

## **ABANDONED RECORDS.**

- (1) Records that support a program that no longer exist, or can be identified, regardless of media. Also known as “orphaned records”.
- (2) Records deserted by federal and contractor employees. This usually occurs when personnel relocate, transfer, or terminate. Abandoning records is a common practice throughout DOE.

## **ACCESS.**

- (1) The availability of, or the permission to consult, records.
- (2) The ability or opportunity to obtain security-classified or administratively controlled information or records. *Also see CLASSIFIED INFORMATION.*

## **ACCESSION.**

- (1) The transfer of the legal and physical custody of permanent records from an agency to the National Archives. *See also BLOCK (1), PERMANENT RECORDS, TRANSFER (1).*
- (2) The transfer of agency records to a Federal records center for temporary storage. The agency retains legal custody of the records. *See also RETIREMENT, TRANSFER(1).*
- (3) The records so transferred.

## **ACTIVE RECORDS.** *See CURRENT RECORDS.*

**ADEQUACY OF DOCUMENTATION.** A standard of sufficiently and properly recording actions and/or decisions. *See also ADEQUATE AND PROPER DOCUMENTATION, DOCUMENTATION (1), RECORDKEEPING REQUIREMENTS, RECORDS CREATION.*

**ADEQUATE AND PROPER DOCUMENTATION.** A record of the conduct of U.S. Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. *See also ADEQUACY OF DOCUMENTATION, CONTRACTOR RECORDS, DOCUMENTARY MATERIALS, DOCUMENTATION (1), RECORDKEEPING REQUIREMENTS, RECORDS, RECORDS CREATION.*

**ADMINISTRATIVE RECORDS.** Records relating to budget, personnel, supply, and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records. *See also PROGRAM RECORDS.*

**ADMINISTRATIVE VALUE.** The usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition. *See also FISCAL VALUE, LEGAL VALUE.*

**ADP MANAGER.** *See INFORMATION TECHNOLOGY MANAGER.*

**AERIAL PHOTOGRAPHS.** *See REMOTE- SENSING IMAGERY RECORDS.*

**AGENCY.** *See EXECUTIVE AGENCY, FEDERAL AGENCY.*

**AGENCY RECORDS.**

- (1) *See RECORDS.*
- (2) Documentary materials of an executive agency that, based on Federal case law, are subject to the Freedom of Information Act (FOIA).

**AGENCY RECORDS OFFICER.** *See RECORDS MANAGEMENT OFFICER.*

**AGENCY RECORDS SCHEDULE:** *See COMPREHENSIVE RECORDS SCHEDULE, RECORDS SCHEDULE.*

**APPRAISAL.** The process of determining the value and thus the final disposition of records, making them either temporary or permanent. *See also EVALUATION (1).*

**ARCHITECTURAL AND ENGINEERING RECORDS.** Drawings and related records depicting the concepts and precise measurements needed to plan and build static structures, such as buildings, bridges, and canals, as well as those needed to complete other public works projects and produce such objects as weapons and machines. Include design and construction drawings and related records. Also include computer-aided design (CAD), computer-aided manufacturing (CAM), and computer-aided engineering (CAE) system records that relate to architecture and engineering and need to be managed like other electronic records.

**ARCHIVAL AGENCY.** *See ARCHIVES (2).*

**ARCHIVAL DEPOSITORY.** *See ARCHIVES (3).*

**ARCHIVAL MICROFILM.** A photographic film that meets the standards for archival film described in NARA's micrographic regulations and that is suitable for the preservation of permanent records when stored in accordance with those regulations. *See also SILVER GELATIN FILM.*

**ARCHIVAL REPOSITORY.** *See ARCHIVES (3).*

**ARCHIVES.**

- (1) The noncurrent records of an organization preserved because of their continuing, or enduring, value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the Archivist's legal custody. *See also PERMANENT RECORDS, STANDARD FORM 258.*

- (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records. Also called archival agency. In the U.S. Government, the National Archives and Records Administration (NARA).
- (3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository or archival repository. *See also DEPOSITORY.*

**ARCHIVIST OF THE UNITED STATES.** The head of the National Archives and Records Administration (NARA).

**AUDIOVISUAL RECORDS.** Records in pictorial or aural form. Include still and motion pictures; graphic materials, such as posters and original art; audio and video recordings; and combinations of media, such as slide-tape productions. *See also NATIONAL AUDIOVISUAL CENTER, PHOTOGRAPHIC RECORDS, RECORD COMPONENTS.*

**AUDIT.** *See EVALUATION (2).*

**AUTOMATIC DATA PROCESSING (ADP).** Systematically performing a series of actions with data by using automatic machines, primarily electronic digital computers. Also called automated data processing. Often used as a synonym for electronic data processing (EDP). *See also DATA PROCESSING, ELECTRONIC RECORDS, INFORMATION TECHNOLOGY MANAGER.*

**BLOCK.**

- (1) One or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to the National Archives. For example, a transfer of records in 5-year blocks.
- (2) In electronic records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output. *See also ACCESSION, CUTOFF, PERMANENT RECORDS, TRANSFER.*

**CARTOGRAPHIC RECORDS.** Graphic representations drawn to scale of the earth's surface and atmosphere and of other planets and planetary satellites. Include maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Also include digital cartographic records, such as geographic information system records, which are managed like other electronic records. *See also REMOTE-SENSING IMAGERY RECORDS.*

**CASE FILES.** Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

Also defined in the DOE Guide 1324.5B, *IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.*

**CASE WORKING FILES.** Background or support files, such as worksheets, questionnaires, rough notes, calculations, or drafts, used to prepare or analyze case file documents. Often bulky when in paper form. *See also WORKING FILES.*

**CENTRAL FILES.** Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called centralized files.

**CHARTS.** *See CARTOGRAPHIC RECORDS.*

**CHRONOLOGICAL (CHRON) FILES.** *See READING FILES.*

**CLASSIFICATION.**

- (1) The process of determining the sequence or order in which to arrange documents.
- (2) *See FILING SYSTEM.*
- (3) The process or result of identifying records containing national security information. *See also CLASSIFIED INFORMATION.*

**CLASSIFIED INFORMATION.** Records or information requiring, for national security reasons, safeguards against unauthorized disclosure. *See also CLOSED FILE (2).*

**CLOSED FILE.**

- (1) A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. *See also CUTOFF.*
- (2) A file unit or series to which access is limited or denied. *See also CLASSIFIED INFORMATION.*

**CODE.**

- (1) Numbers or symbols used to abbreviate lengthy file titles.
- (2) In electronic records, a set of rules to convert data to a form that computers can process. Also called a computer code. Examples include ASCII (American Standard Code for Information Interchange) and EBCDIC (Extended Binary Coded Decimal Interchange Code).
- (3) A computer program.
- (4) A systematically arranged collection of laws or regulations, such as the United States Code or the Code of Federal Regulations.

