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**EPA RECORDS MANAGEMENT
POLICY AND GUIDANCE
FRAMEWORK**

JULY 1992

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Introduction

This document is designed for use as a reference guide for initiating changes to, or revising, EPA's current records management program policy and guidance framework. High level interpretations of EPA's records management framework, policy framework and guidance framework are presented for both current and proposed future environments. Detailed outlines suggesting content and scope for future policy and guidance revision, highlight the main areas required of EPA's records management program under federal directives. This guide should be considered a 'living' document and used as a starting point for improving EPA's records management policy and guidance framework.

RECORDS MANAGEMENT FRAMEWORK TODAY AND TOMORROW

Today, EPA's records management framework is presented in three primary information sources:

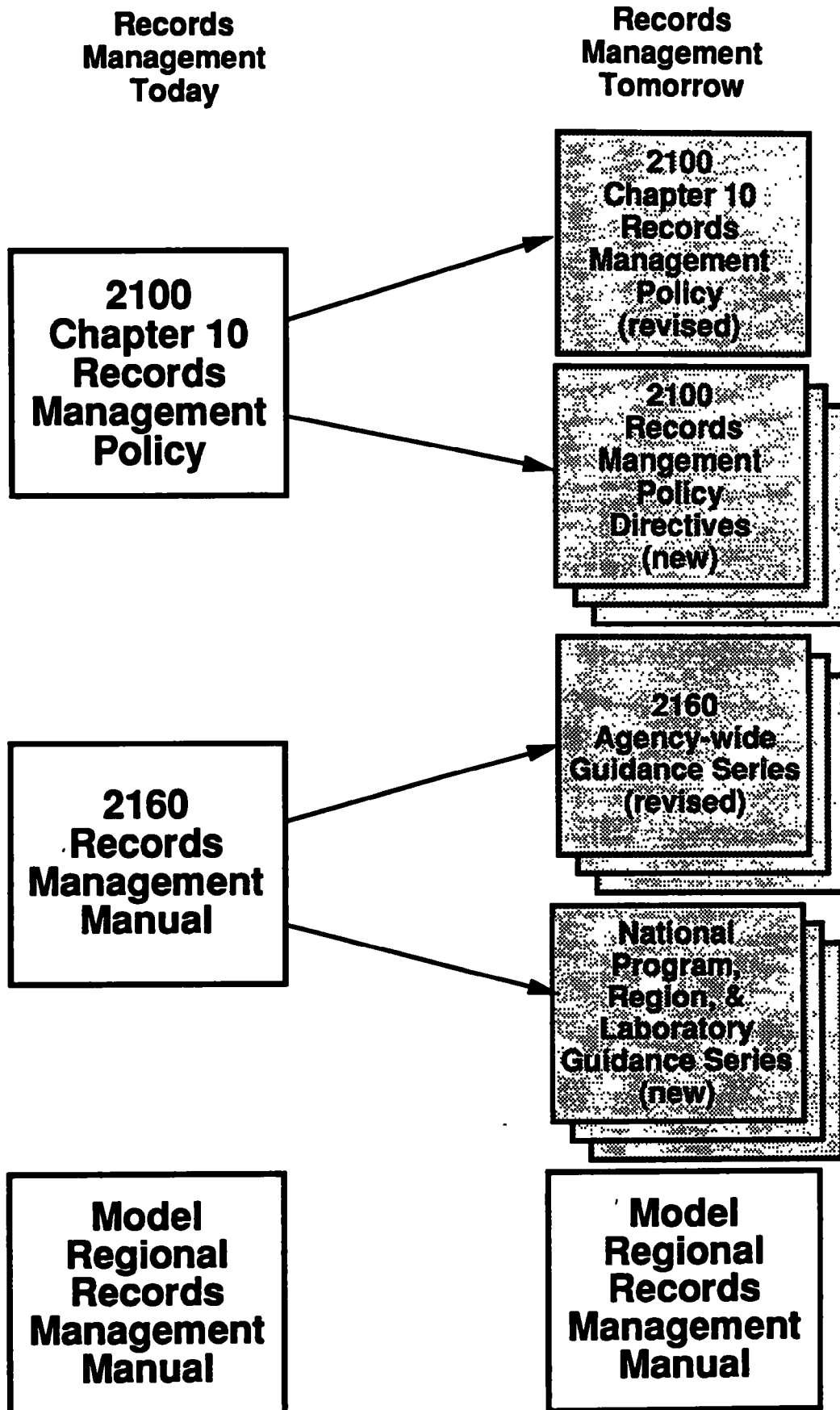
- Chapter 10, Records Management, IRM Policy Manual - 2100
- Records Management Manual - 2160
- Model Regional Records Management Manual.

Tomorrow, EPA's records management framework should be expanded and presented through a wider variety of information sources in order to effectively communicate the increasing importance of records management at EPA, to all Agency audiences:

- Chapter 10, Records Management, IRM Policy Manual - 2100 (revised)
- Records Management Policy Directives - 2100 (new)
- Agency-wide Records Management Guidance Series - 2160 (revised)
- National Program, Regional, and Laboratory Records Management Guidance Series (new)
- Model Regional Records Management Manual.

The following graphic represents this description.

Records Management Overview



POLICY TODAY AND TOMORROW

Today, EPA's records management policy, released in 1987, contains relevant statements and information necessary for implementing and maintaining a records management program which places many operational functions on the Office of Information Resources Management.

