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*"Rummaging in the government's attic"*

Description of document: Federal Bureau of Investigation (FBI) records pertaining to the National Archives and Records Administration (NARA), 1993-2001

Requested date: 13-March-2000

Released date: 13-September-2012

Posted date: 08-October-2012

Source of document: Federal Bureau of Investigation  
Attn: FOI/PA Request  
Record/Information Dissemination Section  
170 Marcel Drive  
Winchester, VA 22602-4843  
Fax: (540) 868-4391/4997  
Email: [foiparequest@ic.fbi.gov](mailto:foiparequest@ic.fbi.gov)

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September 13, 2012

Re: Freedom of Information Act Request NGC12-236/FBI FOI# 0918504-002

This is in response to your Freedom of Information Act (FOIA) request of March 13, 2000, to the Federal Bureau of Investigation (FBI) for all records pertaining to the National Archives and Records Administration (NARA). After reviewing their records, the FBI identified 370 pages of records that originated with NARA. These records were referred to NARA for direct response on May 31, 2007.

This referral was misplaced in the Office of General Counsel (NGC). During a routine records management review on September 11, 2012, I located this referral and assigned tracking number NGC12-236 to it. I apologize for this oversight and waive all fees associated with the processing of this referral.

After reviewing these pages, I have made the following disclosure determinations. One hundred and ninety-one pages are released in full. Two pages are denied in part and released in part with redactions pursuant to 5 U.S.C. § 552(b)(6), an unwarranted invasion of personal privacy. The FBI redacted information on 2 pages pursuant to both 5 U.S.C. § 552(b)(6) and 5 U.S.C. § 552(b)(7)(C).

The remaining 175 pages are copies of accessioned records that were attachments. Once removed, these cover letters were downgraded to UNCLASSIFIED. These 175 pages are not included with this release. If you wish to have copies of these pages, please inform me by September 30, 2012. We will then refer these pages to the National Declassification Center (NDC) for processing as these pages remain classified. If we do not hear from you by September 30, we will assume that you are not interested in these pages.

You may appeal the denied information by writing to the Deputy Archivist (ND), National Archives and Records Administration, College Park, MD 20740 within 35 calendar days and explain why you think the withheld material should be released. Both the letter and the envelope

NATIONAL ARCHIVES *and*  
RECORDS ADMINISTRATION

8601 ADELPHI ROAD  
COLLEGE PARK, MD 20740-6001

[www.archives.gov](http://www.archives.gov)

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 6, 1997

Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

**SECRET**

Re: Requestor's Name: Michel Pinault  
Project Number: NND 951210

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Michel Pinault has requested access to one document from the Records of the Office of the Chiefs of Engineers which we believe may be of interest to your agency. Enclosed are copies of Mr. Pinault's request letter and of the item for your review for possible declassification. This document was previously reviewed by your agency under our project number NND 901111, your case number 348.690. Your previous sanitizing instructions are bracketed in red.

We request that the enclosed document be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determination, including all sanitization instructions, to this office and refer to our project number NND 951210. The National Archives will notify the researcher of your decision and of any appeal rights. If you have any questions regarding this case, please contact Robert Tringali on (301) 713-6604 and cite our project number.

Sincerely,

*Herbert Rawlings Miller*

STEVEN D. TILLEY  
Chief, Access and FOIA Branch  
Declassification and Initial Processing Division

62C-HQ-1038244-48

b6 Per Enclosures  
b7C FBI

**ENCLOSURE**

Becomes UNCLASSIFIED Upon  
Removal of Enclosures

**SECRET**

## CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD

DATE

October 6, 1997

## SECTION I - GENERAL

TO:  
Mr. Kevin O'Brien  
Section Chief  
FBI, Room 6296  
10th and Pennsylvania Ave., NW  
Washington, DC 20536

FROM:  
Mr. Steven D. Willey  
Chief, Access and FOIA Branch (NWDDA)  
Declassification and Initial Processing Div.  
Rm. 6350  
The National Archives at College Park  
8601 Adelphi Road  
College Park, MD 20740-6001

CONTROL, LOG, OR FILE NUMBER (a)	CLASSIFI- CATION (b)	NUMBER OF PAGES (c)	DESCRIPTION (Type File Reference, Unclassified Subject or Short Title, and Number of Indorsements/Inclosures) (d)	DATE OF DOCUMENT (e)	ORIGINATOR (f)
NND 951210	S	1 doc  1 pg	Classified Reproductions Numbered:  NND 951210: 1	1946	Chief of Enginners

## SECTION II - DESTRUCTION CERTIFICATE (Check appropriate box)

MATERIAL DESCRIBED HEREON HAS BEEN

☐ DESTROYED☐ TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER

OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REPRESENTATIVE	SIGNATURE
DESTRUCTION RECORD NUMBER	DATE	PRINTED NAME OF CERTIFYING/ DESTRUCTION OFFICIAL	SIGNATURE
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL	SIGNATURE

## SECTION III - RECEIPT/TRACER ACTION (Check appropriate box)

☐ RECEIPT OF DOCUMENT(S) ACKNOWLEDGED☐ TRACER ACTION: SIGNED RECEIPT FOR MATERIAL  
DESCRIBED ABOVE HAS NOT BEEN RECEIVED☐ DOCUMENT(S) HAS (HAVE) NOT BEEN RECEIVED

DATE	PRINTED NAME, GRADE OR TITLE	SIGNATURE
------	------------------------------	-----------

COMMENTS (Use reverse if necessary)

ALL FBI INFORMATION CONTAINED  
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DATE 2/26/2003 BY AUC 60290 BJC/AG ledc  
918501

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

\*U.S. GPO: 1992-331-859/68214

NA 2011 (2-88)

62C HQ-1038 244-48  
ENCLOSURE

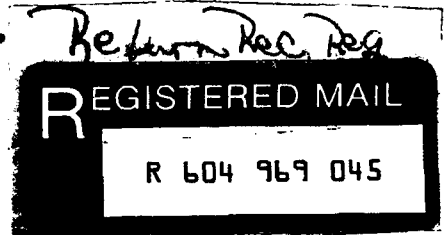
National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

December 10, 1996

~~SECRET~~



Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

Re: Requestor's Name: Rachel Verdon  
Project Number: 965113

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Rachel Verdon has requested access to several documents from the General Records of the Department of State which we believe may be of interest to your agency. Enclosed are copies of Ms. Verdon's request letter and of the items for your review for possible declassification. The Department of State has previously reviewed these documents and has no objection to their release subject to your agency's concurrence. Please note that pages 1 - 19 are also being coordinated with the Central Intelligence Agency.

We request that the enclosed documents be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determinations, including all sanitization instructions, to this office and refer to our project number NND 965113. The National Archives will notify the researcher of your decision and of any appeal rights. If you have any questions regarding this case, please contact me on (301) 713-6600 and cite our project number.

Sincerely,

*Dr. Marvin F. Russell*

DR. MARVIN F. RUSSELL  
Chief, Civil Review Branch  
Records Declassification Division

ENCLOSURE ATTACHED

~~SECRET~~

62A-HQ-1038244  
Enclosures

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b7C FBI

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9/18/2004

National Archives and Records Administration

267

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

~~CONFIDENTIAL~~

August 23, 1996

Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

Re: Requestor's Name: Timothy McKeown  
Project Number: NND 965020

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Timothy McKeown has requested access to a document from the Executive Secretariat Files of Douglas Dillon, among the General Records of the Department of the Treasury which we believe may be of interest to your agency. Enclosed are copies of Mr. McKeown's request letter and of the item for your review for possible declassification.

We request that the enclosed document be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determination, including all sanitization instructions, to this office and refer to our project number NND 965020. The National Archives will notify the researcher of your decision and of any appeal rights. If you have any questions regarding this case, please contact me on (301) 713-6600 and cite our project number.

Sincerely,

*Marvin F. Russell*

DR. MARVIN F. RUSSELL  
Chief, Civil Review Branch  
Records Declassification Division

Enclosures

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National Archives and Records Administration

62C-HQ-1038244-52

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DATE 2/24/2004 BY AUC 60290 BCE/AS/etc  
918504

PR/NP 9/10/96 dh



THE UNIVERSITY OF NORTH CAROLINA  
AT  
CHAPEL HILL

Department of Political Science  
College of Arts and Sciences  
919-962-3041  
FAX 919-962-0432

March 18, 1994

The University of North Carolina at Chapel Hill  
CB# 3265, Hamilton Hall  
Chapel Hill, N.C. 27599-3265

Milton O. Gustafson  
Chief, Civil Reference Branch  
National Archives  
Washington, D.C. 20408

in re: NN 93-1247

Dear Sir:

In response to your undated letter (received early December, 1993), I wish to amend my original FOIA request as follows. In Record Group 56, Office of the Secretary, Executive Secretariat, I request access to or copies of the documents located in the following files:

Box #	Description
1C-ES	entire box
2C-ES	entire box
3C-ES	Briefing memos to Secretary 1961 Briefing memos to Secretary 1962
5C-ES	Memoranda of Conversations 1961 (2 folders)
6C-ES	Memoranda of Conversations 1962
8C-ES	Trips 1961-62 Agency for International Development 1961-62 Bureau of the Budget 1961-62
9C-ES	Central Intelligence Agency 1962 Export-Import Bank 1961-62
10C-ES	InterAmerican Development Bank 1961 International Finance, Office of 1961 International Monetary Fund 1961 International Monetary Fund 1962

ALL FBI INFORMATION CONTAINED  
HEREIN IS UNCLASSIFIED  
DATE 2/20/2001 BY ncc 6296 BCE/AG/ec  
918504

Received in 3/22/94  
Date Dis 4/5/94  
Register No. NN94-343  
Assigned to NNRC

62C-HQ-1038244-52

ENCLOSURE

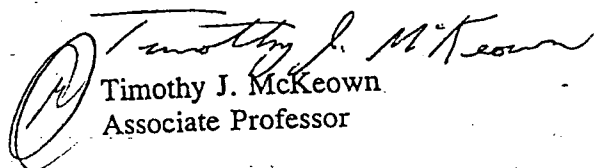
NNRC No.	4472
Received	3/28 Due 4/11
Assigned To	WF Sherman

11C-ES	National Advisory Council 1961-62 NATO 1961 State 1961 State 1962
16C-ES	Memos of Conversation 1963
20C-ES	Central Intelligence Agency Export-Import Bank 1963
21C-ES	InterAmerican Development Bank 1963 Int'l Bank for Reconstruction & Development Int'l Monetary Fund 1963 National Advisory Council 1963 State 1963
26C-ES	Agency for International Development 1964 Bureau of the Budget 1964 Central Intelligence Agency 1964 Export Import Bank 1964
27C-ES	Inter American Development Bank 1964 International Monetary Fund 1964 State 1964
29C-ES	US-UK discussions 1961-64
30C-ES	Int'l Bank for Reconstruction & Devel. 1964
34C-ES	Memos of conversation 1965
35C-ES	entire box
36C-ES	Letters to Vice President Memo for Vice President 1965
37C-ES	Agency for International Development Agriculture 1965
38C-ES	IBRD International Monetary Fund National Advisory Council 1965 State 1965



I still seek the records of Assistant Secretary John Bullitt, Office of International Affairs. My FOIA filing at the Department of the Treasury has been informally answered with word that they are unable to locate these records. Please check your holdings carefully to see if you can locate them. (My understanding is that you do possess Treasury documents for this period for which no finding aid exists). I would hope that the matter of the BULLitt records could be resolved without the necessity for litigation.

Yours truly,

  
Timothy J. McKeown  
Associate Professor

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001  
Department of Defense Unit National Archives

~~TOP SECRET~~

January 15, 1997

Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

502

Re: Requestor's Name: William Burr  
Project Number: NND 965154

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, William Burr has requested access to a number of documents from the Records of the National Security Council which we believe may be of interest to your agency. Enclosed are copies of Mr. Burr's request letter and of the items for your review for possible declassification. We are also coordinating pages 243-244, 282-283, 365-366, and 376 with the Department of Energy. Pages 365-366 are also being coordinated with the United States Air Force.

We request that the enclosed documents be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determinations, including all sanitization instructions, to this office and refer to our project number NND 965154. The National Archives will notify the researcher of your decision and of any appeal rights.

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62A-HQ-1038244

Rec'd  
1/23/97  
C.R.

~~TOP SECRET~~

If you have any questions regarding this case, please contact Christopher MacRae on (301) 713-6604 and cite our project number.

Sincerely,

*Herbert Rawlings-Milton*  
for STEVEN D. TILLEY

Chief, Access and FOIA Branch  
Declassification and Initial Processing Division

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NND 2

THE NATIONAL SECURITY ARCHIVE

GELMAN LIBRARY, SUITE 701, 2130 H STREET, N.W., WASHINGTON, D.C. 20037 (202) 994-7000

IN ALL CORRESPONDENCE PLEASE REFER  
TO ARCHIVE FILE NO. 960895NAR054

5 November 1996

Dr. Michael J. Kurtz  
Asst. Archivist for the National Archives  
National Archives & Records Admin.  
8601 Adelphi Road, Room 3400  
College Park MD 20740-6001

Dear Dr. Kurtz:

Pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. Section 552, et seq. (as amended), I hereby request disclosure of the documents described on the attached page of this letter for inspection and possible copying. If you regard any of these documents as potentially exempt from the FOIA's disclosure requirements, I request that you nonetheless exercise your discretion to disclose them. As the FOIA requires, please release all reasonably segregable nonexempt portions of documents which contain information you regard as exempt. To permit me to reach an intelligent and informed decision whether or not to file an administrative appeal of any denied material, please describe any withheld records (or portions thereof) and explain the basis for your exemption claims.

This request is made on behalf of the National Security Archive, a nonprofit public interest research institute and library in Washington, D.C. The Archive is a tax-exempt nonprofit organization whose purpose is to enrich public policy debate by making widely available records on important areas of major public concern on foreign, defense and intelligence policy. Documents obtained by the Archive, including the records requested in this letter, are carefully analyzed, indexed, organized into collections and published. Archive document collections are also available for inspection and copying at the Archive by scholars, journalists, members of Congress and their staffs, present and former public officials, other public interest organizations, and the general public. Information in these documents is disseminated across the country through distribution of our published collections to research libraries and through the Archive's other publishing and media activities. I am conducting research on the subject of this request as part of an Archive research team which includes experts on the subject and which already has done extensive research and determined that the requested materials are necessary to our project.

To expedite the release of the requested documents, please disclose them on an interim basis as they become available to you, without waiting until all the documents have been processed. If you have any questions regarding the identity of the records, their location, the scope of the request or any other matters, please call me at (202) 994-7000. I look forward to receiving your response within the ten-day statutory time period.

Sincerely,

William Burr

William Burr

"burfoilo" 6.1

NNR2 No	9701943
Received	11-13
Assigned To	WJW
Due	11-27

RG 273

Received in NY 11/27/96  
Date Recd 11/22/96  
Reference No. NNR2-867  
Assigned to NNR2

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DATE 2/26/04 BY AUC 60290 BCF/AG/AC  
918504

FOIA Requester: Burr, William

FOIA Sequence Number: 963830NAR034

Date of Request: 11/02/1995

NSA Record Number: 17039

Subject of Request:

Any copies of the annual report of the Nat Evaluation Subcommittee for each year from 1955 to 1961 and for 1963 and 1964, including a special report on nuclear targeting completed in 1962 under NSC Action 2206, that may be held in box 66 of the Records of the NSC Representative on Internal Security, \Recession 1043-273-91-001, Record Group 273, Records of the National Security Council.

I submitted a similar request in 1993 to the National Security Council (their case no. F93-891). They may or may not have the records that I requested. If it can be ascertained that they have them, please let me know and I will withdraw this request.

Note: I request that all documents be reviewed in their entirety, and that no information be omitted on the grounds of "non-relevance".

73604

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DATE 2/26/04 BY AUC 60290 BGE/AG/edc  
918504

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 19, 1997

**SECRET**

Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

Re: Requestor's Name: Thomas Schottli  
Project Number: NND 951133

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Thomas Schottli has requested access to three documents from the General Records of the Department of State which we believe may be of interest to your agency. Enclosed are copies of Mr. Schottli's request letter and of the items for your review for possible declassification.

We request that the enclosed documents be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determinations, including all sanitization instructions, to this office and refer to our project number NND 951133. The National Archives will notify the researcher of your decision and of any appeal rights. If you have any questions regarding this case, please contact Robert Tringali on (301) 713-6604 and cite our project number.

Sincerely,

*Robert Rawlings-Milton*

for STEVEN D. TILLEY  
Chief, Access and FOIA Branch  
Declassification and Initial Processing Division

Enclosures

62A-HQ-1038244-58

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918504

National Archives and Records Administration

ENCLOSURE

FOIA (b) (6)

Received in MN 4/16/95  
4/24/95  
 No. NN95-341  
 Referred to NNR1-C

FOIA(b) (6) April 6, 1995

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DATE 2/26/2004 BY SP6 GOS/AG/cdc  
918504

**Enclosure: List of documents**

95-1434  
4.12 4.26  
M aty

RG 59, Central Decimal Files, 1945-49.

101.61

- 101.61/1-1149, Memorandum, Meyer to Office of European Affairs, 1/19/49

Box 82  
NNJ 812039

501.BA

- 501.BA/5-1248, Memorandum, Hickerson to Lovett [re Soviet representation in U.N., 5/12/48]

Box 2068  
NNJ 760050

501.BE

- 501.BE/1-2949, Allen (British Embassy) to Thompson, 1/29/49

Box 2265  
NNJ 760050

702.6111

- ✓ - 702.6111/8-1948, Hoover to Neal, 8/12/48

- 702.6111/8-1948, Acting Police Commissioner to Department of State, 8/13/48

- 702.6111/8-1948, Hickerson to Lovett 8/19/48

ALL Box 3069  
NNJ 760050

711.52

- 711.52/1-2148, Memorandum, Souers to NSC, 1/21/48

- 711.52/2-1048, Desp. #95 from Madrid, 2/10/48

- 711.52/8-1648, Letter, Culbertson to Achilles, 8/16/48

ALL Box 3328  
NNJ 760050

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DATE 2/26/04 BY AVC 60270 B&H AG/edc  
918504



- 711.52/4-1949, Johnson to Acheson, 4/19/49
- 711.52/10-349, No. 519, 10/3/49

711.61

- 711.61/12-646, Hickerson to Acheson, 12/6/46 — Box 3332, NND 760050
  - 711.61/5-2248, Telegram #836, Budapest to Secretary of State, 5/23/48
  - 711.61/11-3048, Memorandum, Gen. Keniyan et al. to NEA, DRN, CIA, 11/30/48
  - 711.61/3-549, Telegram #588, Rome to Secretary of State, 3/6/49 — Box 3335, NND 760050
- Box 3334  
NND 760050

757D.00

- 757D.00/3-1048, From C.I.A., 3/10/48 Box 4005, NND 760050

761.00

- 761.00/7-1346, War Department to Secretary of State, 7/13/46
- 761.00/7-1346, Pouch to Thompson, 7/13/46
- 761.00/5-1948, Department of State to Secretary of State, 5/19/48
- 761.00/6-948, Department of State to Secretary of State, 6/9/48
- 761.00/6-948, Murphy to Secretary of State, 6/9/48
- 761.00/9-3048, Office of European Affairs to Secretary of State, 9/30/48
- 761.00/9-248, Department of State to Secretary of State, 9/2/48
- 761.00/9-3048, Hickerson to Kennan, 9/30/48
- 761.00/10-948, From Brussels, 10/9/48
- 761.00/11-948, Brussels to Secretary of State, 11/9/48

761.00  
all } Box 4016,  
NND 760050

- 761.00/11-948, #110232, Department of State to Secretary of State, 11/9/48
- 761.00/11-948, Bethouart to Humelsine, 11/9/48

761.67

Box 4019, NND  
760050

- 761.67/6-1846, Department of State to Secretary of State, 6/18/46
- 761.67/9-1346, #1730, Foreign Service to Secretary of State, 9/13/46

840.00

- 840.00/11-2746, #A-1667, London to Department of State, 11/27/46
- 840.00/2-447 [?], Office Memo, I CSEQ, Martin to Mann, 2/4/47
- 840.00/10-1647, CIG to State Department (Reber), 10/16/47
- 840.00/11-1347, Despatch #4343, Madrid to Department of State, 11/13/47
- 840.00/12-3147, Despatch #4404, Madrid to Department of State, 12/31/47

Box 5642  
NND 760050

Box 5643  
NND 760050

840.20 (Confidential File)

~~5662~~

- 840.20/3-1048, Note, Secretary of State to Secretary of Defense, 3/31/48
- 840.20/3-1048, Letter, Murphy to Secretary of State, 3/10/48
- 840.20/3-2348, Memo, Office of European Affairs to Secretary of State, 3/23/48
- 840.20/4-248, Telegram #654, Brussels to Secretary of State, 4/2/48

Box 5660  
NND 760050  
all

~~840.20/11-1347, Despatch #4343, Madrid to Department of State, 11/13/47~~  
known

852.00

250 | 38 | 5

- 852.00/3-2145, OSS to Warren, 3/21/45 Box 6334, NND 760050
- ✓ - 852.00/9-2545, Telegram #941, from Madrid, 9/25/45 Box 6335, NND 760050
- 852.00/11-245, Telegram #1100, from Madrid, 11/2/45 Box 6336, NND 760050 ✓
- 852.00/12-545, Chairman Reporting Board to Freeman Matthews (EUR/DoS), 12/5/45
- 852.00/12-1145, LTR/RPT on western Europe, Chairman Reporting Board to Paul Culbertson (State), 12/11/45
- ✓ - 852.00/12-1945, Telegram #2562, from Madrid, 12/19/45
- 852.00/2-2346, Despatch No. 1679, from Madrid, 2/23/46 (2/28/46?) Box 6337, NND 760050 ✓
- 852.00/2-2546, Chairman Reporting Board to Walter S. Surrey, 2/25/46
- 852.00/3-1246, Chairman Reporting Board to Horsey (State), 3/12/46
- 852.00/3-2846, Liaison Officer SSU to Neal, 3/28/46
- 852.00/5-2046, No. 2166, Madrid to Department of State, 5/20/46 Box 6338, NND 760050
- 852.00/7-2246, No. 2552, Madrid to Department of State, 7/22/46
- 852.00/7-2346, No. 2570, Madrid to Department of State, 7/23/46
- 852.00/8-2146, No. 2765, Madrid to Department of State, 8/21/46 Box 6339, NND 760050
- 852.00/9-1246, No. 1713, London to Department of State, 9/12/46
- 852.00/11-2146, No. 3135, Madrid to Department of State, 11/21/46
- 852.00/11-2246, No. 3200, Madrid to Department of State, 11/22/46
- 852.00/12-1246, No. 3239, Madrid to Department of State, 12/12/46 ✓
- 852.00/12-2746, No. 3299, Madrid to Department of State, 12/27/46 ✓
- 852.00/1-247, No. 30, London to Department of State, 1/2/47 ✓
- 852.00/1-1347, No. 3386, Madrid to Department of State, 1/13/47 ✓
- 852.00/1-2947, No. 387, Paris to Department of State, 1/29/47 ✓
- 852.00/2-2147, No. 3569, Madrid to Department of State, 2/21/47 ✓
- 852.00/2-2447, No. 1243, London to Department of State, 2/24/47 ✓
- 852.00/2-2847, No. 3596, Madrid to Department of State, 2/28/47

- 852.00/4-347, No. 3742, Madrid to Department of State, 4/3/47 ✓ Box 6339, NND 7600SD
- 852.00/4-2647, No. 1736, Paris to Department of State, 4/26/47 ✓ fwd
- 852.00/5-1647, No. 3941, Madrid to Department of State, 5/16/47 Box 6340, NND 7600SD
- 852.00/6-447, No. 383, Lisbon to Department of State, 6/4/47 ✓ i ✓ ↓ all
- 852.00/6-1247, No. 4031, Madrid to Department of State, 6/12/47
- 852.00/6-1347, No. 425, Lisbon to Department of State, 6/13/47
- 852.00/6-1747, No. 1537, Lisbon to Department of State, 6/17/47 ✓
- 852.00/6-1847, No. 4036, Madrid to Department of State, 6/18/47
- 852.00/6-2747, No. 4047, Madrid to Department of State, 6/27/47
- 852.00/8-147, No. 4121, Madrid to Department of State, 8/1/47
- 852.00/8-847, No. 96, Lisbon to Department of State, 8/6/47
- 852.00/8-2047, No. 3490, Paris to Department of State, 8/28/47
- 852.00/10-347, No. 4219, Madrid to Department of State, 10/3/47 ✓
- 852.00/10-1047, No. 4236, Madrid to Department of State, 10/10/47
- 852.00/10-2047, Memor, Neal to Horsey re Spanish activities, 10/20/47 ✓ Box 177
- 852.00/10-2047, No. 5596, London to Department of State, 10/20/47
- 852.00/10-2047, No. 2344, London to Department of State, 10/20/47
- 852.00/10-2347, No. 5665, London to Department of State, 10/23/47
- 852.00/10-2947, No. 5783, London to Department of State, 10/29/47
- 852.00/11-1447, MemCon prepared by Horsey, 11/28/47 ✓
- 852.00/12-1247, No. 4369, Madrid to Department of State, 12/12/47 ✓
- 852.00/12-1847, No. 4380, Madrid to Department of State, 12/18/47
- 852.00/1-248, No. 2, Marseilles to Department of State, 1/2/48 ✓
- 852.00/1-1548, No. 8, Vatican City to Department of State, 1/15/48
- 852.00/2-1148, No. 90, Madrid to Department of State, 2/11/48 ✓
- 852.00/2-1348, No. 99, Madrid to Department of State, 2/13/48 ✓

RG 59, Central Decimal Files, 1950-54.

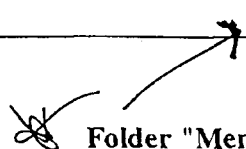
~~\*~~ Box 6199 (BULKY/  
OVERSIZE)  
959017

200.1122 (Top Secret File) Box 857

- 200.1122/12-550, Memorandum by Thompson, 9/21/48

RG 59, Lot File 53 D 444, Records of the Executive Secretariat (Dean Acheson).

Box 12 (NND 893056)

 Folder "Memos of Conversation June - July 1948"

- MemCon, by Reber, 7/14/48

RG 59, Lot File 58 D 357, Subject Files Relating to Italian Affairs, 1944-1956

Box 10

NNJ

887206

Folder "233 Election (National) 1948-1953"

TAB 9

- Letter, Hickerson to Dunn, 4/22/48

RG 59, Lot File 59 D 233, Miscellaneous Office Files of the Assistant Secretaries of State for European Affairs, 1943-57.

Box 22

NND 881151

Folder "Letters C thru E 1949":

all  
IAB 1

- Memo w/Att, Hickerson to Wisner, 2/24/49

Folder "Letters F thru J 1949":

IAB 1A

- Letter w/Att, Hickerson to Hillenkoetter, 1/13/49

Folder "Letters H thru M 1950"

IAB 2

- Letter, Hume to Hickerson, 4/28/49

Folder "Memoranda - Top Secret 1945"

IAB 7

- Memo w/Att, Hiss to Hickerson, 11/1/45

Box 23

NND 881151

Folder "Top Secret Material - 1947-1948"

- Letter w/Att, Stone to Hickerson, 2/17/47 IAB 1
- Letter w/Att, Hickerson to Sherman, 4/15/47 IAB 3A
- 2 Memcons w/Att, from Henderson, 12/26/47 IAB 4+5

Box 24

CARD READS 881031

DECLASS.  
LABEL READS  
881151

Folder "EUR - Subject Files I A-F Folder 2 of 2"

IAB 23

- Memo w/Att, Merchant to Waugh, 1/12/55



National



Archives at College Park

~~SECRET~~

8601 Adelphi Road College Park, Maryland 20740-6001

October 16, 1996

Mr. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20535

Re: Requestor's Name: Max Holland  
Project Number: NND 961068

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Max Holland has requested access to several documents from the Records of the Office of the Secretary of the Army which we believe may be of interest to your agency. Enclosed are copies of Mr. Holland's request letter and of the items for your review for possible declassification. These documents are also being coordinated with the Central Intelligence Agency.

We request that the enclosed documents be reviewed only for national security information that falls under the (b)(1) exemption. Also, please specify the number of days in which the researcher, if necessary, may appeal your agency's decisions. We will notify the researcher that your agency's time limitations for an appeal will commence from the date of NARA's letter to the requestor.

Please send your review determinations, including all sanitization instructions, to this office and refer to our project number NND 961068. The National Archives will notify the researcher of your decision and of any appeal rights. If you have any questions regarding this case, please contact me on (301) 713-6600 and cite our project number.

Sincerely,

*Herbert Rawlings-Milton*

HERBERT RAWLINGS-MILTON  
Chief, Military Review Branch  
Records Declassification Division

*TREAT AS ORIGINAL*

Enclosures

Becomes UNCLASSIFIED upon  
Removal of Enclosures

*PR/ND*  
*11-14-96*  
*RR*

~~SECRET~~

National Archives and Records Administration

13 May 1996

Mr. Michael Kurtz  
Assistant Archivist for  
the National Archives  
National Archives  
8601 Adelphi Road  
College Park, Maryland 20740-6001

Received in

Date

File No.

Assigned to

5/16/96  
5/31/96  
NN96-372-155  
NNR2

Dear Mr. Kurtz,

Pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. Section 552, et seq. (as amended), I hereby request disclosure of the records described below.

My request is for records of the Cuba Project File which are to be found among the Security Classified Correspondence records of the Office of the Secretary of the Army, 1961-1964, (Boxes 799 to 800).

If you regard any documents retrieved pursuant to my request as exempt from the FOIA's disclosure requirements, I ask that you nonetheless exercise your discretion to disclose them. You are required under the FOIA to release any reasonably segregable non-exempt portions of documents that contain information otherwise determined to be exempt. Please note too that the records requested may well fall under P.L. 102-526, the President John F. Kennedy Assassination Records Collection Act of 1992. Section 6 of P.L. 102-526 establishes extraordinary guidelines for the declassification of assassination-related records, and these guidelines surely apply to the records requested herein.

I believe the information above constitutes a reasonable description of the records I am seeking. The facts noted herein are sufficient to enable a professional employee to locate and identify records pertinent to my request. The need to provide a reasonable description of the records being requested is the only legislative standard which applies.

As you know, section 552(a)(4)(A) of the Freedom of Information Act creates categories of requesters entitled to fee waivers. One category consists of representatives of the "news media." Requesters in this group receive an automatic waiver of all search and review fees, irrespective of the nature or contents of the documents requested. They can be charged standard duplication costs (in excess of the first one hundred copied pages), but these charges may also be waived under certain circumstances. I am submitting this request in conjunction with

a book I am writing about the aftermath of the assassination and

NNR2 No.