Also Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR*  
**CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT:**

**CODING.** Usually, coding is used to mean placing a numeric code from the subject matter

categories contained in DOE M 251.1-1 on subject correspondence. It serves as a shorthand technique. Instead of writing out the complete subject title, a short code is substituted. Also, coding can mean placing other subject matter codes from other sources on subject correspondence. In another type of usage, coding is used to mean applying a code of some type to other types of records, i.e., placing a numeric code on a case file document. In addition, alphabetic letters are used to code documents.

**CODE OF FEDERAL REGULATIONS (CFR).** *See CODE (4).*

**COMPREHENSIVE RECORDS SCHEDULE.** A schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency or department, or those of a bureau, service, or office within a department. Should also include instructions for nonrecord materials, whose disposition is based on agency needs. *See also RECORDS SCHEDULE.*

**COMPUTER.** An electronic device designed to accept data (input), perform prescribed mathematical and logical operations at high speed (processing), and supply the results of these operations (output). A digital computer processes data as numbers and includes mainframe computers, minicomputers, and microcomputers. In contrast, an analog computer represents data by measurable quantities, such as voltages. *See also OFFICE AUTOMATION.*

**COMPUTER CODE.** *See CODE (2).*

**COMPUTER OUTPUT MICROFILM (COM).** Microfilm containing data converted and recorded directly from a computer. Generally used instead of hard copy printouts.

**COMPUTER PRINTOUT.** *See PRINTOUT.*

**COMPUTER SYSTEM.** A configuration, or working combination, of hardware, software, and data communication devices. *See also ELECTRONIC RECORDS, INFORMATION SYSTEM.*

**CONSTRUCTION DRAWINGS.** *See ARCHITECTURAL AND ENGINEERING RECORDS.*

**CONTINGENT RECORDS.** Records scheduled for final disposition at some unspecified future time after the occurrence of a particular event, such as the decommissioning of a vessel, the sale of property, or the destruction of a building.

**CONTINUED PRESERVATION.** *See PERMANENT RECORDS, PRESERVATION, RECORDS.*

**CONTINUING VALUE.** The lasting value of records, especially of permanent records. *See also PERMANENT RECORDS.*

**CONTRACTOR DATA.** *See CONTRACTOR RECORDS.*

**CONTRACTOR RECORDS.** Data produced and/or maintained by a contractor for a Federal agency and required to provide adequate and proper documentation of that agency's programs and to manage them effectively. Also called contractor data. *See also ADEQUATE AND PROPER DOCUMENTATION, RECORDS.*

**CONVENIENCE FILES.** Nonrecord copies of correspondence, completed forms, and other documents kept solely for ease of access and reference. *See also TECHNICAL REFERENCE FILES, WORKING FILES.*

**COPY.**

- (1) A reproduction of the contents of an original document, prepared simultaneously or separately and usually identified by function or by method of creation. Copies identified by function include action copy, information or reference copy, official file copy, reading or chronological file copy, suspense or tickler file copy, and stock copy. Copies identified by method of creation include carbon copy, electrostatic copy, mimeograph copy, and ribbon copy.
- (2) In electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

**CORRESPONDENCE.** Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that are sent and received. *See also GENERAL CORRESPONDENCE FILES, TRANSITORY CORRESPONDENCE FILES.*

**CREATION.** *See RECORDS CREATION.*

**CURRENT RECORDS.** Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. *See also NONCURRENT RECORDS, SEMICURRENT RECORDS.*

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

**CUTOFF.** Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break. *See also BLOCK (1), CLOSED FILE (1).*

**Per DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT:**

**CUTOFF.**

- (1) **Correspondence Files.** Correspondence files are cut off (broken or ended) at regular time intervals to permit their transfer, retirement, or destruction in a complete file blocks. New files are then established.
- (2) **Case Files.** Case files are generally cut off (broken or ended) at the end of the year in which the case is closed.

**DATA.** Symbols, or representations, of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data or with statistics or measurements. *See also INFORMATION.*

**DATA BASE.** In electronic records, a set of data, consisting of at least one file or of a group of integrated files, usually stored in one location and made available to several users at the same time for various applications.

**DATA FILE.** *See FILE (4).*

**DATA PROCESSING (DP).** Systematically performing a series of actions with data. May be done by manual, mechanical, electromechanical, or electronic (primarily computer) means. Often used interchangeably with automatic data processing (ADP). *See also AUTOMATIC DATA PROCESSING(ADP), INFORMATION RESOURCES MANAGEMENT (IRM).*

**DAY FILES.** *See READING FILES.*

**DEPOSITORY.** A place where records are kept and made available for use. Also called repository. *See also ARCHIVES (3), RECORDS CENTER.*

**DESCRIPTION.**

- (1) In records management, the process of giving a written account of the contents and characteristics of a record series or system.
- (2) In archives administration, the process of preparing finding aids. *See also INVENTORY (3).*

**DESIGN DRAWINGS.** *See ARCHITECTURAL AND ENGINEERING RECORDS.*

**DESTRUCTION.** In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials. *See also DISPOSAL, DISPOSITION, EMERGENCY DESTRUCTION.*

**DIRECTIVE.** A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, handbooks, manuals, notices, numbered memorandums, and similar issuances.

**DISASTER PREVENTION AND RECOVERY:** *See VITAL RECORDS.*

**DISPOSABLE RECORDS:** *See TEMPORARY RECORDS.*

**DISPOSAL.**

- (1) The actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or occasionally of donation. *See also DESTRUCTION, DISPOSING OF, DISPOSITION (1), DONATION (1), FINAL DISPOSITION, TEMPORARY RECORDS.*





- (2) Also, when so specified, the actions taken regarding nonrecord materials when no longer needed, especially their destruction. See also **DISPOSITION (2)**.

**DISPOSAL AUTHORITY.** See *DISPOSITION AUTHORITY*.

**DISPOSAL LIST.** A document providing one-time approval for the disposal of records no longer accumulating and having no further value. Now incorporated into an SF 115. See also *DISPOSAL (1)*, *RECORDS SCHEDULE*, *STANDARD FORM 115*.