Tomorrow, EPA's records management policy should clarify interdependent roles in the Agency's highly decentralized organizational structure and specifically address all topic areas required in records management directives by Federal regulation.

The graphic following this page illustrates the content which should be covered by Chapter 10 of EPA's IRM Policy Manual and the representative set of 2-to-3 pages IRM Policy Directives which should communicate specific details on key policy areas.

The graphic is followed by a strawman policy statement which illustrates how the topics which need to be covered by records management directives and to clarify roles and responsibilities might be addressed in a revised Chapter 10.

Policy Overview

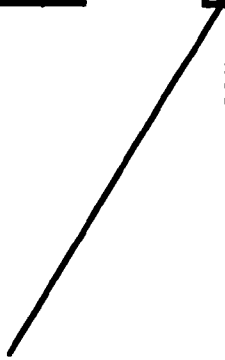
Policy Today

2100 - Chapter 10, Records Management
<ol style="list-style-type: none">1. Purpose2. Scope and Applicability3. Background4. Authorities5. Policy6. Responsibilities7. Definitions8. Procedures and Guidelines

Policy Tomorrow

2100 - Chapter 10, Records Management
<ol style="list-style-type: none">1. Purpose2. Scope and Applicability3. Background4. Authorities5. Policy6. Responsibilities7. Definitions8. Procedures and Guidelines
Electronic Records Policy Directive
Audio-visual Records Policy Directive
Micrographic Records Policy Directive
Records Classification Policy Directive
Disposition Policy Directive
Records Mgmt. Roles and Responsibilities Policy Directive

***New 2-3 page
policy directives***



IRM POLICY MANUAL - 2100

**CHAPTER 10
RECORDS
MANAGEMENT**

EPA

STRAWMAN RECORDS MANAGEMENT POLICY

1. PURPOSE

This policy defines the overall mission and underlying principles of the Agency's records management program by incorporating applicable federal requirements into standard Agency practices. This Agency-wide policy provides the framework for specific guidance and detailed operating procedures governing records management organization, responsibilities, and implementation.

2. SCOPE AND APPLICABILITY

This policy applies to all records of the Environmental Protection Agency (EPA), as defined under 44 USC 3101, which are created, collected, processed, used, stored, and/or disposed of by EPA organizations, staff, agents of staff such as contractors or grantees, and facilities.

3. BACKGROUND

- a. The Federal Records Act, as amended, requires EPA and every other Federal organization to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. Records also provide a basis of Agency accountability and an historical record preserving and protecting EPA and the public's legal and financial rights.
- b. Records are broadly defined by statute and regulation to include all information, regardless of media or format, received by EPA and its agents under Federal law or in connection with the transaction of public business and presented as appropriate for its legitimate success or because of the informational value of the data in them.
- c. Not all information managed by EPA and its agents is a record. Nonrecord materials include blank forms, reference materials, library materials, and working papers of fleeting value such as drafts, worksheets, and informal notes.

- c. Records are managed as an Agency asset throughout their lifecycle. This lifecycle is initiated by the creation or receipt of Government records in the course of carrying out EPA's administrative and programmatic responsibilities. It continues through the active use of the information in the record until it is determined to be inactive, at which time the disposal of the record may take several alternative courses of destruction or longer-term storage as archives. As records move through the information lifecycle, they require management by owners who create the record and appraise its immediate and longer-term value to EPA and the Government, by users who have a need for and request utilization of the information in the record, and by custodians who actually retain or possess the record at various stages in the lifecycle.
- d. EPA organizations, staff, and their agents who create, utilize, and acquire custody or possession of Agency records do not necessarily attain a proprietary interest in such records. Official Agency records are public assets and belong to the Government, not to individuals by virtue of their possession or of their position as an Agency official. The penalties for the willful and unlawful destruction, removal from files and private uses of official records are contained in 18 U.S.C. 2071.
- e. EPA is required under regulation to establish a records management program as an essential component of its information resources management program. The objective of EPA's records management program is to ensure the appropriate and responsive management of records throughout their active and inactive lifecycle until proper disposition through destruction or transfer to the custody of the National Archives and Records Administration (NARA).

4. AUTHORITIES

- a. Federal Records Act of 1950, as amended (44 U.S.C. 3101-3107).
- b. 36 CFR 1220 and 41 CFR 201-22.
- c. Paperwork Reduction Act of 1980.
- d. OMB Circular A-130, Management of Federal Information Resources.

5. POLICY

It is EPA policy to create or collect, use, store, and dispose of Agency records in order to preserve official Agency records over the long-term in accordance with applicable statutory and regulatory requirements and to promote access to information needed or requested to achieve the Agency's administrative and programmatic missions. This is to be accomplished through adequate and proper documentation of all EPA organizations, their functions, policy decisions, procedures, and essential transactions, in a manner that promotes accountability, establishes a historical record, and protects the legal and financial rights of the Government and the privacy of individuals.

MANAGEMENT FRAMEWORK

- a. EPA shall plan and establish a framework for managing and overseeing a comprehensive Agency-wide records management program which will include: creating records in a useable, accessible format, adequately documenting records and their disposition schedule, effectively maintaining records in the conduct of Agency business, and disposing of records in a timely manner. This framework shall be a integrated component of EPA's information resources management program to promote effective communication and transfer of information regardless of the medium in which it exists.

