

## Attachment A - Definitions of terms used throughout this document.

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<b>Accession(ing):</b>	The process of moving records from the legal custody of the customer agency to the legal custody of the National Archives of the United States.
<b>Agency Records:</b>	<p>Federal records, as defined in 44 U.S.C. 330,1 that are stored in the NARA records centers while remaining in the legal custody of the customer agency. Included are the following types of records:</p> <ul style="list-style-type: none"><li>a. <b>Scheduled temporary records</b> -- records described on a NARA-approved Standard Form 115 as having insufficient value to warrant their preservation in the National Archives of the United States;</li><li>b. <b>Scheduled permanent records</b> -- records that have been determined by NARA to have sufficient value to warrant their preservation in the National Archives of the United States (Note: Reimbursable charges apply only so long as the records remain in the legal custody of the customer agency);</li><li>c. <b>Unscheduled records</b> -- records which lack a NARA-approved disposition authority; and</li><li>d. <b>Vital records</b> -- records that are needed to meet operational responsibilities in emergency conditions or to protect the legal and financial rights of the Government and its customers.</li></ul>
<b>Business Day:</b>	The standard upon which NARA measures its turnaround time for providing services to the customer agency. It constitutes a consecutive 24 hour period which excludes weekends and Federal holidays. The NARA standard for servicing routine reference requests is cited in this agreement as being “within one business day of receipt.” This means routine reference requests received by NARA on a Monday (not a holiday) will be serviced and in transit to the customer agency no later than the following day, Tuesday (not a holiday). Routine reference requests received on a Friday (not a holiday) will be serviced and in transit to the customer agency no later than the following Monday (not a holiday).

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**CIPS:** The Centers Information Processing System (CIPS) is an electronic method of submitting reference requests to NARA records centers. System requirements include only a web browser and internet access, or a modem and a personal computer with communications software capable of emulating an IBM 3270 mainframe. Most customer agencies already have this equipment and can gain access to this system for little or no cost. NARA records center personnel provide free training and assistance for users of this system. This system is the most efficient way of submitting reference requests to NARA records centers because it eliminates the bottleneck on the front end of the work process, which leads to faster overall turnaround time. It also provides NARA records centers with the benefits of increased productivity in servicing the reference requests because it gives them the ability to electronically sort the requests by the shelf location of each requested item. A further benefit of using this system is that it can provide solid information to both NARA and customer agencies concerning actual general reference workload volumes. For information on how to acquire access to this system, customer agencies may contact their local NARA records center (Attachment B) or access the web at [www.nara.gov/regional/cips.html](http://www.nara.gov/regional/cips.html).

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**Classified:** Records of information requiring, in the interests of national security or for the protection of individuals, safeguards against unauthorized access.

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**Disposal:** (1) The process of removing records from the physical custody of a NARA records center and ensuring that they are efficiently destroyed in accordance with Federal regulations. The process includes all operations involved in verifying disposal authorities, calculating disposal dates, and notifying the customer agency in advance. Administrative functions include soliciting bids for the sale of wastepaper, administering contracts with private sector wastepaper or other recycling organizations, and maintaining required statistical data including a computerized history report documenting all disposal activity at the transfer level. It also involves the physical removal of records from NARA records center shelves, the shipment of records to a disposal contractor, and, in some cases, the witnessing of the destruction.

(2) The term “disposal” is also commonly used as a noun to describe transfers that are eligible for destruction. Records become eligible for disposal in accordance with NARA approved records disposition schedules and on receipt by NARA of written concurrence from the customer agency.

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**Disposition:** Records disposition covers three types of services whereby customer agency records are removed from the physical custody of a NARA records center: disposal of temporary records, permanent withdrawal of records back to the customer agency, and the accessioning of permanent records into the National Archives of the United States.

**Electronic  
Records**

**Vault:**

Records storage areas designed to hold electronic media, such as tapes, compact discs, etc. with specially designed racks and a non-aqueous fire suppression system.

**Emergency  
Reference:**

This term refers to the same day servicing and immediate response (telephone, fax, or overnight shipping) of a customer agency's reference request. The criteria for determining that a reference request requires emergency servicing will lie solely with the customer agency. If the customer agency requires overnight shipping of records, the customer agency will provide NARA with a FedEx or Express mail account number to which the charges will be billed.

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**Interfile:**

(1) The process of adding new documents to an existing folder that has already been retired to a NARA records center. The process requires the customer agency to provide the NARA records center with sufficient information to perform the interfile. At a minimum, this will include the accession number, box number, NARA records center shelf location number, and the folder name or number. This information may be transmitted informally by attaching a paper transmittal to each document or set of documents to be interfiled in a specific folder. Although it is not required, it is extremely beneficial to both NARA and the customer agency if the customer agency sorts large volumes of interfiles by the NARA records center shelf location number before submitting them to a NARA records center. This helps to keep NARA's costs down and therefore enables NARA to pass the savings on to its customer agencies.

(2) The term "interfile" is also commonly used as a noun to describe a new document which a customer agency has submitted to NARA to be added to an existing folder that is already in NARA's holdings.