Received

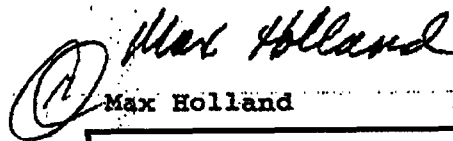
Assigned To

96-8406  
5/30 143

the Warren Commission. The book is under contract to Houghton-Mifflin publishers of Boston. Given my signed contract with a reputable and major publisher, I ask that this request be treated as one from a news media representative.

As provided for by the amended act, I expect to receive an initial response to my request within 10 working days. Should you have any questions about the meaning or scope of this request, of course, I should be more than pleased to answer them.

Sincerely yours,

  
Max Holland

FOIA(b) (6)

# National Archives

~~SECRET~~



Washington, DC 20409

March 17, 1995

Mr. J. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th and Pennsylvania Avenue N.W.  
Washington, D.C. 20535

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Ms. Jeanne Dear has requested access to documents from RG 341, Records of Headquarters U.S. Air Force (Air Staff): Staff Message Division; Top Secret Incoming and Outgoing Messages, September, 1947. Enclosed is a copy of her letter and a copy of one document with our project page control number NND 951607-40.

We request a determination concerning the declassification of information in the document that is of interest to your agency. If any information under the classification authority of your agency requires continued protection, we request that you provide sanitizing instructions.

We have downgraded the enclosed copy of the document with our project page control number 40 to SECRET. If you determine, as a result of your review of the document, that any of the information therein requires continued protection at the TOP SECRET level, we request that you identify such information for us in your reply.

Please return the copy of the document with your reply and refer to our project number NND 951607. We will inform Ms. Dear of your determination and of any appeal rights that she may have.

If you have any questions regarding this request, please contact Mr. John Ritz or Mr. Louis Curry of my staff at (301) 457-7166.

Sincerely,

*Louis D. Curry*  
for

MARVIN F. RUSSELL  
Chief, General Archives Review Branch  
Records Declassification Division

Enclosures

REGRADED UNCLASSIFIED  
WHEN SEPARATED FROM  
CLASSIFIED ENCLOSURES

~~SECRET~~

62C-HQ-1038244-64

National Archives and Records Administration

NP  
SM  
3/29/95

DATE  
March 17, 1995

TO: Mr. J. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th and Pennsylvania Ave N.W.  
Washington, D.C. 20535

FROM: Mr. Marvin F. Russell  
NNDG, NARA, WARC  
4205 Suitland Rd  
Suitland, MD 20409

CONTROL LOG OR FILE NUMBER (a)	CLASSIFI- CATION: (b)	NUMBER OF PAGES (c)	DESCRIPTION (Type File Reference, Unclassified Subject or Short Title, and Number of Indorsements/Inclosures) (d)	DATE OF DOCUMENT (e)	ORIGINATOR (f)
951607-40	S	1 each	RG 341, Records of Headquarters U.S. Air Force (Air Staff): Staff Message Division; Top Secret Incoming and Outgoing Messages, September, 1947.		USAF
XX					

**MATERIAL DESCRIBED HEREON HAS BEEN**

☐ DESTROYED -

☐ TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER

OFFICE SYMBOL	DATE	PRINTED NAME OF CUSTODIAN OR REPRESENTATIVE	SIGNATURE
DESTRUCTION RECORD NUMBER	DATE	PRINTED NAME OF CERTIFYING/ DESTRUCTION OFFICIAL	SIGNATURE
PAGE OR COPY NUMBER	DATE	PRINTED NAME OF WITNESSING OFFICIAL	SIGNATURE

☐ RECEIPT OF DOCUMENT(S) ACKNOWLEDGED

TRACER ACTION: SIGNED RECEIPT FOR MATERIAL  
☐ DESCRIBED ABOVE HAS NOT BEEN RECEIVED

☐ DOCUMENT(S) HAS (HAVE) NOT BEEN RECEIVED

DATE	PRINTED NAME, GRADE OR TITLE	SIGNATURE
------	------------------------------	-----------

**COMMENTS (Use reverse if necessary)**

March 17, 1995

TO: Mr. J. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th and Pennsylvania Ave N.W.  
Washington, D.C. 20535

Mr. Marvin F. Russell  
NNDG, NARA, WNRC  
4205 Suitland Rd  
Suitland, MD 20409

SECTION II - DESTRUCTION CERTIFICATE. (Check appropriate box)

☐ DESTROYED.

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**SECTION III - RECEIPT/TRACER ACTION** *(Check appropriate box)*

☐ RECEIPT OF DOCUMENT(S) ACKNOWLEDGED

☐ TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED

☐ DOCUMENT(S) HAS (HAVE) NOT BEEN RECEIVED

COMMENTS (Use reverse if necessary)

# National Archives



Washington, DC 20409

CONFIDENTIAL

March 10, 1994

Mr. J. Kevin O'Brien  
Chief, FOI/PA Branch  
Federal Bureau of Investigation  
Room 6296  
10th & Pennsylvania Avenue, NW  
Washington, DC 20535

Dear Mr. O'Brien:

Under the terms of the Freedom of Information Act, Mr. Randy Papadopoulos has requested access to certain documents from the records of the United States Army Staff (Record Group 319). Enclosed are copies of his letter of request and of four documents with page control numbers NND 931777-17 through -39 and 61. A copy of one document with page control numbers 36 through 37 is also being sent to the Department of the Army for review of their interests. Copies of two documents with page control numbers 17 through 35 and 38 through 39 are also being sent to the Central Intelligence Agency for review of their interests.

We request a determination concerning declassification of information in the documents that is of interest to your agency. If any information requires continued protection, we request that you provide sanitizing instructions.

Please return the copies of the documents with your reply and refer to our project number NND 931777. NARA will inform Mr. Papadopoulos of your determination and of any appeal rights that he may have.

If you have any questions regarding this request, please contact either Mr. Louis D. Curry or Mr. M. K. Williams of my staff at (301) 763-4623.

Sincerely,

MARVIN F. RUSSELL  
Chief, General Archives Review Branch  
Records Declassification Division

Enclosures

ENCLOSURE  
CONFIDENTIAL

REGRADED UNCLASSIFIED  
WHEN SEPARATED FROM  
CLASSIFIED ENCLOSURES

September 1993

John Butler  
Branch Chief  
Switland Reference Branch

Dear Sir:

Please declassify the following boxes of materials under the provisions of the Freedom of Information Act (1974):

Record Group 319:

Stack Area 6, Row 77, Compartment 30, Shelf 5, Boxes 68-70

(Project Decimal Correspondence File - Japan (1953))

~~Stack Area 6, Row 80, Compartment 32, Shelf 5, Boxes 31-35~~

~~(Top Secret Incoming and Outgoing Messages - Japan (1953))~~

I look forward to a response in this matter.

Sincerely,

Randy Papadopoulos

(P)

RANDY PAPADOPOULOS

HISTORY DEPT., GEO. WASHINGTON UNIV.

WASHINGTON, DC

20052

(202) 994-6234

9-3

9-20

NN 93-919 - 369



111

HOLLYER BRADY SMITH TROXELL  
BARRETT ROCKETT HINES & MONE LLP

WILLIAM L.D. BARRETT  
CHRISTOPHER BRADY  
PETER M. COLLINS  
DONALD H. ELLIOTT  
GREGOR F. GREGORICH  
EDWARD M.W. HINES  
A. RENE HOLLYER  
ROBERT I. JONES  
JAMES B. KEANEY  
MARY C. MONE  
ANNE ADAMS RABBINO  
LAURIE R. ROCKETT  
EDWARD L. SMITH  
D. CHASE TROXELL

ATTORNEYS AT LAW  
551 FIFTH AVENUE  
NEW YORK, N.Y. 10176-2701  
TELEPHONE (212) 818-1110  
FACSIMILE (212) 818-0494

BRUCE TOPMAN  
HARRY F. WEYHER  
COUNSEL

June 15, 1999

The Director,  
The National Archives  
Records Declassification Division  
Room 6350  
8601 Adelphi Road  
College Park, MD 20740-6001

Received in NN

Date Due

Register No.

Assigned to

6-21

7-6

NW99-679

NWCTF

FREEDOM OF INFORMATION ACT REQUEST

Re: Danilo Gregoric

Dear Sir:

I hereby request, pursuant to the Freedom of Information Act, 5 U.S.C. §§ 552 et seq., (1) the records of all proceedings relating to Mr. Danilo Gregoric or any of his property confiscated in connection therewith, undertaken by the Counter-Intelligence Corps ("CIC") in Fuessen, Oberursel, Dachau, or elsewhere in the American Zone of Germany, during the period 1945 through 1948, and (2) the records of all judicial or quasi-judicial proceedings relating to Mr. Gregoric undertaken by or under the authority of the United States Military Government during the same time period. I make this FOIA request as the son of Mr. Danilo Gregoric, as legal counsel to the heirs of Mr. Gregoric, and in order to gather documentation for a factual historic narrative.

In order to assist you in identifying the records covered by this request in the archives of the CIC and the United States Military Government during the post-World War II military occupation of the Federal Republic of Germany, I will provide you

62A-HQ-1038244-123

Page 2

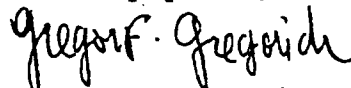
with some of the pertinent facts:

Mr. Gregoric was, in 1945-47, a Yugoslav citizen living as a refugee in Bavaria, the American Occupation Zone of Germany. He had fled there from the Communist government of Yugoslavia. He was arrested by the CIC in Fuessen, Germany in 1947, transported to Oberursel, Germany and there interrogated for several weeks. After a judicial or quasi-judicial proceeding, he was cleared of all charges, released and given a certificate stating that he was "returned to civilian life without any restrictions." Thereafter, however, CIC officials in Fuessen (including Messrs. Motell and Ansbacher) arrested him again and transported him to a U.S. detention facility located in Dachau, Bavaria. There, Mr. Gregoric was incarcerated and turned over to military officers of the Yugoslav Repatriation Mission in Munich. I believe that the conduct of the CIC personnel violated the terms of Mr. Gregoric's release, orders of the U.S. Military Government, applicable statutes of the United States of America, and international law.

The Yugoslav Military Repatriation Mission in Munich transported Mr. Gregoric to Yugoslavia, where he was imprisoned as an opponent of the Communist regime and eventually died.

I agree to pay the statutory fees for this production of documents up to a maximum of \$1,000. If the costs will exceed this amount, please call me at (212)818-1110 in order to obtain approval of the excess expenditure. Please mail copies of the requested documents to me at Hollyer Brady et al., 551 Fifth Avenue, New York, NY 10178-2701. If you have any questions about the foregoing, please give me a call.

Sincerely yours,



Gregor F. Gregorich

GFG:sam  
\foia3.req\

# GEORGE C. MARSHALL FOUNDATION

Post Office Drawer 1600, Lexington, Virginia 24450-1600 540/463-7103 Fax: 540/464-5229



*Preserving and  
promoting in  
American  
Society the  
ideals and  
values of  
disciplined  
selfless service,  
hard work,  
integrity and  
compassion of  
George Catlett  
Marshall.*

ANDREW J. GOODPASTER  
*Chairman of the Board of Trustees*

ALBERT J. BEVERIDGE, III  
*President*

10 May 1996

Ms Jeanne Schauble  
Director, Records Declassification Division  
Room 6350  
National Archives at College Park  
8601 Adelphi Road  
College Park, MD 20740-6001

Dear Ms Schauble:

This letter is addressed to you as the custodian of the reproductions of the still-classified National Archives documents which are the property of the George C. Marshall Foundation. Declassification of the reproductions listed on the attachment to this letter is requested under the mandatory review provisions of President Clinton's Executive Order on National Security Information.

Access to the items listed is requested in order to make them available to researchers at the Marshall Library and for our work in editing The Papers of George Catlett Marshall. All of the documents listed are 50 years old. It is our hope that they can all be declassified and released to us at this time. We will greatly appreciate your attention to our request.

Please forward the declassified reproductions to the following address:

Dr. Larry I. Bland  
Marshall Papers Project  
George C. Marshall Foundation  
P. O. Drawer 1600  
Lexington, VA 24450

If there are any questions concerning this request, I can be reached at: (phone) 540-463-7103; (fax) 540-464-5229.

Sincerely yours,

Larry I. Bland  
Director, Marshall Papers Project

Attachment: 2 pp.

**GEORGE C. MARSHALL RESEARCH LIBRARY**  
Reproductions of Security Classified National Archives Records  
stored at the  
**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**  
**RECORDS DECLASSIFICATION DIVISION**  
National Archives at College Park

**Box 1**

Copies of withheld documents from RG 165, Army Records  
Entry 15, Office of the Chief of Staff, Decimal File, 1941-43

**GCMRL Roll #56:** 17 pages

Documents from Box 5

WDCSA 350.05; 5/30/43, Messages 9260 & 9261 [2 items, 4 pages].

WDCSA 350.05 (NSA) 12/23/42; GCM to Dill, 12/23/42 & Dill to  
GCM, 12/15/42 & associated documents [6 items, 6 pages].

Documents from Box 1

WDCSA 059-T; GCM to Dill, 12/9/42 [re. Turing visit] and also GCM to  
McNarney, 12/8/42 and Strong to GCM, 12/2/42 [5 items, 6 pages].

Documents from Box 8

TORCH (1st Notebook); Message, Handy from Murphy, 11/4/42 [1 page].

Copies of withheld documents from RG 165, Army Records  
Entry 13, Office of the Chief of Staff, Decimal File

**GCMRL Roll #306:** 22 pages

Documents from Box 63

WDCSA 311.5 (11-15-42); GCM to Dill, 11/15/42 with background documents  
[10 items, 11 pages].

WDCSA 311.23 (2-19-43); GCM to Dill, draft memo of 2/19/43 with note of  
2/20/43 [2 items, 2 pages].

WDCSA 311.23 (2-17-43); Strong to GCM, 2/22/43 & Strong to GCM,  
2/17/43 with enclosure [2 items, 9 pages].

**GCMRL Roll #308,** 3 pages

Documents from Box 78

WDCSA 334 OSS; Donovan to GCM, 8/31/42, and Strong to GCM, 12/26/42  
[2 items, 3 pages].

**GCMRL Roll #345:** 8 pages

Documents from Box 137

WDCSA 091 France; McCarthy to Weckerling, 4/15/44 with OSS report of 25  
Feb 44 re. resistance in France, and Eisenhower to GCM, message B-270,  
3/14/44 [5 items, 8 pages].

**Box 1** (Continued)**GCMRL Roll #347:**

7 pages

Documents from Box 140

WDCSA 091.713 Dewavrin, Col. (31 Oct 45); Memo re decoration, 11/9/45 with attachments, background and letter to J. Russell Forgan from Secretary of War, 31 Nov 45 [4 items, 7 pages].

Copies of withheld documents from RG 165, Army Records  
Entry 418, Operations and Plans Division

**GCMRL Roll #385:**

7 pages

Documents from Box 1310

OPD 384 CTO Sec. II, Case 47; Minutes of Conference 24 Jan 45 at HQ, US Forces, China Theater [1 item, 7 pages].

**Box 2**

Copies of withheld documents from RG 165, Army Records  
Entry [not indicated but probably Entry 15]

**GCMRL Roll #121:**

47 images

[several images were required to  
reproduce maps & COS paper]

- WDCSA 320.2 Case 97 [part of case, 3 items captured on 43 images];
  - [a] "Brief of Report on Operations of the 77th Indian Infantry Brigade in Burma, Feb. to June 1943;
  - [b] War Cabinet, Chiefs of Staff Committee, COS(Q)12, 10th Aug 1943;
  - [c] Note by C-in-C in India, C. J. Auchinleck, 18th Aug 1943.
- WDCSA 334.8 Case 143; Memo for AC/S, OPD, 29 Feb 1944, "Action Taken at JCS 149th Meeting, Held 29 Feb 1944 [1 item 4 pages].

**GCMRL Roll #358:**

211 images

[several images were required to  
reproduce several charts in folder]

WDCSA 321 G-2; Memo for DC/S from G-2 of 3/3/44 [1 item, 4 pages], and Entire folder re. reorganization of MID, Feb-Mar 44 [187 pages copied on 211 sheets].

# GEORGE C. MARSHALL FOUNDATION

Post Office Drawer 1600, Lexington, Virginia 24450-1600 540/463-7103 Fax: 540/464-5229



16 May 1996

*Preserving and  
promoting in  
American  
Society the  
ideals and  
values of  
disciplined  
selfless service,  
hard work,  
integrity and  
compassion of  
George Catlett  
Marshall.*

Ms Jeanne Schauble  
Director, Records Declassification Division  
Room 6350  
National Archives at College Park  
8601 Adelphi Road  
College Park, MD 20740-6001

Dear Ms Schauble:

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Please forward the declassified reproductions to the following address:

Dr. Larry I. Bland  
Marshall Papers Project  
George C. Marshall Foundation  
P. O. Drawer 1600  
Lexington, VA 24450

If there are any questions concerning this request, I can be reached at: (phone) 540-463-7103; (fax) 540-464-5229.

Sincerely yours,

Larry I. Bland  
Director, Marshall Papers Project

Attachment: 2 pp.

**GEORGE C. MARSHALL RESEARCH LIBRARY**  
Reproductions of Security Classified National Archives Records  
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**RECORDS DECLASSIFICATION DIVISION**  
National Archives at College Park

- Box 11** RG 330 Secretary of Defense, Office of the Secretary of Defense, Office of the Administration Secretary, Correspondence Control Section,  
Numerical File, September 1947-June 1950; [9 pages]  
CD 6-2-36; GCM to Forrestal 12 Mar 48 with 2 covering memos (6 pages)  
CD 12-1-26; Handwritten notes, Page to Wood (2 pages) of 1 Jan and  
Wood to Bob Blum, 3 Jan (1 page) [with note attached, "Not in CD 12-  
1-26, Box 64" from Env. 6 "hold to copy to see if turns up" re. GCM's  
reaction to Eberstart Report, Jan {1948?}]
- Box 14** RG 330 Secretary of Defense, Office of the Secretary of Defense, Office of the Administration Secretary, Correspondence Control Section,  
Numerical File, 1951 [folder containing 3 files as listed] [6 pages]  
CD 300-1-2 [Pres. to Sec. Def. re. American civilians abroad, 2 Feb 51  
and GCM to Pres. 5 Feb 51]  
CD 300-1-3 [correspondence with D. D. Barrett] Jan-Feb 51  
CD 300-1-4 [Pres. to Sec. Def, 24 Feb 51 approving "pay-as-you-go"  
policy in Japan in response to GCM's letter of 22 Feb 51]
- Box 23** RG 330 Secretary of Defense, Assistant Secretary of Defense for Manpower and Personnel (Anna M. Rosenberg), Decimal File, 1951 [1 page]  
OASD(M&P) 210.3 GCM to President, 6 July 51
- Box 24** RG 218 US Joint Chiefs of Staff, Chairman's File, Security Classified,  
General Bradley, 1949-53 [3 pages]  
CJCS 091.713 "A-Z"; GCM to Bradley re. Tedder's request for inf. on A-  
tests, 11 Oct 50  
CJCS 092.2 North Atlantic Treaty; GCM to CJCS re. space for Standing  
Group, 29 Dec 50  
RG 218 US Joint Chiefs of Staff, Central Decimal File, 1948-1950 [8 pages]  
CCS 334 NSC (9-25-47) Sec 2 (1948-50) Pres. to Sec Def, 19 Jul 50  
CCS 335.14 Record of meeting of Sec. Def. and Service Chiefs with Sec.  
State {GCM} on 10 Oct 48 (7 pages)

**Box 27** Research Material for Pogue Biography of George C., Marshall:

Envelope #8 "Palestine, 1947-48, GCM--Sec of State period "

[containing copies of:]

[21 pages]

GCM to Mrs. Roosevelt, 4-3-48 (1 page)

Bohlen to GCM, 3-30-48 (4 pages)

Mrs. Roosevelt to GCM, 3-27-48 (2 pages)

CD 6-2-47; Memo from CIA to Sec. Def., 21 Jul 48 (14 pages)



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

January 18, 2000

NWM 04.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on February 22, 2000.

The Modern Records Programs of the National Archives and Records Administration (NARA) will host the next BRIDG meeting on February 22, 2000, from 10:00 a.m. to noon, in Room 105 of the National Archives Building, 7<sup>th</sup> and Pennsylvania Avenue, NW, Washington, DC. The topic is, "What's the Buzz? - Presenting the NARA Records Center Program."

NARA has launched its new Records Center Program as a reimbursable enterprise. Much progress has been made, and much more remains to be done. Join David Weinberg, the Records Center Program Manager and the Program staff for presentations highlighting where the Program is and where it will be going.

The meeting will also update you on other NARA records management initiatives.

Attached is a copy of the Summary of the December 7, 1999, BRIDG Meeting where issues and initiatives toward improving the SF 115 approval process were discussed. Thanks to all who provided important feedback in that meeting.

To reserve a place for the February 22 BRIDG meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or e-mail [mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), no later than February 15, 2000. Enrollment is limited to 60 participants.

**MICHAEL L. MILLER**

*Director*

*Modern Records Programs*

66F-HQ-C1190059-112

## **Bimonthly Records and Information Discussion Group (BRIDG)**

*10:00 a.m. – 12:00 p.m., December 7, 1999*  
**Room 105, National Archives Building, Washington, DC**

### **TOPIC: Improving the SF 115 Approval Process**

About 75 people attended the December 7, 1999, BRIDG meeting to discuss NARA's interim improvements planned for the current SF 115 approval process. Michael L. Miller, Director of Modern Records Programs, introduced the speakers, made general announcements, and gave an overview of the meeting.

The NARA speakers were Mike Miller, Director, and Bill LeFurgy from the Modern Records Programs; and Marie Allen, Director, Jerry Nashorn, and Nina Frederick from the Life Cycle Management Division of the Modern Records Programs.

#### **General Announcements – Mike Miller**

Agency Records Officer memos NWM 02.00 (Five Fast Track Guidance Products Now Available) and NWM 03.00 (Records Center Regulations) have been posted on the web and mailed to records officers. An agreement on Bulletin 99-04 is in the final stages with the Office of Management and Budget (OMB). NARA will advise records officers as soon as we have feedback from OMB.

#### **Overview of the Meeting – Mike Miller**

NARA is planning three levels of improvements to the current SF 115 approval process:

- 1.) Interim steps that can be taken right now;
- 2.) Mid-term improvements that will be implemented within six months to a year from now;
- 3.) The long-term reinvention of the scheduling and appraisal process, under the direction of Deputy Archivist Lew Bellardo.

#### **What are the Problems? – Marie Allen**

The current schedule approval process has a number of problems relating to workload management and dissemination of information. It is important to define the problems before developing solutions.

- **Processing Time:** The average processing time for a submitted schedule is 330 days from date of receipt to final approval. This time period is too long for many jobs. Some schedules come to NARA with problems that take both time and NARA and agency resources to resolve.
- **Backlog:** There is a full year's work of unprocessed schedules, some of which are 10 years old. Reasons for the backlog include staff changes, staff shortages, and policy issues.

- **Staff Shortages/Time:** The Life Cycle Management Division has lost a number of staff members over the last few years. Even with recent hires, not all of the losses have been replaced. Because of other projects and special studies, the appraisal staff have only been able to devote forty percent of their time to appraisal work.
- **Schedule Revisions:** Schedule revisions are an ongoing process. Revisions can range from minor changes that can be solved over the telephone to major redrafting that involves visits to agencies by appraisal staff.
- **Internal/External Review:** The internal and external review process of a submitted schedule takes time. Outside of internal concurrences, the external review takes almost four months, which includes publication of the schedule in the *Federal Register* and an extended public comment period for jobs with high reference and public interest.
- **Customers need information about process and status:** Customers may not have enough information about the schedule review process to know the status of their submitted schedules. This may be solved through a process of regular communication and reports from each agency's appraisal archivist.

After reviewing the problems with the current scheduling process, Marie Allen went on to explain how the scheduling review process works. Some of the steps can be taken concurrently.

#### **Schedule Review Process**

- 1.) Receipt and date stamp
- 2.) Initial review
- 3.) Register in tracking system
- 4.) Acknowledge receipt of schedule via postcard or e-mail
- 5.) Review by appraisal archivist (which can be a short or long process)
- 6.) Draft appraisal report by appraisal archivist
- 7.) Review and concurrences obtained from internal stakeholders
- 8.) *Federal Register* review steps:

20 days	to prepare/route <i>Federal Register</i> notice to be signed and get it published in the <i>Federal Register</i>
45 days	to request a copy of the schedule and appraisal report
30 days	for requester to submit comments on schedule/appraisal
15 days	for NARA to review comments
<b>110 days</b>	<b>total for Schedule Review Process</b>

- 9.) Assemble SF 115 and route for signatures
- 10.) Package signed by the Archivist
- 11.) Transmission of copies to records officers

Following the discussion of the schedule review process, records officers asked questions and offered the following comments.

- Records officers indicated that posting the schedule review process timeline on the web would be very helpful to them.
- When a General Records Schedule (GRS) item is withdrawn, agencies would like NARA to work with them to develop a template or an alternative to smooth the transition from one schedule item to another.
- Someone asked about what NARA is looking for in good schedules. What are the "fatal flaws" in a submitted records schedule that would cause NARA to reject it?
- Records officers need better information on the format that NARA requires. They also want a sense of how many people need to approve the schedule. Marie Allen responded that she is working to end the serial review and concurrence process for schedule approval and to get people to reach consensus through in-person discussions and informal contact. Shortening the time for informal review among NARA's internal stakeholders has already reduced the length of the schedule approval process.
- Another person commented that the General Records Schedules are helpful to agencies, and they would like to see more such schedules, particularly on environmental issues. The Targeted Assistance program may help to develop partnerships with agencies to create more GRS items.
- Records officers asked for a sense of workload time frames and said that NARA should be accountable to agencies regarding the status of submitted schedules. Agencies would like to be able to access the status of their SF 115s from the NARA web site. Someone suggested that some concurrences could be concurrent instead of sequential. Marie Allen noted that the internal NARA review and the *Federal Register* process are now concurrent. The internal review period has been shortened to 15 working days, and the requests for signatures are all sent at the same time. Through the use of e-mail, the concurrence process is also faster than in the past. While it is not currently possible for agencies to access the schedule tracking system at NARA, appraisal archivists send quarterly status reports to agencies that request the reports.

#### **Interim Improvements – Marie Allen and Jerry Nashorn**

Marie Allen proposed a number of steps that NARA can take now to improve the scheduling process.

- Reduce processing time for easier jobs. Due dates are now assigned for all new schedules, with deadlines of 180 days for schedules that do not require extensive review. The length of the processing time depends on the size of the schedule and the complexity and type of records involved.

- Reduce and eliminate the backlog of previously-submitted schedules. NARA has reduced the backlog of previously-submitted schedules by 62 percent over the past 18 months. The staff hopes to have 75 percent of the old jobs resolved by the end of FY 2000.
- Withdraw jobs that cannot be processed. NARA is actively reviewing the workload and will send unprocessable schedules back to the agencies for revision.
- Prioritize extensive revisions. NARA is working with agencies to prioritize the schedules that are most important to them. The Targeted Assistance program will provide additional assistance in this area.
- Expedite internal review. NARA has cut the internal review time in half and encourages concurrence through e-mail and consensus by stakeholders.
- Increase staff and staff time. Several positions have been posted for the Targeted Assistance program. Appraisal archivists will spend at least 60 percent of their time on appraisal jobs.
- Provide status reports. Appraisal archivists will provide quarterly status reports with specific data to agencies that request them.

Jerry Nashorn spoke about how well-prepared SF 115s can expedite the schedule review and approval process. He noted that components of a good schedule are spelled out in the *Code of Federal Regulations* (36 CFR 1228.24-.32) and in chapter five of the *Disposition of Federal Records Handbook*. Nashorn discussed two schedules that were particularly good and said that they were able to be expedited because they contained clear descriptions and disposition instructions. Specific elements of a "good schedule" include:

- Clearly written series description that includes the record types, the purpose of the series, and/or function of the records
- References to superceded schedule items and an explanation of the proposed change(s) in disposition instructions
- Clear disposition instructions, including cut-off instructions and instructions on whether or not records will be retired to inactive storage
- Disposition instructions for related e-mail and word processing files
- For schedules covering electronic systems, disposition instructions for input documents, outputs, and documentation as well as master files

#### **Mid-term Improvements – Bill LeFurgy**

Bill LeFurgy then spoke about potential mid-term improvements of the current process over the next year. He noted that these ideas need to be discussed with customers to verify their usefulness and to flesh them out. Suggestions for additional ideas are also welcome.

LeFurgy said that two areas are the current focus for mid-term improvements: 1) improve the quality of incoming schedules, and 2) identify ways to reduce the scheduling burden on agencies and NARA.

### **1.) Improve Quality of Incoming Schedules**

- Identify and address the most common problems with schedule preparation to reduce or simplify interaction between appraisal archivists and agency records managers after a schedule is submitted.
- Explore methods to improve the overall quality of submitted schedules so that they can be processed more quickly. Potential methods include development of model schedules or schedule templates; improved training; more examples of best practices; and expanded guidance.
- Test ways to make schedule submissions more useful and easier to process. Possibilities include giving agencies the option of providing electronic copies of schedules as well as additional information about the records they cover (such as documentation for electronic systems, for example).

### **2.) Identify Ways to Reduce the Scheduling Burden on Agencies and NARA**

- Is it possible to change scheduling approaches and/or processes to reduce the workload? Assuming there are, what methods could be used? Are current scheduling requirements more difficult than necessary? What might be simplified or eliminated?
- Look into developing new guidance that could make scheduling easier to do.
- Investigate methods to reduce duplication of effort, such as joint agency development of schedules or use of model schedules, such as for environmental records.

LeFurgy asked for additional suggestions, either during the meeting or later via phone or e-mail. Some of the suggestions made during the meeting are summarized below.

Records officers suggested that NARA could improve communication with agencies by:

- Using more model manuals (examples can be accessed at <http://ardor.nara.gov/>),
- Placing the GRS on the web site as a single word processing document,
- Making schedules into a template form to automate the process,
- Building a web site to walk people through the basic steps of the process,
- Relating schedules to the *U.S. Code* and the *CFR*,
- Providing both good and bad examples of SF 115s.

Records officers also suggested that NARA could help them improve the quality of incoming schedules by:

- Simplifying the GRS into larger categories,
- Developing a GRS on Government Performance Review Act (GPRA) records,
- Providing guidance on describing permanent records,
- Posting the *Code of Federal Regulations* on the web. (The *CFR* is available at <http://www.nara.gov/nara/cfr.html>. Records management regulations are in Subchapter B.)

## **Other Issues Discussed**

### **Best Practices – Nina Frederick**

Nina Frederick explained the Best Practices Award, which was first awarded in 1998 at RACO. The Patent and Trademark Office and the Bonneville Power Administration won in 1998, and the Environmental Protection Agency and the Office of Government Ethics received the award in 1999. Agency records officers may nominate their own agency or other agencies for the award in five areas of records management:

- 1.) Records management inventory and scheduling
- 2.) Records management training and promotion
- 3.) Management of electronic records
- 4.) Innovative use of technology
- 5.) Overall general improvement in a records management program

Nominations and justifications are due to Nina Frederick by March 1, 2000. She explained the review process and noted that the Archivist of the United States makes the final decisions. The award will be presented at the next RACO conference, which will take place on May 23, 2000, at the International Trade Center in Washington, DC.

