority from the National Archives and Records Administration for records which the General Records Schedules are inapplicable.

Standard Form 135, Records Transmittal and Receipt. The form to be submitted by Federal agencies before transferring records to a Federal Records Center. Sometimes referred to as "shelf lists."

Subject Files. Records arranged and filed according to their general informational or subject content. Mainly letters and memorandums, but also forms, reports, and other material, all relating to program and administrative functions, not to specific cases.

Subject-Numeric Filing System. A subject classification system in which the main topics are arranged alphabetically and the subdivisions, i.e., secondary (second) and tertiary (third) are coded numerically. For example, "Personnel 8" might stand for "Hours of Duty." This system may be modified by combining it with the mnemonic filing system so that, for example, "Personnel 8" would become "PER 8."

(a) Primary Subjects are the prime or major subject designations that identify and describe groups of related records.

(b) Secondary Subjects are one or more related subjects that have been created or established by the division of a primary subject.

System of Records. System of Records is used to identify records that contain information covered under the Privacy Act.

System Topup. Copy of off-line storage media of software and data stored on direct access storage devices in a computer system, used to recreate a system and its data in case of unintentional loss of data or software.

Tertiary Subjects. One or more related subjects that have been created or established by the division of a secondary subject.

Technical Reference Files. Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

Temporary Records. Any Federal record that the Archivist of the United States has determined to have insufficient value to warrant its preservation by the National Archives and Records Administration. [36 CFR 1220.14]

Transmission and Receipt Data.

(a) **Transmission Data.** Information in E-mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.

(b) **Receipt Data.** Information in E-mail systems regarding date and time of receipt of a message, and/or acknowledgement of receipt or access by addressee(s).

Unscheduled Records. Records for which no ultimate disposition has been determined.

Vital Records. Records essential to the continued functioning or reconstitution of an organization during and after an emergency; also, those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital record considerations are part of an agency's records disaster prevention and recovery program.

Washington National Records Center. The Federal Records Center for the inactive permanent records (except those located in the National Archives) and temporary Federal records for offices located in the Washington metropolitan area.

Acronyms & Abbreviations

AASHL - American Association for State and Local History
ACA - Academy of Certified Archivists
ADP - automatic data processing or automated data processing
AFC - Agency file code
AFFIRM - Association for Federal Information Resources Management
AIIM - Association for Information and Image Management (now known as AIIM - The Enterprise Content Management Association)
AIS - automated information system
ANSI - American National Standards Institute
API - application program interface
AR - administrative record
ARCIS - Archives and Records Centers Information System
ARMA - Association of Records Managers and Administrators (now known as ARMA International)
ARO - Agency records officer
ASCII - American standard code for information interchange
AV or A/V - audiovisual
BRIDG - Bi-monthly Records Discussion Group
CA - certified archivist
CAD - computer-aided design
CAE - computer-aided engineering
CAI - confidential agency information
CAL - computer-assisted locator
CAM - computer-aided manufacturing
CAR - computer-assisted retrieval
CBI - confidential business information
CD - compact disk
CD-I - compact disk-interactive
CD-ROM - compact disc read-only memory
CDR - compact disc recordable
CD-RW - compact disc re-writable
CFR - Code of Federal Regulations
CHRON - chronological file
CIM - computer input microfilm
CIO - chief information officer
COLD - computer-output laser disk
COM - computer-output microfilm
COOP - continuity of operations plan
CPIC - capital planning and investment control
CPU - central processing unit
CRM - certified records manager
CRM/NS - certified records manager/nuclear information and records specialist
CSS - cascading stylesheet
DA - Documentum administrator