**DISPOSAL SCHEDULE.** See *RECORDS SCHEDULE*.

**DISPOSING OF.** Carrying out disposal, which includes either the destruction or the donation of temporary records but not the transfer of permanent records to the National Archives. See also *DISPOSAL (1)*, *FINAL DISPOSITION*.

**DISPOSITION.**

- (1) The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle. See also *DISPOSAL (1)*, *FINAL DISPOSITION*, *LIFE CYCLE OF RECORDS*, *RETENTION PERIOD*, *RETIREMENT*, *SCHEDULED RECORDS*, *SCHEDULING*, *TRANSFER*, *UNSCHEDULED RECORDS*.
- (2) The actions taken regarding nonrecord materials when no longer needed, including screening and destruction. See also *DISPOSITION INSTRUCTIONS (2)*, *SCHEDULING*.

Also defined in DOE Guide 1324.5B, *IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT*:

**DISPOSITION.** A broad term which may refer to any of the following:

- (1) Destroying records;
- (2) Offering and transferring those records accepted to the National Archives;
- (3) Retiring or transferring records to a records storage facility;
- (4) Transferring records from one office or agency to another; and
- (5) Donating records to a Government or non-Government entity.

**DISPOSITION AUTHORITY.**

- (1) **Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office (GAO).**
- (2) **The agency's approval of disposition instructions for nonrecord materials.**

**DISPOSITION INSTRUCTIONS.**

- (1) **Directions for cutting off records and carrying out their disposition in compliance with NARA's regulations.**
- (2) **Directions for screening nonrecord materials and carrying out their disposal when no longer needed by the agency.**

**DISPOSITION ITEM.** *See ITEM (2).*

**DISPOSITION PROGRAM.** Policies and practices designed to achieve effective and efficient disposition of records by scheduling them, ensuring their proper storage, and ensuring the prompt disposal of temporary records and the timely transfer of permanent records to the National Archives. Essential elements include issuing an up-to-date program directive; developing, implementing, and maintaining an accurate, current, and comprehensive records schedule; properly training those taking part in disposition activities; publicizing the program; and evaluating the results.

**DISPOSITION SCHEDULE.** *See RECORDS SCHEDULE.*

**DISPOSITION STANDARD.** *See RETENTION PERIOD.*

**DOCUMENT.**

- (1) **Recorded information regardless of physical form or characteristics. Often used interchangeably with record.**
- (2) **An individual record or an item of nonrecord materials or of personal papers. *See also NONRECORD MATERIALS, PERSONAL PAPERS, RECORDS.***

**DOCUMENTARY MATERIALS.** A collective term for records, nonrecord materials, and personal papers that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording. *See also ADEQUATE AND PROPER DOCUMENTATION, FILES, MEDIUM, NONRECORD MATERIALS, PERSONAL PAPERS, RECORDED INFORMATION, RECORDS.*

**Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.**

## **DOCUMENTATION.**

- (1) The act or process of substantiating by recording actions and/or decisions. *See also ADEQUACY OF DOCUMENTATION, ADEQUATE AND PROPER DOCUMENTATION.*
- (2) *See DOCUMENT (1).*
- (3) Records required to plan, develop, operate, maintain, and use electronic records. Included are systems specifications, file specifications, codebooks, record layouts, user guides, and output specifications. *See also INFORMATION SYSTEM, PROCESSING FILES.*

**DOCUMENTATION REQUIREMENTS.** *See RECORDKEEPING REQUIREMENTS.*

**DOCUMENTATION STANDARDS.** *See RECORDKEEPING REQUIREMENTS.*

## **DONATION.**

- (1) In records management, the transfer of temporary records from a Federal agency to an eligible person or organization after the authorized retention period has expired. Requires NARA's approval. *See also DISPOSAL (1).*
- (2) In archives administration, the transfer from private sources to the National Archives of documents, including audiovisual materials, appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

**ELECTRONIC DATA PROCESSING (EDP).** *See AUTOMATIC DATA PROCESSING (ADP).*

**ELECTRONIC RECORDS.** Records stored in a form that only a computer can process. Also called machine-readable records or ADP records. *See also AUTOMATIC DATA PROCESSING (ADP), COMPUTER SYSTEM, INFORMATION SYSTEM.*

Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**ELECTRONIC RECORD.** Electronic record means any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

**EMERGENCY DESTRUCTION.** Eliminating records under abnormal circumstances, as provided by law or regulations. These circumstances involve a state of war or impending hostilities and also a continuing menace to life, health, or property. *See also DESTRUCTION.*

**EMERGENCY-OPERATING RECORDS.** That type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. *See also VITAL RECORDS.*

**ENGINEERING RECORDS.** *See ARCHITECTURAL AND ENGINEERING RECORDS.*

**ESSENTIAL RECORDS.** *See VITAL RECORDS.*

**EVALUATION.**

- (1) In records disposition, the process of assessing the value of records to recommend or determine their retention periods, making the records either temporary or permanent. *See also APPRAISAL.*
- (2) The inspection, audit, or review of records management programs, including records disposition, either by the agency or by NARA and/or GSA, to ensure compliance with applicable laws and regulations.

**EVIDENTIAL VALUE.** The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. Considered by NARA in appraising records for permanent retention. *See also INFORMATIONAL VALUE, PERMANENT RECORDS, RECORDS.*

**EXECUTIVE AGENCY.** Any executive department or independent establishment in the executive branch of the U.S. Government, including any wholly owned Government corporation. *See also FEDERAL AGENCY.*

**FACSIMILE.**

- (1) An exact copy of a document, drawing, photograph, or the like.
- (2) A method or device for transmitting such a copy via telephone or radio for reproduction elsewhere.

**FAX.** *See FACSIMILE.*

**FEDERAL AGENCY.** Any executive agency or any establishment in the legislative or judicial branch of the U.S. Government, except for the Executive Office of the President, the Supreme Court, the Senate, the House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction. *See also EXECUTIVE AGENCY.*

**FEDERAL INFORMATION RESOURCES MANAGEMENT REGULATIONS (FIRMR).** Regulations on information resources management issued by GSA and applicable to Federal agencies.

**FEDERAL PROPERTY MANAGEMENT REGULATIONS (FPMR).** GSA regulations. The part formerly applying to records management has been superseded by the Federal Information Resources Management Regulations and NARA records management regulations.

**FEDERAL RECORDS.** *See RECORDS.*

**FEDERAL RECORDS CENTER (FRC).** A records center operated by NARA. *See also RECORDS CENTER, STANDARD FORM 135.*

Also Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT as:

**FEDERAL RECORDS CENTER (FRC).** A storage facility established for the receipt, maintenance, servicing, and disposition of records which are retired in accordance with the provisions of authorized disposition schedules. The National Archives and Records Administration operates a system of Federal records centers which DOE is authorized to use.