Further information about RACO 2000 can be found at <http://www.nara.gov/records/racofl.html>. The conference fee is \$150, and agencies may use credit cards to make reservations with Marva Frazier at 301-713-7100 x264 or by e-mail at [marva.frazier@arch2.nara.gov](mailto:marva.frazier@arch2.nara.gov). Further information about the Best Practices Award is available at <http://www.nara.gov/records/comm.html#bestpractice>.

### **We Need Your Input – Mike Miller**

There are currently four opportunities for agencies to offer feedback on records management initiatives:

- 1.) A draft information technology (IT) schedule will be reviewed in January. Records officers and members of their IT staff are needed to comment on the schedule.
- 2.) NARA has formed an interagency workgroup to develop guidance on Public Key Infrastructure (PKI) issues. The working group needs knowledgeable people to review its products.

- 
- 3.) NARA will also organize a group to brainstorm implications for records programs if retention periods for schedules in general were changed from mandatory to minimum.
  - 4.) NARA would like suggestions on the best way to get input from the records management community. Forums might include working in small group meetings, focus groups, and networking lists.

**Wrap-up – Mike Miller**

NARA welcomes agency input and feedback. Anyone interested in participating in any of the above groups or providing feedback on the various issues may contact NARA's records management staff at [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

March 23, 2000

NWM 09.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on April 12, 2000.

The Modern Records Programs of the National Archives and Records Administration (NARA) will host a BRIDG meeting on April 12, 2000, from 10:00 a.m. to noon, in the National Archives Building Theater, 7<sup>th</sup> and Pennsylvania Avenue, NW, Washington, DC.

A representative of the Fast Track Team, Mary Rawlings-Milton of the Office of Thrift Supervision, will discuss the new Fast Track product. The product will help records and information managers sell electronic recordkeeping (ERK) systems and electronic records management (ERM) to upper management.

NARA is interested in learning the views of the federal records and information management community regarding this product. It consists of 3 sections: a User Guide that can be used with either a long PowerPoint presentation or a short PowerPoint presentation. In addition to posting it to the Fast Track web site at <http://www.nara.gov/records/fasttrak/ftprod.html>, when it is ready, we will also send copies of the three files to anyone who requests them via [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).

To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or e-mail [mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), no later than April 10, 2000.

Attached is the summary from the February 22, 2000 BRIDG meeting concerning the NARA Records Center Program. The summary is also available on the Internet at <http://www.nara.gov/records/bridg.html>. As you may recall from the last BRIDG meeting, Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 AM before the April 12 BRIDG meeting to discuss records center issues and answer questions.

A handwritten signature in dark ink, appearing to read "Michael L. Miller".

MICHAEL L. MILLER

Director

Modern Records Programs

66F-HQ-C1190059-116

**Bimonthly Records and Information Discussion Group (BRIDG)**

*10:00 a.m. – 12:00 p.m., February 22, 2000*

**Room 105, National Archives Building, Washington, DC**

**TOPIC: "What's the Buzz? - Presenting the NARA Records Center Program."**

About 55 people attended the February 22, 2000, BRIDG meeting to learn more about the National Archives and Records Administration's (NARA) Records Center Program as a reimbursable enterprise. Presentations by the Program staff highlighted the Records Center Program's current status and its future directions. Michael L. Miller, Director of Modern Records Programs, opened the meeting and introduced the speakers.

The Records Center Program speakers were David Weinberg (Program Manager), Jay Trainer (Financial Analyst), Susan Donius (Management Analyst for Customer Service), Scott Levins (Management Analyst for Space and Facilities), and Bill Craig (Atlanta Records Center).

**Introduction – Mike Miller, Modern Records Programs**

The Washington National Records Center (WNRC), which operates the same way as the regional records centers, is part of Modern Records Programs. Alan Kramer recently assumed leadership of the WNRC from Chip Stovel, who was the WNRC's director for the past 15 years.

In the future, agencies will have a choice of where to store their records. NARA's appraisal staff will provide the same level of services to our customers, no matter where they choose to store their records.

**David Weinberg – Records Center Program**

The goal of the Records Center Program is to provide superior and cost-effective storage services throughout the United States. In October 1999, the Records Center Revolving Fund Law (Public Law 106-58) was passed to support current and future needs for storing government records. As part of NARA, the Records Center Program features an integrated approach to managing records through a self-supporting system. The Records Center Program provides an opportunity to create change, provide support, and meet the needs of NARA's customers.

Weinberg explained his plans for moving forward by utilizing the talents of his staff and account representatives. First, he introduced his staff who deal with facilities, administrative, and customer service issues.

- Scott Levins, management analyst for Facilities
- Jay Trainer, financial analyst for Administrative Issues
- Susan Donius, Customer Relations and Records Service Initiatives

Weinberg also introduced the Records Center Program's account representatives, who work directly with the agencies. Agencies may contact them with pricing questions, billing questions or requests for such reimbursable special projects as "pack and hauls."

- Mildred Simmons (Energy, Health and Human Services, Transportation, NARA, Office of Personnel Management, Postal Service)
- Colleen Snyder (Commerce, Treasury (including Internal Revenue Service), Justice (including Immigration and Naturalization Service), Federal Deposit Insurance Corporation, Social Security Administration)
- Angela Tillery (Agriculture, Education, Labor, Interior, Environmental Protection Agency, General Services Administration)
- Sandra Wayman (Administrative Office of the U.S. Courts, Executive Office of the President, Records of the Judicial Branch, Records of the Legislative Branch, DC Government, State, all other independent agencies)

Weinberg also recognized Alan Kramer in his role as the WNRC's new director. Next, he spoke about some of NARA's efforts to improve service to agencies. For example, one initiative emphasizes meetings and communications with every agency. All NARA Records Center Program staff participated in the Enlightened Leadership class, which recognizes the importance of customer service and stresses that every organizational employee has a role in promoting good customer relations with agencies.

#### **Scott Levins – Space and Facilities**

NARA's strategy for managing its records center facilities has two components: (1) To reduce our overall costs and pass the reductions on to our customers and (2) To improve the quality of the space in which we store our customers' records.

One early cost reduction strategy was to renegotiate rent rates with GSA. Converting to a fully-reimbursable program has increased our leverage in this area. Since the reimbursable program was announced, we have achieved \$4.2 million in annual rent savings due to renegotiated rates. The initial cost estimates sent to customer agencies in May 1998, estimated storage charges to be \$2.08 per cubic foot. The FY 2000 storage rate actually turned out to be much lower, at only \$1.96 per cubic foot. This reduction was due primarily to savings achieved by renegotiating our rent rates.

Another strategy for reducing storage costs involves creative, new shelving configurations. Since the reimbursable program was announced, we hired an engineering firm to design a new shelving configuration that runs 29 shelves high. The standard shelving configuration currently employed in most of our records centers is only 14 shelves high. Thus, the new shelving configuration would enable us to double our capacity without acquiring additional floor space. A fire test was conducted on the new configuration on December 12, 1999. The criterion for success was "not more than 300 cubic feet of records destroyed by fire." The estimated loss due

to fire was only 40 cubic feet, so the test was declared a success. The new shelving configuration will first be employed in Palmetto, GA, future home of the Atlanta Federal Records Center, and will also be considered for any other expansion activities in the system.

A third strategy for reducing storage costs involves turning back costly annex space. For example, records stored in annex space in the DC area are being shipped to our Dayton, Ohio, facility, which has excess capacity. When the project is completed, the annex space in the DC area will be turned back, saving NARA \$0.5 million per year in rent costs. Annexes in Philadelphia and Kansas City will be considered next.

Next, Levins discussed facilities standards. NARA records centers are in compliance with the current regulations. NARA will have to make some modifications to the facilities over the next nine years to meet requirements that take effect in October 2009. Contracted engineers are currently evaluating the existing buildings to determine the work that needs to be done and to establish a plan for its accomplishment. Their plan is due in September 2000.

#### **Jay Trainer – Financial Analyst**

Jay Trainer stated that the appropriated environment is very different from the reimbursable environment. He noted that he had spoken with many agency personnel in various meetings and thanked them for their useful feedback.

A year ago, NARA hired Price-Waterhouse-Coopers to review existing and establish new information technology systems that shape the revolving fund process. They examined staff expectations of the revolving fund and helped design systems that NARA needs for records center operations.

The new systems helped NARA comply with Public Law 106-58, which allows NARA to bill all customers through GSA's OPAC systems. Agencies should direct all questions on records center storage and services to NARA through the Records Center Program account representatives. Storage and services are the only costs to agencies, unless they have special projects over and above the baseline services.

Every effort is being made to enhance the NARS-5, CIPS, and internal tracking systems to provide the Records Center Program staff with what they need to assist customers. Currently, the limitations of these systems are being stretched by using existing systems for purposes other than what they were intended to do. There is a big push to develop systems with capabilities required by agencies to conduct their business and track the status of their records.

#### **Susan Donius – Customer Relations and Records Service Initiatives**

The Records Center Program staff is committed to meet and exceed customer service standards. In FY 1999, reference requests were answered eighty percent of the time within 24 hours. The nationwide goal is ninety percent. Early in FY 2000, 20 additional staff members were added at the Washington National Records Center to enhance customer service. All performance levels are monitored to ensure that agencies receive the services for which they pay. NARA records

centers also assist agencies with their file systems and tailor other reimburseable special projects according to specific agency needs. Examples of special projects include

- Bar-coding and consolidating agency records
- Supporting active files and records programs by picking up active files, transporting them for storage, and doing data entry on the latest actions
- Consolidating all of an agency's records at Lee's Summit to improve the customer agency's business efficiency
- Packing and hauling records and preparing SF-135 paperwork

The Records Center Program wants to work with its customer agencies to identify partnerships in which NARA can support agencies with their records storage and service needs.

#### **Bill Craig – CIPS Demonstration**

Bill Craig conducted an on-line demonstration of the CIPS system. The system is in the process of being web-enabled. David Weinberg explained that the new system would allow those records officers without modem access to use the CIPS system through the web. The CIPS demo is just the first step in the development of a CIPS web interface. Planning continues for future versions of an interface that will allow NARA to communicate with agencies about many other services via the web.

The new TARGET system, which will replace CIPS in the future, is being designed to meet agencies' needs and work for the long term. It will replace NARS-5 and maintain data on records received and stored in the records center system. In addition to allowing agencies to access information about their records via the Internet, TARGET will also

- Eliminate the requirement for paper forms
- Eliminate the need to keep request logs by allowing agencies to conduct keyword searches on previous requests
- Allow the development of folder labels and bar coded-box labels when records are created

#### **David Weinberg – Summary**

Increased efficiency in the Records Center Program will provide greater cost-effectiveness for agencies. Communications initiatives are also important. Within the year, NARA plans to launch newsletters and other communication vehicles to keep agencies informed about the Records Center Program's progress.

The Records Center Program staff plans to open a dialogue with agencies in the future. They envision holding a regular 45-minute briefing before each BRIDG meeting to provide an open forum for questions about the reimbursable program.

### **Questions and Answers**

Following the presentations on the Records Center Program, records officers asked questions and offered the following comments.

**Question:** Are there any plans to add reporting tools to CIPS or NARS-5? Reporting tools and printing capabilities would be beneficial to agency records officers.

**Answer:** The current system has limited reporting capabilities. The TARGET system will include the capability to custom-tailor reports to meet agencies' needs and have a range of template reports.

**Question:** Is NARA planning a separate interface for NARS-5?

**Answer:** NARS-5 will migrate to the new system.

**Question:** Will the new system take care of billing?

**Answer:** Agencies are charged for storage and for services – what is performed and how much is required. Account representatives can get copies of invoices for agencies if there are questions or if it is data that NARA is already capturing elsewhere. Contact the account representatives for further information.

**Question:** Costs for FY 2001 are needed now. What figures should we use?

**Answer:** Costs for FY 2001 have not been validated yet. NARA will let customers know when prices are set. For now, agencies should use current fiscal year fees for planning purposes. Prices may vary slightly, depending on the amount of an agency's reference requests.

**Question:** For months, the Department of Labor has been working with the Department of Justice concerning the preservation of tobacco-related records. Recently the Department of Labor received a letter from NARA stating that it had imposed a freeze on the destruction of all records of the Department of Labor. Why did NARA take this action? The Department of Labor has already worked with the Department of Justice on this issue and does not need any of its records in NARA's records centers frozen as a result of tobacco litigation.

**Answer:** NARA's General Counsel received a list of 27 Federal agencies, which were identified by defendants as potentially having records that may be needed for their defense. Many of the agencies on the list were identified at the department level, so the list included most of the Federal Government. The Department of Labor was included on this list. The Department of Justice indicated that they had already written to each agency and asked that they take the necessary steps to preserve records that are related to tobacco, including records that may have

been retired to NARA's Federal Records Center system. As a precaution, because NARA had not heard from most agencies on the list provided by the Department of Justice, it immediately halted the disposal of all records. Michael Kurtz, Assistant Archivist for Records Services – Washington, DC, wrote to the agencies to inform them of this action and to ask them to respond as to what records needed to remain frozen. Upon receiving this letter from NARA, the Department of Labor asked that none of its records be retained beyond their scheduled disposal date as a result of this litigation. We are resuming disposal activity for records that our customers have indicated are not needed for tobacco litigation.

**Comment:** The Department of Labor was told that the freeze would last for a year.

**Question by NARA:** Many attendees indicated that they had not yet heard of this litigation. How many records officers have seen the letter issued by NARA concerning this freeze?

**Answer:** A number of records officers reported that they had not seen the letter. Someone suggested that the letter be posted on NARA's web site.

**Question:** Will the Department of Justice pay for charges incurred by agencies because of this freeze?

**Answer:** The Department of Justice has not made a commitment to pay for the additional costs. The records are being retained beyond their scheduled disposition date due to a court order, not necessarily at the request of the Department of Justice. Complying with court orders is typically the responsibility of each agency.

**Question:** Where is NARA/the Federal Government in terms of 100 percent automation and electronic storage?

**Answer:** Paper records are here to stay for the foreseeable future. For information on electronic recordkeeping initiatives, visit the Fast Track page on the NARA web site at <http://www.nara.gov/records/fasttrak/fthome.html>. NARA is looking for agencies that want to move toward electronic recordkeeping and will dialog with them about the issues.

**Question:** Will NARA help agencies address the declassification of 25-year-old documents as required under Executive Order 12958?

**Answer:** Many agencies are working with NARA to declassify their records. For further information, contact Jeanne Schauble at 301-713-7144 x226 or via e-mail at [jeanne.schauble@arch2.nara.gov](mailto:jeanne.schauble@arch2.nara.gov).

**Question:** Is Targeted Assistance part of the reimbursable program?

**Answer:** Targeted Assistance is separate from the Records Center reimbursable program.

**Wrap-Up – Mike Miller**

7.

Opportunities for agencies to comment on proposed regulation changes are available on the NARA web site at <http://www.nara.gov/nara/pubcom.html>.

- Proposed changes in declassification regulations have been published in the *Federal Register* at <http://www.nara.gov/nara/1260pro.html>.
- Proposed changes in regulations on rewinding computer tapes have been published in the *Federal Register* at <http://www.nara.gov/nara/1234pro.html>. Nancy Allard (NARA) clarified that there has never been a requirement for rewinding temporary computer tapes. The proposed regulation eliminates the requirement for rewinding permanent and unscheduled tapes.

Agencies that still have SF 115s and SF 258s from the WNRC Project should return them to NARA as soon as possible. Agencies will save money on storage costs and help NARA maintain its accessioning and processing schedules.

Agencies should nominate themselves and other agencies for the Best Practices awards, which will be given at the RACO conference on May 23, 2000. Further information is available on the NARA web site at <http://www.nara.gov/records/racofl.html>. The nomination form is posted at <http://www.nara.gov/records/racobp.html>, and all nominations are due by April 1, 2000.

The Records Center Program staff will present progress updates at the conference and will conduct web interface demonstrations in the exhibit hall.

NARA welcomes agency input and feedback. Contact NARA's records management staff at [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 1, 2000

NWM 12.00

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) April 12, 2000 Meeting Summary

A summary of the April 12, 2000 BRIDG meeting is attached. The topic of this meeting was the latest product developed by the Fast Track Guidance Development Project, which included a demonstration by one of the Fast Track team members.

Both presentations and the user guide are available for viewing at <http://www.nara.gov/records/fasttrak/ftproj.html>. To request a file containing all three products, should send an email message to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). Comments on the usefulness and clarity of products may be sent to [fasttrak@arch2.nara.gov](mailto:fasttrak@arch2.nara.gov). We appreciate your input and feedback toward this initiative.

MICHAEL L. MILLER  
Director  
Modern Records Programs

66F-HQ-C1190059-119

**Bimonthly Records and Information Discussion Group (BRIDG)**  
**Meeting Summary - April 12, 2000**  
**Theater, National Archives Building, Washington, DC**

**TOPIC: "Demonstration of Fast Track PowerPoint Presentation."**

About 80 people attended the April 12, 2000, BRIDG meeting to view and discuss the latest product produced by the Fast Track Project Work Team. Michael L. Miller, Director of Modern Records Programs, opened the meeting and introduced the speaker, Mary Rawlings-Milton.

**Latest Fast Track Product Demonstration – Mary Rawlings-Milton**

Mary Rawlings-Milton, a Fast Track Team representative from the Office of Thrift Supervision (OTS), demonstrated the long version of a customizable PowerPoint presentation on electronic recordkeeping and electronic records management. She gave examples of issues faced at OTS and explained how agency records officers can use the long presentation, along with a similar short version and companion user guide, to explain the importance of electronic records management (ERM) and electronic recordkeeping (ERK) to their managers. Both presentations and the user guide are available for viewing at <http://www.nara.gov/records/fasttrak/ftproj.html>. To request a file containing all three products, records officers should send an email message to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). Comments on the usefulness and clarity of products may be sent to [fasttrack@arch2.nara.gov](mailto:fasttrack@arch2.nara.gov).

**Questions, Answers, and Comments**

Following the demonstration of the PowerPoint slides, NARA staff and records officers asked questions and commented on a number of issues. Among the issues discussed were the following:

**Question:** Did the Office of Thrift Savings implement ERM incrementally as a pilot or agency-wide simultaneously?

**Answer:** OTS implemented ERM gradually. The plan was to move incrementally through the offices. Implementation required lots of public relations work with reluctant staff. There were several successful pilots but no successful simultaneous implementation.

**Question by NARA:** Do records officers feel that the PowerPoint presentation will be useful? Why or why not?

**Answer:** Several records officers indicated that the slides would be useful. Some indicated that their managers were not yet ready to address ERK, therefore they may not understand the issues.

**Question:** Are records officers allowed to link to the Fast Track web site for training purposes?

**Answer:** Yes, records officers can refer their managers to the Fast Track web site at <http://www.nara.gov/records/fasttrak/fthome.html>. Since the information on the Fast Track site

is specific to electronic records issues, they may also want to refer to the Records Management Programs site at <http://www.nara.gov/records/index.html> for more general information. The slide shows are intended to be customized for each particular agency audience. They will be much more effective if records officers customize them and circulate the agency version to their managers.

**Comment:** Jeanne Young reported that her agency (Federal Reserve System) is using a similar presentation in small focus groups. Agencies may contact her for further information.

**Question:** We don't have money to buy software. How do we determine the amount of money needed when there is no money in our budgets? There are no clear models for implementation, and we need to have an electronic records management system in place by 2003.

**Answer:** There is no simple answer. NARA is doing a pilot and experiencing the same problems as other agencies. At least three budget cycles will be needed for the phases of requirements analysis, the pilot, and implementation. Guidance on the Government Paperwork Elimination Act (GPEA) is in progress.

**Question:** What kind of information will NARA disseminate about its pilot?

**Answer:** NARA is still developing its pilot. We will give briefings at the upcoming Records Administrators Conference (RACO) and future Bimonthly Records and Information Discussion Group (BRIDG) meetings. We need hands-on experience to be able to provide agencies with good advice.

**Question:** Will NARA require agencies to implement ERK?

**Answer:** NARA has no intention or authority to require agencies to implement ERK. Fast Track offers one road map to assist in the implementation of ERK.

**Question:** Will NARA accept electronic signatures for SF 135s and SF 115s?

**Answer:** NARA is currently considering the idea.

**Question:** What is the status of guidance on records during a change of Presidential administration?

**Answer:** A document is being reviewed internally at NARA. (Advanced copies of NARA Bulletin 2000-03, signed May 16, 2000 were distributed at RACO. Printed copies will be mailed in June.)

**Question:** Does the transition guidance specifically address agency web sites?

**Answer:** No, the guidance does not specifically address web sites. NARA is working on general web guidance. If a web site qualifies as a Federal record, it needs to be scheduled.

Agencies should consult their appraisal archivists, who have experience working successfully with agencies to develop web sites schedules, for possible models to use.

**Question:** What is the status of guidance on Y2K records? What does NARA consider to be permanently valuable?

**Answer:** Agencies should consult their appraisal archivists, who have a list of schedules that have been signed by the Archivist.

**Comment:** Jeanne Young (Federal Reserve System) noted that her agency's schedule authorizes destruction of all Y2K records in 2007. Agencies may contact her for further information.

**Question:** Have General Records Schedules (GRS) been developed for Government Performance and Results Act (GPRA) and National Performance Review (NPR) records?

**Answer:** No. Temporary commissions are the subject of the next GRS, but the suitability of GRS for GPRA and NPR records is still under consideration. Mike Miller explained the urgency for developing schedules on temporary commissions because they often go out of business quickly.

#### **Updates – Mike Miller and Marie Allen**

- **Fast Track:** Product 5 (the PowerPoint presentations and user guide) is available on the web at <http://www.nara.gov/records/fasttrak/ftpproj.html>. The Fast Track Team is working on a follow-up product that examines functionality requirements needed to implement electronic recordkeeping. The presentation embodies ideas that NARA will reiterate in the GPEA guidance and records disposition initiative for scheduling and appraisal. Agencies need to consider how much responsibility they have to determine recordkeeping requirements. The customization feature of the slide presentation allows records officers to build individual cases for their agencies. Agencies also need to consider authenticity, reliability, usability, and risk in determining security needs. Finally, agencies should think about content, context, and structure in terms of capturing enough information. NARA will not provide specific regulations, but we will offer guidance and identify best practices for implementation.
- **International Standards Organization (ISO) Standard on Records Management:** Mike Miller mentioned that a preliminary draft ISO standard on records management was under development. Miller advised that NARA was able to provide some input into the initial draft.
- **GPEA guidance:** Mike Miller thanked those who commented on the early draft of the GPEA guidance. NARA staff resolved the comments and revised the draft. The current draft is with OMB. The guidance will address:
  - how to schedule records with electronic signatures
  - creation of new records to support electronic signature programs
  - rescheduling paper systems that will be automated by 2003

- **Information Technology (IT) Schedule:** Mike Miller thanked those who commented on the IT Schedule. He noted that it is difficult to write an IT schedule because no two agencies organize IT records the same way. Individual records are also kept differently. NARA is currently developing another draft, which will be circulated for broader comment.

**Wrap-Up – Mike Miller**

The RACO Conference will take place on May 23. The subject of the next BRIDG meeting will be announced in May or early June.

NARA welcomes agency input and feedback. Contact NARA's records management staff at [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 15, 2000

NWM 13.00

MEMORANDUM TO AGENCY RECORDS OFFICERS: Protecting Federal records and other documentary materials from unauthorized removal

Enclosed are NARA Bulletin 2000-03, "Protecting Federal records and other documentary materials from unauthorized removal," and a letter from the Archivist to agency heads transmitting the bulletin. The bulletin was issued to remind agencies that all records must remain in the custody of the agency and that officials may remove extra copies of records only with the agency's approval when leaving a Government position. It provides guidance on how to manage records, extra copies of records, and personal materials in the office. It also provides references to related sources of information issued by NARA and contact points for further assistance.

Departing officials may be permitted to remove extra copies of records for their own use or to donate to an educational or research institution. However, removal of any materials that belong to the Government, including extra copies of records, is subject to the policies and procedures established by the agency. In addition, there are additional constraints on the removal of any materials that are classified or otherwise restricted.

The bulletin was issued at this time because of the upcoming change in presidential administration. Regardless of who wins the election, many agency heads and high level officials will be leaving Government service within the next six to eight months. At this time of transition NARA wants to focus attention on the responsibility of agency heads to protect records from unauthorized removal. Agencies need to prepare for the departure of so many officials by reviewing their policies and procedures and ensuring that they are adequate and effective.

NARA regulations on removal of documentary materials are on the NARA records management web site at <http://www.nara.gov/nara/cfr/cfr1222.html>, and related NARA publications are found at <http://www.nara.gov/publications/recsmgmt.html>.

If you have any questions, please contact the Life Cycle Management Division archivist assigned to work with your agency.

A handwritten signature in dark ink, appearing to read "Michael L. Miller".

MICHAEL L. MILLER  
Director, Modern Records Programs

Enclosures

66F-HQ-C1190059-121

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 16, 2000

## Protecting Federal Records From Unauthorized Removal

TO: Heads of Federal Agencies

With the upcoming transition in presidential administrations, I want to remind you about the need to protect against removal of Federal records and ask for your assistance in ensuring that all Federal records created or received by your agency remain in the agency. As a presidential appointee, your records and those of other high level officials at your agency are particularly important. These records are likely to have continuing usefulness to the Government, as well as a high potential for future research use.

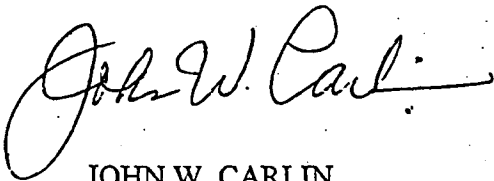
The enclosed NARA Bulletin 2000-03 explains the basic principles governing the protection of records and the removal of extra copies of records and personal materials. The bulletin also refers to more detailed guidance and explains how to obtain it. It is particularly important that officials understand that their personal computers are likely to contain Federal records that must be properly maintained and left with the agency when the official moves on. At a minimum, virtually every official will create and receive email that are Federal records.

Many officials are interested in removing documentary materials for personal use or to donate to a research institution. Be aware that records in your possession and the possession of your staff belong to your agency and must remain there upon departure. However, it may be suitable to remove copies of records when approved by a designated official of your agency. Other institutions may be interested in copies of records that you handled while in Federal service, along with personal materials relating to your career. You and other officials at your agency should be familiar with the regulations prohibiting the removal of records, and the controls that regulate removing extra copies.

I ask that you share the enclosed guidance with other officials in your agency so that the complete history of your agency will be preserved.

Your agency records officer can advise you about the disposition of Federal records and other documentary materials. Please feel free to call me on 301-713-6410 or Michael Kurtz, Assistant Archivist for Records Services - Washington, DC, on 301-713-7000, if we can provide additional assistance.

Sincerely,

A handwritten signature in cursive script, reading "John W. Carlin". The signature is written in dark ink and is positioned above the printed name.

JOHN W. CARLIN

Archivist of the United States

Enclosure

cc: Federal Agency Records Officers



*National Archives and  
Records Administration*

Washington, DC 20408

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**NARA BULLETIN**

**NO. 2000-03**

May 16, 2000

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TO: Heads of Federal agencies

SUBJECT: Protecting Federal records and other documentary materials from unauthorized removal

EXPIRATION DATE: This bulletin will remain in effect until May 31, 2002.

1. Why is NARA issuing this bulletin? The purpose of this bulletin is to remind heads of Federal agencies that official records must remain in the custody of the agency.

a. Federal records may be destroyed or removed from Government custody only with the approval of the Archivist of the United States (44 U.S.C. Chapter 33). If an agency knows of any actual or potential threat (e.g., removal, alteration, or destruction) to records, it should contact NARA. NARA will assist the agency in working with the Department of Justice to recover alienated records (44 U.S.C. 3106).

b. In addition, only with the agency's permission may departing officials remove extra copies of records. Officials may remove documentary materials that are of a purely personal nature when they leave public service. This reminder is needed at this time, given the upcoming change in presidential administration.

2. What materials are Federal records?

As defined in 44 U.S.C. 3301, records are documentary materials that agencies create and receive while conducting business that provide evidence of the agency's organization, functions, policies, decisions, procedures, and operations, or because they contain information of value. Records may be in paper, film, tape, disk, or other physical form. They may be generated manually, electronically, or by other means.

3. Are there Federal documentary materials that do not qualify as records?

Materials such as library or museum materials, extra copies of records kept solely for convenience of reference, and stocks of publications and processed documents are excluded from the definition of "record" (44 U. S. C. Chapter 33). These work-related materials, though excluded from the definition of "record," nevertheless belong to and are controlled by the Government (36 CFR 1222.34(f)).

4. Does the Government control personal documentary materials that I may bring into the office?

Federal records management requirements do not apply to personal materials that are brought to or accumulated at work. Personal materials include family and personal correspondence and materials documenting professional activities and outside business or political pursuits. These materials belong to the individual, and the Government exerts no control over them.

5. How should I maintain the documentary materials in my office to distinguish and separate the different types of materials?

a. Federal records need to be maintained in agency files or electronic recordkeeping systems. Agency personnel need to know how to ensure that records are incorporated into files or electronic recordkeeping systems, especially records that were generated electronically on personal computers. Only records needed for current operations, such as open case files, should be maintained at an individual's desk.

b. Depending on access restrictions, agencies may permit personnel to keep extra copies for convenience of reference in their offices and on their personal computers. However, you must get the agency's permission if you want to remove any of these materials for personal use (36 CFR 1222.42).

c. Maintain personal materials separately from records and extra copies of records so that you will not have to separate them when you leave your position.

6. What do I do with records and other documentary materials that I no longer need?

Records are maintained in agency files and other recordkeeping systems. When a record is finalized, when a case file is closed, or at another appropriate time, follow established procedures for incorporating it into the appropriate recordkeeping system. Records must be maintained in recordkeeping systems so that they will be integrated, either physically or intellectually, with related records and where they will be accessible to all staff who may need them. Records must remain in the custody of the agency, and may not be removed for nonofficial uses.

7. May I remove documentary materials from the agency?

a. You are likely to have extra copies of records kept for convenience of reference in your office or workstation. You may remove such copies for personal use only with the approval of a designated official of the agency, such as the records officer or legal counsel. Copies of records that are national security classified or otherwise restricted must remain under the control of the agency. If the agency permits removal, they must be transferred to a facility that has an appropriate level security storage area (36 CFR 1222.42).

b. You may remove personal materials maintained separately from both records and extra copies of records. Consult the agency records officer if records, extra copies of records, and personal materials are intermingled.

