



# **Essential Records Management**

**Participant Guide**



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# Welcome

Good afternoon....welcome to the *Records Management TEL Broadcast*. We hope you gain valuable information today regarding Records Management. This 4-hour session will provide an overview of steps taken to prepare yourself to manage park records efficiently and affectively.

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## Audience

This Essential Records Management Workshop is designed for all NPS employees who deal with NPS records.

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## Instructor

Michael Grimes has served as the Service wide Records Officer since 2000, providing guidance and support to agency staff concerning records management. He performs these duties under the direction of the Deputy Chief Information Officer for Portfolio Management and Investment in WASO.

Prior to coming to the National Park Service, Michael was an archivist at the National Archives and Records Administration in Washington, DC and College Park, Maryland. He has also worked at the Smithsonian Institution, at the Baltimore City Archives and in the Special Collections at the University Of Maryland Baltimore County. Additionally, Michael has served as an instructor for the USDA Graduate School in Washington, DC.

Michael holds degrees in history and historical studies from the University of Maryland Baltimore County.



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## How to Interact with the Instructor

If you were physically in the classroom with the instructor, you would raise your hand to let her/him know you had a question or comment. Then you would wait for the instructor to recognize you and ask for your question. We are all familiar with that "protocol" for asking questions or making comments.

With TELNPS courses there is also a "protocol" to follow to ensure that you can easily ask questions and others can participate as well. It may seem a little strange at first asking a question of a TV monitor. Remember, it is the instructor you are interacting with and not the monitor. As you ask more questions and participate in more TELNPS courses, you will soon be focusing only on the content of your question and not the equipment you are using to ask it.

As part of the TEL station equipment at your location, there are several push-to-talk microphones. Depending on the number of students at your location, you may have one directly in front of you or you may be sharing one with other students at your table.

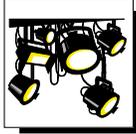
When you have a question, press and hold down the push-to-talk button, maintaining a distance of 12-18 inches, wait a second and then ask your question or make your comment. It would sound something like this:

Excuse me [instructor's first name], this is [your first name] at [your location]. I have a question (or I have a comment)."

Then release the push-to-talk button. This is important because until you release the button, you will not be able to hear the instructor.

The instructor will acknowledge you and then ask for your question or comment. Stating your name and location not only helps the instructor, but also helps other students who are participating at different locations to get to know their classmates.





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# Agenda

- Introduction
- Course Objectives
- What is Records Management?
- Why is Records Management Important?
- The Idea of the Series
- The NPS System of File Codes
- How Do We Know What File Code to Use?
- Assigning File Codes Based on Use *and* Content
- How to Arrange Files
- Records Disposition
- Transferring Records
- Transferring Records to a Park Archival Facility
- Managing Electronic Records
- Disposition of Electronic Records
- Planning a Conversion Project
- Post-Conversion Issues
- Final Thoughts on Records Management in the NPS



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# What is Records Management?

Records management is all the activities related to the creation, maintenance and use and disposition of records.

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# Keys to Defining Federal Records

1. First, records are created or received;
2. Second, records serve as documentation of some agency activity; and
3. Finally, records are not just paper – they take a variety of forms and can be found in all media

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# The Idea of the Series

**A series is a group of records that have a relationship arising from their creation, receipt or use.**

Series Include...

- Records relating to a particular subject or function (such as contracts)
- Documentation of a specific activity (project files for the building of a road)
- Records of a particular physical type (maps and photographs, for example)

Managing Series of Records...

- Makes records management doable
- Ensures that similar and related records are all treated in the same manner

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# Assigning File Codes Based on Use and Content

## Assigning File Codes to Records

- Choose a file code because of the use or purpose of the record
- Select one related to the content of the item
- Assign file codes based on both

## Assigning a File Code Based on Use or Purpose

- You receive a letter asking for information
- Your response is brief because the information is readily available
- This does not require the signature of a manager (such as the superintendent)
- The appropriate file code is K14 - Information Requests

## Assigning a File Code Based on Content

- You receive a letter asking for information
- Your response requires research or an explanation of a policy or a decision
- The response requires the signature of a manager (such as the superintendent)
- The appropriate file code identifies a program area or activity

