

## APPENDIX 1: GLOSSARY

KEY TERM	DEFINITION
<b>Access</b>	The availability of, or permission to consult, records.
<b>Accession</b>	The act and procedures involved in a transfer of legal title and the taking of records into the physical custody of the National Archives and Records Administration.
<b>Active Records</b>	Records that continue to be used with sufficient frequency to justify keeping them in the office of creation (i.e., current records).
<b>Administrative Records</b>	Documents that are preserved because they facilitate the operations and management of an agency but do not relate directly to programs that help the agency achieve its mission. In appraising the documents, consider the usefulness of records to an agency in conducting current business.
<b>Agency Records Officer</b>	Serves as the official responsible for overseeing the agency’s records management program.
<b>Appraisal</b>	Deciding the value and thus the disposition of records based on their administrative uses, evidential and informational or research value, arrangement, and relationship to other records.
<b>Archival Value</b>	The finding by appraisal that records are worthy of permanent preservation by the National Archives.
<b>Archives</b>	<p>(1) The permanently valuable records, in whatever form, that are created or received by an agency for its official purposes and made a part of its official documentation.</p> <p>(2) An agency set up to preserve and make such records available for use, or a building in which such records are kept (the National Archives, for example).</p>
<b>Case File</b>	A file with records on a specific action, event, person, place, project, or other subject. Sometimes called “project file” or “transaction file.”
<b>Classified Information</b>	Records or information requiring safeguards against unauthorized disclosure to protect national security.
<b>Closed File</b>	A file (usually in a series) on which action is assumed to be complete and to which no papers are to be added.
<b>Cubic Feet</b>	A measurement of the volume of records.

<b>Custody</b>	Care and control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified. The maintenance of guardianship of records by the agency that made them or its successor, a Records Center, or the National Archives.
<b>Cutoff (Also called File Break)</b>	Ending (closing) files at regular intervals to permit their transfer, retirement, or destruction in complete file blocks. Under this process, a file is closed regularly at the end of a specified time or an event, and a new file is set up.
<b>Disposal</b>	The action taken regarding temporary records after their retention periods expire, typically destruction/deletion. On rare occasions, with permission, records may be donated.
<b>Disposal List</b>	A document giving one-time authority for destroying certain nonrecurring records.
<b>Disposition</b>	<p>Instructions for what is to be done with a record that is no longer needed to support agency business. There are two types of dispositions for records:</p> <p>(1) Temporary – Records with a temporary disposition that will eventually be destroyed or deleted when all relevant business needs have expired.</p> <p>(2) Permanent – Permanent records that contain historically significant materials, provide evidence of agency accomplishments, or document important events in national history, and as a result will be preserved by NARA.</p>
<b>Disposition authority</b>	Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records.
<b>Dissemination</b>	The distribution by the Government of information to the public. Dissemination does not include distribution to Government employees or agency contractors or grantees, intra- or interagency use or sharing of Government information, and responses to requests for agency records under the Freedom of Information Act (5 U.S.C. 552) or Privacy Act.
<b>Donation</b>	The transfer of temporary records to an eligible person or organization after the authorized retention period has expired. A donation is a very rare occurrence.

<b>Electronic information system (EIS)</b>	A system that contains and provides access to computerized Federal records and other information. An EIS includes the inputs and outputs that are generated, as well as the master files. The system may contain budgetary, fiscal, social, economic, scientific, technical, or program-related data and information, operated in support of agency programs and management responsibilities.
<b>Electronic mail (email) message</b>	A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word-processing and other electronic documents, which may be transmitted with the message.
<b>Electronic mail system</b>	A computer application to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases.
<b>Electronic recordkeeping system</b>	An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
<b>Electronic record/e-Records</b>	Records stored in a form that only a computer can process. Records can be numeric, graphic, and text information; media can include, but are not limited to, magnetic media, such as tapes and disks, and optical disks.
<b>Electronic Records Archives (ERA)</b>	NARA's system that allows Federal agencies to perform critical records management transactions with NARA online for the time designated. Agency records management staff use ERA to draft online ERA Records Schedules and Transfer Requests for records in any format, officially submit those schedules for approval by NARA, request the transfer of records in any format to the National Archives for accessioning or pre-accessioning, and submit electronic records for storage.