8. What must I do to implement this bulletin?

You should notify officials and employees that there are criminal penalties for the unlawful removal or destruction of Federal records (18 U.S.C. 2071) and the unlawful disclosure of national security information (18 U.S.C. 793, 794, and 798). You should also provide guidance on the handling of records containing other information exempt under FOIA (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a), and other information restricted by law.

9. Where can I get additional information?

a. Contact the agency records officer with questions about the maintenance and disposition of records and extra copies of records. Consult the records officer, legal counsel, or information security officer to find out if the agency allows removal of extra copies of records and how to secure approval.

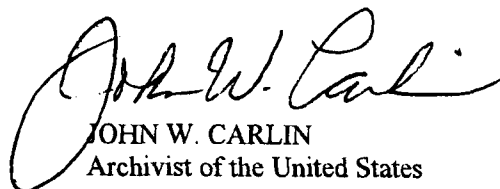
b. Your agency's records officer should have copies of *Personal Papers of Executive Branch Officials* and *Agency Recordkeeping Requirements*, two NARA publications that address records creation and maintenance procedures and distinguishing between records and personal documentary materials. These publications are available on the NARA web site at [www.nara.gov/records/index.html](http://www.nara.gov/records/index.html). Limited quantities of printed copies may be available. If you want a printed copy, please contact the Life Cycle Management Division on 301-713-6677.

c. NARA records management regulations (36 CFR Chapter XII, Subchapter B) address the identification and protection of Federal records and are also accessible from the web site mentioned above.

10. Does NARA provide other assistance?

a. Records officers in the Washington, DC, area may request advice and assistance from the NARA Life Cycle Management Division by telephone at 301-713-6677 or email at [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). Outside of Metropolitan Washington, D.C., address questions to the Records Management Programs Director of the nearest NARA regional records services facility. NARA regional facilities and the areas they serve are listed on the web site at [www.nara.gov/regional/nrmenu.html](http://www.nara.gov/regional/nrmenu.html). Send written requests to the National Archives and Records Administration (NWML), Rm. 2200, 8601 Adelphi Road, College Park, MD 20740-6001.

b. Officials who wish to donate collections of personal papers and extra copies of records to a presidential library should contact the National Archives and Records Administration, Office of Presidential Libraries, Rm. 2200, 8601 Adelphi Road, College Park, MD 20740-6001, or by telephone at 301-713-6050.



JOHN W. CARLIN  
Archivist of the United States

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

June 23, 2000

NWM 14.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on July 13, 2000.

The Modern Records Programs of the National Archives and Records Administration (NARA) will host a BRIDG meeting on July 13, 2000, from 10:00 a.m. to noon, in the National Archives Building Theater, 7<sup>th</sup> and Pennsylvania Avenue, NW, Washington, DC.

John W. Carlin, the Archivist of the United States, and Lewis J. Bellardo, Deputy Archivist of the United States, will discuss updating the National Archives and Records Administration's Strategic Plan, *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2007*. Although the Government Performance and Results Act requires all Federal agencies to update agency strategic plans every three years, we also want to do it to assess new conditions facing NARA today, and to build on what we have learned through implementing our current plan.

We have updated our Strategic Plan to:

- acknowledge new developments, such as our funding increases from the Congress and the Administration, our focus on Targeted Assistance to increase our records management help to Federal agencies, and our research success in demonstrating the feasibility of an Electronic Records Archives
- acknowledge those things that now are achievements rather than objectives, such as designing re-encasements for the Charters of Freedom, getting Federal Register publications online, and launching our reimbursable records-center program
- identify the current status of activities in which progress is underway, such as meeting our space needs, improving service to veterans, and creating an Internet-accessible catalog of all our holdings nationwide
- remove references no longer relevant and substitute current information for dated examples, statistics, and activities, such as the (increased) volume of use of our web site offerings, and the (increased) volume and kinds of electronic records with which we must deal

66F-HQ-C1190059-122

- remove objectives that have proven infeasible or unnecessary, such as the consolidation of our holdings in just a few facilities; and to add objectives, such as providing archival quality space for military service records that we recently determined should be kept permanently

To complete the process of updating our Strategic Plan, we are asking customers and other stakeholders to assess the changed Plan so that we can be sure that the final version reflects real concerns and meets real needs. Your review would be particularly valuable to us, and we look forward to the benefit of your advice. The majority of the records management objectives are found under Goal 1. A copy of the draft plan will be available by June 30, 2000 on our web site at <http://www.nara.gov/vision/PlanUpdate.html>. To facilitate the discussion, we ask that you bring a copy of the Plan with you to the meeting.

To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or e-mail [mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), no later than July 10, 2000. Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 AM before the July 13 BRIDG meeting to discuss records center issues and answer questions.

If you are unable to attend the BRIDG meeting, we would appreciate your written comments. Comments should be sent by July 21, 2000, to [vision@nara.gov](mailto:vision@nara.gov) (email), to 301-713-7270 (fax), or to Policy and Planning Staff (NPLN), Room 4100, 8601 Adelphi Rd., College Park, MD 20740-6001.



**MICHAEL L. MILLER**  
*Director*  
*Modern Records Programs*

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 15, 2000

NWM 15.00

## MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: July BRIDG Meeting Summary and Request for Web Addresses of Agency Schedules

This memorandum transmits the July 13, 2000, BRIDG Meeting Summary, and asks for web addresses of agency schedules to add links in the Agency Records Disposition Online Resource (ARDOR) on the NARA web site.

A summary of the July 13, 2000, BRIDG meeting is attached. At that meeting, John W. Carlin, Archivist of the United States, and Lewis J. Bellardo, Deputy Archivist of the United States, discussed updating the National Archives and Records Administration's Strategic Plan, *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2007*. We appreciate your input and feedback toward this initiative.

It was suggested in the July BRIDG meeting that NARA should improve electronic access to other agencies' records schedules. As a result of this suggestion, NARA will now link to agency records schedules whenever they are posted on the World Wide Web. Please provide the complete URL (web address) of your agency records schedules via email to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). NARA will establish and maintain the link to the schedules.

NARA currently maintains ARDOR on the NARA web site at <http://ardor.nara.gov/index.html>. ARDOR contains links to agency schedules posted on many agency web sites, as well as links to the NARA General Records Schedules.

Schedule linkage is a win-win situation for both agencies and NARA. One major benefit of the expanded schedule coverage is that agencies can check current schedules and compare dispositions for similar records before they update their schedules. Other benefits result from the reduced time and effort expended if there are existing approved schedules that address similar records. This could result in reduced schedule development time and favorably impact schedule processing time, as well. Please let us know if you find this to be a useful tool.

Finally, please mark on your calendars that the next BRIDG meeting will be held on Thursday, September 28, 2000, from 10:00 a.m. to noon in Room 105 of the National Archives Building,

66F-HQ-C1190059-123

7<sup>th</sup> and Pennsylvania Avenue, NW, Washington, DC. The topic of the meeting will be announced shortly, and forwarded to you via email.

I hope to see you at the September 28, 2000, BRIDG Meeting.

A handwritten signature in cursive script, appearing to read "Michael L. Miller".

**MICHAEL L. MILLER**

*Director*

*Modern Records Programs*

## **BRIDG MEETING ON NARA STRATEGIC PLAN**

July 13, 2000

### **Introduction**

Michael Miller, Director, Modern Records Programs, introduced the Archivist of the United States, John Carlin, and Deputy Archivist, Lewis Bellardo. The Archivist explained that NARA is updating its Strategic Plan, *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration*. The proposed revision has been posted on the NARA web site and otherwise distributed to solicit a broad range of comments.

### **Overview of the Draft Revision**

The draft revision is based on the current status of projects and initiatives and also reflects an increased emphasis on electronic records.

The Archivist explained that NARA has moved away from the concept of consolidation of regional facilities. NARA is committed to the renovation of Archives I, construction of a new archival facility for the Southeast Region, and other physical improvements of facilities.

The Archivist and Deputy Archivist described new initiatives and achievements.

- Expanding electronic access to archival holdings by development of the Archival Research Catalog.
- Launching the Electronic Records Archives, a research project focused on preservation of all types of electronic records.
- Redirecting records management toward the targeted assistance initiative encourages reaching out to agencies to conduct joint projects that will have Government-wide applicability, both at headquarters and in the field. These partnerships are aimed at teaching agencies the skills and techniques for developing records management solutions of their own.
- Re-encasing the Charters of Freedom - the Declaration of Independence, the Constitution, and the Bill of Rights - to protect these documents from damage or degradation for the foreseeable future.
- Increasing funding for preservation of non-textual records and for the use of cold storage for various film formats, which will slow deterioration.



## **Goal 1 and Records Management**

Mike Miller reviewed the three measures and targets for Goal 1 (essential evidence will be created, identified, appropriately scheduled, and managed for as long as needed), the goal most relevant to agency records management programs. The draft plan measures targeted assistance, the percentage of new records series scheduled, and the time required for NARA schedule processing and approval. He invited attendees to let NARA know if these areas are meaningful or if others should be substituted.

An agency representative commented that the strategic plan is very assertive, but she believed that the timeline might be too ambitious for the early years and less in the later years. As NARA's partners, agencies may not be able to keep up the pace initially.

A FIRM representative requested clarification of the target that provides that, by 2007, 100% of targeted assistance partnership agreements will deliver the results promised. The Archivist clarified that targeted assistance is an ongoing approach to providing service to agencies, not a specific set of projects. NARA intends to continue to work with agencies on an ongoing basis, instead of just providing direction. However, each year a number of projects will be identified as being part of the targeted assistance initiative. By 2007, every completed targeted assistance project will meet its desired goals.

## **Chief Information Officers and Records Management**

One participant suggested that chief executives be evaluated on their compliance with records management laws to increase visibility of records management. The Archivist, Deputy Archivist, and several records officers responded that positive reinforcement was more effective than negative reinforcement. Records officers need to provide assistance and point out how good records management practices can contribute to improved operations in their agencies. Agency internal training is much more effective when concentrated on the practicalities and benefits of records management rather than the dry legal and regulatory requirements.

Some records officers expressed concern that they are not part of the organization headed by the Chief Information Officer, stating a belief that separation from the unit responsible for major information management policies hampers effectiveness. Information technology staffs may initiate projects that affect recordkeeping, but that also ignore or contradict NARA regulatory requirements. The Deputy Archivist reported that he had discussed the Government Paperwork Elimination Act (GPEA) with the CIO Council, whose members recognize that they need information on the records management implications of the new law.

The group was interested in the guidance to be issued on implementation of the GPEA. NARA, along with Treasury, Justice, and Commerce, will be issuing guidance. The Deputy Archivist explained that OMB originally wanted to reconcile differences in the drafts prepared by each of the four agencies before any were issued. OMB has now decided that NARA guidance can be issued separately. NARA expects to issue guidance before the end of the quarter.

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## **NARA Guidance on Electronic Records**

A records officer stated that NARA records management guidance has not always kept up with current work processes. With automation, processes may flow into other processes, making identification of discrete series or collections of related series difficult. Another records officer suggested that NARA guidance should be directed at end-users and top management officials. Mike Miller noted that NARA's primary agency customers are records officers, who should integrate NARA regulations and issuances into internal policies, procedures, and guidance reflecting the agency's processes and terminology. In addition, another records officer suggested that NARA guidance should reflect the reality that electronic records schedules with a few broad items following processes or functions are much easier for users than schedules with multiple specific items. This issue is one that the Appraisal and Scheduling Project will consider.

## **The Appraisal and Scheduling Project**

The Deputy Archivist reported on the records appraisal and scheduling project. NARA will issue an RFP (request for proposal) to contract for a survey of information from selected agency records officers, inspectors general, information technology managers, and other agency staff on work processes to identify, among other things, records that protect rights and permit oversight and accountability. This study will also involve analyses of records systems and how automation has affected records. It will cover workflow processes, use of teams, information warehousing, the impact of downsizing the records management function, elimination of clerical staff, and outsourcing.

## **Electronic Access to Records Schedules**

A records officer asked about the electronic access to records schedules from other agencies. Mike Miller responded that we maintain the Agency Records Disposition Online Resource (ARDOR) on the NARA web site. ARDOR contains links to schedules posted on many agency web sites, as well as to the NARA General Records Schedules. As agencies post their schedules on the web, they should notify NARA and provide the correct URL for establishing a link to them. This information should be sent to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). Schedule linkage is a win-win situation for both agencies and NARA. One benefit of the expanded schedule coverage is that when agencies plan to update their schedules, they can check current schedules and dispositions for similar records.

The Office of the Federal Register is working on techniques and standards for total electronic submission and publication of *Federal Register* notices, and development of standards for electronic submission of schedules will build on that effort.

## **Gaps Project**

One records officer noted that NARA is aggressive in its records scheduling program, but much more passive in seeking to accession permanent records. The Archivist responded that the Office of Records Services - Washington, DC, is working on a Gaps Project that will capture information about permanent records disposition authorities and track records transferred to

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NARA. A pilot study involving several agencies is underway to refine project procedures. After the report on the pilot is approved, more information will be provided to the agencies.

Concerning transfer of permanent records, Mike Miller reported more than 300,000 cubic feet of permanent records at the Washington National Records Center (WNRC) are being transferred as a result of the WNRC Project. The Archivist added that increased NARA activity with agencies in the regions has uncovered additional permanent records that are being transferred to NARA regional archives.

### **Conclusion**

The Archivist concluded the meeting by urging participants to submit comments by July 21, 2000, on the draft revision of the NARA Strategic Plan and reiterated NARA's commitment to continue working in partnership with agencies.

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 12, 2000

NWM 17.00

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Request for comment on draft international standard and September 28, 2000, BRIDG meeting topic announced

A draft international standard on records management has been developed by an international working group, including NARA and ARMA representatives, and is available in portable data format (PDF) at <http://www.niso.org/pdfs/DIS15489.pdf>. The draft standard is intended for use by both public and private sector organizations. It has been written as a high level standard to reflect the differences in recordkeeping requirements and practices internationally. The technical report referenced in the draft standard is incomplete and not available for review at this time.

We are seeking the views of Federal agencies in developing our comments to the U.S. standards organization (NISO) that will be voting on the draft. Your review would be valuable to us, and we look forward to the benefit of your advice. We are particularly interested in knowing whether you believe that any of the guidance is inappropriate in the U.S. Federal sector and receiving comments on any unclear wording.

Please send your written comments by October 31, 2000, to [nancy.allard@arch2.nara.gov](mailto:nancy.allard@arch2.nara.gov) (email), to 301-713-7270 (fax), or to Policy and Planning Staff (NPLN), Room 4100, 8601 Adelphi Rd., College Park, MD 20740-6001. If you have questions, please contact Ms. Allard on 301-713-7360, ext. 226.

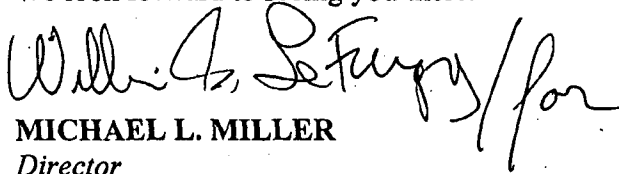
In a recent letter, we advised that the next Bimonthly Records and Information Discussion Group (BRIDG) Meeting would be held on Thursday, September 28, 2000, from 10:00 a.m. to noon in Room 105 of the National Archives Building, 7th and Pennsylvania Avenue, NW, Washington, DC. The speaker at this meeting will be Dr. Lewis Bellardo, Deputy Archivist of the United States, and the topic will be the "Information Collection Component of the Appraisal and Scheduling Project." Additionally, we will summarize the highlights of the forthcoming publication, "Documenting Your Public Service," and provide updates on other NARA initiatives.

To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or e-mail [mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), on or before September 25, 2000. Records Center Program staff

66F-HQ-C1190059-124

will host a Records Center Forum from 9:00 to 9:45 AM before the September 28 BRIDG meeting to discuss records center issues and answer questions.

We look forward to seeing you there.

A handwritten signature in cursive script, appearing to read "William A. SeFury", followed by a forward slash and the word "for".

**MICHAEL L. MILLER**

*Director*

*Modern Records Programs*



## Washington National Records Center

4205 Suitland Road Suitland, MD 20746-8001

September 14, 2000

Dear Records Officer:

Listed below are several reminders about sending Standard Forms 135 (SFs 135) and approved accessions to this Center.

1. We recommend that you begin assigning Fiscal Year 2001 accession numbers to new SFs 135 now.

We must soon purge our computer file of all pending Fiscal Year 2000 accessions to ensure we can add all Fiscal Year 2001 accessions. Once we purge the system you must resubmit your SF 135 with a new accession number and again obtain approval for the accession

2. It is very important that your boxes are ready for shipment when you submit your SF 135 and that the volume on the SF 135 is accurate. Because we allocate space when we approve your SF 135, we need a correct volume.

You should send your records to the Center within 90 days of approval of your accession. If the records are not received within 90 days, we assign to the space allocated to your accession to other records. Because we must reallocate space and update our computer files, the shelving of your records is delayed and you will receive the signed SF 135 with the location of the records late.

3. Please ship immediately all boxes for accessions we have approved.

If you have any questions, please call Angela Barnes on (301) 457-7040.

Sincerely,

JUDITH A. BARNES  
Chief, Accession and Disposal Branch

66F-HQ-C1190059-125

*National Archives and  
Records Administration*

Washington, DC 20408

**NARA BULLETIN**

**NO. 2001-01**

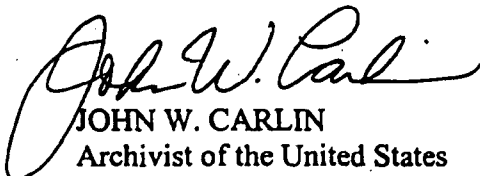
October 11, 2000

TO: Heads of Federal agencies

SUBJECT: Checklist of NARA bulletins

EXPIRATION DATE: September 30, 2001

1. What is the purpose of this bulletin? This bulletin lists National Archives and Records Administration (NARA) bulletins that are in effect.
2. What are NARA bulletins? NARA bulletins contain guidance about records and information management subjects to help you comply with laws and regulations in these areas. You can find more information about NARA's records and information management regulations in Chapter XII of Title 36 of the Code of Federal Regulations.
3. How can I get more information about NARA bulletins? For more information about specific NARA bulletins, call the Modern Records Programs at 301-713-7110 or send your question to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).
4. How do I obtain copies of NARA bulletins?
  - a. Paper copies. We send paper copies of our bulletins to the heads of Federal agencies and to Federal agency records officers. You can obtain additional paper copies at a discount from the Government Printing Office (GPO) by submitting a requisition to the GPO at the beginning of each fiscal year.
  - b. Electronic copies. We post all NARA bulletins on the NARA web site at <http://www.nara.gov/records/policy/bulletin.html>.
5. How do I correct any mistakes in the mailing address? To correct the mailing address for the head of your Federal agency, call 301-713-7360. To correct the mailing address for the agency records officer, contact [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).

  
JOHN W. CARLIN  
Archivist of the United States

66F-HQ-C1190059-126

The following NARA bulletins remain in effect:

<b>Bulletin Number and Title</b>	<b>Issued</b>	<b>Expires</b>
95-03      Government Information Locator Service	02/16/1995	Unlimited
99-02      Withdrawal of General Records Schedule (GRS) 22, Inspector General Records	12/21/1998	12/31/2000
99-03      Changes in disposition procedures at NARA's records center facilities	02/24/1999	02/28/2001
99-04      Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)	03/25/1999	Suspended by NARA Bulletin 2000-02
99-05      Disposition of electronic records (NARA Bulletin 98-02)	09/24/1999	10/01/2001
2000-02    Disposition of electronic copies; suspension of NARA Bulletin 99-04	12/27/1999	12/31/2001
2000-03    Protecting Federal records and other documentary materials from unauthorized removal	05/16/2000	05/31/2002



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 17, 2000

NWM 01.2001

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: September 28, 2000, BRIDG meeting summary and distribution of *Documenting Your Public Service*

This memorandum transmits the September 28, 2000, BRIDG Meeting Summary and a copy of a new NARA publication, *Documenting Your Public Service*. This publication provides the most current NARA guidance with regard to management of Federal records and personal files on the part of high-level officials and Federal employees in general. One copy of the guide is enclosed. Note that the guide should be used in conjunction with NARA Bulletin No. 2000-03, Protecting Federal Records and Other Documentary Materials from Unauthorized Removal.

NARA urges all Federal agencies to distribute this guidance to senior officials who may be departing as part of the upcoming transition between Administrations. You may order additional copies by sending an e-mail message to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov), or by calling Jean Cooke at 301-713-7100, extension 228. Please use "New publication" in the email subject line and provide your name and full mailing address in the message. Both *Documenting Your Public Service* and NARA Bulletin No. 2000-03 are available on the NARA web site from [www.nara.gov/records/index.html](http://www.nara.gov/records/index.html).

Please mark your calendars for the next BRIDG meeting scheduled for Tuesday, November 28, 2000 from 10:00 a.m. to noon in Room 105 of the National Archives Building, 7<sup>th</sup> and Pennsylvania Avenue, NW, Washington, DC. The meeting will focus on the new Fast Track products on electronic recordkeeping and the NARA GPEA guidance that will be issued before the meeting. Both the new Fast Track products and GPEA guidance will be posted on [www.nara.gov/records/index.html](http://www.nara.gov/records/index.html) prior to the BRIDG meeting.

We are interested in your priorities for additional NARA guidance in two areas:

- Guidance on other electronic records management issues
- Specialized training, if any, to implement NARA GPEA guidance.

We encourage you to invite a representative from your information technology staff to attend with you.

To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or email

66F-HQ-C1190059-127

[mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), no later than November 22, 2000. The NARA Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 AM before the BRIDG meeting to discuss records center issues and answer questions.

I look forward to seeing you at our next BRIDG Meeting.



**MICHAEL L. MILLER**

*Director*

*Modern Records Programs*

Enclosures

**Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary**

**10:00 a.m. – 12:00 p.m., September 28, 2000**

**Room 105, National Archives Building, Washington, DC**

**TOPIC: "Information Collection Component of the Records Disposition Initiative."**

About 60 people attended the September 28, 2000, BRIDG meeting to discuss the National Archives and Records Administration's (NARA) Records Disposition Initiative (RDI). Michael L. Miller, Director of Modern Records Programs, opened the meeting and introduced the speaker, Dr. Lewis J. Bellardo, Deputy Archivist of the United States.

**Information Component of the Records Disposition Initiative (formerly the Appraisal and Scheduling Project) – Dr. Lewis J. Bellardo**

Dr. Bellardo explained that the Records Disposition Initiative (RDI) is composed of three interrelated activities. The RDI will include a thorough analysis of the appraisal and scheduling processes as well as an examination of NARA's records management policies. The first stage of the RDI is a data gathering project designed to learn more about the current recordkeeping environment in Federal agencies and collect information that will help NARA evaluate the effectiveness of its guidance and assistance in relation to current agency work processes.

NARA understands that significant changes have occurred in the work environment, and that teaming, reduction in clerical staff, matrix management, and outsourcing all affect agency records management practices. Consequently, the project will focus on obtaining a better understanding of current patterns of recordkeeping. NARA plans to use the information from these surveys to improve its assistance and guidance on records management, especially in the area of electronic records. The surveys will not be used to evaluate agency compliance with NARA requirements. Dr. Bellardo emphasized that NARA wants to help agencies with their records management programs, not to pass judgement or criticize.

The agency point of contact for the information gathering phase will be designated by the agency head. This phase will consist of two components. First, the contractor, SRA International, Inc., will conduct agency surveys, focus groups, and interviews. SRA will collect information on agency perceptions, attitudes, and opinions about the creation, maintenance, use, and disposition of Federal records. They will interview records officers, chief information officers, general counsels, inspectors general, policy staff, information management and information technology staffs and those involved in work processes. Questions will relate to such topics as records creation, media formats, retention periods, correlation of records to records schedules, use of records/ease of access and retrieval, and how records are used in decision-making.

The second information gathering phase involves NARA staff, who will work with records officers and staff involved in specific work processes to conduct a records system analysis. This review will look at specific work processes, and focus on records creation and maintenance,

information flow, records scheduling, and implementation of schedules.

At the conclusion of his presentation, Dr. Bellardo responded to questions. He indicated that John Carlin, Archivist of the United States, plans to send a letter to selected agency heads to introduce the information gathering component of the RDI and to establish points of contact within the agencies. Several records officers suggested that the contact point should be someone "high up" in the agency, and should not be the records officer. Several records officers also suggested that information technology, records management, and Freedom of Information Act (FOIA) staff, as well as chief information officers and general counsels, should be included in the information gathering process. Presentations at the CIO Council and the General Counsel's Forum were also suggested as ways to introduce the initiative to agencies.

In response to a question regarding agency selection criteria, Dr. Bellardo stated that the contractor will propose the criteria. NARA has suggested using a matrix that integrates work processes (e.g., grant funding, research and development projects, regulatory and oversight, and casework processes) with agency "cultures" (e.g., defense, intelligence, science, law enforcement, and social services). The contractor will survey about 35 agencies and focus on work processes and offices in about 24 agencies. NARA will ultimately study 12 to 15 agency processes.

When asked whether the upcoming change of administration would interfere with the information gathering process, Dr. Bellardo said that he did not think the changes would pose major problems for the project. Although personnel might change, the work processes will not.

NARA plans to begin the surveys near the end of the calendar year, and analysis of the information will continue through September 2001. Dr. Bellardo predicts that the project will not impose an undue burden on agency personnel. During the course of the surveys, NARA may supply progress reports on the NARA records management web site.

A records officer asked if NARA could persuade the Office of Management and Budget to approve records management projects by specifically linking them to the budget. Dr. Bellardo noted that agencies do need to find the right leverage point for their projects, perhaps by taking more advantage of their CIO's position and influence.

Dr. Bellardo concluded the discussion, and then thanked everyone for commenting on NARA's draft Government Paperwork Elimination Act (GPEA) records management guidance. NARA hopes to issue the guidance soon.

#### **NWM Presentation of the New Publication, "*Documenting Your Public Service*"**

Mike Miller announced a new publication, *Documenting Your Public Service*, which replaces the 1992 guide, *Personal Papers of Executive Branch Officials*. The new guide addresses maintenance of records and personal materials for high-level officials. It describes the

categories of documentary materials and advises officials to maintain personal materials separately from records and copies of records. It also addresses creation and removal of extra copies of records, and for accessing classified information.

Mike explained that the guide provides principles and procedures for ensuring that Federal records remain in Federal custody, while allowing Federal officials to remove extra copies when permitted by agency policy. He also pointed out that officials may retain personal materials at the office, and these materials would remain under the control of the official.

*Documenting Your Public Service* is available on the NARA Records Management web site at <http://www.nara.gov/records/pubs/dyps.html>.

Another new NARA publication, "*Basic Laws and Authorities of the National Archives*," is also on the web site at <http://www.nara.gov/nara/basiclaws.html>.

#### **Updates on Other NARA Initiatives and Activities**

- The Life Cycle Management Division has hired 11 new staff members to work with agencies. Two of the new people will focus on the development of training classes.
- The 16<sup>th</sup> Annual National Archives and Records Administration Preservation Conference will take place on March 27, 2001, at the National Archives at College Park, Maryland. The theme will be, "*2001, A Case Oddity: Preserving the Physical Evidence of Artifacts and Records*."
- Agencies may now make records center reference requests using Centers Information Processing System (CIPS) online at <http://www.nara.gov/regional/webcips.html>.
- The United States Department of Agriculture has a new records management web site available at <http://www.ocio.usda.gov/irm/records/index.html>.
- We will provide the NARA Government Paperwork Elimination Act (GPEA) records management guidance in the near future, and we plan to provide a half-day of training to assist with implementing the guidance.
- NARA will also issue additional guidance on scheduling issues in the near future, and is working on development of guidance for scheduling web sites.
- NARA received many useful comments on the draft general records schedule (GRS) for information technology (IT) records, and these are being used to produce a new draft. The next step is to request public comment in a *Federal Register* notice. It is important to note that this schedule will not replace GRS 20. GRS 20 will remain in effect until it is superseded by new requirements developed as NARA explores new approaches to managing electronic records.
- An evaluation report on the Joint Interoperability Test Command's (JITC) software certification testing program related to Department of Defense Standard 5015.2, is now under final review. NARA will issue the report within the next few weeks.
- The final Fast Track meeting was held on October 5 and 6 to review and finalize several important guidance documents and tools addressing electronic recordkeeping issues. Results

of the work of the Fast Track team will be posted on the Fast Track web site at <http://www.nara.gov/records/fasttrak/fthome.html>.

### Questions and Answers

**Q.** Is the Disposition of Federal Records Handbook available electronically?

**A.** A web version of the *Handbook* is currently under review.

**Q.** Is it possible to have all *General Records Schedules* available as one file on the web instead of as individual chapters? Can a search engine be added?

**A.** Individual chapters are searchable through the "search" function on the NARA web site. It is impractical to combine all general schedules into one large file, but a word processing copy of the GRS on disk is available by request to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov).

**Q.** What is the status of the tobacco litigation freeze?

**A.** The Life Cycle Management Division met recently with agency General Counsels on tobacco litigation issues. Agencies should contact their appraisal archivists for further information.

**Q.** Will the new GRS for IT records cover web pages?

**A.** No, web pages are often programmatic records, not administrative records, and will be addressed separately from the GRS.

**Q.** How do I schedule Y2K records?

**A.** Records officers should contact their appraisal archivists concerning Y2K records. The appraisal archivists can provide model schedules to share and other suggestions.

### Scheduling issues

In response to a question from Mike Miller, a number of records officers indicated that the requirement to cross out unchanged items on SF 115s created administrative problems and confusion. It was suggested that the summary attachment to an appraisal job should contain an explanation of any crossed-out items. One records officer asked if all past schedules could be re-approved on one schedule. Mike responded that NARA imposed the requirement as an administrative control over the schedule approval process. Unless unchanged items are crossed out, they are counted as newly appraised items. NARA will reevaluate this requirement and the impact of changing it. Formatting, documentation, supersession, and related scheduling issues will be discussed at a future BRIDG meeting.

*National Archives and  
Records Administration*  
Washington, DC 20408

**NARA BULLETIN**

NO. 2001-02

October 19, 2000

TO: Heads of Federal Agencies

SUBJECT: NARA GPEA Guidance

EXPIRATION DATE: October 31, 2002

1. What is the purpose of this bulletin? This bulletin transmits "Records Management Guidance for Agencies Implementing Electronic Signature Technologies," which was developed by the National Archives and Records Administration (NARA) in response to the Government Paperwork Elimination Act (GPEA). The guidance is also available on the NARA web site at <http://www.nara.gov/records/>.

2. What is the background to this guidance? GPEA (Pub. L. 105-277) requires that by 2003, when practicable, Federal agencies use electronic forms, electronic filing, and electronic signature to conduct official business with the public. In doing this, agencies will create records with business, legal, and in some cases, historical value. This guidance focuses on records management issues involving records that have been created using electronic signature technology. It supplements the Office of Management and Budget (OMB) guidance for agencies implementing GPEA, as well as other NARA guidance.