**FICHE.** See **MICROFICHE.**

**FILE.**

- (1) Usually an accumulation of records or nonrecord materials arranged according to a plan. Sometimes an accumulation of personal papers so arranged.
- (2) A unit, such as a folder, microform, or electronic medium, containing such records, nonrecord materials, or personal papers.
- (3) Storage equipment, such as a filing cabinet.
- (4) In electronic records, an organized collection of related data, usually arranged into logical records that are stored together and treated as a unit. *See also FILES, FILING.*

**FILE BREAK.** *See CUTOFF.*

**FILE CODES.** Numbers or symbols used to abbreviate lengthy file titles. *See also CODING (1).*

**FILE COPY.** *See COPY (1), RECORDS.*

**FILE CUTOFF.** *See CUTOFF.*

**FILES CUSTODIAN.** The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper." Per, DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.

**FILE PLAN.**

- (1) *See FILING SYSTEM.*
- (2) A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility.
- (3) A document containing the identifying number, title or description, and disposition authority of files held in an office.

**FILE STATION.** Any location in an organization at which records are maintained for current use.

Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.

**FILE TYPES.** Categories or classes of files. Include case, case working, general correspondence, reading, transitory correspondence, convenience, and technical reference files, along with vital records and special records. Each of these types is defined in this glossary.

**FILES.** A collective term usually applied to all records and nonrecord materials of an office or agency. *See also DOCUMENTARY MATERIALS, FILE, NONRECORD MATERIALS, PERSONAL PAPERS, RECORDED INFORMATION, RECORDS.*

**FILES INVENTORY.** *See INVENTORY.*

**FILES MAINTENANCE.** *See FILES MANAGEMENT.*

**FILES MANAGEMENT.** Applying records management principles and techniques to filing practices in order to organize and maintain documentary materials properly, retrieve them rapidly, ensure their completeness, and make their disposition easier. *See also RECORDS MAINTENANCE AND USE, RECORDS MANAGEMENT.*

**FILES MANUAL.** *See DIRECTIVE.*

**FILING.** Putting documents into their place in accordance with a plan, or filing system. *See also FILE, RECORDS MAINTENANCE AND USE.*

**FILING FEATURE.** A characteristic by which a document is filed and found, such as a number, date, title, name, or subject. *See also CROSS REFERENCE.*

**FILING SYSTEM.** A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called recordkeeping system.

**FINAL DISPOSITION.** The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to the National Archives. *See also DISPOSAL (1), DISPOSING OF, LIFE CYCLE OF RECORDS, PERMANENT RECORDS, SCHEDULED RECORDS, SCHEDULED TRANSFER, TEMPORARY RECORDS, UNSCHEDULED RECORDS.*

**FINDING AIDS.** Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or retrieve information. *See also INDEX (2).*

**FISCAL VALUE.** The usefulness of records in documenting an agency's financial transactions and obligations. *See also ADMINISTRATIVE VALUE, LEGAL VALUE.*

**FOLLOWUP FILES.** *See SUSPENSE FILES.*

**FORM.**

(1) A document with a fixed arrangement of captioned spaces designed for entering and extracting prescribed information. Categories of forms include internal, interagency, public use, standard, and optional.

(2) *See MEDIUM.*

**FROZEN RECORDS.** In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

**GENERAL CORRESPONDENCE FILES.** Records arranged and filed according to their general informational, or subject, content. Mainly letters and memorandums but also forms, reports, and other material, all relating to program and administrative functions, not to specific cases. Also called central, correspondence, or subject files. *See also ADMINISTRATIVE RECORDS, CORRESPONDENCE, PROGRAM RECORDS, READING FILES, TRANSITORY CORRESPONDENCE FILES.*

**GENERAL RECORDS SCHEDULE (GRS).** A NARA-issued schedule governing the disposition of specified records common to several or all agencies. *See also RECORDS SCHEDULE, STANDARD FORM 115.*

**GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS.** *See CARTOGRAPHIC RECORDS, ELECTRONIC RECORDS.*

**GRAPHIC RECORDS.** *See ARCHITECTURAL AND ENGINEERING RECORDS, AUDIOVISUAL RECORDS, CARTOGRAPHIC RECORDS.*

**HARD COPY.**

- (1) Recorded information copied from a computer onto paper or some other durable surface, such as microfilm. To be distinguished from a temporary image on a display screen and from the electronic information on a magnetic tape or disk(ette) or in the computer's main memory. *See also OUTPUT RECORDS.*
- (2) Recorded information copied from microfilm onto paper and made readable without a special device.
- (3) A paper record that may later be filmed or digitized.

**HOLDING AREA.** Agency space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or their transfer to a Federal or agency records center or to the National Archives. Also called staging area. *See also RECORDS CENTER.*

**HOUSEKEEPING RECORDS.** *See ADMINISTRATIVE RECORDS.*

**INACTIVE RECORDS.** *See NONCURRENT RECORDS.*

**INDEX.** (Note: NOT A FILE PLAN)

- (1) A separate collection of cards, extra copies of documents, cross-reference sheets, or other forms arranged differently from the related record series to make it easier to locate relevant documents.
- (2) A manual or automated listing arranged differently from a related record series or system to speed retrieval of relevant files. *See also FINDING AIDS.*

**INFORMATION.**

- (1) Facts or data communicated or received. *See also RECORDED INFORMATION.*
- (2) In electronic records, processed data. *See also DATA.*

**INFORMATION AND RECORDS MANAGEMENT.** *See RECORDS MANAGEMENT.*

**INFORMATION COPY.** A nonrecord copy sent to individuals or offices interested in, but not acting on, a matter. *See also COPY (1).*

**INFORMATION RESOURCES MANAGEMENT (IRM).** The planning, budgeting, organizing, directing, training, and controlling associated with the creation, maintenance and use, and disposition of information as well as with related resources, or assets, such as personnel, equipment, funds, and technology. Includes data processing, telecommunications, and records management. *See also DATA PROCESSING, RECORDS MANAGEMENT.*

**INFORMATION SYSTEM.** The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Also called a record system or a system. Most often refers to a system containing electronic records, which involves input or source documents, records on electronic media, and output records, along with related documentation and any indexes. *See also COMPUTER SYSTEM, DOCUMENTATION (3), ELECTRONIC RECORDS, INPUT, OUTPUT, SERIES.*

**INFORMATION SYSTEM MANAGER.** The program official responsible for overseeing the creation and use of records in an information system. Also called program manager. *See also COMPUTER SYSTEM, INFORMATION TECHNOLOGY MANAGER, PROGRAM MANAGER, RECORDS MANAGEMENT OFFICER.*

**INFORMATION TECHNOLOGY MANAGER.** The ADP official responsible for overseeing the purchase and technical operation of an information system. Also called ADP manager. *See also AUTOMATIC DATA PROCESSING, INFORMATION SYSTEM MANAGER, RECORDS MANAGEMENT OFFICER.*

**INFORMATIONAL VALUE.** The usefulness of records in documenting the persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency's organization, functions, and activities. Considered by NARA in appraising records for permanent retention.