INFORMATION LIFE CYCLE

- b. EPA shall document and manage records throughout the information lifecycle which includes the following components:
 - (1) **Records creation/collection** - official records must be created of all Agency functions, policies, decisions, procedures and essential transactions
 - (2) **Records maintenance and use** - record filing and storage systems must be designed and documented as needed, to accommodate record retrieval throughout their scheduled life
 - (3) **Records storage** - records must be physically located and stored in an economical manner which allows for for easy retrieval, access, disposition, and transfer to NARA if appropriate

- (4) **Records access** - records must not only be easily accessible to Agency employees and the public as defined in federal regulations, but also allow for integration across programs and information systems
- (5) **Records disposition** - all records must be scheduled for disposition according to NARA guidelines and properly disposed of in a timely manner when they are no longer needed for current business.

RECORDS TECHNOLOGY

- c. EPA shall create and store records in any medium or format which adheres to federal standards (i.e., NARA standards for magnetic tape storage) and in a manner that is technically feasible, cost-effective, responsive to Agency requirements, and allows for efficient information dissemination.

RECORDS INVENTORY

- d. All official records created or collected by EPA shall be periodically inventoried in order to provide a complete and comprehensive reference source of the Agency's holdings. Standardized filing structures will be developed to provide an effective mechanism which facilitates ease in use, access, and disposition.

VITAL RECORDS PROGRAM

- e. The Agency shall establish a vital records program which includes functions and staff who will be responsible for providing a systematic method for safeguarding the records defined as crucial to continuing operation of essential Agency functions during a national emergency.

INFORMATION SECURITY

- f. Records collected, created, or maintained by the Agency shall be protected and secured commensurate with the risk and magnitude of the harm that would result from the loss, misuse, unauthorized access to or modification of information. Measures shall be adopted to protect confidentiality of records as specified in the Privacy Act. (Also see IRM Security Policy)

6. RESPONSIBILITIES

- a. The Office of Information and Resources Management shall:**
 - (1) Provide Agency-wide leadership in establishing an Agency-wide records management program**
 - (2) Promulgate and communicate Agency-wide policies and guidance which reflect records management missions and goals, based on Federal requirements**
 - (3) Coordinate approval of the Agency's records disposition schedules with NARA**
 - (4) Coordinate with other federal oversight agencies, such as the Office of Management and Budget (OMB), NARA, and the General Services Administration (GSA), on records management issues**
 - (5) Conduct Agency-wide records management evaluations**
 - (6) Provide technical expertise to all Agency organizations on establishing and maintaining effective records management programs.**
- b. Assistant Administrators, Associate Administrators, Regional Administrators, Laboratory Directors, the General Counsel, and the Inspector General shall:**
 - a. Appraise the temporary or permanent value of records within their span of responsibility as a basis for determining the most responsive and cost-effective program for managing their records and for determining the final disposition of these records.**
 - b. Develop and disseminate directives and operating procedures in order to carry out Agency-wide policy, and translate Agency-wide policy and guidance into effective programs, which will include:**
 - Specific instructions on the management of special records**
 - Specific instructions on the management of personal papers, directed specifically toward senior agency officials and scientists and other researchers**

- Uniform procedures for creating and maintaining case files
 - Adherence to EPA's mandatory subject file classification system for administrative records
 - Standardized file stations for the filing of official records and procedures for day-to-day operations
 - Specific instructions on appropriate file cut-offs to ensure proper filing techniques
 - Specific instructions on the protection of vital records
 - Specific instructions on the creation, maintenance, and utilization of up-to-date records schedules to meet office needs and all statutory requirements.
- c. Designate specified individuals accountable to the Senior Information Resources Management Official (SIRMO) who are responsible for implementing records management directives and managing appropriate records management programs tailored to their organization's requirements. This will require the following:
- Local records management officers at all sites with appropriate status (grade and position) and sufficient time to carry out their duties
 - A formal series of formal records management training courses for all employees with records-related responsibilities
 - A program of regular internal records and information evaluations
 - Records management briefings for all senior officials and program managers.
- d. Develop oversight roles and communication networks with field offices and other facilities under program jurisdiction.

7. DEFINITIONS

- a. "Administrative Records" are the records which reflect routine, transitory, and internal housekeeping activities relating to subjects and functions common to all offices.
- b. "Appraisal" is the process of determining the value and thus the final disposition of records, making them either temporary or permanent in terms of their retention by the Federal Government.
- c. "Disposition" means the actions taken with regard to records no longer needed in current office space. These actions include transfer to EPA storage facilities of Federal records centers, transfer from EPA to another Federal agency, transfer of permanent records to the National Archives, and disposal of temporary records.
- d. "Federal Records Centers" are the depositories established by the National Archives and Records Administration (NARA) for housing of non-current, inactive, or permanent records pending ultimate disposition in accordance with EPA's record control schedules.
- e. "Permanent Records" are records that NARA appraises as having sufficient continuing, or enduring, value to be maintained as a part of the National Archives of the United States because they document the organization and functions of the agency creating or receiving them and/or because they contain significant information on the persons, places, things, and phenomena with which the agency dealt.
- f. "Programmatic Record" refers to records created, received, and maintained by EPA in the conduct of its mission functions for which the Agency is accountable. The term is used in contrast to administrative, housekeeping, or facilitative records.
- g. "Records" means all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of

the Government or because of the informational value of the data in them. (44 USC 3101)

- h. "Records Management" means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.
- i. "Records Schedules" are documents that provide continuous authority to dispose of recurring series or systems of records or to transfer them to the National Archives and its national network of Federal Records Centers.