3. How is NARA disseminating this guidance to Federal agencies?

a. In addition to this bulletin, NARA will distribute copies of the guidance to agency records officers and chief information officers. Records management and information technology staff will need to work together to ensure that records requirements are addressed when implementing electronic signature technologies.

b. NARA will summarize the guidance at the Bimonthly Records and Information Discussion Group meeting scheduled for November 28 (see [www.nara.gov/records/bridg.html](http://www.nara.gov/records/bridg.html)). The meeting will afford an opportunity for interested agency personnel to ask questions and discuss the records management implications of GPEA with NARA officials. To facilitate the discussion, participants may submit questions in advance via email to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov). Based on the discussion, NARA may develop additional guidance and training. Both records officers and information technology managers are invited to these meetings.

4. Is further information available? For further records management information and assistance, Federal agencies may contact the Office of Records Services - Washington, DC, Modern Records Programs, or the Office of Regional Records Services as provided in Appendix B of the guidance.

*John W. Carlin*

for JOHN W. CARLIN

Archivist of the United States

Attachment

66F-HQ-C1190059-128

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# **Records Management Guidance for Agencies Implementing Electronic Signature Technologies**

**National Archives and Records Administration  
October 18, 2000**

**Policy and Communications Staff  
Office of Records Services – Washington, DC  
Modern Records Program**

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# Records Management Guidance for Agencies Implementing Electronic Signature Technologies

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## 1.0 EXECUTIVE SUMMARY

An agency's decisions concerning how to adequately document program functions, its risk assessment methodologies, and its records management practices are essential and interrelated aspects of an electronic signature initiative. The following key points are discussed more fully in this guidance:

- Agencies must consider records management requirements when implementing the Government Paperwork Elimination Act (GPEA). (*See: Section 2.0*)
- If the electronically signed record needs to be preserved, whether for a finite period of time or permanently, then the agency needs to ensure its trustworthiness over time. (*See: Section 4.0*)
- There are various approaches to ensure the trustworthiness of electronically-signed records. (*See: Section 4.3.*)
- Information systems that agencies use to implement the electronic signature requirements of GPEA, will produce new records or augment existing records. (*See: Section 5.1.*)
- Agencies determine which electronic signature records to retain based on their operational needs and perceptions of risk. (*See: Section 5.2*)
- Agencies are not authorized to dispose of records without an approved records disposition authority from the National Archives and Records Administration (NARA). (*See: Section 2.0*)
- Agencies should develop records schedules with proposed retention periods for new records for NARA to review. Records disposition authorities for existing records may need to be modified. (*See: Sections 5.1 and 5.4*)
- Electronically-signed records documenting legal rights and electronically-signed records that must be retained permanently have special considerations. (*See: Sections 5.5 and 5.6*)
- When agencies use third party contractors they can use specific contract language to help ensure that records management requirements are met. (*See: Section 5.3*)

## 2.0 INTRODUCTION

The Government Paperwork Elimination Act (GPEA, P.L. 105-277) requires that, when practicable, Federal agencies use electronic forms, electronic filing, and electronic signatures to conduct official business with the public by 2003. In doing this, agencies will create records with business, legal and, in some cases, historical value. This guidance focuses on records management issues involving records that have been created using electronic signature technology. It supplements the Office of Management and Budget (OMB) guidance for agencies implementing the GPEA, as well as other National Archives and Records Administration (NARA) guidance.

A sound records management program is an integral part of an agency's standard business operations. Agencies must consider records management requirements when implementing the GPEA, or whenever they design or augment an electronic information system. Federal agencies are required by the Federal Records Act (44 U.S.C. 3101) to "make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency." This requirement applies to electronic records as well. Agencies that do not consistently adhere to standard records management practices run the risk of not having records that can be depended upon in the course of subsequent business transactions or activities.

This guidance is directed both toward information technology (IT) specialists who establish electronic signature systems and who may not be familiar with the records management implications, and toward agency records management personnel. Good IT practices complement or parallel good records management practices. In systems implemented as a result of the GPEA, records management requirements will form the core of the IT system requirements. In implementing electronic signature technologies, IT professionals need to be aware that signatures are an integral part of a record. If the record needs to be preserved, whether for a finite period of time or permanently, then the agency needs to ensure the trustworthiness of the electronically-signed record over time.

The Archivist of the United States must approve the disposition of Federal records by means of a NARA-approved records disposition authority or records control schedule before agencies can destroy them. (44 USC 3303a(a)). New information systems or records series that have not been scheduled (i.e. do not have a records disposition authority) need to be appraised by NARA. Agency records management staff should contact NARA to begin the scheduling process. Further information on scheduling records and NARA records management guidance is available on the NARA web site ([www.nara.gov](http://www.nara.gov)) and in NARA publications. See Appendix B for further information about NARA's records management programs and services.

This guidance discusses the records management principles that apply to electronic signature technology generally. Electronic signatures may be accomplished by several different technologies, such as Personal Identification Number (PIN), digital signatures,

smart cards and biometrics. If additional technology-specific records management guidance is necessary, NARA will work with agencies to develop it.

This guidance does not deal with records management issues associated with the electronic information systems used to generate electronic signatures. Those issues are covered in other NARA guidance documents. This guidance also does not deal with issues related to the Freedom of Information Act (FOIA) and the Privacy Act, which fall under the purview of the Department of Justice and the Office of Management and Budget, respectively.

### **3.0 BACKGROUND**

#### **3.1 Records Life Cycle vs. System Development Life Cycle**

The terms "records life cycle" and "system development life cycle" are important concepts that are sometimes confused in information technology and records management discussions.

*Records life cycle:* The records life cycle is the life span of a record from its creation or receipt to its final disposition. It is usually described in three stages: creation, maintenance and use, and final disposition. Much of this guidance deals with the creation stage because the electronic signature record is created during the first stage of the records life cycle. The second stage, maintenance and use, is the portion of the records life cycle in which the record is either maintained at the agency while in active use, or is maintained off-line when use is less frequent. The final stage of the records life cycle is disposition, which describes the ultimate fate of the record. Federal records are categorized as having either a "temporary" or "permanent" disposition status. Temporary records are held by agencies for specified time periods before they are destroyed or deleted. Permanent records are first held by agencies and then legally transferred to NARA. Electronically-signed records may be either temporary or permanent. The eventual disposition of electronically-signed records is subject to negotiation between the agency and NARA, but agencies are not authorized to dispose of records without approval from NARA.

*System development life cycle:* The "system development life cycle" describes the phases of development of an electronic information system. These phases typically include initiation, definition, design, development, deployment, operation, maintenance, enhancement, and retirement. A significant step in several of the stages is the definition, development, and refinement of the data model that includes treatment of the records being created or managed. Information systems developed according to system development methodologies, including those that agencies use to implement the electronic signature requirements of GPEA, will produce new records or augment existing records.

The records life cycle often exceeds the system development life cycle. When it does the agency needs to retain the record for a period of time longer than the life of the electronic information system that generated the electronic signature. This presents special challenges, such as maintaining the trustworthiness of the record when migrating from one system to another.

### **4.0 TRUSTWORTHY RECORDS**

#### **4.1 Characteristics of Trustworthy Records**

Reliability, authenticity, integrity, and usability are the characteristics used to describe trustworthy records from a records management perspective. An agency needs to consider these characteristics when planning to implement an electronic signature

technology so that it can meet its internal business and legal needs, and external regulations or requirements. The degree of effort an agency expends on ensuring that these characteristics are attained is dependent on the agency's business needs or perception of risk. (See: Section 5.2 for a discussion of risk assessment.) Transactions that are critical to the agency business needs may need a greater assurance level that they are reliable, authentic, maintain integrity and are usable than transactions of less critical importance. For guidance on whether records are trustworthy for legal purposes, consult your Office of General Counsel.

***Reliability:*** A reliable record is one whose content can be trusted as a full and accurate representation of the transactions, activities, or facts to which it attests and can be depended upon in the course of subsequent transactions or activities.

***Authenticity:*** An authentic record is one that is proven to be what it purports to be and to have been created or sent by the person who purports to have created and sent it.

A record should be created at the point in time of the transaction or incident to which it relates, or soon afterwards, by individuals who have direct knowledge of the facts or by instruments routinely used within the business to conduct the transaction.

To demonstrate the authenticity of records, agencies should implement and document policies and procedures which control the creation, transmission, receipt, and maintenance of records to ensure that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, and alteration.

***Integrity:*** The integrity of a record refers to it being complete and unaltered.

It is necessary that a record be protected against alteration without appropriate permission. Records management policies and procedures should specify what, if any, additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation or addition to a record made after it is complete should be explicitly indicated as annotations or additions.

Another aspect of integrity is the structural integrity of a record. The structure of a record, that is, its physical and logical format and the relationships between the data elements comprising the record, should remain physically or logically intact. Failure to maintain the record's structural integrity may impair its reliability and authenticity.

***Usability:*** A usable record is one which can be located, retrieved, presented, and interpreted. In any subsequent retrieval and use, the record should be capable of being directly connected to the business activity or transaction which produced it. It should be possible to identify a record within the context of broader business activities and functions. The links between records which document a sequence of activities should be maintained. These contextual linkages of records should carry the information needed for an understanding of the transaction that created and used them.

## 4.2 Preserving Trustworthy Records

For a record to remain reliable, authentic, with its integrity maintained, and useable for as long as the record is needed, it is necessary to preserve its content, context, and sometimes its structure. A trustworthy record preserves the actual content of the record itself and information about the record that relates to the context in which it was created and used. Specific contextual information will vary depending upon the business, legal, and regulatory requirements of the business activity (e.g., issuing land use permits on Federal lands). It also may be necessary to preserve the structure or arrangement of its parts. Failure to preserve the structure of the record will impair its structural integrity. That, in turn, may undermine the record's reliability and authenticity.

There are special considerations when dealing with the preservation of the content, context, and structure of records that are augmented by electronic signatures:

- **Content:** The electronic signature or signatures in a record are part of the content. They indicate who signed a record and whether that person approved the content of the record. Multiple signatures can indicate initial approval and subsequent concurrences. Signatures are often accompanied by dates and other identifiers such as organization or title. All of this is part of the content of the record and needs to be preserved. Lack of this information seriously affects a document's reliability and authenticity.
- **Context:** Some electronic signature technologies rely on individual identifiers that are not embedded in the content of the record, trust paths, and other means to create and verify the validity of an electronic signature (see Section 5.1). This information is outside of the *content* of the record, but is nevertheless important to the *context* of the record as it provides additional evidence to support the reliability and authenticity of the record. Lack of these contextual records seriously affects one's ability to verify the validity of the signed content.
- **Structure:** Preserving the structure of a record means its physical and logical format and the relationships between the data elements comprising the record remain physically and logically intact. An agency may determine that it is necessary to maintain the structure of the electronic signature. In that case it is necessary to retain the hardware and software that created the signature (e.g., chips or encryption algorithms) so that the complete record could be revalidated at a later time as needed.

## 4.3 What approaches are available to agencies to ensure the trustworthiness of electronically-signed records over time?

There are various approaches agencies can use to ensure the trustworthiness of electronically-signed records over time. Agencies will choose an approach that is practical for them and will fit their business needs and risk assessment. Below is a discussion of two different approaches that agencies have used.

*One approach:* An agency may choose to maintain adequate documentation of the records' validity, such as trust verification records, gathered at or near the time of record signing. This approach requires agencies to retain contextual information to adequately document the processes in place at the time the record was electronically-signed, along with the electronically-signed record itself. The additional contextual information must be retained for as long as the electronically-signed record is retained. Thus the agency preserves the signature's validity and meets the adequacy of documentation requirements by retaining the contextual information that documented the validity of the electronic signature at the time the record was signed.

Maintaining adequate documentation of validity gathered at or near the time of record signing may be preferable for records that have permanent or long-term retentions since it is less dependent on technology and much more easily maintained as technology evolves over time. However, using this approach, the signature name may not remain readable over time because of bit-wise deterioration in the record or as a result of technological obsolescence. Agencies must ensure that for permanent records the printed name of the signer and the date when the signature was executed be included as part of any human readable form (such as electronic display or printout) of the electronic record.

*Another approach:* An agency may choose to maintain the ability to re-validate digital signatures. The re-validation approach requires agencies to retain the capability to revalidate the digital signature, along with the electronically-signed record itself. The information necessary for revalidation (i.e., the public key used to validate the signature, the certificate related to that key, and the certificate revocation list from the certificate authority that corresponds to the time of signing) must be retained for as long as the digitally-signed record is retained. Both contextual and structural information of the record must be retained, as described in Section 4.2.

This approach is potentially more burdensome, particularly for digitally-signed records with long retention needs, due to issues of hardware and software obsolescence. If an agency chooses this approach for permanent records, it must contact NARA to discuss what they will need to do to transfer the records to NARA. As in the first approach, the agency must ensure that the printed name of the electronic signer and the date when the signature was executed be included as part of any human readable form (such as electronic display or printout) of the electronic record.

*Special considerations for records documenting legal rights and records that must be retained permanently are discussed in Sections 5.5 and 5.6, respectively.*

#### **Non-repudiation:**

Irrespective of the approach an agency takes, some form of technical non-repudiation services must be implemented to protect the reliability, authenticity, integrity, and usability, as well as the confidentiality, and legitimate use of electronically-signed information. Non-repudiation is one of the essential security services in computing

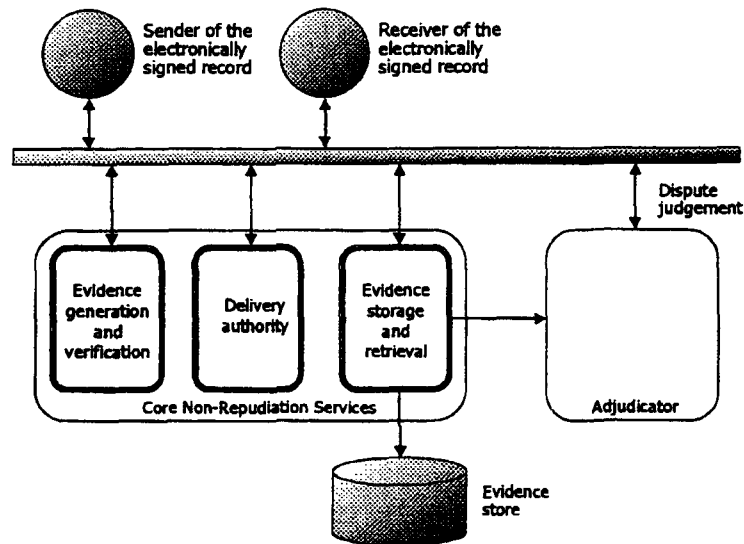


environments, being mainly applied in message handling systems and electronic commerce. The non-repudiation services that are being used in e-commerce can also be used in ascertaining the reliability of electronically-signed records. Non-repudiation services provide irrefutable evidence that an action took place. The services protect one party to a transaction (e.g., electronically signing a record) against the denial of the other party that a particular event or action took place. The services also provide safeguards that protect all parties from a false claim that a record was tampered with or not sent or received.

There are multiple frameworks for non-repudiation and agencies will choose the framework that matches their needs. One possible framework is the ISO (International Organization for Standardization) non-repudiation model (Non-repudiation – Part 1: General Model, ISO/IEC JTC1/SC27 N1503, November 1996; Non-repudiation – Part 2: Using symmetric techniques, ISO/IEC JTC1/SC27 N1505, November 1996). The essential elements of the ISO model are listed below:

- **Evidence of the Origin of the Message & Verification:** This shows that the originator created the message (electronically-signed record). The sender (person signing the record electronically) has to create a proof-of-origin certificate using the non-repudiation service. The electronically-signed record can be sent to another party (receiver of the electronically-signed record or another application for further processing) using the non-repudiation delivery authority service. The receiver has to store this evidence using the non-repudiation storage service. In case of dispute, the sender can later retrieve this evidence.
- **Evidence of Message Receipt:** This proves that the message (electronically-signed record) was delivered. The recipient must create and send a proof of receipt certificate using non-repudiation delivery authority service. The sender receives this evidence and stores it using the non-repudiation storage service; it can later be retrieved if there is a dispute.
- **Transaction Timestamp:** This timestamp is generated by the non-repudiation service as part of the evidence that an event or action took place.
- **Long-term Storage Facility:** This is used to store the certificates of origin and receipt. If there is a dispute, the adjudicator uses this storage facility to retrieve the evidence. Depending on the length of storage, it might be necessary to address software and hardware migration concerns as part of the design of this facility.
- **The Adjudicator:** The adjudicator is used to settle disputes based on stored evidence if either the sender or the receiver of electronically-signed records makes false claims.

## The Non-Repudiation Framework



Modified from: Orfali, Robert, Harkey, Dan, & Jeri Edwards. *Client-Server Survival Guide*. John Wiley & Sons: New York, 1999, p. 144.

### 4.4 What steps should agencies follow to ensure that electronically-signed records are trustworthy?

To create trustworthy records with electronic signatures an agency should:

- Create and maintain documentation of the systems used to create the records that contain electronic signatures.
- Ensure that the records that include electronic signatures are created and maintained in a secure environment that protects the records from unauthorized alteration or destruction.
- Implement standard operating procedures for the creation, use, and management of records that contain electronic signatures and maintain adequate written documentation of those procedures.
- Create and maintain records according to these documented standard operating procedures.
- Train agency staff in the standard operating procedures.
- Obtain official disposition authorities from NARA for both the records that contain electronic signatures and for the associated records which are necessary for trustworthy records (see Section 4.0). (Having official disposition authorities will

assist the agency when faced with demands to produce records that have been destroyed according to these authorities.)

## 5.0 OTHER RECORDS MANAGEMENT ISSUES

### 5.1 What new records may be created by electronic signature technology?

Agency decisions to accept or create electronically-signed records will generate new types of associated records. Agencies must identify the content, context, and structure of records with electronic signatures and determine what they will need to preserve to have trustworthy records for the agency's purposes. The following list includes many of the records that might be associated with an electronic signature initiative. These records need to be scheduled (have approved disposition authorities from NARA) in coordination with the electronically-signed records to which they relate.

- *Documentation of individual identities:* Information the agency uses to identify and authenticate a particular person as the source of an electronically-signed record. Examples of this would be a pin number or digital certificate assigned to an individual. This information may be passed to individuals via written correspondence, and do not necessarily appear in the electronically-signed record. Depending on method of implementation, this is either content or context.
- *Electronic signatures:* A method of signing an electronic document that identifies and authenticates a particular person as the source of the message and indicates such person's approval of the information contained in the electronic message. The electronic signature may be embedded in the content of the record, or it may be stored separately.

If an electronic signature technology separates the signature from the rest of the record, it must be associated in some way and captured in the recordkeeping system to preserve the complete content of the record.

- *Trust verification records:* Records that the agency deems necessary to document when and how the authenticity of the signature was verified. An example of this would be an Online Certificate Status Protocol (OCSP) or other response from a Certificate Authority server. This is context information.
- *Certificates:* The electronic document that binds a verified identity to the public key that is used to verify the digital signature in public key infrastructure implementations. This is context information.
- *Certificate Revocation List:* In public key infrastructure implementations, a list of certificates that a Certificate Authority has revoked at a particular time. When a Certificate Authority places a certificate on a revocation list, an agency application may reject the digital signature. This is context information.

- *Trust paths:* In public key infrastructure implementations, a chain of certificates of trusted third parties between parties to a transaction which ends with the issuance of a certificate that the relying party trusts. The trust path is one of the data necessary for validation of a received digital signature. This is context information.
- *Certificate policy:* In public key infrastructure implementations, a set of rules that defines the applicability of a certificate to a particular community and/or class of application with common security requirements. This is context information.
- *Certificate practice statements:* In public key infrastructure implementations, a certification authority's statement of practice for issuing certificates. This is context information.
- *Hashing/encryption/signing algorithms:* Software for generating computational calculations used to create or validate digital signatures. This is structure information.

## **5.2 How do agencies determine which of these electronic signature records to retain?**

Agencies establish records management practices based on their operational needs and perceptions of risks. Operational needs are determined on the basis of the approach taken to ensuring the trustworthiness of electronically-signed records over time (see Section 4.3.) Risk assessment and risk mitigation, along with other methodologies, are used to establish documentation requirements for agency activities.

A risk assessment should consider the possible consequences of lost or unrecoverable records, including the legal risk and financial costs of potential losses, the likelihood that a damaging event will occur, and the costs of taking mitigating actions. Risk is defined here, from NARA's perspective, as (1) a risk of challenge to the records (e.g., legal challenge) that can be expected over the life of the record, and (2) the degree to which the agency or citizens would suffer loss if the trustworthiness of the electronically-signed records could not be adequately documented.

Risk assessment also can be applied to records of electronic signature programs to determine the level of documentation required for signature validation. The concepts of reliability, authenticity, integrity, and usability as discussed in Section 4.1, may help agencies establish criteria for the types of electronic signature-related records they need to retain to document their programs.

## **5.3 Transferring electronic signature record material from contractors to agencies**

As the Government begins to interact with citizens electronically, agencies may employ third party contractors to integrate electronic signature technology into their business processes. The General Services Administration's *Access Certificates for Electronic*

*Services (ACES)* program is an example. Use of a third party contractor does not relieve an agency of its obligation to provide adequate and proper documentation of electronic signature record material. When agencies use third party contractors they can use specific contract language to help ensure that records management requirements are met. It may be necessary for agencies to make special provisions for obtaining electronic signature record material from third parties or to ensure that the third parties adhere to the records schedule retention requirements.

#### **5.4 When must an agency modify its records schedule to cover electronic signature records?**

Records schedules are the business rules that describe the types of records an agency produces and the retention periods for those records. Records schedules need to be modified when:

- new records, such as those listed in Section 5.1, are created;
- the agency determines that incorporation of an electronic signature into a record will result in changes to the retention period for that record;
- incorporation of the electronic signature and/or resulting parallel changes in the work process significantly changes the character of the record.

NARA will provide agency records officers with specific guidance on scheduling. If an agency is applying electronic signature technology to records scheduled for permanent retention, please contact NARA.

#### **5.5 Special considerations relating to long-term, electronically-signed records that preserve legal rights.**

When implementing electronic signature technology, agencies should give special consideration to the use of electronic signatures in electronic records that preserve legal rights. Because long-term temporary and permanent electronically signed records have greater longevity than typical software obsolescence cycles, it is virtually certain that agencies will have to migrate those records to newer versions of software to maintain access. The software migration (as opposed to media migration) process may invalidate the digital signature embedded in the record. This may adversely affect an agency's ability to recognize or enforce the legal rights documented in those records.

#### **5.6 NARA requirements for permanent, electronically-signed records**

For permanent records, agencies must ensure that the printed name of the electronic signer, as well as the date when the signature was executed, be included as part of any human readable form (such as electronic display or printout) of the electronic record. NARA requires this so that the name of the signer will be preserved as part of the record.

## APPENDIX A      Key Terms and Definitions

**Appraisal:** The process of determining the value and thus the disposition of records (i.e., designating them temporary or permanent) based upon their current administrative, legal, and fiscal use; their evidential and informational value; their arrangement and condition; their intrinsic value; and their relationship to other records. (*Society of American Archivists Glossary*)<sup>1</sup>

**Authenticity:** An authentic record is one that is proven to be what it purports to be and to have been created or sent by the person who purports to have created and sent it.

**Certificate Authority [CA]:** As part of a public key infrastructure, an authority in a network that issues and manages security credentials and public keys for message encryption and decryption.

**Content:** The information that a document is meant to convey (*Society of American Archivists Glossary*). Words, phrases, numbers, or symbols comprising the actual text of the record that were produced by the record creator.

**Context:** The organizational, functional, and operational circumstances in which documents are created and/or received and used (*Society of American Archivists Glossary*). The placement of records within a larger records classification system providing cross-references to other related records.

**Documentation:** 1. In archival usage, the creation or acquisition of documents to provide evidence of the creator, an event, or an activity. 2. In electronic records, an organized series of descriptive documents explaining the operating system and software necessary to use and maintain a file and the arrangement, content, and coding of the data which it contains. (*Society of American Archivists Glossary*)

**Electronic signature:** A technologically neutral term indicating various methods of signing an electronic message that (a) identify and authenticate a particular person as source of the electronic message; and (b) indicate such person's approval of the information contained in the electronic message (definition from GPEA, P.L. 105-277). Examples of electronic signature technologies include PINs, user identifications and passwords, digital signatures, digitized signatures, and hardware and biometric tokens.

**General records schedule:** A records schedule governing specified series of records common to several or all agencies or administrative units of a corporate body (*Society of American Archivists Glossary*). The NARA General Records Schedules (GRS) provide

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<sup>1</sup> Many of these definitions are taken from Lewis J. Bellardo and Lynn Lady Bellardo, comps., A Glossary for Archivists, Manuscript Curators, and Records Managers, Archival Fundamentals Series (Chicago: The Society of American Archivists, 1992).

disposition authority for temporary administrative records common to several or all agencies of the Federal Government.

**Integrity:** The integrity of a record refers to its being complete and unaltered.

**Non-repudiation:** Steps taken by an agency to provide assurance, via the use of an audit trail, that a sender cannot deny being the source of a message, and that a recipient cannot deny receipt of a message.

**Online Certificate Status Protocol [OCSP]:** A draft Internet communications protocol of the IETF X.509 PKI Working Group that is useful in determining the current status of a digital certificate without requiring certificate revocation lists.

**Public Key Infrastructure [PKI]:** An IT infrastructure that enables users of a basically unsecure public network such as the Internet to securely and privately exchange data through the use of a public and a private cryptographic key pair that is obtained and shared through a trusted authority.

**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 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 (44 U.S.C. 3301).

**Recordkeeping System:** A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

**Records Schedule:** A document describing records of an agency, organization, or administrative unit, establishing a timetable for their life cycle, and providing authorization for their disposition (*Society of American Archivists Glossary*), i.e., off-site storage followed by destruction or transfer to the National Archives.

**Record Series:** File units or documents arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, the same function, or the same activity; have a particular form; or because of some other relationship arising out of their creation, receipt, or use. (*Society of American Archivists Glossary*)

**Reliability:** A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities, or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

**Re-validation:** Re-confirming the validation process for a previously validated electronic signature.

**Structure:** The physical and logical format of a record and the relationships between the data elements.

**Usability:** A useable record is one which can be located, retrieved, presented and interpreted.

**Validation:** The process by which a message/record is confirmed to have originated from an authenticated network user, that is, one who has appropriately established his/her identity on the network.



## APPENDIX B FOR FURTHER INFORMATION AND ASSISTANCE

In addition to the policy guidance available from the agency's records officer, information resource management officials, legal counsel, and inspector general, records management assistance is available to Federal agencies through several NARA offices and programs. Agencies will find the most current list of NARA records management contacts and programs posted on the NARA Records Management web page at: <http://www.nara.gov/records/index.html>.

Records management policy and guidance is also available through the NARA web site. Links to Federal regulations, records management publications, NARA Bulletins, and other valuable resources are available at <http://www.nara.gov/records/policy/policy.html>. Agency staff looking for up to date information and help with electronic records issues should visit the Fast Track Guidance Development Project site (<http://www.nara.gov/records/fasttrak/fthome.html>). The Fast Track Project is an initiative to get available electronic records information out to agencies while NARA continues to develop more complete and longer-term solutions.

Agencies may also write or call for further information:

Office of Records Services – Washington, DC, Modern Records Programs  
Life Cycle Management Division, NWML  
National Archives at College Park  
8601 Adelphi Road  
College Park, MD 20740-6001  
301 713-6677

The Life Cycle Management Division receives and reviews all records disposition requests submitted to NARA by Federal agencies and provides records management training open to all Federal employees. The division is organized into six workgroups, each of which is assigned responsibilities for specific Federal Agencies. This liaison structure ensures that agencies will be able to discuss their records issues with someone who is familiar with their agency and their records. The list of workgroups and agency assignments is available at: <http://www.nara.gov/records/comm/workgrp.html>. The schedule of records management training classes is available at: <http://www.nara.gov/records/rmtrain.html>.

Agency offices and programs outside of Washington, DC, may also contact the records management staff at one of the NARA regional records services facilities. A list of these facilities is available on the web at: <http://www.nara.gov/regional/nrmenu.html>. The NARA regional facilities also offer records management training. The schedule of regional classes is available at <http://www.nara.gov/records/rmtrain.html>.

Agencies may write or call for further information about NARA's regional records services:

Office of Regional Records Services, NR  
National Archives at College Park  
8601 Adelphi Road  
College Park, MD 20740-6001  
301 713-7210

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NOV 08 2000

NWM 03.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Final Four Fast Track Guidance Products Now Available.

We are pleased to announce that the final four Fast Track products have been posted to the NARA Records Management (RM) web site at <http://www.nara.gov/records/fasttrak/ftproj.html>. This final round of Fast Track products focused on producing more detailed information that should be considered by RM and information technology staff when deciding whether to implement an electronic recordkeeping (ERK) or electronic records management (ERM) project.

The four new products available for comment are:

- Typical Records Management (RM) Functions and Typical RM Program Activities
- Examples of System Functions for Electronic Recordkeeping (ERK) and Electronic Records Management (ERM)
- Survey of Baseline Organizational Information
- Analysis of Costs and Benefits for ERM/ERK Projects

After you review these products, please forward your comments and suggestions via email to [fasttrak@arch2.nara.gov](mailto:fasttrak@arch2.nara.gov) or by fax to 301-713-6852. We welcome your advice as to how they could be improved or revised to assist you better. Comments received by December 15, 2000, will be used in the final update of these products.

These four Fast Track products will be discussed at the November 28 Bimonthly and Information Discussion Group (BRIDG) meeting (see NWM 01.2001). The meeting will also focus on the new Government Paperwork Elimination Act (GPEA) Guidance that is available on the NARA Records Management web site at <http://www.nara.gov/records/policy/gpea.html>. To register for this meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or email [mary.schmidt@arch2.nara.gov](mailto:mary.schmidt@arch2.nara.gov)), no later than November 22, 2000.

I'd like to take this opportunity to thank all the members of the Fast Track Guidance Development Project for their hard work and insightful consideration of the issues that made all of the Fast Track products possible.

*Will L. DeFuria*  
MICHAEL L. MILLER  
Director  
Modern Records Programs  
*for*

66F-HQ-C1190059-129

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NOV 08 2000

NWM 02.2001

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION  
RESOURCES MANAGERS: NARA Bulletin 2001-02, NARA Government Paperwork  
Elimination Act (GPEA) Guidance and NARA Bulletin 2001-01, Checklist of NARA bulletins.

We are pleased to announce the NARA guidance, *Records Management Guidance for Agencies Implementing Electronic Signature Technologies*. This guidance was developed in response to the Government Paperwork Elimination Act (GPEA) and the requirements in M-00-10, *OMB Procedures and Guidance on Implementing the Government Paperwork Elimination Act*. Both NARA Bulletin 2001-02 and the Guidance are attached for your review and available on the NARA Records Management web site at <http://www.nara.gov/records/index.html>.