**INPUT.** In electronic records, data to be entered into a computer for processing. *See also INFORMATION SYSTEM, OUTPUT.*

**INPUT RECORDS.** Nonelectronic documents designed and used to create, update, or modify records in an electronic medium; or electronic records containing data used to update a separate computer file. Sometimes called source records or source documents. *See also OUTPUT RECORDS, SOURCE DOCUMENTS.*

**INSPECTION.** *See EVALUATION (2).*



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

**INVENTORY.**

- (1) A survey of agency records and nonrecord materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology.
- (2) The results of such a survey.
- (3) In archives administration, a type of finding aid for accessioned records. *See also DESCRIPTION (2).*

**ITEM.**

- (1) A document.
- (2) A separately numbered entry describing records on an SF 115, Request for Records Disposition Authority. Usually consists of a record series or part of an information system. *See also STANDARD FORM 115.*

**LEGAL CUSTODY.** *See CUSTODY.*

**LEGAL VALUE.** The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities. *See also ADMINISTRATIVE VALUE, FISCAL VALUE.*

**LIFE CYCLE OF RECORDS.** The management concept that records pass through three stages: creation, maintenance and use, and disposition. *See also DISPOSITION (1), FINAL DISPOSITION, RECORDS CREATION, RECORDS MAINTENANCE AND USE.*

**LOW-COST STORAGE.** Facilities specially designed for the storage of records. Includes records holding areas and Federal records centers. Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.

**MAINTENANCE AND USE.** *See RECORDS MAINTENANCE AND USE.*

**MAPS AND CHARTS.** *See CARTOGRAPHIC RECORDS, PRINTED RECORDS, PUBLICATIONS.*

**MEDIUM.** The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded. *See also DOCUMENTARY MATERIALS, RECORDED INFORMATION, RECORDS.*

**MEMORANDUM.** A written communication much like a letter but having no salutation or complimentary ending. Usually used within or between offices of the same organization.

**MICROCOPY.** A photographic reproduction so small that a magnifying device is needed to read or view the image. *Also called a microphotograph.*

**MICROFICHE.** A card-sized transparent sheet of film with miniaturized images (microimages) arranged in a grid pattern. Usually contains a title readable without a magnifying device. Sometimes abbreviated as fiche.

**MICROFILM.**

- (1) Raw (unexposed and unprocessed) fine-grain, high-resolution film suitable for use in micrographics.
- (2) Fine-grain, high-resolution film containing microimages. See also SILVER GELATIN FILM.

**MICROFILMING.** The process of recording microimages on film.

**MICROFORM.** Any form containing greatly reduced images, or microimages, normally on microfilm. Roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes. Flat, or generally unitized, microforms include microfiche, microfilm jackets, aperture cards, and microcards, or micro-opaques.

**MICROGRAPHICS.** A records management technology concerned with producing and using microforms.

**MICROPHOTOGRAPH.** *See MICROCOPY.*

**NATIONAL ARCHIVES.** *See ARCHIVES.*

**NATIONAL AUDIOVISUAL CENTER (NAC).** A NARA-operated central clearinghouse for most current audiovisual materials produced by or for the Federal Government. These materials are made available for sale and rental to Federal agencies and the public. *See also AUDIOVISUAL RECORDS.*

**NATIONAL SECURITY CLASSIFIED INFORMATION.** *See CLASSIFIED INFORMATION.*

**NEGATIVE FILM.** Film in which the dark portions of the original image appear light and the light portions dark. Used as the master copy from which positive copies can be made

**NONCURRENT RECORDS.** Records no longer required to conduct agency business and therefore ready for final disposition. See also CURRENT RECORDS, PERMANENT RECORDS, SEMICURRENT RECORDS.

**NONRECORD COPY.** *See NONRECORD MATERIALS.*

**NONRECORD MATERIALS.** U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called nonrecords. *See also DISPOSITION AUTHORITY (2), DISPOSITION INSTRUCTIONS (2), DOCUMENTARY MATERIALS, FILES, PERSONAL PAPERS, RECORDED INFORMATION, RECORDS, TECHNICAL REFERENCE FILES, WORKING FILES.*

Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**NONRECORD MATERIALS.** Nonrecord materials consist of information, contained on any media, having no documentary or evidential value. The term includes stocks of publications, library material, duplicate copies of file material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, and routing slips. Non-record material should be destroyed when its purpose is served.

**NONRECORDS.** *See NONRECORD MATERIALS.*

**NONTEXTUAL RECORDS.** A collective term usually applied to electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records, in contrast to manuscript and typescript paper records. *See also SPECIAL RECORDS, TEXTUAL RECORDS.*

**OFFER.** A term formerly used to describe the act of requesting NARA's one time approval of the immediate transfer of unscheduled records to the National Archives ("direct offer") or the act of initiating the transfer to the National Archives of records already scheduled as permanent ("scheduled offer"). Direct offers have been discontinued, and scheduled offers are now called scheduled transfers. *See also SCHEDULED TRANSFER, TRANSFER.*

**OFFICE AUTOMATION.** The use of automated or electronic equipment, such as computers, for office operations. *See also COMPUTER.*

**OFFICIAL FILE COPY.** *See COPY (1), RECORDS.*

**OFFICIAL FILES.** *See RECORDS.*

**OFFICIAL RECORD COPY.** *See COPY (1), RECORDS.*

**OFFICIAL RECORDS.** *See RECORDS.*

**OPTIONAL FORM 11, REFERENCE REQUEST FEDERAL RECORDS CENTERS.** A form that an agency may use to obtain reference service involving records it has stored in a Federal records center.

**ORAL HISTORY MATERIALS.** All documents, regardless of media, relating to interviews conducted expressly for historical purposes by, or on behalf of, an agency.