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**NARS-5:** The master database that includes information about the holdings of all NARA records centers. The database is updated each time a transfer is retired to a NARA records center facility and each time a transfer is removed from a NARA records center facility (for disposal, permanent withdrawal by the customer agency, or legal transfer to the National Archives of the United States). The NARS-5 master database is not updated to reflect temporary withdrawals of agency records, or permanent withdrawals of less than one cubic foot of agency records.

The database is necessary for the identification, control, and retrieval of all transfers. Automated reports from the NARS-5 master database are available to customer agencies in paper as well in a variety of electronic formats. In addition, invoices will be generated by querying the NARS-5 database to calculate the type and volume of current holdings of a particular agency.

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**Non-Textual Environmentally Controlled:** Records of information, maintained in a format other than paper, that require temperature and climate controls.

**Notice of Eligibility to Destroy Records (NA Form 13001):**

This notice shall be sent to an individual designated by the customer agency to alert them that a transfer will soon be eligible for disposal. The notice will be sent 90 calendar days prior to the scheduled disposal date. In accordance with NARA policy and procedures, the records will be destroyed 90 days from the date of this notice or from receipt of the written concurrence of the agency having legal custody of the records, whichever comes later. The notice will instruct the customer agency official to annotate their SF 135 (all copies) to show that the records have been destroyed. If the customer agency official does not concur with the notice, they may request an extension of the retention period by providing a written justification (including a proposed new disposal date) to the director of the NARA records center provided on the notice.

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**Permanent Withdrawal:**

The process of a customer agency permanently recalling a whole box(es) from the physical control of a NARA records center back to the physical custody of a customer agency.

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**Processing Fee:**

Charges incurred by the customer agency for each transfer submitted to a NARA records center. The process covers the review of paperwork for compliance with current records control schedules, verification of disposal authorities and disposal dates, assigning of space with the NARA facility, assigning a transfer number, and updating NARS-5. Correction of minor deficiencies is also included in the process.

**Refile:**

(1) The process of returning folders that had previously been recalled from transfers in NARA records center holdings. The process includes placing the folders back into their original place within a transfer. When submitting refiles, the customer agency must ensure that the records being returned to the NARA records center for refile remain in the same file folder that was previously recalled from the NARA records center. In these cases, the folder will already be annotated with sufficient information to perform the refile (see paragraph III B1d(4) above). If the records to be refiled have been placed in new folders, the customer agency must provide the NARA records center with sufficient information to perform the refile. At a minimum, this will include the transfer number, box number, NARA records center location number, and folder name or number.

(2) The term “refile” is also commonly used as a noun to describe a folder that had previously been recalled from a transfer in NARA records center holdings, but is currently in the process of being placed back into its original place within a transfer.

**Routine Reference:** The process of receiving (from the customer agency) requests for records, searching for the requested items, pulling the requested items, replacing the items with a charge-out document, and shipping the requested items back to the customer agency. In instances where the requested item is not found, the process also encompasses responding to the customer agency with an explanation and working with the customer agency to take corrective action.

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**Specialized Services:** Selected Federal records cannot be serviced in the same manner as other Federal records. Records identified as specialized are detailed in the interagency agreement. Examples of records requiring specialized services are tax returns and personnel related records.

**Specialized Shipping and Handling:** The process of returning requested materials to a customer agency through the use of telephone, fax, scanning, or metro courier. The process also includes the pick up of new transfers via the truck fleet at the WNRC.

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**Standard Form 135:** The form used to initiate and document the transfer of records to a NARA records center. The form is submitted to a NARA records center prior to the shipment of records. NARA records center staff review the form and return it to the customer with a transfer number assigned to it or other indication of approval to ship the records. The customer agency may maintain a detailed box listing or other index to records which have been retired to a NARA records center. These box listings and indexes are not a part of the SF 135, and NARA does not require its customer agencies to submit these attachments (except when the records are permanent or unscheduled) when requesting to transfer records to NARA records center storage. As an additional service to its customer agencies, however, NARA encourages its customer agencies to include these materials in the first box of the transfer to which they pertain. This enables customer agencies to reference an off-site backup copy should the original listing be misplaced.

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**Stratified:** The process of billing below the record group level.

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**Transfer:** (1) The process of moving records from the physical custody of the customer agency to the physical custody of a NARA records center (formerly referred to as “Accession”). The process includes all operations involved in arranging the most efficient transfer of the records and in gaining knowledge about their contents. It also encompasses control over center shelf space and the maintenance of related documentation, such as bills of lading and required statistical data. The transfer process is complete when the Standard Form 135 (Records Transmittal and Receipt) has been signed by record center officials and returned to the customer agency.

(2) The term “transfer” is also commonly used as a noun to describe a set of a records belonging to a single records series and sharing the same inclusive dates, which has been retired to a NARA records center as a unit through the process described above. It is at this level that records are tracked by NARA throughout the remainder of their life cycle. There is no limit on the maximum size of the unit, but at a minimum, it must always consist of at least one cubic foot of records. Some NARA records centers may request that the customer agency restrict the maximum size of their transfers to a predetermined level that is acceptable to both the customer agency and the NARA records center that will receive the transfers.

**Unscheduled Records:** Agency records which lack a disposition authority.

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