<b>Emergency</b>	A situation or occurrence with the potential to cause substantial harm to persons or property, developing suddenly and unexpectedly, and demanding immediate action.
<b>Emergency operating records</b>	These are records necessary for the Federal Government to perform its essential functions during an emergency if the country is attacked or in the event of a natural disaster. Such records include those necessary for the military effort; the mobilization and protection of material and manpower resources; the continuation of services and other systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or near emergency operating centers.
<b>Essential Records</b>	Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (“emergency operating records”), or to protect the legal and financial rights of the Government and those affected by Government activities (“legal and financial rights records”). Vital records are also known as essential information.
<b>Evaluation</b>	The term evaluation refers to an internal audit by agency staff. You may hear the term “self-evaluation,” since the agency is conducting an internal evaluation.
<b>File</b>	An arrangement of records, which denotes papers, photographs, photographic copies, maps, machine-readable information, or other recorded information, regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.
<b>File Plan</b>	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. Also, it is defined as a document’s identifying number, title, or description, and disposition authority of files held in an office.
<b>Functional Arrangement</b>	A method of arranging a records schedule by record series or systems that share the same purpose or function, regardless of where they are created and maintained. For example, many of the General Records Schedules are arranged by function.

<b>Federal Records Centers</b>	Defined by 44 U.S.C. 2901(6) as an establishment maintained and operated by the Archivist (NARA Federal Records Center) or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space.
<b>General Records Schedules (GRS)</b>	GRS are issued by the Archivist of the United States under the authority of 44 U.S.C. 3303a(d) to provide disposition authority for records common to several or all Federal agencies. The GRS covers records documenting administrative functions rather than program functions.
<b>Historical Value</b>	The usefulness of records for historical research on the agency that created them or for information about persons, places, events, or things.
<b>Inactive Records</b>	Records that are no longer used in the day-to-day course of business but that may be preserved and occasionally used for legal, historical, or operational purposes.
<b>Inventory</b>	A survey of agency records and non-record materials conducted primarily to develop records schedules and to identify various records management problems.
<b>Life cycle</b>	The management concept that records pass through three stages: creation and receipt, maintenance and use, and disposition.
<b>Maintenance of Records</b>	<p>(1) For current records: All operations, which are part of the upkeep of an organized filing system. This includes classifying, indexing, sorting, filing, referencing records.</p> <p>(2) For records in a Federal Records Center or one that archives them, includes their proper storage, protection, and repair, if needed.</p>
<b>Metadata</b>	Electronic information that allows users to classify specific document data quickly and easily as to the document's creation. It also facilitates list items in SharePoint using list columns.
<b>Migration</b>	A set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation.

<b>Non-record materials</b>	Documentary materials excluded from the legal definition of records. The United States Code defines “non-record materials” to include material such as unofficial copies of documents kept only for convenience or reference, stocks of publications and near-print documents, and library or museum material intended solely for reference or exhibition.
<b>Official records</b>	Records maintained by, and documenting the actions, decisions, and bases of Government officials.
<b>Off-site storage</b>	A facility other than an agency's normal place of business where vital records are stored for protection.
<b>Operating document</b>	A completed form or other document used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, inspection or audit reports, and reports that involve direct command and control of military forces or crypto logical activities related to national security.
<b>Permanent Record</b>	Record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time it is needed for administrative, legal, or fiscal purposes.
<b>Record Series</b>	A group of records 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 type of transaction, exist in the same media format, or have some other type of relationship.
<b>Records Management</b>	The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
<b>Records Schedule</b>	A records schedule or schedule is:  (1) A form SF-115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records

- |  |  |
|--|--|
|  | <ul style="list-style-type: none"><li>(2) A General Records Schedule (GRS) issued by NARA</li><li>(3) A printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more forms SF-115 or issued by NARA in the GRS.</li></ul> |
|--|--|

<b>Retention</b>	The length of time a record must be kept (either in the office or in off-site storage) because it is needed for ongoing business, to document an action, or for statutory reasons.
<b>Retirement</b>	The transfer of records to agency storage facilities, a Federal Records Center, or a commercial records center.
<b>Scheduling</b>	The process of determining and establishing a records schedule for the appropriate retention period and ultimate disposition of a series. The records thus provided for are called scheduled records.