**ORPHANED RECORDS:** Records that support a program that no longer exist, or can be identified, regardless of media.

**OUTPUT.** In electronic records, information transmitted from internal to external units of a computer, or to an outside medium. *See also INFORMATION SYSTEM, INPUT.*

**OUTPUT RECORDS.** In electronic records, information generated by a computer and placed on an outside medium, such as paper, microform, or an electronic storage medium. *See also HARD COPY, INPUT RECORDS.*

**PAPER.** *See MEDIUM.*

**PAPERS.** *See PERSONAL PAPERS, RECORDS.*

**PAPERWORK MANAGEMENT.** *See RECORDS MANAGEMENT.*

**PERMANENT RECORDS.** Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records. *See also ARCHIVES (1), BLOCK (1), EVIDENTIAL VALUE, FINAL DISPOSITION, INFORMATIONAL VALUE, NONCURRENT RECORDS, SCHEDULED TRANSFER, STANDARD FORM 258, TEMPORARY RECORDS.*

**PERSONAL PAPERS.** Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the agency's records. *Also called personal files or personal records. See also DOCUMENT (2), DOCUMENTARY MATERIALS, FILE, FILES, NONRECORD MATERIALS, RECORDS.*

Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**PERSONAL PAPERS.** Personal papers consist of documentary materials belonging to an individual that are not used to conduct official business. They relate solely to the individual's own affairs and are used exclusively by the individual for personal convenience. Personal papers must be clearly designated as such and kept separate from official records. Personal files or personal records are additional terms used to refer to personal papers.

**PHOTOGRAPHIC RECORDS.** Records taking the form of pictures, or photographs, sometimes with related textual records. *See also AUDIOVISUAL RECORDS.*

**PHYSICAL CUSTODY.** *See CUSTODY.*

**POSITIVE FILM.** Film in which the dark portions of the original image appear dark and the light portions light.

**POSTERS.** *See AUDIOVISUAL RECORDS, PRINTED RECORDS, PUBLICATIONS.*

**PRESERVATION.**

- (1) The provision of adequate facilities to protect, care for, or maintain records.
- (2) Specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records. *See also RECORDS MAINTENANCE AND USE.*

**PRINTED RECORDS.** Published materials (such as books, maps, and posters) or serial issuances (such as directives and press releases) produced by or for a particular agency, in contrast to extra copies kept in stock or distributed inside or outside that agency. *See also PUBLICATIONS, RECORDS.*

**PRINTOUT.** Output produced by a computer printer, generally on continuous paper sheets.

**PRIVATE PAPERS.** *See PERSONAL PAPERS.*

**PROCESSED DOCUMENTS.**

(1) Documents other than publications produced by electrostatic, stencil, or other duplicating methods.

(2) Documents prepared for use and/or storage.

**PROCESSING.** Handling files to prepare them for use and/or storage.

**PROCESSING FILES.** Those data files comprising the life cycle of most computerized records before the production of a particular master file. Include work files, test files, input/source files, intermediate input/output files, valid transaction files, and audit trail files. *See also DOCUMENTATION (3), WORK FILES.*

**PROGRAM MANAGER.** An official responsible for overseeing an agency function, especially a unique function rather than a function common to many agencies. *See also INFORMATION SYSTEM MANAGER, INFORMATION TECHNOLOGY MANAGER, RECORDS MANAGEMENT OFFICER.*

**PROGRAM RECORDS.** Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records. *See also ADMINISTRATIVE RECORDS.*

**PROGRAM REVIEW.** *See EVALUATION (2).*

**PROJECT FILES.** *See CASE FILES.*

**PUBLIC RECORDS.**

(1) In general usage, records accumulated by Government agencies.

(2) Records open to public inspection by law or custom. *See also ACCESS (1), RECORDS.*

**PUBLICATIONS.** Documents printed or otherwise produced for wide distribution inside or outside an agency. Include annual reports, brochures, pamphlets, posters, books, handbooks, and maps. Also include instructional and informational materials in audiovisual form. According to 44 U.S.C.1901, a U.S. Government publication is "informational matter which is published as an individual document at Government expense, or as required by law." *See also PRINTED RECORDS.*

**PURGING.** *See SCREENING (2).*

**READING FILES.** Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. Sometimes called chronological (chron) or day files. *See also GENERAL CORRESPONDENCE FILES.*

**RECORD COMPONENTS.** In records disposition, those elements of audiovisual, microform, and certain other special records, needed for long-term preservation and required or requested when permanent records are transferred to the National Archives. For example, record components for color photographs include the original color transparency or color negative, a captioned print, and an internegative if one exists. *See also AUDIOVISUAL RECORDS, SPECIAL RECORDS.*

**RECORD COPY.** *See RECORDS.*

**RECORD ELEMENTS.** *See RECORD COMPONENTS.*

**RECORD GROUP.** A body of organizationally related records established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. NARA uses record group numbers to keep track of agency records during and after the scheduling process, including those transferred to Federal records centers and/or the National Archives.

**RECORD LAYOUT.** In electronic records, a diagram or list of the contents of a logical record describing each data field's informational content, length, and position.

**RECORD MEDIUM.** *See MEDIUM.*

**RECORD SERIES.** *See SERIES.*

**RECORD SET.** *See PRINTED RECORDS.*

**RECORD SYSTEM.** *See INFORMATION SYSTEM.*

**RECORD VALUES.** *See ADMINISTRATIVE VALUE, APPRAISAL, EVALUATION (1), EVIDENTIAL VALUE, FISCAL VALUE, INFORMATIONAL VALUE, INTRINSIC VALUE, LEGAL VALUE, PERMANENT RECORDS.*

**RECORDED INFORMATION.** Information placed on a medium, such as paper, computer disk, or microform, to be available for later retrieval and use. *See also DOCUMENTARY MATERIALS, FILES, INFORMATION, MEDIUM, NONRECORD MATERIALS, RECORDS.*

**RECORDKEEPING.** The act or process of creating and maintaining records. Assumes the need for their proper disposition. *See also RECORDS MANAGEMENT.*

**RECORDKEEPING REQUIREMENTS.** Statements in statutes, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all media, and to distinguish records from nonrecord materials and personal papers. *See also ADEQUACY OF DOCUMENTATION, ADEQUATE AND PROPER DOCUMENTATION, RECORDS MAINTENANCE AND USE.*

**RECORDKEEPING SYSTEM.** *See FILING SYSTEM.*

**RECORDS.** According to 44 U.S.C. 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included." Also called Federal records, which exclude Presidential records and records of the U.S. Congress. *See also ADEQUATE AND PROPER DOCUMENTATION, AGENCY RECORDS (2), CONTRACTOR RECORDS, DOCUMENTARY MATERIALS, EVIDENTIAL VALUE, FILES, INFORMATIONAL VALUE, MEDIUM, NONRECORD MATERIALS, PERSONAL PAPERS, PUBLIC RECORDS, RECORDED INFORMATION.*

Also defined in DOE Guide 1324.5B, *IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**RECORDS.** Records of the Department of Energy are books, papers, photographs, machine readable materials, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. Such materials, created or received in connection with the transaction of official business, are preserved because of their informational value as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities. Records, also referred to as record material or Government records, can be destroyed only according to the provisions of authorized disposition schedules

**RECORDS ADMINISTRATION.** *See RECORDS MANAGEMENT.*

**RECORDS ADMINISTRATION INFORMATION CENTER (RAIC).** An information clearinghouse operated by NARA for Federal records managers and others.