The key points discussed more fully in this guidance are:

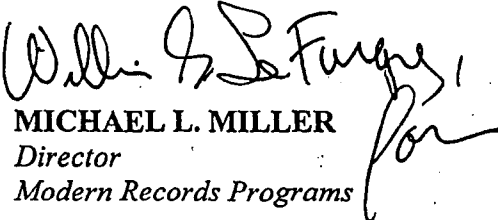
- Agencies must consider records management requirements when implementing the GPEA. (See Section 2.0)
- If the electronically-signed record needs to be preserved, whether for a finite period of time or permanently, then the agency needs to ensure its trustworthiness over time. (See Section 4.0)
- There are various approaches to ensure the trustworthiness of electronically-signed records. (See Section 4.3)
- Information systems that agencies use to implement the electronic signature requirements of GPEA, will produce new records or augment existing records. (See Section 5.1)
- Agencies determine which electronic signature records to retain based on their operational needs and perceptions of risk. (See Section 5.2)
- Agencies are not authorized to dispose of records without an approved records disposition authority from NARA. (See Section 2.0)
- Agencies should develop records schedules with proposed retention periods for new records for NARA to review. Records disposition authorities for existing records may need to be modified. (See Sections 5.1 and 5.4)
- Electronically-signed records documenting legal rights and electronically-signed records that must be retained permanently have special considerations. (See Sections 5.5 and 5.6)

66F-HQ-C1190059-130

- When agencies use third party contractors, they can use specific contract language to help ensure that records management requirements are met. (*See Section 5.3*)

This GPEA guidance will be reviewed at the November 28 Bimonthly Records and Information Discussion Group (BRIDG) meeting (see NWM 01.2001). The meeting will also focus on the new Fast Track products on electronic recordkeeping that are available for comment on the NARA Records Management web site at <http://www.nara.gov/records/fasttrak/ftproj.html>.

NARA Bulletin 2001-01, also attached, provides a list of the NARA bulletins that are currently in effect. NARA bulletins contain guidance about records and information management subjects to help you comply with laws and regulations in these areas. We post all NARA bulletins on the NARA web site at <http://www.nara.gov/records/policy/bulletin.html>. Additionally, you can find more information about NARA's records and information management regulations in Chapter XII of Title 36 of the *Code of Federal Regulations*, posted at <http://www.nara.gov/nara/cfr/subch-b.html>.

  
**MICHAEL L. MILLER**  
*Director*  
*Modern Records Programs*

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

NOV 27 2000

NWM 04.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: NARA Endorsement of JITC 5015.2-STD Software Certification Testing Program.

We are pleased to announce that on November 13, 2000, the Archivist of the United States sent a letter to the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence), stating that NARA endorses the Joint Interoperability Test Command's [JITC] software certification testing program for 5015.2-STD, *Design Criteria Standard for Electronic Records Management Software Applications*. A copy of that letter is attached, and there is a link to the DoD standard from NARA's records management web page at <http://www.nara.gov/records/index.html>.

NARA's endorsement of the JITC certification testing program means that the procedures employed adequately test for those mandatory functions specified in the 5015.2 standard. In our previous endorsement of 5015.2-STD (see NWM 03.99), NARA stated that the functional requirements specified in 5015.2-STD represent 'one approach to managing electronic records.' Based on NARA's review of the testing procedures, NARA now can say that software that has been certified by JITC represents 'one approach to managing electronic records.' Similar to JITC, while NARA endorses the testing process, NARA does not endorse specific commercial products that have been certified as 5015.2-STD compliant.

We encourage each agency to address their specific requirements separately when evaluating all commercial automated records management products, including those with a JITC 5015.2 certification. The JITC functional testing does not, and is not intended to, evaluate a broad range of other important technical and business requirements that must be considered when automating records management. Some additional technical and business concerns that should be addressed before choosing to automate records management include human factors, ease of integration, scalability, system performance, reliability, and provider stability. There may well be further requirements that affect specific agencies.

Portions of Fast Track Guidance Development products 6a, 6b, 7, and 8 do attempt to address some of these additional concerns. Please review <http://www.nara.gov/records/fasttrak/ftproj>. These four products have been posted for public comments due by December 15, 2000. We would appreciate any comments and suggestions as to how these products might be improved.

*Michael L. Miller*

MICHAEL L. MILLER

Director

Modern Records Programs

66F-HQ-C1190059-131

**National Archives and Records Administration**  
**Records Management**

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November 14, 2000

Honorable Arthur L. Money  
Senior Civilian Official  
Assistant Secretary of Defense  
(Command, Control, Communications and Intelligence)  
6000 Defense Pentagon  
Washington, DC 20301-6000

Dear Mr. Money:

In December, 1997, your predecessor and I signed a memorandum of understanding (MOU) establishing a partnership between DoD and NARA on records management initiatives. On October 19, 1998, I transmitted to you a report detailing our internal evaluation of the conformance of DoD 5015.2-STD with the Federal Records Act and relevant sections of 36 CFR Parts 1220-1238. Today, I transmit to you our second and final report evaluating the Joint Interoperability Test Command's [JITC] software certification testing program related to DoD 5015.2-STD.

I am pleased to inform you that as a result of its evaluation of the JITC test case procedures, detailed and summary final reports on 5015.2-certified products, and on-site inspection of two software tests, our internal team has recommended that NARA endorse the JITC testing process.

I am also pleased to send you the enclosed report of our evaluation. While we found no critical shortcoming in the JITC 5015.2 certification testing program, we did recommend two changes to the Processes and Procedures document and a modification to one of the Test Cases. The recommendations are explained in the report and the JITC staff have already made these changes.

I plan to notify other agencies on November 27, 2000, that NARA does endorse JITC 5015.2-certification testing program. NARA's endorsement of the JITC certification testing program means that the procedures employed adequately test for the presence of those mandatory functions specified in the 5015.2 standard. In our previous endorsement of 5015.2, NARA stated that the functional requirements specified in 5015.2 represent "one approach to managing electronic records." Based on NARA's review of the testing procedures, NARA now can say that software that has been certified by JITC represents 'one approach to managing electronic records', however, NARA does not endorse specific commercial products, which we will make clear in our communications with Federal agencies and the press.

In announcing NARA's endorsement of the JITC certification testing program, we will also need to draw attention to the fact that the JITC functional testing does not evaluate a broad range of other important technical and business requirements that must be considered when automating records management (e.g., human factors, ease of integration, scalability, system performance, reliability, provider stability, etc.). We will therefore encourage agencies to address these additional requirements separately, should they choose to automate records management with a JITC-5015.2-certified product.

I believe that the partnership between DoD and NARA covered by the past MOU has been very useful to our agencies, and more widely to the entire Federal Government. I look forward to discussing with you and your staff what next steps might be taken to continue to extend and refine the standard.

Sincerely,

**JOHN W. CARLIN**  
*Archivist of the United States*

Enclosure

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Records Management Home Page

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National Archives and Records Administration home page  
URL: <http://www.nara.gov/records/jitcendt.html>  
[webmaster@nara.gov](mailto:webmaster@nara.gov)  
Last updated November 27, 2000

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# National Archives and Records Administration

8601 Adelphi Road  
College Park, Maryland 20740-6001

January 12, 2001

NWM 05.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Snapshot of agency public web sites

The National Archives and Records Administration (NARA) will be preserving a one-time snapshot of agency public web sites as they exist on or before January 20, 2001, as an archival record in the National Archives of the United States. The web site snapshot initiative outlined in this memorandum will ensure that we are able to document at least in part agency use of the Internet at the end of the Clinton Administration. To accomplish this, we ask that agencies take the following actions:

- Take a snapshot of your agency's public web site(s) following the instructions in the attachment to this memorandum.
- Within 60 days, send the snapshot and related documentation, also described in the attachment, to NARA.

I am sending this message to Chief Information Officers also. I urge you to work with your CIO to ensure that your agency's public web sites are included in the snapshot.

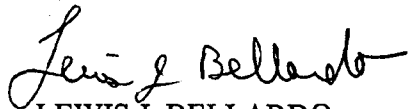
This immediate action does not address the larger and long-term records management issues relating to agency web sites that you and NARA face. Agencies are using the web more and doing more of their business on the web than ever before. Web sites include different types of records that are used in different ways, and document different agency activities of varying significance. Some web content parallels traditional paper records. In fact some agencies use the web to disseminate policy information, but publicize the fact that the authentic records of policy are maintained on paper. But some web sites involve records that are important evidence; some are without precedent. Web sites cannot be treated with a "one size fits all" solution and Federal agencies need comprehensive guidance on management of these records.

We will be working with agencies on the first phase of this guidance in the next few weeks. We will meet with records officers shortly to go over what they need to see in the guidance. Several agencies have submitted records schedules for their web sites and have received dispositions for them. NARA has also provided training and briefings on records management issues relating to web records, and is happy to do so upon request.

In addition to NARA's role to help agencies with guidance in managing all of their records, including web records, we are charged with the responsibility to provide for long-term preservation and access to those records selected for archival retention. The web site snapshot initiative outlined in this memorandum will ensure that we are able to document at least in part agency use of the Internet at the end of the Clinton Administration. As shown by the specifications for capturing and transferring

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this snapshot, NARA does not have the capability at this time to take or preserve all of the types of agency web records. NARA is currently working with the San Diego Supercomputer Center, InterPARES, and the international archival community in research projects addressing these issues.



LEWIS J. BELLARDO  
Deputy Archivist of the United States

Attachment

## **GUIDELINES TO AGENCIES ON PRESERVING A SNAPSHOT OF THEIR WEB SITES AT THE END OF THE CLINTON ADMINISTRATION**

### **What does the one-time snapshot need to include?**

A one-time snapshot of your agency's public Internet web site, taken on or before January 20, 2001. Your public web sites are those web sites maintained by the agency, directly or under contract, available for unrestricted viewing by the general public through the Internet. It does not include in-house or intranet web sites available only to employees of the agency. It should not include documents with information that is restricted in any way, such as security or privacy restricted information.

The snapshot needs to include all of the documents available to the public that are located on the agency's web server(s). In other words, the documents must be internal or contiguous to the web site. The snapshot should not include documents located on external servers to which the web site links. The agency should terminate those links.

Where the site or a page on the site is dynamic (i.e., the content exists in a database that serves the content through templates) take a snapshot of the template. Explain in the documentation that the file is a template that draws the information from a previously linked database (and give the title of the database) which is not included in the snapshot.

The snapshot should not be a back up of the system. It should be in a format that can be read on other platforms.

### **What is the procedure for sending the snapshot to NARA?**

Agencies may send the snapshot on 3480-class tape cartridges, 9-track tapes, or CD-ROM. Media specifications are described in 36 CFR 1228.270 (<http://www.nara.gov/nara/cfr/cfr12281.html>) and below:

- CD-ROMs should comply with ANSI/NISO/ISO 9660-1990 - Volume and File Structure of CD-ROM for Information Exchange.
- Magnetic tape cartridges should be 18-track 3480-class tape cartridges recorded at 37,871 bpi that meet ANSI X3.180-1990, American National Standard: Magnetic Tape and Cartridge for Information Interchange. The data shall be blocked at no more than 32,760 bytes per block.
- 9-track tapes should be recorded at 1600 or 6250 bpi that meet ANSI X3.39-1986 or ANSI X3.54-1986

For each web site, include in the package to NARA technical documentation adequate to identify, service and interpret the web site files. This should include:

- NARA Form 14097, Technical Description for Transfer of Electronic Records, and a completed NARA Form 14028, Information System Description Form, or

their equivalents. If you need copies of these forms, contact NARA as provided below.

- Web site information content description documentation. This can be a copy of the site map or a list of files. The information should be sent in paper or ASCII form.
- Any information on the proprietary software and hardware used in constructing the web site that is needed to re-materialize the site.
- Information identifying the format of each file included in the snapshot, and where applicable, the formats of any embedded objects.

Send the snapshot to:

National Archives and Records Administration  
Electronic and Special Media Records Services Division (NWME)  
8601 Adelphi Road  
College Park MD 20740-6001

#### **Who can I contact for further information?**

For further information on transferring the files or taking the snapshot, and to request copies of the forms, please contact 301-713-6639 or [CER@nara.gov](mailto:CER@nara.gov).

#### **How do I take the snapshot?**

How you take the snapshot will depend on the level, depth, and availability of programming skills, and the format of the files. This methodology requires a low-level knowledge of file editing tools and web management skills (i.e. stream editing programs, web and platform server software configuration and administration, HTML, and JavaScript v1.2). The steps you need to take are summarized below.

1. Ensure that proper contingency procedures have been performed before proceeding (i.e., back up site).
2. Configure (e.g., mirror) your web site (or the portions to be transferred to NARA) in your developmental environment (e.g., another server).
3. Identify and calculate the number of external web site links.
4. Convert all external links by rerouting them back to original initiation points. Insert a notification message that the link has been terminated.
5. Identify all the files that need to be copied. See **What does the one-time snapshot need to include?** For information on the files that must be copied.
6. Copy the files to the appropriate media preserving the file and directory structures.

For further technical guidance, you may send an email to [CER@nara.gov](mailto:CER@nara.gov) or contact 301-713-6639.

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

February 8, 2001

NWM 07.01

## MEMORANDUM TO AGENCY RECORDS OFFICERS: RACO and Best Practices in Records Management Nominations

The National Archives and Records Administration will be hosting its annual Records Administration Conference, RACO 2001, on Tuesday, May 15, at the Ronald Reagan, International Trade Center, 1300 Pennsylvania Avenue, NW, Washington, DC. RACO will begin at 8:00 a.m. and conclude with a networking reception beginning at 4:15 p.m. The conference's purpose is to relate updated information about records management in the Federal Government, discuss relevant and timely records-related issues, and provide a networking session for records and information managers. This year, the conference theme is "Transitions and New Technologies for Records Management." Three panels, comprised of members of the federal records management and information technology community, will give insights into and relay experiences with "Implementing a Records Management Application," "New Technologies: The Visible Future," and "Web Sites: Implications for Records Management."

One of the most popular sessions each year is the presentation of awards for Best Practices in Records Management. We invite you to nominate your agency, or others, for a Best Practice award in one of the following categories: (1) records inventorying and scheduling, (2) records management training and promotion, (3) managing electronic records, (4) innovative uses of technology in records management, or (5) overall excellence in a records management program. To submit a nomination, please fill out the attached form and return it by April 2 to Nina Frederick, Life Cycle Management Division (NWML), Room 5320, National Archives at College Park, 8601 Adelphi Road, College Park, MD 20740-6001 or by email at [nina.frederick@arch2.nara.gov](mailto:nina.frederick@arch2.nara.gov). If you have any questions, Nina can be reached at 301-713-7100, ext. 268, or at the e-mail address listed above.

NARA would also like to recognize at RACO 2001 individuals who have been active in the federal records management community and who are retiring during FY 2001. If someone in your agency's records management program has already retired or is planning to do so in this fiscal year, please send the name and a brief description of the individual's records management career to Nina Frederick at the above postal or email addresses.

66F-HQ-C1190059-133

RACO registration information is available at <http://www.nara.gov/records/racofl.html> or from Marva Frazier, RACO Registrar at 301-713-7100 ext. 264 or by email at [marva.frazier@arch2.nara.gov](mailto:marva.frazier@arch2.nara.gov).

I look forward to seeing you at RACO 2001 on May 15.



MICHAEL L. MILLER  
Director  
Modern Records Programs

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**BEST PRACTICES IN RECORDS MANAGEMENT NOMINATION FORM**

Name of agency being nominated:

Area in which nomination is being made:

Justification (brief narrative) for nomination (please include samples of materials if needed to illustrate your nomination):

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Your name:

Your telephone number:

Your e-mail address:

Please return forms to: Nina Frederick, National Archives at College Park, NWML,  
Room 5320, 8601 Adelphi Road, College Park, MD 20740-6001 or e-mail to  
*nina.frederick@arch2.nara.gov*.

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# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

February 13, 2001

NWM 08.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS: Update on NARA Project *Information Gathering, Analysis, and Report on Current Recordkeeping and Records Use within the Federal Government*

As most of you know from previous announcements, NARA has begun a project to examine the current Federal recordkeeping environment in order to evaluate our own records management program. Periodically we will send out updates on the project. Additional information will also soon be available on the NARA Records Management web site.

### Web Survey

As part of that project, our contractor, SRA, International, is using the Internet to conduct a survey of records management officers concerning records management practices within Federal agencies. SRA will send a letter to each of you explaining the survey and requesting your participation. We urge each of you to take a few minutes and complete the confidential survey. The survey is open to all agency records officers and records liaisons so you may share the SRA letter with other records officers or liaisons who may not be on the NARA contact list. The survey will ensure that all agencies have input as NARA examines its records management policies and procedures. If you do not receive a survey by March 15, please notify Susan Cummings of the Policy and Communication Staff by email at [susan.cummings@nara.gov](mailto:susan.cummings@nara.gov), or by telephone at 301-713-7360, ext. 238.

### Delays in Other NARA Activities

Planning for change--as with the *Current Recordkeeping and Records Use* project--is time consuming, but essential if we are to update our processes and serve our customers better. In the short run, however, time spent on this initiative will delay the processing of some pending records schedules as well as other records management activities. We will work with you to ensure, if at all possible, that your most urgent schedule submissions, training requests, or other records management needs are addressed. Please discuss your priorities with your headquarters liaison in the Life Cycle Management Division (NWML), or the appropriate regional records management coordinator (NR).

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We anticipate completing the NWML and NR portion of the project by early summer and will then return to our regular records management activities. Other tasks and the analysis phase of the *Current Recordkeeping and Records Use within the Federal Government* project will continue after that, and these will be completed by late fall 2001.



MICHAEL L. MILLER

Director

Modern Records Programs

100-100000-24-700

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

February 8, 2001

NWM 07.01

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I look forward to seeing you at RACO 2001 on May 15.

A handwritten signature in black ink, appearing to read "Michael Miller", written in a cursive style.

MICHAEL L. MILLER  
Director  
Modern Records Programs

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**BEST PRACTICES IN RECORDS MANAGEMENT NOMINATION FORM**

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Area in which nomination is being made:

Justification (brief narrative) for nomination (please include samples of materials if needed to illustrate your nomination):

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# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

February 13, 2001

NWM 08.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS: Update on NARA Project *Information Gathering, Analysis, and Report on Current Recordkeeping and Records Use within the Federal Government*

As most of you know from previous announcements, NARA has begun a project to examine the current Federal recordkeeping environment in order to evaluate our own records management program. Periodically we will send out updates on the project. Additional information will also soon be available on the NARA Records Management web site.

### Web Survey

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### Delays in Other NARA Activities

Planning for change--as with the *Current Recordkeeping and Records Use* project--is time consuming, but essential if we are to update our processes and serve our customers better. In the short run, however, time spent on this initiative will delay the processing of some pending records schedules as well as other records management activities. We will work with you to ensure, if at all possible, that your most urgent schedule submissions, training requests, or other records management needs are addressed. Please discuss your priorities with your headquarters liaison in the Life Cycle Management Division (NWML), or the appropriate regional records management coordinator (NR).

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We anticipate completing the NWML and NR portion of the project by early summer and will then return to our regular records management activities. Other tasks and the analysis phase of the *Current Recordkeeping and Records Use within the Federal Government* project will continue after that, and these will be completed by late fall 2001.



MICHAEL L. MILLER

Director

Modern Records Programs

## PAGE 2205

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# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

March 23, 2001

NWM 10.2001

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on April 25, 2001, and February 21, 2001 BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting scheduled on Wednesday, April 25, 2001, from 10:00 a.m. to noon. The meeting will be held at the FEMA Headquarters Building at 500 C Street, SW, Washington, DC. The FEMA Building is accessible via the L'Enfant Plaza Metro stop (Orange, Blue, Green, and Yellow Line access). The Conference Room is located just off the lobby of the building.

The proposed topic is the web records management guidance currently under development at NARA, among other issues. An update on the "Changing Federal Recordkeeping Environment" project is also planned. This will include a discussion of the Contractor's data collection and the NARA Records Systems Analyses (RSAs) that are currently underway in several Federal agencies.

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66F-HQ-C1190059-145



November 13, 2001. Please mark the dates on your calendar.

I look forward to seeing you at the April 25 BRIDG Meeting at the FEMA Headquarters Building.

A handwritten signature in cursive script, appearing to read "Michael L. Miller".

MICHAEL L. MILLER  
Director  
Modern Records Programs

**Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary**  
**10:00 a.m. – 12:00 p.m., February 21, 2001**

**Room 105, National Archives Building, Washington, DC**

**TOPIC: "Records Management Issues and the Transition to the New Administration."**

About 80 people attended the February 21, 2001, BRIDG meeting to learn about records management issues affecting the transition to the new Administration. Michael L. Miller, Director of Modern Records Programs, opened the meeting by announcing that the National Archives and Records Administration (NARA) has received over 40 web site snapshots. He encouraged agencies to complete the snapshot process and then gave an overview of transition issues.

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Gary Stern, NARA's General Counsel, emphasized the importance of records officers establishing a connection with their general counsels. General counsels should be brought into records management processes as early as possible. Records officers need to work with general counsels to

- Minimize overall litigation risk
- Efficiently respond to discovery processes and access requests
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- Review records schedules (SF 115s) as they are being developed
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Marie Allen, Director, and Nina Frederick, Life Cycle Management Division, stressed the importance of "selling" records management to both departing and arriving officials. For departing officials, records officers should

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- Explain why Federal records can't be removed from agency custody
  - It's against the law
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  - agency guidance and handy reference aids
- Provide assistance
  - "It's not hard if you do it right"
  - Provide disposition authorities for use in accurate labeling, packing and storage
  - Provide information about storage, copying and access services
  - Provide advice on security classification issues

For arriving officials, records officers should

- Make early contact – be brief and to the point
- Explain why recordkeeping is important
  - Law and regulation require it
  - It's in your interest
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- Provide assistance
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Marie and Nina also discussed nine frequently asked questions that new officials are likely to have.

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- Stress the individual's service and the need to preserve agency history for posterity.
- Prepare and hand-deliver file labels and other records management information.
- Place labels, retention lists, and other tools for support staff on the agency's intranet site.
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- Ask for financial support.

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Nancy Smith, Office of Presidential Libraries, explained the differences among Federal records, Presidential records, and personal papers. Most records are created by Federal agencies, which are governed by the Federal Records Act. Presidential records are created by the Executive Office of the President and governed by the Presidential Records Act. She noted that many Cabinet-level officials also create personal papers that would nicely complement Presidential records at the Presidential Libraries. Examples of personal papers include

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## Washington National Records Center

4205 Suitland Road Suitland, MD 20746-8001

Dear Records Officer:

The Washington National Records Center (WNRC) wants to provide your agency the highest level of service. To do so, we need your continued cooperation in keeping the list of authorized requestors we maintain current.

Instructions for authorizing individuals to pick-up and/or request unclassified records

Complete blocks 1 through 4 for all individuals within your agency/office who are authorized to request and/or pick-up agency records.

Instructions for authorizing individuals to pick-up and/or request CLASSIFIED records

For those individuals who will be authorized to request and/or pick-up classified records, please complete blocks 1 through 10. Your agency's Security Officer initials in block 10 and signature on the form serves as the verification of the accuracy of the security clearance information.

Your signature, as Records Officer, on the form authorizes the listed employees to request and/or pick-up records from the WNRC. In addition, please provide the address of your agency as well as your agency record group in the appropriate blocks.

If you have provided us a list during the past six months, you do not need to submit a new list. But, you are reminded that any list we maintain will expire one year after the date present on the form. Therefore, please remember to update your list in a timely manner.

If at any time during the year you wish to add or delete an individual, please send a new authorization form which will supersede the form in file. In the event that an individual must be removed immediately, please call the Reference Service Branch at (301) 457-7010 and the form will be annotated per your instruction. But, we do ask that you send us a follow-up letter for our files. Remember that it is your responsibility to monitor access to your records.

If you would like this Excel form to be sent to you via e-mail, please e-mail Monsita Janifer at [monsita.janifer@nara.gov](mailto:monsita.janifer@nara.gov). If you have any questions, please call me at (301) 457-7010.

Sincerely,

LEANNE M. TOWNSEND  
Chief, Reference Services Branch

Attachment (1)

66F-HQ-C1190059-159

**PERSONNEL AUTHORIZED TO REQUEST OR PICK-UP RECORDS FROM THE WASHINGTON NATIONAL RECORDS CENTER**

**AUTHORIZATIONS EXPIRE AFTER ONE YEAR. INFORMATION SHOULD BE UPDATED PRIOR TO EXPIRATION.  
THIS LIST SUPERCEDES ALL PREVIOUS LISTINGS. PRIOR SUBMISSIONS WILL BE REMOVED FROM AUTHORIZATION FILE.**

**INSTRUCTIONS:**

For persons authorized to pick-up and/or request **UNCLASSIFIED** records complete only items 1 through 4 on the first line.  
For persons authorized to pick-up and/or request **CLASSIFIED** records complete items 1-10 (BOTH LINES). Do not write in shaded areas.  
For BLOCKS 3 and 4, please write **C** for classified, **U** for unclassified, or **BOTH** for both classified and unclassified.  
For BLOCK 10, Security Officer should initial all individuals authorized to pick-up and/or request classified records.

1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	10 - INTITAL
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I authorize the individuals identified above to request and/or pick-up records from the Washington National Records Center				***** AGENCY ADDRESS (MUST COMPLETE): *****	
Records Officer Signature		Telephone Number (Do not use DSN or Autovon)			
Date of Authorization		E-mail address			
Security Officer Signature		Security Officer - Telephone Number (Do not use DSN or Autovon)		Record Group Numbers: 8/28/2001	



# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

May 30, 2001

NWM 14.2001

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- 1) A high level discussion about agency priorities with respect to electronic records that NARA could help address; and
- 2) Obtaining feedback from records officers regarding what permanent records currently exist in electronic formats other than ASCII that will eventually need to be accessioned by NARA.

If you have particular examples of records in formats other than ASCII, suggestions, or questions that you would like addressed during this session, please email them to [records.mgt@nara.gov](mailto:records.mgt@nara.gov) by noon on June 22, 2001.

To reserve a place for the BRIDG meeting, please provide your name, telephone number, and number of attendees to Merisue D'Achille on 301-713-7110, extension 262, (or email [merisue.dachille@nara.gov](mailto:merisue.dachille@nara.gov)), no later than noon on June 22, 2001. The NARA Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 a.m. before the BRIDG meeting to discuss records center issues and answer questions.

A summary of the April 25, 2001 BRIDG meeting is attached. The topic of this meeting was "Web Guidance and Recordkeeping and Records Use Project."

I look forward to seeing you at the June 26 BRIDG Meeting.

MICHAEL L. MILLER  
Director  
Modern Records Programs

66F-HQ-1190059-163

## **Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary**

**10:00 a.m. – 12:00 p.m., April 21, 2001**

**FEMA Headquarters, 500 C Street, SW, Washington, DC.**

**TOPIC: Web Guidance and Recordkeeping and Records Use Project**

Approximately 50 people attended the latest BRIDG meeting on April 25, 2001. Michael L. Miller, Director of Modern Records Programs, and Mark Giguere, Records and Information Systems Analyst in Modern Records Programs, spoke about the National Archives and Records Administration's (NARA) current work on a web guidance policy. In addition, Michael Miller provided NARA updates. Lewis Bellardo, Deputy Archivist of the United States, and Susan Cummings, Policy and Communications Staff, presented an update on the *Current Recordkeeping and Records Use within the Federal Government Project*.

In his welcoming address, Mike Miller thanked Tammy Schartel and Muriel Anderson of FEMA for hosting the BRIDG meeting, since the National Archives building in Washington, DC is under construction.

### **Overview of Major Concepts in the Proposed NARA Web Guidance – Mark Giguere**

The following summarizes the main points of Mark's presentation:

#### **History**

The NARA web guidance development process began in January 2001 with an interoffice NARA group. In March 2001, an external focus group, including 24 individuals from agency records offices and IT shops, provided feedback on the document. In April 2001, a draft reflecting the work of both the interoffice group and the external focus group was developed for internal NARA review.

#### **Basic Philosophy**

The philosophy is to provide a framework to assist agencies in interpreting existing records management rules in the *Code of Federal Regulations* for their web site management.

#### **Audience**

The proposed web guidance will be designed with multiple audience groups in mind, including records officers, agency heads, Chief Information Officers (CIOs), IT operations staff, web operations staff, and contractors. The initial guidance is intended to be a high-level framework, similar to NARA's GPEA guidance. It will not be detailed guidance that answers all questions on web management. Instead, it will be a viable framework from which to build solid, substantive guidance in the future. NARA will share the draft web guidance for agency comment. We intend to offer training to accompany the final guidance. As we develop further specific guidance, separate training on those areas will also be available.

#### **Definition of records**

The first point discussed was the definition of web records. NARA's view is that web records are Federal records and should be managed accordingly. This includes both posted content and programmatic/operational records that document web activity. It is understood that web content

is constantly changing, and that a variety of identifiable files can be defined as content (html files, embedded files, images, scripts, copyright materials, etc.). It will be the specific agency's decision however, to determine whether items that are duplicated from paper onto a web site will be considered records. Generally, items on the web are considered records, as is information on posting items (owner, date of posting, etc.).

The web guidance will address the roles of various stakeholders. It will identify specific roles and responsibilities that agencies should assign to various parties. The framework covers many topics, such as risk analysis, program level, and records management personnel. However, while individual staff/organizations are targeted with specific responsibilities, it is also understood that many activities require cooperation and agreement.

### **Related Regulations**

In addition to the Federal Records Act (FRA), there are currently several laws and regulations that relate to and affect the web. Some of these are the Government Paperwork Elimination Act (GPEA), the Paperwork Reduction Act (PRA), Computer Security Act, OMB's policy on Cookies, and the Children's Online Protection Act.

### **Risk**

A risk assessment is a valuable tool to determine the adequacy of documentation requirements. Many agencies have already developed internal guidance for conducting risk assessments. NARA's web guidance will build on existing risk assessment policies in agencies.

### **Scheduling**

The web guidance will include a very high level discussion of scheduling, without providing specific scheduling guidelines. We will be seeking your input to assess what scheduling concerns should be raised in the initial high level guidance as well as in the specific, substantive guidance to come out later.

Michael Miller commented on the importance of identifying the risk level of a web site. A simple, static schedule can be developed for a small, simple web site. A larger, more general web site, which also includes a section that is not considered simple dissemination of information, may require a multi-level schedule. This schedule could include one section to deal with the static portion of the web site, and another section to deal with the rest. It is important to consider technical capabilities when scheduling a web site. Most IT shops do not want to break up a web site into pieces that are managed differently. An agency may be forced to keep all web records for the longest period corresponding to the section of the web site identified to have the most risk.

Several agency records officers suggested that the web guidance draft be broken up so that each audience receives specific guidance that outlines their responsibilities. To do this, two records management themes must be addressed: what needs to be done and who has responsibility. NARA may develop two guidance documents, one at a very high level that is directed towards agency heads, and a second that is broken down by the responsibilities for each specific audience. The BRIDG audience was receptive to the idea of two documents. The consensus

was that it would be helpful to define the stakeholders and their responsibilities, but it is also important to give agency heads an overview document that briefly explains the guidance.