8. PROCEDURES AND GUIDELINES

In order to translate the Agency policy requirements into standard practices, guidance (Directive 2160) and procedures (Model Regional Records Management Procedures) have been developed in order to communicate increasingly detailed instructions for managing and administering EPA records management program.

Assistant Administrators, the Inspector General, General Counsel, Regional Administrators, and Lab Directors are designated with the responsibility of providing (1) specific guidance for the development of records management procedures in adherence to NRMP-defined policy, and (2) specific directives tailored to office mission and functions.

GUIDANCE TODAY AND TOMORROW

Today, EPA's records management guidance consists of the Records Management Manual (Directive 2160). This manual incorporates both general information on records management program requirements and detailed operating procedures for managing and administering EPA's records management program with particular emphasis on the disposition process.

Tomorrow, EPA's records management guidance should be revised and expanded to include two separate series of Records Management Manuals.

The first series should replace the current 2160 manual with a series of Agencywide guidance documents organized around key topics of concern or for improvement in EPA's records management program. The first of the series should provide an overview of components of an effective records management program. The remaining series should address how to handle particular records management issues in EPA, such as audio-visual records.

The second series should be office-specific and issued under the authority of the relevant directives systems established by Assistant Administrators, Regional Administrators, and other administrative and programmatic executives to guide the day-by-day implementation and operation of their offices' responsibilities. The first Agencywide series provides a context of general principles within which specific directives and procedures suitable for execution by EPA's headquarters organizations, Regional offices, and laboratories.

The graphic on the following page compares today's guidance framework with the proposed structure for tomorrow.

The following pages then outline potential topics and structures for the Agencywide guidance series covering components of a records management program and special topics.

Guidance Overview

Guidance Today

2160 - Records Management Manual
<ol style="list-style-type: none">1. Objectives and Responsibilities2. Reporting Requirements-reserved3. Disposition of Records4. Preservation of Vital Records5. Filing Equipment and Supplies6. Micrographic Management7. Files Maintenance8. Documentation and Preservation of Electronic Records-missing

Guidance Tomorrow

Agency-wide Series

2160 - Records Management Manual
<ol style="list-style-type: none">1. Planning and Budgeting2. Roles and Responsibilities3. Training4. Evaluations5. Inventories6. Classification7. Files Maintenance8. Disposition9. Public Access10. Record Security
2161 - Vital Records Program Administration
2162 - Audio-visual Program Administration
2163 - Electronic Records Program Administration
2164 - Micrographic Records Program Administration
2165 - Contractor Records Program Administration
2166 - Space Management and Equipment Standards

Special Topic Manuals

National Program, Regional and Lab Series

2160 - Records Management Manual	
<ol style="list-style-type: none">1. Inventory2. Classification/File Plans3. Contractor Records4. Non-textual Records5. Machine Readable Records6. Vital Records	<ol style="list-style-type: none">7. File Maintenance8. Space and Equipment9. Disposition Schedules10. Evaluations11. Roles and Responsibilities

AGENCY-WIDE SERIES - 2160

**RECORDS
MANAGEMENT
GUIDANCE
MANUAL**

EPA

AGENCY-WIDE RECORDS MANAGEMENT MANUAL-2160 OUTLINE

INTRODUCTION

PURPOSE

- State purpose of providing records management guidance

AUDIENCE

- Identify the intended audience who will use the manual

USE

- Describe how and when the manual should be used
- Discuss how to communicate the instructions provided

DEFINITIONS

- Define the terms frequently used in the manual

REFERENCES

- As appropriate, refer to additional records management information sources, such as special topic manuals, records management policy, etc.

CHAPTER 1 - PROGRAM MANAGEMENT STRUCTURE AND CONTROLS

PURPOSE

- State purpose of chapter
 - Outline EPA's (OIRM) responsibility for implementing and effectively managing or overseeing a records management program
 - Identify overall management goals and objectives
 - Discuss components critical to supporting an effective program management structure such as planning, defining roles and responsibilities, etc.

Planning and Budgeting

- **Goals**
 - Identify EPA's goals, standards, or objectives for planning and budgeting in records management
 - Briefly describe importance of planning and budgeting, in terms of maintaining a records life cycle
- **Responsible Staff**
 - Identify staff delegated with primary responsibility for conducting records management planning and budgeting
- **Legal Authorities**
 - Specify federal or Agency directives which require a planning or budgeting function in a records management program
- **Activities**
 - If applicable, identify target schedules for developing records management plans, (i.e., a five year plan to be revised every three years)
 - Identify resources, staffing or training needed, as well as overall goals for effectively maintaining an on-going records life cycle i.e.:
 - records creation
 - records inventory
 - records storage and retrieval
 - records security
 - public access to records
 - records disposition
 - Evaluate any potential effects that Agency actions may have on the public, and state and local governments

Roles and Responsibilities

- **Goals**

- Identify EPA's overall goals and objectives for clarifying organizational and staffing responsibilities with respect to managing and administering a records life cycle
- Briefly describe importance of clearly defining and communicating organizational and staff responsibilities for establishing and maintaining an efficient records management network and conveying information
- **Responsible Organizations**
 - On an organizational level, identify the offices with delegated responsibilities for establishing and maintaining a records management program, and their associated roles i.e.:
 - OIRM
 - HQ Program Offices
 - HQ Administrative Offices
 - Regional Offices
 - Laboratories
- **Responsible Staff**
 - Identify staff responsible for establishing, maintaining and communicating all records management program requirements and describe each position i.e.:
 - Director, IMSD
 - National Records Management Program (NRMP) Manager
 - Assistant Administrators, Inspector General, General Counsel, Regional Administrators, Lab Director
 - Staff Office Directors, Assistant Regional Administrators, SIRMOS
 - Division Directors, Branch Chiefs
 - Records Officers, Records Center Managers, Records Clerks
- **Legal Authorities**
 - Specify federal or Agency directives which require the need to define organizational and staffing roles and responsibilities in records management