**RECORDS CENTER.** A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers and NARA-operated Federal records centers. *See also DEPOSITORY, FEDERAL RECORDS CENTER, HOLDING AREA.*

**RECORDS CONTROL SCHEDULE.** *See RECORDS SCHEDULE.*

**RECORDS CREATION.** The first stage of the records life cycle in which records are made (or received) by an office. *See also ADEQUACY OF DOCUMENTATION, ADEQUATE AND PROPER DOCUMENTATION, DOCUMENTATION, LIFE CYCLE OF RECORDS, RECORDKEEPING REQUIREMENTS, RECORDS.*

**RECORDS DISASTER PREVENTION AND RECOVERY.** *See VITAL RECORDS.*

**RECORDS DISPOSAL.** *See DISPOSAL (1).*

**RECORDS DISPOSITION.** *See DISPOSITION (1).*

**RECORDS DISPOSITION AUTHORITY.** *See DISPOSITION AUTHORITY (1).*

**RECORDS DISPOSITION PROGRAM.** *See DISPOSITION PROGRAM.*

**RECORDS DISPOSITION REQUEST.** *See STANDARD FORM 115.*

**RECORDS DISPOSITION SCHEDULE.** *See RECORDS SCHEDULE.*

Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**RECORDS DISPOSITION SCHEDULES.** A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to the retention and disposition of the records. Records disposition schedules provide for cutting off records and carrying out their disposition.

**RECORDS HOLDING AREA.** A local low-cost records storage facility, often staffed on a part-time basis, for the economical storage of noncurrent records pending their destruction or transfer to a Federal records center. Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT*

**RECORDS LIAISON OFFICER (RLO).** A person responsible for overseeing a records management program in a headquarters or field office in cooperation with the agency records management officer. *See also RECORDS MANAGEMENT OFFICER.*

**RECORDS LIFE CYCLE.** *See LIFE CYCLE OF RECORDS.*

**RECORDS MAINTENANCE AND USE.** Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency. This is the second stage of the records life cycle. *See also FILES MANAGEMENT, FILING, LIFE CYCLE OF RECORDS, PRESERVATION, RECORDKEEPING REQUIREMENTS, RECORDS.*

**RECORDS MANAGEMENT.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations. Also called records administration. *See also FILES MANAGEMENT, INFORMATION RESOURCES MANAGEMENT, RECORDKEEPING.*

**RECORDS MANAGEMENT OFFICER (RMO).** The person assigned responsibility by the agency head for overseeing an agency wide records management program. Also called records officer or records manager. *See also INFORMATION SYSTEM MANAGER, INFORMATION TECHNOLOGY MANAGER, PROGRAM MANAGER, RECORDS LIAISON OFFICER.*

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

**RECORDS MANAGEMENT PROGRAM DIRECTIVE.** *See DIRECTIVE.*



**RECORDS MANUAL.** *See DIRECTIVE.*

**RECORDS OFFICER.** *See RECORDS MANAGEMENT OFFICER.*

**RECORDS RETENTION SCHEDULE.** *See RECORDS SCHEDULE.*

**RECORDS RETIREMENT.** *See RETIREMENT.*

**RECORDS SCHEDULE.** A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the SF 115, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials. See also **COMPREHENSIVE RECORDS SCHEDULE, DISPOSAL LIST, DISPOSITION AUTHORITY, FINAL DISPOSITION, GENERAL RECORDS SCHEDULE, SCHEDULED RECORDS, SCHEDULED TRANSFER, SCHEDULING, STANDARD FORM 115, UNSCHEDULED RECORDS.**

Defined in DOE Guide 1324.5B, **IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT** as:

**RECORDS DISPOSITION SCHEDULES.** A comprehensive listing and description of records created or accumulated which shows all legally authorized action to be taken in relation to the retention and disposition of the records. Records disposition schedules provide for cutting off records and carrying out their disposition.

**RECORDS SCHEDULE INSTRUCTIONS.** *See DISPOSITION INSTRUCTIONS (1).*

**RECORDS SERIES.** Also called a files series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes. Defined in DOE Guide 1324.5B, **IMPLEMENTATION GUIDE for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.** *Also see SERIES.*

**RECORDS STORAGE FACILITY.** *See ARCHIVES (3), HOLDING AREA, RECORDS CENTER.*

**RECYCLING.** *See DESTRUCTION.*

**REFERENCE COPY.** *See INFORMATION COPY.*

**REFERENCE REQUEST-FEDERAL RECORDS CENTERS.** *See OPTIONAL FORM 11.*

**REMOTE-SENSING IMAGERY RECORDS.** Aerial photographs and other visual images of the surface of the earth or other planets taken from airborne or spaceborne vehicles to evaluate, measure, or map the cultural and/or physical features of the landscape. Also include related indexes. *See also CARTOGRAPHIC RECORDS.*

**REPOSITORY.** *See DEPOSITORY.*

**REQUEST FOR RECORDS DISPOSITION AUTHORITY.** *See STANDARD FORM 115.*

**RETAINED RECORDS.** In NARA's usage, older records in an agency's custody that are scheduled as permanent but overdue for transfer to the National Archives.

**RETENTION.** *See PRESERVATION.*

**RETENTION PERIOD.** The length of time that records are to be kept. *See also DISPOSITION (1).*

**RETENTION SCHEDULE.** *See RECORDS SCHEDULE.*

**RETENTION STANDARD.** *See RETENTION PERIOD.*

**RETIREMENT.** The transfer of records to agency storage facilities or a Federal records center. *See also ACCESSION (2), DISPOSITION (1), TRANSFER (1).*

**RIGHTS-AND-INTERESTS RECORDS.** That type of vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities. *See also VITAL RECORDS.*

**SAMPLING.** Selection for retention of part of a body of similar records to serve as a representation of the whole body. Usually associated with scheduling case files.