DAT - digital audiotape
DBMS - database management system
DM - document management
DMS - document management system
DP - data processing
DPI - dots per inch
DRMWG - Document and Records Management Work Group
DTD - document type definition
DVD - digital versatile disc or digital video disc
DVR - digital video recorder
EA - enterprise architecture
EBCDIC - extended binary code decimal interchange code
ECM - enterprise content management
ECMS - enterprise content management system
ECMSRMR - enterprise content management system records management repository
EDI - electronic data interchange
EDMS - electronic document management system
EDP - electronic data processing
EIS - electronic information system
ERA - Electronic Records Archive
ERM - electronic records management
ERMS - electronic records management system
ESIGN - Electronic Signatures in Global and National Commerce Act
FAQ - frequently asked questions
FIPS - federal information processing standards (Issued by NIST.)
FIRMR - Federal Information Resources Management Regulation(s) (Issued by GSA.)
FOIA - Freedom of Information Act
FPMR - Federal Property Management Regulation(s) (GSA regulations - The part formerly applying to records management has been superseded by the Federal Information Resources Management Regulations and NARA records management regulations.)
FRC - federal records center
FTP - file transfer protocol
GAO - Government Accountability Office
GIF - graphic interchange format
GILS - global information locator service
GIS - geographic information system
GPEA - Government Paperwork Elimination Act
GPRA - Government Performance Results Act
GPS - global positioning system
GRS - general records schedule
GSA - General Services Administration
GUI - graphical user interface
HIPPA - Health Insurance Portability and Accountability Act
HTML - hypertext markup language
HTTP - hypertext transfer protocol
HTTP/S - hypertext transfer protocol/secure
I/O - input/output

IAA/IAG - interagency/intergovernmental agreement/international agreement
ICR - intelligent character recognition, or information collection rule, or information collection request
ICRM - Institute of Certified Records Managers
IM - instant message or information management
IMO - information management official
IP - Internet protocol
IRM - information resources management
ISO - International Organization for Standardization
IS - information systems
ISP - Internet service provider
IT - information technology
JPEG - compression; Joint Photographic Experts Group
KWAC - keyword and context index
KWIC - keyword in context index
KWOC - keyword out of context index
LAN - local area network
MCUF - my commonly used folders
MIME - multipurpose Internet messaging extensions
MIS - management information system
NA - National Archives
NAC - National Audiovisual Center
NAGARA - National Association of Government Archives and Records Administrators
NARA - National Archives and Records Administration
NARS - National Archives and Records Service (Reorganized as NARA.)
NHPRC - National Historical Publications and Records Commission (Formerly known as National Historical Publications Commission (NHPC).)
NIRMA - Nuclear Information and Records Management Association
NIST - National Institute of Standards and Technology
NRMP - National Records Management Program
NSI - national security information
OA - office automation
OCR - optical character recognition
OD - optical disk
ODBC - open database connectivity
OF - optional form
OMB - Office of Management and Budget
OPM - Office of Personnel Management
PA - Privacy Act
PARS - performance appraisal & recognition system
PC - personal computer
PDA - personal digital assistant
PDF - portable document format
PDF/A-1 - portable document format/archive
PEL - picture element
PKI - public key infrastructure
PPI - pixels per inch

RACO - records administration conference
RFID - radio frequency identification
RAIC - Records Administration Information Center
RAM - random access memory
RIM - records and information management
RKS - recordkeeping system
RLO - records liaison officer
RM - records management
RMA - records management application
RMO - records management officer
ROM - read-only memory
RPSA - retention policy services administrator
RTF - rich text format
SAA - Society of American Archivists
SDLC - systems development life cycle
SDMS - Superfund document management system
SF - standard form
SGML - standard generalized markup language
SHFG - Society for History in the Federal Government
SIO - senior information official
SLCM - system life cycle management
SSL - secure sockets layer
TCP/IP - transmission control protocol/Internet protocol
TIFF - tagged image file format
URL - uniform resource locator
U.S.C. - United States Code
VCR - videocassette recorder
VHS - video home system
WAN - wide area network
WiFi - wireless fidelity
WORM - write once read many (times)
WP - word processing
WWW - world wide web
XHTML - extensible hypertext markup language
XML - extensible markup language
XSTL - extensible stylesheet language transforms