Training

- **Goals**
 - Define the goals and objectives for providing records management training to Agency employees (i.e., communicating policies and procedures to all records staff)
 - Identify the benefits and importance associated with records management training, such as more effective and efficient records program, etc.
- **Responsible Staff or Organizations**
 - Identify what Agency organizations and staff will be responsible for conducting periodic and on-going records management training
- **Authorities**
 - Specify federal or Agency directives which requires on-going training for records management staff
- **Activities**
 - Determine when courses should be developed (i.e., courses should be offered as policies or procedures change)
 - Identify several methods for presenting training material (i.e., briefing format) and the targetted audiences
 - Identify any themes to be conveyed in all training courses, regardless of location or staffing level, such as disposition goals, etc.

Evaluations

- **Goals**
 - Define the goals and objectives for conducting periodic and on-going records management evaluations (i.e., in terms of efficiency and effectiveness)
 - Identify the benefits derived from performing evaluations, such as determining if programs are consistent with federal and Agency directives
- **Responsible Staff or Organizations**

- Determine where (e.g., HQ and field offices) evaluations will take place, and who is responsible for conducting them
- **Authorities**
 - Specify federal or Agency directives which require conducting records management evaluations
- **Activities**
 - Identify the frequency of program evaluations (i.e., every year)
 - If possible, determine which records management components will be included in the evaluations, such as disposition
 - Develop levels of achievement for each component under review
 - If applicable, communicate basic strategy for conducting evaluations, such as comparing information, or reviewing record books, etc., or identify where additional instructions can be found
 - Identify major products/reports to be produced as a result of an evaluation
 - Establish need for providing recommendations for promoting improvements
 - Require that monitoring tools or mechanisms for follow-up must be established after an evaluation in which improvements have been identified

CHAPTER 2 - RECORDS INVENTORY

PURPOSE

- State purpose of chapter as providing guidance on conducting records inventories

GOALS

- Define the goals and objectives for conducting periodic and on-going records inventories to determine the Agency's holdings
- Identify the importance and benefits derived from conducting inventories such as identifying the quantities of records created, collected and processed

RESPONSIBLE STAFF AND ORGANIZATIONS

- Determine where (e.g., HQ and field offices) evaluations will take place
- Identify staff responsible for initiating or conducting a records inventory

AUTHORITIES

- Specify federal or Agency directives which requires the need to conduct periodic records management inventories

ACTIVITIES

- If applicable establish general timeframes for conducting records inventories
- Describe what is classified as an official Agency record, and what constitutes non-record material and personal papers, etc.; identify how to distinguish each and apply the definitions in practice
- Identify what records must be included in a records inventory (i.e., both administrative and program, including textual, non-textual, and machine readable)
- Identify the major steps involved in conducting an inventory
- Refer to more detailed guidance as provided in special topic manuals or procedures

CHAPTER 3 - RECORDS FILING AND CLASSIFICATION SYSTEMS

PURPOSE

- State purpose of chapter as providing guidance on developing records filing and classification systems

GOALS

- Establish goals and objectives associated with records filing and classifying records

RESPONSIBLE STAFF

- Delegate staff responsible for designing and maintaining filing and classification systems in Headquarters program and administrative, Regional, and Laboratory, offices

AUTHORITIES

- Specify any federal or Agency directives which require creating and records filing and classification systems

ACTIVITIES

- Highlight main considerations for updating/revising filing and record classification systems such as identifying the types of records used in the office (i.e., program, administrative)
- Identify the main types of filing systems (i.e., subject) and records classification schemes (i.e., alphabetic)
- Identify main steps associated with developing a filing system, such as conducting a records inventory
- Identify any required-use classification systems (i.e., the abbreviation 'ENF' must be used Agency-wide as a code for identifying all enforcement files)
- Address the advantages or disadvantages of personal filing systems
- State that each office should develop their own records filing/classification system manual or file plan and why this is important
- Make reference to special topic manuals which provide guidance on classifying contractor, non-textual and machine-readable records

CHAPTER 4 - FILE MAINTENANCE AND USE

PURPOSE

- State purpose of chapter as providing guidance for maintaining and using Agency records

GOALS

- State goals and objectives that will accommodate Agency-wide file maintenance in terms of providing prompt access to needed records and facilitating record control and oversight
- Identify benefits derived from effective file maintenance practices, such as saving storage space, and eliminating unneeded non-record material, etc.