**SCHEDULE.** *See RECORDS SCHEDULE.*

**SCHEDULE INSTRUCTIONS.** *See DISPOSITION INSTRUCTIONS.*

**SCHEDULE ITEM.** *See ITEM (2).*

**SCHEDULED OFFER.** *See SCHEDULED TRANSFER.*

**SCHEDULED RECORDS.** Records whose final disposition has been approved by NARA. *See also DISPOSITION (1), FINAL DISPOSITION, RECORDS SCHEDULE.*

**SCHEDULED TRANSFER.** The act or process of moving permanent records to the National Archives for preservation, as authorized by a NARA-approved records schedule and as implemented by NARA's approval of an agency-submitted Standard Form 258 and by NARA's receipt of the records. Formerly called a scheduled offer. *See also FINAL DISPOSITION, OFFER, PERMANENT RECORDS, RECORDS SCHEDULE, STANDARD FORM 258, TRANSFER.*

**SCHEDULING.** The process of developing a document that provides mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business. *See also DISPOSITION, RECORDS SCHEDULE.*

**SCREENING.**

- (1) Reviewing files to apply access restrictions. *See also ACCESS.*
- (2) Examining files to identify and remove documents of short-term value, especially those eligible for immediate destruction. Also called weeding or purging.

**SECURITY-CLASSIFIED RECORDS.** *See CLASSIFIED INFORMATION.*

**SEMIACTIVE RECORDS.** *See SEMICURRENT RECORDS.*

**SEMICURRENT RECORDS.** Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a records center. *See also CURRENT RECORDS, NONCURRENT RECORDS.*

**SERIES.** File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series. Generally handled as a unit for disposition purposes. *See also INFORMATION SYSTEM.*

Also defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT* as:

**RECORDS SERIES.** Also called a files series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes. Defined in DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.*

**SILVER GELATIN FILM.** In microform records, archival-quality film containing images produced by using light-sensitive silver halide crystals suspended in a gelatin emulsion. Silver gelatin film should be distinguished from dry silver film, which is of nonarchival quality. *See also MICROFILM.*

**SILVER HALIDE FILM.** *See SILVER GELATIN FILM.*

**SOFTWARE.** The programs, procedures, and rules used to operate a computer.

**SOURCE DOCUMENTS.** Documents containing images and/or data entered into a microform or electronic records system. Also called source records. *See also INPUT RECORDS.*

**SOURCE RECORDS.** *See SOURCE DOCUMENTS.*

**SPECIAL RECORDS.** Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records. *See also NONTEXTUAL RECORDS, RECORD COMPONENTS, TEXTUAL RECORDS.*

**STAGING AREA.** *See HOLDING AREA.*

**STANDARD FORM (SF).** A form prescribed by a Federal agency and approved by GSA for mandatory use throughout the U.S. Government. *See also FORM (1).*

**STANDARD FORM 115, REQUEST FOR RECORDS DISPOSITION AUTHORITY.** The form used by Federal agencies to obtain disposition authority from NARA for records to which the

General Records Schedules are inapplicable. *See also DISPOSAL LIST, GENERAL RECORDS SCHEDULE, ITEM (2), RECORDS SCHEDULE.*

**STANDARD FORM 135, RECORDS TRANSMITTAL AND RECEIPT.** The form to be submitted by agencies to a Federal records center before transferring records there.

**STANDARD FORM 258, REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES.** The form used by Federal agencies to transfer legal custody of permanent records to the National Archives. *See also PERMANENT RECORDS, SCHEDULED TRANSFER.*

**SUBJECT FILES.** *See GENERAL CORRESPONDENCE FILES.*

**SUSPENSE FILES.** Files arranged chronologically to remind officials of actions to be completed by a specific date. Also called followup files or tickler files. *See also COPY (1).*

**SYSTEM.** *See INFORMATION SYSTEM.*

**SYSTEM MANAGER.** *See INFORMATION SYSTEM MANAGER.*

**TECHNICAL REFERENCE FILES.** Nonrecord copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records. *See also CONVENIENCE FILES, NONRECORD MATERIALS, WORKING FILES.*

**TEMPORARY RECORDS.** Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records. *See also DISPOSAL, FINAL DISPOSITION, PERMANENT RECORDS.*

**TEXTUAL RECORDS.** The term usually applied to manuscript and typescript paper records, as distinct from electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records. *See also NONTEXTUAL RECORDS, SPECIAL RECORDS.*

**TICKLER FILES.** *See SUSPENSE FILES.*

**TRANSACTION FILES.** *See CASE FILES.*

**TRANSFER.**

- (1) The act or process of moving records from one location to another, especially from office space to agency storage facilities or Federal records centers, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation.
- (2) The records involved in such a relocation. *See also ACCESSION, BLOCK, DISPOSITION (1), RETIREMENT, SCHEDULED TRANSFER.*

**TRANSITORY CORRESPONDENCE FILES.** Correspondence relating to matters of short-term interest, such as acknowledgments for publications received, routine inquiries for publications, and announcements of savings bond campaigns, in contrast to administrative and program correspondence making up the general correspondence files. Also called transitory files. *See also*

**CORRESPONDENCE, GENERAL CORRESPONDENCE FILES.**

**UNITED STATES CODE (U.S.C.).** *See CODE (4).*

**UNSCHEDULED RECORDS.** Records whose final disposition has not been approved by NARA. *See also DISPOSITION (1), FINAL DISPOSITION, RECORDS SCHEDULE.*

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

**WEEDING.** *See SCREENING (2).*

**WORK FILES.** In electronic records, temporary files in auxiliary storage. Sometimes called working files. *See also PROCESSING FILES.*

**WORKING FILES.** Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Also called working papers. *See also CASE WORKING FILES, CONVENIENCE FILES, NONRECORD MATERIALS, RECORDS, TECHNICAL REFERENCE FILES.*

Also defined in the DOE Guide 1324.5B, IMPLEMENTATION GUIDE *for use with 36 CFR CHAPTER XII - SUBCHAPTER B - RECORDS MANAGEMENT.*

**CASE WORKING FILES.** Background or support files, such as worksheets, questionnaires, rough notes, calculations, or drafts, used to prepare or analyze case file documents. Often bulky when in paper form. *See also WORKING FILES.*