Mark and Mike then asked the audience to think of any additional web related records management requirements or issues which are not currently addressed in the CFR but which relate to web site records. The audience raised issues such as formatting, preservation, migration, capturing, future access, and usability for the life for the record.

### **Web Guidance Questions and Answers**

- Q. When is the General Records Schedule (GRS) going to be rewritten to include web records?
- A. GRS covers administrative records. Most web records are programmatic records. Also, the GRS does cover records in all media, so those web records that are subject to the GRS can be disposed of using the authority of GRS.
- Q. Is NARA coordinating this work with CIOs and the CIO Council?
- A. As with the GPEA, NARA will ask the CIO Council to comment on the draft guidance.
- Q. What about intranet sites?
- A. Think about internal sites when conducting your risk analysis. Generally, there will be more applicable GRS authorities for internal sites, as they contain more personnel and office administration files.
- Q. Will NARA be asking agency records officers for comment?
- A. Yes.

### **NARA Updates – Michael Miller**

- NARA has identified the need to build bridges to the XML community. Watch for this in the future.
- New *Frequently Asked Questions on Imaged Records* and *Frequently Asked Questions on Optical Media* have been posted to the NARA Records Management web site at <http://www.nara.gov/records/faqs/optical.html> and <http://www.nara.gov/records/faqs/imaged/html>.
- A new product explaining the *Records Schedule Review Process* is on the web at <http://www.nara.gov/records/schedule.html>.
- The Web Snapshot project was met with very good agency cooperation. As of April 20, NARA had received approximately 550 submissions. Thank you for all your efforts.
- The upcoming RACO meeting (May 15, 2001) will discuss NARA's current Records Management Application (RMA) pilot.

- The next BRIDG meeting will be held June 26 at the National Archives Building. BRIDG meetings have been tentatively set for September 18 and November 13 at the Department of Energy, Forrestal Building. Please note that the Forrestal Building is located at the same metro stop (L'Enfant Plaza) as the FEMA Building. You will need a temporary badge to attend these meetings, so please arrive early to the meeting. The front desk will have a list of attendees that have registered for the meetings. More information about future meetings will be posted on the NARA records management web site at <http://www.nara.gov/records/>, as well as via Agency Records Officer memos.

### **Update on Current Recordkeeping and Records Use within the Federal Government Project – Lewis Bellardo and Susan Cummings**

Dr. Lewis Bellardo, Deputy Archivist of the United States, began his presentation by thanking agency and NARA staff for their support. Because of this, the project is gathering a great base of knowledge to evaluate NARA progress in records management. He then introduced NARA's current records management project – Records System Analyses (RSA) of agency work processes and records created by those processes.

Susan Cummings, Policy and Communications Staff, spoke of the project's progress to date. The RSA project has been undertaken to investigate the current recordkeeping and records use in the Federal Government. With this information, NARA will then determine where it needs to be in the future to assist agencies with their records management issues. There are two parts to this data collection. First, SRA, the NARA contractor, interviewed CIOs, General Counsels and Inspector General staff, and held focus group consisting of records users and creators. Sixteen agencies participated in this study, and the contractor was overwhelmed with ideas of what works, what doesn't, and suggestions for improvement. The web survey is still available for completion online at <http://surveys.sra.com/login.asp>. (password: recordkeeping) Currently, most of the participants of the web survey have been from the DC metro area.

NARA staff has also begun its phase of the RSA project. To conduct an RSA study, NARA staff visits an agency, and discusses current work processes with agency staff, and the collects information.

The next step in the project is for SRA to enter all the collected data into a relational database to identify trends and issues. Data analysis will begin in June or July, and NARA hopes to conclude by late summer how to use this information to enact change.

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

July 18, 2001

NWM 15.2001

MEMORANDUM TO AGENCY RECORDS OFFICERS: Request for comment on Proposed Rule on Records management: Simplification of records disposition procedures.

The National Archives and Records Administration has published a proposed rule beginning on page 37202 in the July 17, 2001, Federal Register to update certain procedures in 36 CFR Part 1228 – Disposition of Federal Records.

A copy of the proposed rule is posted on NARA's web site at

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2001\\_register&docid=01-17791-filed](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2001_register&docid=01-17791-filed)

You can also access a PDF version of the proposed rule at

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2001\\_register&docid=01-17791-filed.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2001_register&docid=01-17791-filed.pdf)

This proposed rule simplifies certain Federal records disposition procedures. It would permit agencies to provide copies of their records disposition manuals to NARA electronically, instead of submitting 20 printed copies. The proposed rule also eliminates the requirement that agencies request authority for a retention period that differs from the General Records Schedules if NARA previously had previously approved a retention period for the records of the agency.

We urge you to provide comments on this rule. Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-713-7270. You may also comment via electronic mail to [comments@nara.gov](mailto:comments@nara.gov). Please submit comments that are attached to an email as an ASCII file avoiding the use of special characters and any form of encryption. Please also include "Attn: 3095-AB02" and your name and return address in your email message. All comments received by **September 17, 2001** will be considered in developing the final rule.

**MICHAEL L. MILLER**  
Director  
Modern Records Programs

66F-HQ-1190059-164

[Federal Register: July 17, 2001 (Volume 66, Number 137)]  
[Proposed Rules]  
[Page 37202-37203]  
From the Federal Register Online via GPO Access [wais.access.gpo.gov]  
[DOCID:fr17jy01-30]

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

36 CFR Part 1228

RIN 3095-AB02

Records Disposition

AGENCY: National Archives and Records Administration (NARA).

ACTION: Proposed rule.

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SUMMARY: NARA is proposing to change the records management regulations in Subchapter B to simplify certain records disposition procedures. The current rule addresses only hard copy distribution of agency records disposition manuals. This proposed rule reflects agencies' use of the Internet and Intranets to distribute copies of agency records manuals that include the disposition authorities approved by NARA. The proposed rule also eliminates the requirement that agencies request authority for a retention period that differs from the General Records Schedules if NARA previously has granted a disposition authority specifically to an agency. This proposed rule will affect Federal agencies, and we urge agencies to provide comments on the proposal.

DATES: Comments are due by September 17, 2001.

ADDRESSES: Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-713-7270. You may also comment via the Internet to [comments@nara.gov](mailto:comments@nara.gov). Please submit Internet comments as an ASCII file avoiding the use of special characters and any form of encryption. Please also include "Attn: 3095-AB02" and your name and return address in your Internet message. If you do not receive notification that we have received your Internet message, contact the Regulation Comment Desk at 301-713-7360, ext. 226.

FOR FURTHER INFORMATION CONTACT: Nancy Allard at telephone number 301-713-7360 or fax number 301-713-7270.

SUPPLEMENTARY INFORMATION: NARA requires agencies to provide copies of records manuals that contain records

[[Page 37203]]

disposition authorities approved by NARA for distribution to NARA appraisal staff and records centers. The records centers need to have current instructions for scheduling the records sent for storage by Federal agencies. This proposed rule would permit agencies to provide copies of their records disposition manuals to NARA electronically, instead of submitting 20 printed copies as is now required.

Currently, agencies that wish to retain records for a different period of time than specified in the General Records Schedules must

request NARA approval, unless an agency received NARA approval for a shorter retention period prior to the issuance of the GRS. This means that if an agency wishes to retain records longer than provided in the GRS, it must submit an SF 115, Request for Records Disposition Authority, to NARA for approval even if NARA approved the longer retention period prior to issuance of the GRS item. This proposed rule would permit agencies to apply either the retention period in the GRS or the retention period previously approved for that agency's records. This change reduces the scheduling burden by eliminating the need for agencies to submit SF 115s when they have already scheduled a records series. Agencies must notify NARA if they will continue to use the agency schedule instead of the GRS.

This proposed rule is a significant regulatory action for the purposes of Executive Order 12866 and has been reviewed by the Office of Management and Budget. As required by the Regulatory Flexibility Act, I certify that this proposed rule will not have a significant impact on a substantial number of small entities because it applies only to Federal agencies. This proposed rule has no federalism or tribalism implications.

#### List of Subjects in 36 CFR Part 1228

Archives and records, Federal buildings and facilities, Incorporation by reference.

For the reasons set forth in the preamble, NARA proposes to amend Part 1228 of Title 36 of the CFR as follows:

#### PART 1228--DISPOSITION OF FEDERAL RECORDS

1. The authority citation for part 1228 continues to read as follows:

Authority: 44 U.S.C. chs. 21, 29, and 33.

2. Revise Sec. 1228.40 to read as follows:

#### Sec. 1228.40 Authority.

The Archivist of the United States issues schedules authorizing disposal, after specified periods of time, of temporary records common to several or all agencies of the U.S. Government. General Records Schedules authorize the destruction of records after the stated retention period expires. Application of the disposition instructions in these schedules is mandatory (44 U.S.C. 3303a), provided an agency has not already received disposition authority from NARA.

3. Amend Sec. 1228.42 by redesignating paragraph (c) as paragraph (d); revising paragraphs (a) and (b); and adding new paragraph (c) to read as follows:

#### Sec. 1228.42 Applicability.

(a) Agencies must apply GRS authorizations except as provided in paragraphs (b) or (c) of this section. Agencies must not include on SFs 115 records covered by the GRS unless a different retention period is requested, as specified in paragraph (c) of this section.

(b) Agencies may apply either the disposition instructions in the GRS or the disposition instructions previously approved by NARA in an agency schedule for the same series or system of records, unless NARA indicates that the GRS standard must be applied without exception. The authority chosen by the agency must be applied on an agency-wide basis. The agency must notify NARA if it intends to continue using the agency schedule.



(c) Except as provided in paragraph (b) of this section, agencies that wish a different retention period must request an exception to the GRS by submitting an SF 115 in accordance with Sec. 1228.30 accompanied by a written justification for the different retention period.

\* \* \* \* \*

4. Amend Sec. 1228.50 by revising paragraph (a)(4) to read as follows:

Sec. 1228.50 Application of schedules.

\* \* \* \* \*

(a) \* \* \*

(4) Agencies must submit to the National Archives and Records Administration (NWML) copies of published records schedules and all directives and other issuances relating to records disposition, within 30 days of implementation or internal dissemination.

(i) Agencies that print these materials for internal distribution must forward to NARA (NWML) three copies of each final directive or other issuance relating to records disposition and 20 copies of all published records schedules (printed agency manuals) and changes to all manuals as they are issued.

(ii) Agencies that make these materials available via the Internet or internally on an Intranet web site or by other electronic means must submit one printed or electronic copy to NARA in a format specified by NARA when the directive or manual is posted or distributed. If the document is posted on the Internet, the agency must also provide the Internet address (URL).

\* \* \* \* \*

Dated: July 6, 2001.

John W. Carlin,

Archivist of the United States.

[FR Doc. 01-17791 Filed 7-16-01; 8:45 am]

BILLING CODE 7515-01-U

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 2, 2001

NWM 15.2001 Addendum

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Changes to Federal Register Notice published July 17, 2001.

In regards to the NWM 15.2001, Request for Comment on Proposed Rule on Records Management: Simplification of Records Disposition Procedures you received on July 17, 2001, the following correction was published in the August 2, 2001 Federal Register at page 40166:

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
36 CFR Part 1228  
RIN 3095-AB02

Records Disposition

AGENCY: National Archives and Records Administration (NARA).

ACTION: Proposed rule; correction.

SUMMARY: This document corrects the preamble of a proposed rule published in the Federal Register on July 17, 2001, at 66 FR 37202. The proposed rule would change the records management regulations in Subchapter B to simplify certain records disposition procedures. Inadvertently, a paragraph was omitted from the Supplementary Information section of the preamble that identifies specific issues for which NARA seeks Federal agency comment.

FOR FURTHER INFORMATION CONTACT: Nancy Allard at telephone number 301-713-7360 or fax number 301-713-7270.

## Correction

In proposed rule FR Doc. 01-17791, beginning on page 37202 in the issue of July 17, 2001, make the following correction, in the Supplementary Information section. On page 37203 in the 1st column, add at the end of the first full paragraph the following new paragraph:

"The changes proposed in this rulemaking are intended to reduce Federal agency burden in the areas of submitting records disposition manuals to NARA and implementing disposition authorities for records covered by General Records Schedules. We specifically seek agency comment on the clarity of these proposed changes and whether they will indeed provide a benefit to the agencies."

66F-HQ-1190059-165

We strongly urge you to provide comments to let us know if the proposed rule would help you in your work, would cause you problems, or would have no effect. Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-713-7270. You may also comment via electronic mail to [comments@nara.gov](mailto:comments@nara.gov). Please submit comments that are attached to an email as an ASCII file avoiding the use of special characters and any form of encryption. Please also include "Attn: 3095-AB02" and your name and return address in your email message. All comments received by September 17, 2001 will be considered in developing the final rule.



**MICHAEL L. MILLER**  
Director  
Modern Records Programs

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

August 15, 2001

NWM 18.2001

MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on September 18, 2001, and June 26, 2001, BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting scheduled on Tuesday, September 18, 2001, from 10:00 a.m. to noon. The topic will be announced soon on NARA's web site at <http://www.nara.gov/records/bridg.html>. The meeting will be held at the Department of Energy Headquarters Building at 1000 Independence Avenue, SW, Washington, DC. The DOE Building is accessible via the Smithsonian Metro stop (Orange and Blue Line access). Take the Independence Avenue exit and walk one block on Independence to the DOE Building. A registration table will be located in the visitors' lobby.

Due to security requirements and limited capacity, an RSVP will be required. To reserve a place for the meeting, please provide your name, telephone number, and number of attendees to Mary Kay Schmidt on 301-713-7110, extension 255, (or email [marykay.schmidt@nara.gov](mailto:marykay.schmidt@nara.gov)), no later than noon on Tuesday, September 4, 2001. The NARA Records Center Program staff will host a Records Center Forum from 9:00 to 9:45 a.m. before the BRIDG meeting to discuss records center issues and answer questions. To register for the Records Center Forum, please contact Wendy Mallory at 301-713-7200, extension 222 (or email [wendy.mallory@nara.gov](mailto:wendy.mallory@nara.gov)).

A summary of the June 26, 2001, BRIDG meeting is attached. The topic of this meeting was "Agency Priorities and Format Issues Concerning Electronic Records." Please note the list of "Agency Priorities Concerning Electronic Records Issues and Guidance" on pages one and two. We invite you to submit comments on this list and additional suggestions via electronic mail to [records.mgt@nara.gov](mailto:records.mgt@nara.gov).

We sincerely appreciate that DOE offered to host this event, as the National Archives Building, at 7th and Pennsylvania Avenue, NW, Washington, DC, is currently undergoing renovations.

66F-HQ-1190059-168

DOE will also host the subsequent BRIDG Meeting at the same location on November 15, 2001.  
Please mark the date on your calendar.

I look forward to seeing you at the September 18 BRIDG Meeting at the DOE Headquarters Building.

A handwritten signature in cursive script, appearing to read "Michael Miller".

MICHAEL L. MILLER  
Director  
Modern Records Programs

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**Bimonthly Records and Information Discussion Group (BRIDG) Meeting Summary**

**10:00 a.m. – 12:00 p.m., June 26, 2001**

**Room 105, National Archives Building, Washington, DC**

**TOPIC: Agency Priorities and Format Issues Concerning Electronic Records**

Approximately 60 people attended the latest BRIDG meeting on June 26, 2001. Michael L. Miller, Director of Modern Records Programs, welcomed the participants and announced that three new records management posters are available from the Life Cycle Management Division. Records officers may request copies of the posters from their appraisal archivists.

**Update on Current Recordkeeping and Records Use within the Federal Government Project – Susan Cummings**

Susan Cummings, Policy and Communications Staff, presented an update on the *Current Recordkeeping and Records Use within the Federal Government* Project. She explained the data collection process and gave a statistical breakdown of responses to the web survey, agency participation through interviews and focus groups, and agency visits by NARA staff. Susan noted that the web surveys and personal interviews have revealed very diverse views and perceptions about the recordkeeping process. Gathered data is currently confidential, but the final report will probably be available to the public after NARA has completed its policy decisions. A majority of the audience indicated their interest in the project's progress. John Carlin, Archivist of the United States, will be speaking about the project at the National Association of Government Archives and Records Administrators (NAGARA) conference in July. Details will be available on the NAGARA web site. (The Archivist's NAGARA speech is available on the NARA web site at <http://www.nara.gov/nara/vision/NAGARA-f.html>.)

**Agency Priorities Concerning Electronic Records Issues and Guidance – Mike Miller**

Mike Miller asked records officers to propose priorities for NARA guidance concerning electronic records issues.

- Public Key Infrastructure (PKI). Agencies want storage requirements and good recordkeeping practices for digital signatures. Mike Miller referred to the NARA Records Management Guidance for Agencies Implementing Electronic Signature Technologies available on the NARA web site at <http://www.nara.gov/records/policy/gpea.html>. He also noted that Mark Giguere is developing more detailed recordkeeping requirements, but NARA won't issue detailed guidance for individual systems.
  - Systems certified by Department of Defense (DoD) Standard 5015.2. Mike Miller stated that agencies should generally work with their appraisal archivists. NARA will find a way to transfer the permanent records from an approved system to NARA. NARA is working with DoD to amend the standard to cover transfer export capability.
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- Budgetary aspects of implementing an electronic recordkeeping system. Mike Miller said that there is no mandatory Federal requirement for implementing an electronic recordkeeping system, but it complements the current electronic trends. Agencies should plan for electronic recordkeeping systems in the next budget cycle. Miller also announced that OMB is including in their revisions to A-11 language indicating that agencies need to consider the requirements of electronic transactions and electronic recordkeeping in their budget estimates. NARA is currently testing a records management application.
- Acceptable and unacceptable transfer formats for all electronic systems. Agencies want current guidance for each format and assistance for designing future systems. NARA is currently developing guidance on email, digital photographs, imaged documents, and web documents. Agencies want guidance on PDF and TIFF. Other agency-proposed formats for permanent records include DLT (20/40, 35/70, 40/80), and Statistical Analysis System (SAS) Xport transport format.
- VCR tapes. Agencies want guidance on storage and converting to professional-quality tapes for permanent series.
- Permanent versus temporary electronic records systems. There are general dispositions for hard-copy administrative records in the General Records Schedules. Under current guidance, if program activities become automated, agencies must develop new schedules. Related issues include the number of system iterations before a system must be rescheduled and the length of time that a records schedule remains valid.

#### **Computer Demonstration of Briefing for High-level Officials – Mary Drak**

Mary Drak, Life Cycle Management Division, demonstrated a five-minute PowerPoint presentation entitled, "Everything You Need to Know About Records – A Briefing for Managers." Audience members said that they would like to see a script or narrated version of the presentation, captions or descriptions added to the photographs and posters, and notes associated with the individual slides. Records officers may use the slides as a basic presentation and add material to personalize it for their own agencies. To receive a copy of the presentation by email, records officers should contact their appraisal archivists or send an email to [records.mgt@nara.gov](mailto:records.mgt@nara.gov).

In response to a question, Mike Miller said that he will raise the issue of restarting one-on-one briefings with agency heads with the Archivist. (Since the meeting, Mike has spoken with the Archivist, who is interested in restarting the briefing program.) NARA is working with the General Services Administration on briefings for new political appointees. Records officers suggested concepts to emphasize during high-level briefings, including legal obligations and the importance of calendars, emails, and voicemails created and used during the course of daily activities. NARA hasn't created a records management video for program staff, but videotapes of training classes are available.

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### **Distance Learning Initiative – Joe Byrnes**

Joseph Byrnes, Life Cycle Management Division, introduced a multi-year distance learning training initiative. NARA staff are working with the Project E-Learning E-Training (PELET) interest group to develop small “chunk” tools and tutorials that will be useful to desktop users. The group is currently inventorying tutorials available on the Internet and then plans to hire a contractor to conduct a needs analysis for developing future dynamic learning objects. Additional modules, based on the results of the needs analysis, will be added to the initial tools inventory. Records officers suggested a list of reference material and an interactive “chatroom” forum as useful features of a distance learning web site. Joe asked records officers to think about and respond to the following questions concerning their learning preferences:

- What is your preferred learning style – classroom, web, self-paced PowerPoint, web?
- Where do you like to learn – desk, off-site, training room?
- How often do you like to have instruction – self-directed, just in time, regular schedule, online access?
- How do you like to learn – interactive, reading text, mentoring?
- What tools do you like to use – listserv, CD-ROMS, teleconference, manuals, using web at home or at work?

Records officers may send feedback, suggestions, or requests to be added to an “updates” email list to Joe Byrnes at [joseph.byrnes@nara.gov](mailto:joseph.byrnes@nara.gov).

### **NARA Updates – Mike Miller**

- NARA will soon announce additional hires for Targeted Assistance positions.
  - Marie Allen, Director of the Life Cycle Management Division, is on detail for six months at the NATO Archives in Brussels, Belgium. Records officers may contact Mike Miller, Acting Director of the Life Cycle Management Division, if they need assistance.
  - The next BRIDG meeting will be held September 18 at the Department of Energy, Forrestal Building. Additional information will be available on the NARA records management web site at <http://www.nara.gov/records/>, as well as via Agency Records Officer memos.
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at the  
NATIONAL ARCHIVES AND  
RECORDS ADMINISTRATION

presents

The seal of the National Archives and Records Administration is visible in the background. It is a circular emblem with the words "NATIONAL ARCHIVES AND RECORDS ADMINISTRATION" around the top and "1965" at the bottom. In the center is an eagle with a shield, holding an olive branch and arrows.

# ***INFORM***

**Electronic Reports of  
Records Center Holdings  
With Search and Query Capabilities**

Contact the Records Center Program at  
(301) 713-7210  
and speak with your Account Representative

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## Account Representatives

*Your Account Representatives can be reached at (301) 713-7210 at the extension listed below.*

Department of Energy  
Department of Health and Human Services  
Department of Transportation  
National Archives and Records Administration  
Office of Personnel Management  
United States Postal Service

**Michele Romero** .....ext. 233

Department of Treasury (including Internal Revenue Service)  
Department of Justice (including Immigration and Naturalization Service)  
**Angela Tillery (Acting)** .....ext. 239

Department of Agriculture  
Department of Education  
Department of Labor  
Department of Housing and Urban Development  
Railroad Retirement Board  
Department of Interior  
Environmental Protection Agency  
General Services Administration

**Angela Tillery** .....ext. 239

Administrative Office of the U.S. Courts  
Executive Office of the President  
Records of the Judicial Branch  
Records of the Legislative Branch  
DC Government  
Department of State  
Social Security Administration  
Independent agencies

**Sandra Wayman** .....ext. 243

Department of Commerce  
NASA  
Tennessee Valley Authority  
Patent and Trademark  
Department of Defense  
Department of Veterans Affairs  
Federal Deposit Insurance Corporation

**Laura Bell** .....ext. 252

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Century Indicator: <input type="text"/>	<b>INFORM</b>		Search	Sort by Records Center
Center Code: <input type="text"/>	Subgroup: <input type="text"/>	DAU: <input type="text"/>	Clear Search	Sort by Record Group
Accn. No: <input type="text"/>	ROA: <input type="text"/>	DCODE: <input type="text"/>	Print 2-line 01 Report	Sort by Disposal Authority
The accession sequence number must be preceded by a letter, dash, or asterisk (*)		DISP YR/ Mo: <input type="text"/>		Go to Access
		FRZ1: <input type="text"/>		
		FRZ2: <input type="text"/>		

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A	000	-	19	00	-0001	64N		8	S	B0783211	B0783222	R	A	N		0		RG163 ARCHIVES
A	000	-	19	00	-5424	64N		1	S	V0100262	V0100262	S	A	N		0		RG181 ARCHIVES
A	000	-	19	46	-154A	64N		8	S	V0290423	V0290434	S	A	N	NN373/91	0		RG181 ARCHIVES
A	000	-	19	48	-1866	64N		7	S	V0290455	V0290465	S	A	N	NN373/91	0		RG181 ARCHIVES
A	000	-	19	49	-2163	64N		18	S	V0290466	V0290635	S	A	N	NN373/91	0		RG181 ARCHIVES
A	000	-	19	51	B107W	64N		168	S	D0411771	D0412936	R	A	N		0		RG234 ARCHIVES
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A	000	-	19	52	-0013	64N		3	S	D0873941	D0873943	R	A	N		0		RG234 ARCHIVES
A	000	-	19	52	-0034	64N		9	S	J0401355	J0401371	R	A	N		0		RG234 ARCHIVES
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A	000	-	19	52	-0094	64N		11	S	B0872211	B0872225	A	N			0		RG026/036 ARCH
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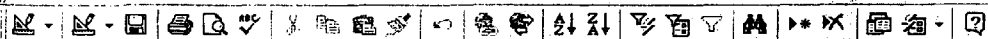
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National Archives and Records Administration  
Accession Number Master List (01)

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021-00-0000 A		4NCA		3B V		C0170471 C0170475		N	R		D	INVENTORY BOOKS	1			9	76	1
021-00-0000 A	001	4NCA		3B V		C0171651 C0171655		N	R		D	INVENTORY BOOKS	1			9	76	1
021-00-0001 A	CTA CHA	ACTA CHA		7F A		C0272714 C0272734		N	O	DC/A7B4	S 2020 01	CIVIL CASES CHATTANOOGA	1	7		C199101 D 99		199112 1
021-00-0002 A	CTA CHA	ACTA CHA		13S A		H0263373 H0263523		N	O	DC/A7B2	P 2020 01	CIVIL CASES 70 LATER CHATTANOOGA	1	13		C199201 D 99		199212 1
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021-00-0004 A	CTA CHA	ACTA CHA		9S A		J0353545 J0353561		N	O	DC/A6B	P 2020 01	CRIMINAL CASE FELONY CHATTANOOGA	1	9		C199101 N 99		199112 1
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021-00-0007 A	CGC ATL	ACG		11S A		C0432516 C0432534		N	O	DC/A7B2	P 2020 01	CIVIL CASES 70 LATER ATLANTA,GA	1	11		C198601 1 00		198612 1
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021-00-0019 A	CGC ATL	ACG		1B A		E0253211 E0253211		N	O	DC/B1	P 2008 01	MINUTE SHEETS-CIVIL ATLANTA,GA	1	1		C198110 1 00		198312 1
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021-00-0021 A	CGC ATL	ACG		40S A		J0100376 J0100573		N	O	DC/A18A2	D 2010 01	COURT REPORTER'S REC ATLANTA	1	40		C198601 1 00		199712 1
021-00-0022 A	CSF GRE	ACSF		2F A		D0754514 D0754516		N	O	DC/A6E	S 2020 01	CRIMINAL CASES GREENVILLE,SC	1	2		C199501 D 99		199712 1

Microsoft Access - [08 - By disposal authority : Select Query]

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DAU	RG	AF	ACNO	SUB	VOL	BEGIN	LO	SERIES	DI	DISF	DIS
VB1//13/061/100	015	85	-0049		1	HL025454	E/S XRAY NAVY	84	D	2050	01
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VB1//13/061/100	015	85	-0073		2	HL027411	E/S XRAY NAVY	85	D	2051	04
VB1//13/061/100	015	85	-0075		11	HL027419	E/S XRAY NAVY	84	D	2050	01
VB1//13/061/100	015	85	-0077		3	HL027402	E/S XRAY NAVY	84	D	2050	01
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Record: 1 of 740704

Datasheet View

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## ***The Washington National Records Center***

**is currently expanding  
the WNRC Pick-up and Delivery Service to  
new customers.**

**Previously, this service was limited to about  
twelve federal agencies.**

**But for the next two months, customers have  
the chance to sign-up for the Pick-up and  
Delivery Service.**

### ***The benefits of this service are:***

- ◆ **Pick-up and approval of SFs 135 within three days**
  - ◆ **“Guaranteed” 24 hour service on requests**
  - ◆ **Same day refiling**
  - ◆ **Same day delivery for emergencies, in many cases**
- ◆ **Your own “personal” delivery technician to bring records  
to your agency**

**If you are interested in hearing more about this  
service, please call Taiqua Wormley at 301-457-  
7181/7180 or Alan Kramer at 301-457-7000.**

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**BRIDG Meeting Agenda**  
**DOE, Forrestal Building, 1000 Independence Ave., SW, Washington, DC**  
***10 a.m. to Noon, September 18, 2001***

**Welcome**

Mike Miller, Director, Modern Records Programs, NARA

**Moment of Silence**

**Update on the Current Recordkeeping and Records Use within the Federal Government Project**

Dr. Lewis Bellardo, Deputy Archivist of the United States

**NARA's Gaps Project**

Bill LeFurgy, Modern Records Programs, NARA

**Brief Review of Vital Records**

Mike Miller, Modern Records Programs, NARA

**Suggestions for Future Briefings on CD-ROM**

Mike Miller, Modern Records Programs, NARA

**Review of Agency-Proposed Priorities for NARA Guidance Concerning Electronic Records Issues\***

Mike Miller, Modern Records Programs, NARA

**NARA Updates**

Mike Miller, Modern Records Programs, NARA

**Wrap-Up**

Mike Miller, Modern Records Programs, NARA

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**\*Agency-Proposed Priorities for NARA Guidance Concerning Electronic Records Issues**

1. Public Key Infrastructure (PKI) - storage requirements, recordkeeping practices for digital signatures.
  2. Systems certified by Department of Defense (DoD) Standard 5015.2.
  3. Budgetary aspects of implementing an electronic recordkeeping system.
  4. Acceptable and unacceptable transfer formats for all electronic systems.
  5. VCR tapes - storage and converting to professional-quality tapes for permanent series.
  6. Permanent versus temporary electronic records systems.
-

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

September 12, 2001

NWM 19.2001

## MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: Request for comment on Proposed Rule on Micrographics Records Management.

NARA has published a proposed rule to update standards in NARA's Micrographic Records Management regulation (36 CFR Part 1230). Specifically, it updates the editions of industry micrographic standards that must be used. Also, the regulation is rewritten in plain language format. The proposed rule is published in the September 11, 2001 Federal Register at page 47125. Comments are due by November 13. A copy of the proposed rule is available at <http://www.nara.gov/nara/pubcom.html>

We urge you to provide comments on this rule. Comments must be sent to Regulation Comment Desk (NPOL), Room 4100, Policy and Communications Staff, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. They may be faxed to 301-713-7270. You may also comment via electronic mail to [comments@nara.gov](mailto:comments@nara.gov). Please submit comments that are attached to an email as an ASCII file avoiding the use of special characters and any form of encryption. Please also include "Attn: 3095-AB06" and your name and return address in your email message. All comments received by November 13, 2001 will be considered in developing the final rule.

As a reminder, comments (positive or negative) on the Proposed Rule on Records Management: Simplification of Records Disposition Procedures (NWM2001.15) are due by September 17, 2001. Please see <http://www.nara.gov/records/nwm15-01.html> for further information.