RESPONSIBLE STAFF

- Identify key staff responsible for maintaining the Agency's file systems or establishing procedures concerning file use

AUTHORITIES

- Specify any federal or Agency directives which require the establishment of file/record maintenance practices

ACTIVITIES

- As appropriate, designate office file stations, identify importance of retaining records in designated file stations and identify examples of misuse, such as employees taking records home
- Outline the requirements for establishing tracking systems for borrowing and returning Agency records from file stations
- Describe the importance of performing general file maintenance, while considering the following functions i.e.:
 - Creating new records
 - Following proper filing techniques (i.e., separating temporary and permanent records)
 - Ensuring record availability
 - Handling special records (i.e., confidential, FOIA, non-textual, machine readable)
 - Implementing file cut-offs
- Refer to special topic manuals on space use and filing equipment standards, as well as more specific guidance on machine readable and non-textual records

CHAPTER 5 - PUBLIC ACCESS TO RECORDS

PURPOSE

- State purpose of chapter as providing guidance for promoting public access to Agency records

GOALS

- State the goals and objectives for the Agency in terms of public access to records

RESPONSIBLE STAFF AND ORGANIZATIONS

- Identify staff and organizations responsible for ensuring public access to Agency records

AUTHORITIES

- Address federal and Agency directives which define the public's right to information

ACTIVITIES

- Identify the importance of easy record retrieval when accomodating public access to records
- Determine how records could be arranged, or located to promote public access
- Discuss basic considerations for locating frequently requested public records, such as maintaining inventories
- In general terms, discuss EPA's FOIA process
- Discuss contractor access to Agency records
- Discuss public access considerations for machine readable and non-textual records
- Identify types of records that the public cannot access, as they are CBI, enforcement sensitive, or Privacy Act information, etc.
- Refer to PA's public access policy and guide, and EPA Freedom of Information Act Manual

CHAPTER 6 - RECORDS DISPOSITION

PURPOSE

- State purpose of chapter in terms of presenting a design for the Agency's records disposition program and outlining key considerations and practices

GOALS

- Identify Agency goals and objectives in practicing records disposition that relate to preserving historical documentation of the government and reducing costs through timely destruction of disposable records (i.e., transfer to NARA)
- Identify importance of proper/timely disposal of Agency records (i.e., required under law, relieves limited space)

RESPONSIBLE STAFF AND ORGANIZATIONS

- Identify individuals primarily responsible for establishing and overseeing a records disposition program
- Identify that all organizations are responsible for implementing the Agency records disposition program

AUTHORITIES

- Specify federal and Agency directives which define requirements for establishing and maintaining a records disposition program

ACTIVITIES

- Identify differences between temporary and permanent records and outline how to distinguish each in practice
- Identify key components of Agency's records disposition program, i.e.:
 - Survey disposition schedules
 - Revise disposition schedules
 - Inventory records with new schedules and update
 - Transfer records to NARA
 - Review and update disposition schedules periodically

- State the importance of educating responsible staff on interpreting and applying records disposition schedules
- Indicate that the records disposition programs and practices must undergo periodic reviews
- Refer to other federal (i.e., NARA) or EPA-specific reference manuals which provide more detailed guidance or procedures on records disposition, including Agency disposition schedules, and disposition of machine readable and non-textual records

CHAPTER 7 - INFORMATION/RECORD SECURITY

PURPOSE

- State purpose of chapter as providing guidance for establishing information or records security practices

GOALS

- State goals and objectives in terms of providing for record availability, protecting confidentiality, and ensuring integrity
- Identify potential scope of a records security program (i.e., HQ and field offices and covers all Agency records, textual, non-textual, and machine readable)

RESPONSIBLE STAFF

- Identify staff responsible for implementing and maintaining the Agency's record security provisions

AUTHORITIES

- Specify federal or Agency directives which require formal information security as standard practice

ACTIVITIES

- Outline framework which defines overall responsibility for information/record security in terms of information owners, information users, information custodians
- Identify the need for and general guidelines on determining sensitivity of records

- Identify primary threats to records management systems in terms of security and integrity, balanced against record confidentiality and availability
- Address measures to reduce threats to records security
- Specify how to communicate record security provisions to all Agency staff
- Refer to additional guidance pertaining to information security (IRM Security Policy), and securing machine readable records or other non-textual

SPECIAL TOPIC MANUAL - 2161

**VITAL RECORDS
PROGRAM
ADMINISTRATION**

EPA

VITAL RECORDS

INTRODUCTION

Purpose

Describe the purpose of the special topics manual

Scope

Describe what this manual covers and its applicability to the Agency's records management program

Program Objectives

Explain the purpose and objectives of a vital records program. Possible objectives include:

- Safeguard Agency records during an emergency
- Maintain continuity of operations during an emergency
- Recover to full operations following an emergency
- Protect rights and legal interests of citizens and government

Legal Authorities

List legal regulations requiring the establishment of a vital records program, including:

- Federal
- Agency-wide

BACKGROUND

Answer some of the most commonly asked questions about vital records, such as: How can electronic or audiovisual vital records be identified?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, ARAs, etc.)
- Emergency Preparedness Coordinator
- Records Management Coordinator
- Records Officer
- Vital Records Officer

RECORDS MANAGEMENT GUIDELINES

Provide guidance on establishing an Agency-wide vital records program

- Evaluation of potential emergencies and the extent to which records are threatened
- Emergency preparation and planning
 - Designate vital records staff and communicate responsibilities
 - Identify vital records
 - Maintain master list of vital records
 - Locate alternate record storage facility
 - Prepare plans for record transfer
- Actions during emergency situations
 - Mobilize vital records staff
 - Initiate steps for transfer of vital records to alternate sites
 - Retrieve vital records
- Review vital records program effectiveness
 - Ensure staff understand responsibilities
 - Maintain constant listing and location of all vital records

OTHER INFORMATION SOURCES

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- Model Records Management Manual
- Facilities and Support Services Manual

GLOSSARY OF TERMS AND ACRONYMS

AUDIOVISUAL RECORDS

INTRODUCTION

Purpose

Describe the purpose of the special topics manual

Scope

Describe what this manual covers and its applicability to the Agency's records management program.