## Assigning File Codes Based on Use *and* Content

- A record that needs to be filed in more than one series can be copied and filed in both locations
- Each item should include both file codes
- The second file code should be XREF (file code)
- Copy only the first page of lengthy items and provide a XREF to the full record
- The original and complete record should be coded and filed where it will be kept the longest period of time

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## How to Arrange Files

- *Centralized files* should be arranged according to the NPS file codes
- *Decentralized files* should be grouped according to the NPS file codes and then arranged by a logical scheme (alphabetical, numerical, chronological or other)

### Good Filing Practices

- Records should be filed daily
- Use sorters to organize records prior to filing
- Check records first – do they have a file code? Are they complete?
- Remove fasteners such as paper clips and rubber bands – staple items if needed
- Put records in folders
- Use the appropriate size folder for the records
- Identify the contents of the folder, including the file code, file name, date and disposition instructions
- Maintain the files with care!

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# Records Disposition

- The final stage of the life cycle of records
- Done when records are no longer needed for current agency business
- Includes destruction of records and transfer to a storage facility such as a records center or an archives

## The Records Disposition Schedule

- Current schedule is NPS-19, Appendix B (Rev. 5-03)
- Provides directions for what to do with NPS records
- *Records may not be destroyed or transferred without at item in this schedule!*

## Records Disposition Schedule Issues

- The records disposition schedule was revised in 2003, but the approved authorities date from the late 1980s
- Many records series are now identified as *resource management records* to protect them
- New records may not be included in it

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# Transferring Records

- Inactive records may be transferred to storage to reduce the cost and burden of maintaining them in the office
- They may go to a Federal Records Center (FRC), a park archives or to the custody of the National Archives

## Transferring Records to a FRC

- Done for both temporary and permanent records
- Records are still NPS records and are available when needed
- The FRC manages records per NPS instructions
- Transfers are made with the SF135 (Records Transmittal and Receipt)

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE	OF			
1 TO: (Complete the address for the records center serving your area as shown in 36 CFR 1228.160.)				5 FROM: (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address.)				1	2			
Washington National Records Center 4205 Suitland Road Suitland, MD 20746				U.S. Department of the Interior National Park Service Appalachian National Scenic Trail High Street, Civil War Story Building Harpers Ferry, WV 25446								
2 AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title) <i>Michael A. Grimes</i> Michael A. Grimes, Servicewide Records Officer		DATE 1-19-05								
3 AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone no) Angela Walters, Appalachian National Scenic Trail 304-535-6278										
4 RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)		DATE								
6 RECORDS DATA												
ACCESSION NUMBER			VOLUME	AGENCY BOX	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER	(cu. ft.)	NUMBERS					LOCATION	SHIP PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
79	05	0004	2		Colt Estate Dam and Nuclear Lake Environmental Assessment Files, 1987-2003	N	HB1/1 (L76)	Perm - 2033				
NSN 7540-00-634-4093				135-107				Standard Form 135 (Rev. 7-85) Facs Prescribed by NARA				





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# Disposition of Electronic Records

- We must perform disposition actions with electronic records too
- Electronic records, if temporary, are usually deleted
- Permanent records are transferred to the National Archives
- Textual records (electronic mail and word processing documents) are to be printed out and managed as paper records

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Handwriting practice area consisting of 18 horizontal lines. A drawing of a pen is positioned on the right side of the lines.



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# Post-Conversion Issues

- How will you store the images?
- Must consider maintenance of the new media
- What is the disposition of the original records?
- Do you need to worry about disposition of the new media as well?
- How will you share the new images?

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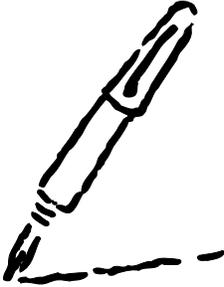
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# Final Thoughts on Records Management in the NPS

- The importance of what the NPS does demands that we take excellent care of our records
- It needs to be part of our other business processes
- Everyone is responsible for doing records management
- If you are unsure of what to do, ask for help!

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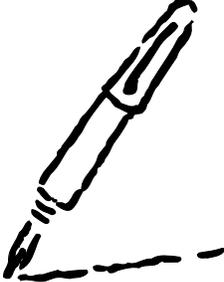
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# Contact Information for Michael Grimes

Michael Grimes

National Park Service

Service-wide Records Officer

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