**MICHAEL L. MILLER**  
Director  
Modern Records Programs

66F-HQ-1190059-172



*National Archives and  
Records Administration*  
Washington, DC 20408

**NARA BULLETIN**  
**NO. 2001-03**

September 24, 2001

TO: Heads of Federal Agencies

SUBJECT: Disposition of electronic records (NARA Bulletin 99-05)

EXPIRATION DATE: October 1, 2003

1. What does this bulletin do? This bulletin notifies agencies to continue to submit records schedules covering new or revised series to NARA using the procedures established by NARA Bulletins 98-02 and 99-05. It also reminds agencies of their general recordkeeping responsibilities.

2. What are the procedures for submitting records schedules for new or revised series? New and revised items on SF 115s, Request for Records Disposition Authority, submitted for NARA approval must include provision for the disposition of both the copy of a record that resides on electronic mail or other office automation application, and the copy maintained in the recordkeeping system:

a. When new and revised items include records generated on office automation applications, the description on the proposed schedule should indicate that records were generated using office automation, AND

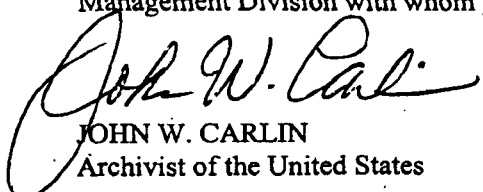
b. For each such item the proposed schedule should provide separate disposition instructions for the recordkeeping system described in the schedule and for the electronic copy created by the office automation application.

3. What are agency recordkeeping responsibilities? NARA regulations in 36 CFR chapter XII, Subchapter B provide guidance and requirements on recordkeeping policies and practices to assist agencies in ensuring adequate and proper documentation of agency activities. To support operational needs, protect rights, and allow accountability, agencies must create and preserve complete records in designated recordkeeping systems.

a. To ensure complete documentation, records (including those generated electronically with office automation applications) should include proper identification of originators and recipients, appropriate dates, and any other information needed by the agency to meet its business needs. Records generated with an office automation application must be copied to a recordkeeping system where they will be maintained as long as they are needed by the Government.

b. Proper recordkeeping systems organize or index records to provide context and to allow appropriate staff access to all records relating to a specific transaction, project, study, or subject. Recordkeeping systems may be in paper, micrographic, or electronic format.

4. Who do I contact for further information? Address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.

  
JOHN W. CARLIN  
Archivist of the United States

66F-HQ-1190059-173

# National Archives at College Park



8601 Adelphi Road College Park, Maryland 20740-6001

October 2, 2001

NWM 01.2002

MEMORANDUM TO AGENCY RECORDS OFFICERS AND INFORMATION RESOURCE MANAGERS: *Federal Register* notice on new General Records Schedule, Information Technology Records; request for comment

Enclosed for your review and comment is a draft *Federal Register* notice seeking public comment on the proposed new General Records Schedule (GRS) 24, Information Technology Operations and Management Records. Please coordinate your review with your CIO, and submit a unified agency response to both NARA and OMB by October 26, 2001, as noted below.

OMB has asked us to emphasize that this review constitutes the final agency review of the draft GRS and any substantive concerns with the coverage of records and their proposed retention periods in the proposed GRS items should be identified now. Once the GRS 24 is approved, its application is mandatory. You will need to request an alternative disposition authority from NARA by submitting a Standard Form 115, Request for Disposition Authority, if the retention periods in the GRS do not meet your agency's needs.

We welcome all comments, and request your comments on the following points in particular:

- Is the description of the records under each item clear and relevant to the records of your agency? If it is not, please identify by item number what is not clear and what changes your agency would need.
- Are the proposed retention periods clear, and are they appropriate for your agency's records? If not, please identify by item number what is not clear or why the retention period is not appropriate, and what changes are needed to make the item appropriate for your agency's records.
- Is the rationale for the retention periods understandable?
- Does the notice clearly explain the development and coverage of the draft schedule?
- Does the introduction to GRS 24 adequately convey its distinction from GRS 20?

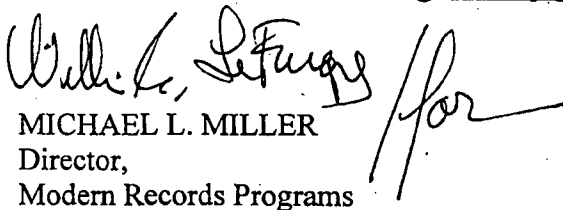
66F-HQ-1190059-174

Contact Jean Keeting at [jean.keeting@nara.gov](mailto:jean.keeting@nara.gov) for a WordPerfect or Word version to circulate within your agency. If you have questions about the notice or comment process, please contact Nancy Allard on 301-713-7360, extension 226.

Please send comments by October 26, 2001, to the following NARA and OMB addresses. Electronic submission is preferred.

**NARA:** Nancy Allard, Senior Policy Specialist, Policy and Communications Staff (NPOL), 8601 Adelphi RD, College Park, MD 20740-6001; by electronic mail at [nancy.allard@nara.gov](mailto:nancy.allard@nara.gov); or by fax to 301-713-7270.

**OMB:** Brooke Dickson, OMB Desk Officer for NARA, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503; by electronic mail at [bdickson@omb.eop.gov](mailto:bdickson@omb.eop.gov); or by fax to 202-395-5167.

  
MICHAEL L. MILLER  
Director,  
Modern Records Programs

Enclosure

Billing Code: 7515-01 U

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

New General Records Schedule, Information Technology Operations and Management  
Records; Request for Comments

**AGENCY:** National Archives and Records Administration.

**ACTION:** Notice of proposed records schedule; request for comments.

**SUMMARY:** As required by statute (44 U.S.C. 3303a(d)), the National Archives and Records Administration (NARA) issues General Records Schedules (GRS) to provide disposal authority for temporary administrative records common to several or all agencies of the Federal Government. The GRS include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions. NARA has developed a new General Records Schedule, *Information Technology Operations and Management Records*, to provide disposal authority for certain administrative records generated in or acquired by agency components responsible for developing and operating network infrastructure and systems.

NARA invites public comments on this proposed new general records schedule, as required by 44 U.S.C. 3303a(a). Because of the widespread interest in the management of electronic records, NARA is publishing the full text of the schedule with additional information on each item.

**DATES:** Comments must be received in writing on or before [insert date 60 days after date of publication].

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**ADDRESSES:** Comments should be sent to Modern Records Programs (NWM), National Archives at College Park, 8601 Adelphi Road, College Park, MD 20740-6001, faxed to 301-713-6852 or 301-713-6144, or sent to the following Internet address: [records.mgt@nara.gov](mailto:records.mgt@nara.gov).

**FOR FURTHER INFORMATION CONTACT:** Michael L. Miller, Director, Modern Records Programs, (301) 713-7110, extension 229.

**SUPPLEMENTARY INFORMATION:**

In 1978, use of the GRS was made legally mandatory. A Federal agency must destroy records in accordance with the GRS to the greatest extent possible. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit a Standard Form (SF) 115 providing justification for the desired deviation.

Relationship of this draft GRS to GRS 20, Electronic Records

This schedule does not duplicate or replace GRS 20, Electronic Records. The proposed new schedule addresses the administrative records generated by units responsible for technical management of IT resources. The functions covered by the proposed GRS 24 are comparable to the administrative functions relating to budgeting, contracting, human resources, and property management that are covered by other GRS. The proposed GRS 24 does not apply to system data or information content, which must be scheduled separately.

GRS 20 remains in effect to cover the records described in that schedule. GRS 20 records include certain files associated with temporary data base management systems such as print files, extract files, source records, and certain disposable electronic records produced by end users in office automation applications. NARA will conduct a separate review concerning the continuation of GRS 20 disposition authorities as part of its comprehensive review of the policies and procedures for scheduling and appraisal of records in all formats.

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### Background - Development of this draft GRS

In late 1997, the Archivist established an interagency Electronic Records Work Group to review General Records Schedule 20 and recommend revisions to that schedule or other practical solutions for the scheduling of electronic records. In 1998, the work group submitted its final report to the Archivist (<http://www.nara.gov/records/grs20/reprt914.html>) recommending, among other things, that NARA issue a new general records schedule for information technology operations and management records to supplement, not replace, GRS 20.

Building on the efforts of the Work Group, NARA drafted a new GRS for common administrative records relating to operation and management of information technology and related services. Federal agencies reviewed the draft in the summer of 1999. The draft, revised in response to agency comments, was discussed at a January 2000 focus group meeting with agency records management and information technology management officials. NARA made appropriate changes in response to comments made at the meeting and in June 2000 again requested comments from Federal agencies.

Overall, agencies found that the schedule draft they reviewed in 2000 generally fits their records and could be implemented without undue difficulty. In response to specific comments about terminology, apparent redundancies, and retention periods for some items, NARA consolidated some items and provided other clarifications to address the concerns. NARA believes the schedule is now at the appropriate level of detail. Given the agencies' interest in having more flexibility in applying disposition standards for temporary records, NARA eliminated the cutoff instructions and reworded some of the disposition instructions to allow agencies disposition options based on their internal procedures and operations. NARA clarified

that the schedule covers only the temporary administrative records described in the various items. It does not cover all records maintained by Information Technology (IT) management organizations. Agency responsibilities to schedule records documenting unique agency programs should now be more apparent.

Throughout the process of developing and refining this new GRS, NARA representatives consulted with agency records officers and IT officials to resolve questions and clarify coverage of items. NARA analysts also reviewed records both within NARA and in a number of other agencies to ascertain the content of files. The information gathered during these consultations and examination of records is reflected in the appraisal analysis described below. Federal agencies should note that the disposition instructions for items 3b(2), 4a, 5a-b, 6a, and 9b, and the description for item 12a were slightly modified after the 2000 draft was distributed for review.

On the advice of the Office of Management and Budget, NARA requested Federal agency review of this notice containing the proposed schedule and explanatory information for each item. This information includes the records appraisal analysis normally provided in a separate appraisal memorandum. Given the multiple reviews by Federal agencies, NARA believes that this schedule will be useful and relevant to agencies.

NARA now invites public comment on this proposed new General Records Schedule for Information Technology Operations and Management Records. Following is the complete text of the proposed GRS. The explanatory information and appraisal analysis is provided in brackets at the end of each item.

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## **GENERAL RECORDS SCHEDULE 24 --**

### **INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS**

#### **INTRODUCTION**

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by



providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.

1. Oversight and Compliance Files.

Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a. Performance measurements and benchmarks.

Destroy/delete 1 year after office of record determines that there are no unresolved issues or 5 years after data is entered, whichever is longer.

b. All other oversight and compliance records including:

- audits and management reviews
- certification and accreditation of equipment
- quality assurance reviews and reports
- reports on implementation of plans
- effectiveness evaluations, and compliance reviews
- data measuring or estimating impact and compliance

Destroy/delete 1 year after office of record determines that there are no unresolved issues or 3 years after data is entered whichever is longer.

[NOTE: See item 3 for performance files relating to systems.]

[Appraisal analysis: Item 1a covers such records as statistical performance data concerning system (and network) operations, including process steps or paths, time required for completion, and event or error indicators. These records include system availability reports that draw upon sample performance indicators to measure overall system performance.

Item 1b covers such materials as target IT architecture reports, systems development lifecycle handbooks, computer network assessments and follow-up documentation, and certification and accreditation of equipment. These records are critical to the proper functioning of systems. Network assessments, for example, are conducted at regular intervals, and in cases where performance is found to be in need of improvement, the agency institutes a process to change or upgrade network equipment, configuration, or other components. Records under this item typically take the form of structured reports. Examples include contractor evaluation reports and other quality assurance records, market analyses and performance surveys, and benefit-cost analyses. Agencies may also maintain other compliance reviews including related analyses such as histograms illustrating trends across time for various groups, activities, and systems, and follow-up correspondence and corrective action reports.

The proposed dispositions for these will ensure the availability of records for a period of time that is sufficient to allow adequate systems management and will also ensure the preservation of records identifying problems until the problems have been resolved.]

2. IT Facility and Site Management and Equipment Support Services Records.

Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located including:

- files identifying IT facilities and sites, and
- files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

Destroy/delete when 3 years old.

[Appraisal analysis: These records document the control and operation of buildings and rooms where IT equipment, systems, and storage media are located. Files include listings of facilities, trouble reports, reports on site visits and inspections, and service histories for equipment. Also included are copies of agency directives and lines of authority relating to such matters as facility operations, physical security of facilities, environmental security, including documents on fire prevention and control, electric power supply protection, magnetism protection, and "good housekeeping" procedures for protection against dust, dirt, and fire hazards.

These records need only to be kept for a relatively short period of time to satisfy administrative and operational needs. The proposed three-year retention period is adequate to ensure that IT operations are carried out in an environment that meets all applicable standards.

Records documenting control and operation of facilities that are maintained by units responsible for facilities management and physical security are retained for varying periods of time in accordance with other GRS items (e.g., GRS 18, items 9 and 10) and individual agency schedules.]

3. IT Asset and Configuration Management Files.

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- a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Destroy/delete 1 year after completion of the next inventory.

- b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of specific systems. Includes, but is not limited to:

- (1) Data and detailed reports on implementation of systems, applications and modifications; assessments of effectiveness, application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release management.

Destroy/delete 1 year after termination of system.

- (2) Records of IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.

Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

[Appraisal analysis: This item covers routine administrative records such as inventories of assets, including equipment control systems, databases of barcodes affixed to physical assets, work orders and service histories on maintenance of network infrastructure, and reports and other files relating to system implementation and

modification. Detailed information is found in bar code reports, asset management guides, requests for services, requisitions for equipment, leases, change orders, purchase orders, property transfer control systems, flow reconfiguration requests, standardization requests and justifications. Other records include listings of devices such as routers, hubs, switches, and servers, described by make and model, location, and pertinent capacity and configuration information.

The proposed retention period in item 3a is appropriate since only current inventories are needed. Note that documents (or sections of documents) that are unchanged from prior inventories but that remain valid are kept in conjunction with current inventories. The proposed disposition instructions for item 3b1 reflects the business need to retain for the life of a system detailed reports and data concerning the implementation, modification, upgrading, and systems. For item 3b2, the proposed disposition enables disposal of system maintenance records when three years old or one year after termination of the system, whichever is sooner. This will enable the agencies to ensure that proper maintenance procedures have been followed and to allow for any follow-up activities. If any maintenance activities have a major impact on a system, or lead to a significant change, those activities should be documented in item 3b1.]

4. System Backup and Tape Library Records.

- a. System backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

- (1) Destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

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- (2) Destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

[NOTE: See GRS 20, item 8, for individual file backups.]

- b. Automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

Destroy/delete when superseded or obsolete.

[Appraisal analysis: This item pertains to records accumulated to ensure the ability to resume operations in the event of a system failure. Item 4a covers incremental and full system backup tapes maintained for potential system restoration. Item 4b applies to automated files and manual records controlling location maintenance, and disposition in a tape library of the records covered by item 4a, including lists of holdings and control logs. These records include "vault lists," and other reports listing all back-up medium, documents certifying the completion of backup processes, and other run tasks and differential backup activities. Tape libraries also maintain the addresses of offsite storage facilities, and "bin" location within storage facilities.

Agencies may produce backups for purposes other than system restoration. Individual file backups are covered in GRS 20, Electronic Records, Item 8, Backups of Files, which are produced by individual users in the course of their business activities to ensure against the loss of documents and other data. Item 4a pertains to backups implemented by systems administrators to ensure the ability to restore the entire system in the event of a major network failure.

The proposed GRS provides that incremental back-up tapes be destroyed when 90 days old. This retention should be adequate considering that the commonly accepted IT practice is to produce full system backups at the end of a processing week. For the purposes of full or partial system restoration, typically only the most recent backup tapes (incremental or full) are needed. Likewise, records used to control the location, maintenance, and disposition of magnetic media in a tape library are no longer needed when they have become superseded or obsolete.]

5. Files Related to Maintaining the Security of Systems and Data.

a. System Security Plans and Disaster Recovery Plans

Destroy/delete 1 year after system is superseded.

b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

Destroy/delete 1 year after system is superseded.

[Appraisal analysis: Item 5a provides disposal authority for records that outline official procedures for securing and maintaining IT infrastructure, typically system security plans, disaster recovery plans, and continuity of operations plans. The files include such records as published computer technical manuals and guides, examples and references used to produce guidelines covering security issues related to specific systems and equipment, records on disaster exercises and resulting evaluations, network vulnerability assessments, risk surveys, and other studies, such as formal security vulnerability assessments conducted by IG offices. These records relate to the specific systems for which they were written.

System replacements will have new security and risk management requirements that may

be totally-different because of the architecture of the replacement system. The retention period will satisfy administrative needs, as records will be retained for one year beyond the life of the system.

Item 5b covers analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Examples of specific documents are automated information systems security directives and computer virus handbooks. The retention period for these records reflects the need to retain records while a system is current and provides for review of documentation for superseded systems in connection with ensuring adequate protection for new systems.]

6. User Identification, Profiles, Authorizations, and Password Files.

EXCLUDES records relating to electronic signatures.

a. Routine Systems.

Destroy/delete when system user information is updated or terminated, or when no longer needed for security purposes, whichever is later.

b. Systems Requiring Special Accountability.

Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for security purposes, whichever is later.

[Appraisal analysis: This item provides disposition instructions for user identification records, including user profiles and passwords. Item 6a pertains to routine systems, and item 6b pertains to records associated with systems requiring special accountability, such as systems containing information that is security classified.

Records covered under item 6a are typically system generated according to preset requirements. A system may, for example, prompt users for new passwords every 90 days for



all users. For routine systems, records concerning user identification are to be destroy/deleted by systems after a user account is terminated or password is altered. Agencies indicated that for systems not requiring special accountability the proposed retention period would be sufficient, since the disposition instruction includes the option of retaining files longer if needed for security purposes.

Item 6b covers systems requiring special accountability, and authorizes destruction of records concerning user identification six years after a user account is terminated or password is altered, or when is no longer needed for security purposes, whichever is later. This will permit agencies to retain user identification records associated with highly sensitive or potentially vulnerable systems in order to provide historical data that may be needed in support of investigations or litigation arising from inappropriate access.]

7. Computer Security Incident Handling, Reporting and Follow-up Records.

Destroy/delete 3 years after all necessary follow-up actions have been completed.

[Appraisal analysis: This item covers records relating to attempted or actual system security breaches, including break-ins ("hacks"), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets.

These records typically consist of narrative reports and background documentation relating to individual events or issues. Other records provide information on computer virus identification, virus hoaxes, malicious software indicator guides, and virus detection and prevention tips.

The proposed retention period is appropriate. Retaining records for 3 years after all follow-up actions, including judicial procedures, have been completed ensures the availability of active case records and provides an adequate amount of time after a case is closed for any necessary

follow-up action. Any significant incidents (e.g., a major system failure or compromise of critical government data) would be documented in program records, such as those in the office of the Inspector General, which must be scheduled separately.]

8 Files on Usage and Monitoring of IT Systems, Services, and Resources.

a. Usage and monitoring data and reports, including but not limited to:

Operations data, such as system event logging, log-in files, system usage files and audit trails, reports on workload management; and audit trails of problems and solutions, usually in electronic format, EXCLUDING "cookie" files (see note).

Destroy/delete 180 days after creation or when no longer needed for management review, whichever is later.

[NOTE: This item does not require agencies to retain "session cookies" for 180 days. Session cookies are automatically deleted by Internet software programs at the end of the connection to the web site. Agencies that capture and store "persistent cookies" containing the Internet addresses of people who access their web sites must schedule those cookie files.]

b. Reports on operations, including summary computer usage reports, measures of benchmarks, performance indicators, and critical success factors; error and exception reporting, self-assessments, performance monitoring, and management reports.

Destroy/delete when 3 years old.

[Appraisal analysis: Item 8a covers records used to monitor system usage, including event logging, log-in files, system usage files (including employee use of the Internet), audit trails, and other operations data. This item describes those records kept separately from normal internal system monitoring data.

Records include controls required for remote access to systems, logs of remote access connections, and access audit trail monitoring logs and reports.

The proposed disposition instructions will provide agencies sufficient time to review the records to ensure against improper use of systems. Any records needed for audit or investigation would be retained until the conclusion of that activity (36 CFR 1228.54).

Item 8b covers reports on operations, including summary computer usage reports, measures of benchmarks, performance monitoring, and management reports. Agencies indicated that the proposed retention period would meet their administrative and operational requirements for these routine files.]

9. IT Operations Records.

- a. Schedules: workload schedules; run reports, run requests, and other records documenting the successful completion of a run; schedules of maintenance and support activities.

Destroy/delete when 1 year old.

- b. Problem reports, user complaints and questions, proposals for changes and related decision documents relating to the software infrastructure of the network or system.

Destroy/delete 1 year after question is answered or problem is resolved.

[Appraisal analysis: Item 9a includes workload schedules, run reports, run requests, and other records documenting the successful completion of a run including cycle time reports.

It is generally agreed within the Federal IT community that the value of these voluminous records expires after one year.

Item 9b covers problem reports, user complaints and questions, proposals for changes and related decision documents relating to the software infrastructure of a network or system. The retention period proposed for these records will satisfy the administrative and

operational needs of IT offices by ensuring the retention of records relating to issues until they have been resolved.]

10. Records Maintained by the IT Organization Related to the Financing of IT Resources and Services.

[NOTE: Copies of records needed to support contracts should be filed in procurement files, which are scheduled under GRS 3.]

- a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Destroy/delete 3 years after agreement is superseded or terminated.

- b. Files related to managing third-party services: control measures for reviewing and monitoring contracts, procedures for determining their effectiveness and compliance.

Destroy/delete 3 years after control measures or procedures are superseded or terminated.

- c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.

Destroy/delete records with no outstanding payment issues when 3 years old.

[Appraisal analysis: These records include agreements formalizing performance criteria for quantity and quality of service, files related to managing third-party services, and records generated in IT management and service operations, financial records including service level agreements defining service and support levels in quantified terms

workload, hardware, software, as well as ad hoc reports documenting the continued validity of financial agreements. Records also include documentation related to contractor award fee for superior service.

These records relate to financial management, not IT equipment and services per se, and should be kept for three years after agreements, procedures, and payment issues are superseded, terminated, or resolved, as applicable. This retention period reflects normal audit cycles. These files are kept by IT offices to support their role in the acquisition of and payment for computer software and services. Records pertaining to these subjects that are needed to protect legal rights, address fiscal concerns, and/or provide Government accountability are maintained in procurement and finance offices in accordance with other GRS items or agency schedules.]

11. Records Relating to IT Management and Reporting Required by ITMRA (now the Clinger-Cohen Act).

- a. Strategic plan documenting how information resources will support agency missions, goals, and objectives, related background records, and records relating to the development and implementation of performance measures and procedures.  
Destroy 5 years after plan is superseded or terminated.
- b. Annual report to Congress and related developmental and background records.  
Destroy when 5 years old.
- c. Information technology resources inventory of major systems and initiatives and related developmental and background records.  
Destroy 5 years after inventory is superseded.
- d. Investment Review Board Records.

Destroy when 10 years old.

[Appraisal analysis: These records relate to reporting and other activities mandated under the ITMRA. The records include correspondence, analyses, evaluations and published or final reports and studies used to prepare Strategic Information Technology plans and reports pertaining to the development and implementation of technology systems.

Item 11a covers the five-year strategic plans with annual updates required by IMTRA as well the related performance measures and procedures. Retention of these plans for five years after supersession or termination will provide agency IT organizations with adequate information to manage programs and update the plans.

Item 11b covers the annual IT report to Congress which IMTRA requires along with related supporting materials. Retaining these records for 5 years will ensure that adequate background materials are available for agencies to use when preparing the current year's submission. It should be noted that a copy of this report is included in overall agency budget packages, which are typically approved for permanent retention.

Item 11c covers inventories of major IT systems and initiatives. These records are used to develop and update the five-year plans required by IMTRA (see above). The proposed retention period, destroy 5 years after supersession, is consistent with this requirement.

Agencies are obligated to set up Investment Review Boards, comprised of senior officials, to ensure that ITMRA requirements are met. The boards oversee IT project selection, life cycle control, and investment evaluation. Records held by the boards include meeting minutes, project proposals and evaluations, status reports, and documentation of "lessons learned" from projects. The majority of IT development projects last five years or less. Some projects, however, last longer. Since documentation for past projects is often

useful to agencies working on current undertakings, the proposed 10 year retention for the Investment Review Board records included in Item 11d will satisfy normal agency needs.]

12. Customer Service Files.

- a. Records related to providing information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.

Destroy/delete 1 year after record is superseded or obsolete.

- b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Destroy/delete when 1 year old.

[Appraisal analysis: The records covered by Item 12 relate to providing customer service and individual support to customers. Included are such records as pamphlets and Frequently Asked Questions, help desk logs and incident reports, "help desk tickets," user guides, trouble reports, customer queries, feedback records, and trend analyses. These document end-user inquiries and requests for assistance.

These voluminous records are critical to the effective operation of IT systems. However, they have administrative value for only a brief period of time. This item will authorize destruction of customer service records such as pamphlets and lists of "frequently asked questions" (FAQs) one year after the record is superseded or obsolete and that help desk logs and other files related to customer query, feedback, and analysis be destroyed when one year old. The recommended disposition instructions will satisfy the

administrative and operational needs of IT offices, including the need to dispose of these files in a timely fashion.]

13. IT Infrastructure Development and Maintenance Files.

Records of individual projects designed to provide and support agency IT infrastructure (see Note) systems and services. Includes records documenting:

- Requirements for and implementation of functions such as
    - Maintaining network servers, desktop computers, and other hardware
    - Installing and upgrading network operating systems and shared applications
    - Providing data telecommunications
  - Infrastructure development and maintenance such as
    - Acceptance/accreditation of infrastructure components
    - Analysis of component options, feasibility, costs and benefits
    - Work associated with implementation, modification, and troubleshooting
  - Models, diagrams, schematics, and technical documentation
  - Quality assurance reviews and test plans, data, and results.
- a. Records for projects that are not implemented.
- Destroy/delete 1 year after final decision is made.
- b. Records for projects that are implemented.
- Destroy/delete 5 years after determination that the requirement no longer exists or that a new requirements analysis should be undertaken.
- c. Installation and testing records.
- Destroy/delete 3 years after final decision on acceptance is made.



[NOTE: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (i.e. Microsoft Windows and Novell NetWare) and shared applications (i.e. electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115, Request for Records Disposition Authority, to NARA.]

[Appraisal analysis: These records pertain to individual projects designed to provide and support agency IT infrastructure. IT infrastructure includes the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Included are hardware, software, and the services necessary to design, implement, and maintain such components. This item covers records concerning the infrastructure of IT operations. These records do not document programs fundamental to an agency's mission nor the IT systems utilized by agencies in carrying out their distinctive functions. Rather, these records are clearly administrative in nature and are of the same character throughout the Government. Records include developmental records such as quality assurance plans, requirement specifications, technology refresh plans, operational support and test plans, final operational support plan, and post installation reviews and briefings.

The disposition instruction for item 13a provides that records for projects that are not implemented be destroyed/deleted one year after a final decision has been made. This retention

period is appropriate. If a proposed project is rejected, there is no need to retain the related records for an extended period of time. In accordance with Item 13b, records for projects that are implemented are to be destroyed five years after the determination that the requirement no longer exists or that a new requirements analysis be undertaken. This proposed retention period will ensure that records germane to a requirement are available while the requirement is still current and for a period of time thereafter for use in developing new projects. In item 13c, installation and testing records are proposed for destruction or deletion 3 years after the final decision on acceptance is made. This retention period will ensure the availability of records should problems develop and is also consistent with audit cycles.]

**14. Electronic Mail and Word Processing System Copies.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made.

Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

[Appraisal analysis: This item will provide disposal authority for electronic mail (email) and word processing records used solely to produce records described in GRS 24, after a recordkeeping copy has been produced, and electronic copies of records described in GRS 24 used solely for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. In 1998 NARA added an item with the same wording as this item 14 to GRS 1-16, 18, and 23. Item 14 is in keeping with the authority that exists throughout the GRS to dispose of email and word processing copies of records within the scope of each GRS.

For information technology records not covered by the GRS, agencies should use agency specific schedules developed following the guidance in NARA Bulletins 99-05 or 2000-02 or GRS 20 Items 13 and 14 to dispose of email and word processing copies not required for recordkeeping purposes. Please note that neither this item in GRS 24, the identical items in other GRSs, nor GRS 20, items 13 and 14, apply to the records designated for recordkeeping purposes.]

Dated:

Michael J. Kurtz,

Assistant Archivist for Records Services – Washington DC.

*National Archives and  
Records Administration*

Washington, DC 20408

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**NARA BULLETIN**

**NO. 2002-01**

October 3, 2001

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TO: Heads of Federal agencies

SUBJECT: Checklist of NARA bulletins

EXPIRATION DATE: September 30, 2002.

1. What is the purpose of this bulletin? This bulletin lists National Archives and Records Administration (NARA) bulletins that are in effect.

2. What are NARA bulletins? NARA bulletins contain guidance about records and information management subjects to help you comply with laws and regulations in these areas. You can find more information about NARA's records and information management regulations in Chapter XII of Title 36 of the Code of Federal Regulations.

3. How can I get more information about NARA bulletins? For more information about specific NARA bulletins, call the Modern Records Programs at 301-713-7110 or send your question to [records.mgt@nara.gov](mailto:records.mgt@nara.gov).

4. How do I obtain copies of NARA bulletins?

a. Paper copies. We send paper copies of our bulletins to the heads of Federal agencies and to Federal agency records officers. You can obtain additional paper copies at a discount from the Government Printing Office (GPO) by submitting a requisition to the GPO at the beginning of each fiscal year.

b. Electronic copies. We post all NARA bulletins on the NARA web site at <http://www.nara.gov/records/policy/bulletin.html>.

5. How do I correct any mistakes in the mailing address? To correct the mailing address for the head of your Federal agency, call 301-713-7360. To correct the mailing address for the agency records officer, contact [records.mgt@nara.gov](mailto:records.mgt@nara.gov).

  
JOHN W. CARLIN  
Archivist of the United States

66F-HQ-1190059-175

NARA Bulletin 2002-01

October 3, 2001

The following NARA bulletins remain in effect:

<u>Bulletin Number and Title</u>	<u>Issued</u>	<u>Expires</u>
95-03      Government Information Locator Service	02/16/1995	Unlimited
99-04      Scheduling electronic copies of program records and administrative records not covered by the General Records Schedules (GRS)	03/25/1999	Suspended by NARA Bulletin 2000-02
<del>2000-02      Disposition of electronic copies; suspension of NARA Bulletin 99-04</del>	<del>12/27/1999</del>	<del>12/31/2001</del>
2000-03      Protecting Federal records and other documentary materials from unauthorized removal	05/16/2000	05/31/2002
2001-02      NARA GPEA Guidance (Records Management Guidance for Agencies Implementing Electronic Signature Technologies)	10/19/2000	10/31/2002
2001-03      Disposition of electronic records (NARA Bulletin 99-05)	09/24/2001	10/01/2003