Program Objectives

Explain the purpose and objectives of an audiovisual records management program. Possible objectives include:

- Identify and protect the Agency's audiovisual records
- Provide guidance on the creation, maintenance, use, and disposition of audiovisual records
- Establish guidance on the physical security and preservation of audiovisual records
- Improve recordkeeping practices through periodic reviews

Legal Authorities

List legal regulations requiring a program to manage audiovisual records, including:

- OMB Circular A-130: "Management of Federal Information Resources"
- OMB Circular A-114 for motion picture stock footage of nondefense Federal agencies
- 44 U.S.C. 2904 and 3101
- 36 CFR 1232: Audiovisual Records Management
- 41 CFR 101-42.3: "Recovery of Precious Metals and Strategic and Critical Materials" (for silver-bearing photographic film)
- EPA's records management policy

BACKGROUND

Answer some of the most commonly asked questions about audiovisual records, such as: What are audiovisual records (photographs? motion pictures? graphic art?)? Where are audiovisual records likely to be generated and found? What are the components of audiovisual records?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, DRAs, ARAs, etc.)
- Records Management Personnel (NRMP Manager, Records Management Coordinators, Records Officers, etc.)
- SIRMOS and other IRM Managers
- EPA Librarians and Information Center Managers

RECORDS MANAGEMENT GUIDELINES

Provide guidance on the full lifecycle of audiovisual records

- Identification and Filing Potentially Permanent Audiovisual Records
- Inventorying Audiovisual Records
- Application of General Records Schedules
- Disposition
- Storage and Preservation
- Transfer of Permanent Records to the National Archives

OTHER SOURCES OF INFORMATION

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025
- NARA's National Audiovisual Center, (301) 763-1896
- NARA's Motion Picture, Sound, and Video Branch, Special Archives Division, (703) 756-6451

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- Managing Audiovisual Records, NARA Instructional Guide Series, 1990
- Managing Cartographic and Architectural Records, NARA Instructional Guide Series, 1990
- Model Regional Records Management Operating Procedures Manual, EPA, 1991
- NARA General Records Schedules (GRS) 21: “Audiovisual Records” and GRS 17 for disposable cartographic records and remote sensing imagery recorded on film

GLOSSARY OF TERMS AND ACRONYMS

CONTRACTOR RECORDS

INTRODUCTION

Purpose

Describe the purpose of the special topics manual.

Scope

Describe what this manual covers and its applicability to the Agency's records management program.

Program Objectives

Explain the purpose and objectives of a contractor records management program. Possible objectives include:

- Create and maintain records to document and manage contractor-operated programs
- Establish guidance on the physical security and preservation of contractor records
- Improve recordkeeping practices through periodic reviews.

Legal Authorities

List legal regulations requiring a program to manage contractor records, including:

- OMB Circular A-130: "Management of Federal Information Resources"
- 44 U.S.C. 3101: The Records Disposal Act
- 36 CFR 1234: Electronic Records Management
- EPA's records management policy.

BACKGROUND

Answer some of the most commonly asked questions about contractor records, such as: What are contractor records? What is the importance of contractor records? What background data are needed to support

contractor records? How are contractor records acquired? Is it acceptable for contractor records to be in electronic form?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, DRAs, ARAs, etc.)
- Records Management Personnel (NRMP Manager, Records Management Coordinators, Records Officers, etc.)
- Contract Management Staff, including Delivery Order Project Officers
- SIRMOS and other IRM Managers

RECORDS MANAGEMENT GUIDELINES

Provide guidance on the full lifecycle of contractor records.

- Identification and Filing Potentially Permanent Contractor Records
- Inventorying Contractor Records
- Application of General Records Schedules
- Disposition
- Storage and Preservation
- Transfer of Permanent Records to the National Archives

OTHER SOURCES OF INFORMATION

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- Managing Electronic Records, NARA Instructional Guide Series, 1990, pp. 7-8
- Model Regional Records Management Operating Procedures Manual, EPA, 1991

GLOSSARY OF TERMS AND ACRONYMS

ELECTRONIC RECORDS

INTRODUCTION

Purpose

Describe the purpose of the special topics manual

Scope

Describe what this manual covers and its applicability to the Agency's records management program

Program Objectives

Explain the purpose and objectives of an electronic records management program. Possible objectives include:

- Identify and protect the Agency's electronic records
- Provide guidance on the selection of electronic media
- Provide guidance on the creation, maintenance, use, and disposition of electronic records
- Ensure the physical security of information stored on electronic media.
- Improve recordkeeping practices through periodic reviews

Legal Authorities

List legal regulations requiring a program to manage electronic records, including:

- OMB Circular A-130: Management of Federal Information Resources
- 44 U.S.C. 3301: The Records Disposal Act
- 36 CFR 1234: Electronic Records Management
- 36 CFR 1228.188: Transfer of Machine Readable Records to the National Archives
- EPA's records management policy
- Implementation of Image Processing Systems, EPA OIRM Policy Directive

BACKGROUND

Answer some of the most commonly asked questions about electronic records, such as: What are electronic records? What are the common types of electronic records? How do you distinguish between computer files which *generate* official records and computer files that *replace* official records? Which electronic storage media are acceptable and/or preferred by the Agency? by the National Archives?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, DRAs, ARAs, etc.)
- Records Management Personnel (NRMP Manager, Records Management Coordinators, Records Officers, etc.)
- NDPD and Information Systems (ADP) Managers
- SIRMOs and other IRM Managers

RECORDS MANAGEMENT GUIDELINES

Provide guidance on the full lifecycle of electronic records.

- Identification of Potentially Permanent Electronic Records
- Inventorying Electronic Records
- Application of General Records Schedules
- Maintenance and Use
 - Labeling and Indexing
 - Media Care
- Selection and Maintenance of Storage Media
- Disposition
- Transfer of Permanent Electronic Records to the National Archives
- Emergency Planning
- Information Security

OTHER SOURCES OF INFORMATION

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025
- NARA's Center for Electronic Records, (202) 501-5565

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- EPA Information Security Manual, EPA, 1989
- Managing Electronic Records, NARA Instructional Guide Series, 1990
- Model Regional Records Management Operating Procedures Manual, EPA, 1991
- NNDP Operational Policies Manual, EPA, 1992
- Use of Optical Disk Systems to Store Permanent Federal Records, NARA Bulletins 88-8 and 92-2
- NARA General Records Schedules (GRS) 20: "Electronic Records" and GRS 23: "Records Common to Most Offices Within Agencies"
- Care and Handling of Computer Magnetic Storage Media (NBS Special Publication 500-101), National Bureau of Standards (now the National Institute of Standards and Technology), 1983
- Electronic Recordkeeping, U.S. General Services Administration, 1989
- Performance Guidelines for the Legal Acceptance of Records Produced by Information Technology Systems, Association for Information and Image Management (AIIM), August 1992, (TR-31)

GLOSSARY OF TERMS AND ACRONYMS

MICROGRAPHICS RECORDS

INTRODUCTION

Purpose

Describe the purpose of the special topics manual

Scope

Describe what this manual covers and its applicability to the Agency's records management program

Program Objectives

Explain the purpose and objectives of a micrographics records management program. Possible objectives include:

- Identify and protect the Agency's micrographics records
- Provide guidance on the creation, maintenance, use, and disposition of micrographics records
- Establish guidance on the physical security and preservation of micrographics records
- Improve recordkeeping practices through periodic reviews

Legal Authorities

List legal regulations requiring a program to manage micrographics records, including:

- OMB Circular A-130: "Management of Federal Information Resources"
- 44 U.S.C. 3301: The Records Disposal Act
- 36 CFR 1230: "Micrographics"
- EPA's records management policy

BACKGROUND

Answer some of the most commonly asked questions about micrographics records, such as: What are micrographics records? What are the different types of micrographics records and their advantages

and disadvantages? How can micrographic records be linked with computer systems? What is the Agency's policy on the continued use of micrographic records?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, DRAs, ARAs, etc.)
- Records Management Personnel (NRMP Manager, Records Management Coordinators, Records Officers, etc.)
- SIRMOs and other IRM Managers
- EPA Librarians and Information Center Managers

RECORDS MANAGEMENT GUIDELINES

Provide guidance on the full lifecycle of micrographics records.

- Identification and Filing Potentially Permanent Micrographic Records
- Inventorying Micrographic Records
- Application of General Records Schedules
- Disposition
- Storage and Preservation
- Transfer of Permanent Records to the National Archives

OTHER SOURCES OF INFORMATION

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- Model Regional Records Management Operating Procedures Manual, EPA, 1991

GLOSSARY OF TERMS AND ACRONYMS

SPACE AND EQUIPMENT USE

INTRODUCTION

Purpose

Describe the purpose of the special topics manual

Scope

Describe what this manual covers and its applicability to the Agency's records management program

Program Objectives

Explain the purpose and objectives of providing guideling on filing space and equipment use. Possible objectives include:

- Acquire and use filing space and equipment in the most efficient and cost-effective manner
- When feasible, design and use centralized (?) file stations
- Request used or reconditioned equipment when available
- Acquire new equipment only to meet current and future filing needs; not to improve appearance, etc.

Legal Authorities

List any legal regulations requiring the use of standard office/supply equipment:

- Federal
- Agency-wide

BACKGROUND

Answer some of the most commonly asked questions about the use of Agency space or equipment such as: Under what circumstances can filing equipment or supplies be order outside of federal supply centers?

RESPONSIBILITIES

Describe the responsibilities of the individuals responsible for implementing this program:

- Senior Agency Managers (AAs, RAs, ARAs, etc.)
- Records Management Coordinator
- Records Officer

RECORDS MANAGEMENT GUIDELINES

Provide guidance on planning and using Agency filing space and equipment use.

- Methods for designing filing space with advantages and disadvantages:
 - Centralized file stations
 - Decentralized file stations
 - Personal file stations
- General equipment standards
- Evaluate office needs and costs of filing equipment
- Requesting mechanized or powered filing equipment
- Proper filing equipment use
- Requesting new and used filing equipment
- Standard filing supplies
- Requesting filing supplies

OTHER INFORMATION SOURCES

List who to call for more information (e.g., hotlines, records centers, etc.), such as:

- EPA's National Records Management Program, (202) 260-5911
- NARA's Records Administration Information Center, (202) 501-6025

Also list reference documents, such as:

- 2160 – Records Management Manual, EPA, 1984
- Model Records Management Manual
- Facilities and Support Services Manual

GLOSSARY OF TERMS AND ACRONYMS