U.S. Chemical Safety and Hazard Investigation Board

SUBJECT: Records Management Program

CONTENTS

1. **PURPOSE.** This Order establishes the manner by which the Chemical Safety and Hazard Investigation Board (CSB) will implement its records management program.

2. **EFFECTIVE DATE.** This Order is effective upon passage by the Board.

3. **SCOPE.** This Order applies to all employees, agents, and contractors (pursuant to the Federal Acquisition Regulation) performing work for the CSB.

4. **REFERENCES.** This Order implements relevant portions of Chapters 21, 29, 31, 33, and 35 of Title 44 of the United States Code and its implementing regulations found in Titles 32, 36, and 41 of the Code of Federal Regulations (CFR), Chapter 12, and Office of Management and Budget Circular Number A-130.

5. **POLICY.** It is the policy of the Board that, in the area of records management, through delegation and oversight, the Board will ensure that the CSB meets all recordkeeping requirements imposed on all government agencies by federal law.

6. **RESPONSIBILITIES.** With the exception noted below, the Board hereby delegates to its Chief Operating Officer (COO) such power and authority as is required to take all actions necessary and proper to ensure the CSB meets all federal recordkeeping requirements. The Board further designates the COO as the agency official charged with the responsibility of creating, implementing, and managing the CSB's records management program. The COO may further delegate any functions he/she deems appropriate. Notwithstanding the foregoing, the General Counsel and EEO Director shall be responsible for maintaining records within their respective administrative units, in accordance with pertinent federal recordkeeping requirements.

7. **BOARD OVERSIGHT.** The Board hereby retains oversight and supervisory responsibilities of its designee and all records management programs and initiatives.

U.S. CHEMICAL SAFETY AND HAZARD INVESTIGTATION BOARD

March 1, 2001

Amended, May 20, 2003

U.S. Chemical Safety and Hazard Investigation Board

Records Management Program

May 20, 2003

CSB Records Management Program

Table of Contents

CSB Records Management Program

Section 1: General Overview of the Records Management Program

1. **Purpose.**

   This program is an appendix to, and further implements, Board Order 019, "Records Management Program." As such, the purpose of this program is to provide the additional detail necessary to implement and operate the CSB records management program within the basic structure established by Order 019. In summary, this program states concisely who does what, when, and how to properly control CSB records throughout their life cycle and to ensure that the CSB meets all applicable Federal recordkeeping requirements.

2. **Glossary of Terms.** See Attachment 1.

3. **What Is Records Management?**

   The purpose of records management is to make information available in the right place, at the right time, at the lowest cost; and to protect the rights and interests of both the Government and the public. Records management controls official records from the time they are created or received until they are either destroyed or archived. A good records management program will ensure the proper handling of official records and the timely destruction of unofficial documents.

4. **Why Is Records Management Important?**

   Every CSB employee has some responsibility for records management. Inappropriate handling of official documents can cause you or the CSB embarrassment, expense, or, in some cases, penalties for violating recordkeeping laws In addition, firms that put their confidence in the CSB to safeguard their documents may be harmed by inappropriate document handling, such as releasing trade secrets or confidential business information.

5. **What Is the CSB Required to Do?**

   Records management statutes, regulations, and guidance require that the head of the agency (i.e., the Board):

CSB Records Management Program

a. Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the CSB; and

b. Design the records to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the CSB's activities.

6. What Is the Responsibility of the National Archives and Records Administration?

The National Archives and Records Administration (NARA) must identify, preserve, protect, and make available the historically valuable records of the U.S. Government.

7. Frequently Asked Questions

QUESTION	ANSWER
a. What records must I keep?	All documents designated as records must be kept. Official records can be correspondence, forms, reports, ledgers, calendars, photographs, audio tapes, video tapes, E-Mail, voice mail, contractor generated data tapes, studies, reports, documents received from outside when used as evidence in an investigation, etc. 44 U.S.C. 3301 defines official records and that definition is reprinted in Section 2 of this program.
b. How long do I have to keep my records?	That depends on the type of record and the schedule established by your office. Most program offices maintain project or case files that have a specific life span governed by the disposition schedules.
c. What records may I take with me when I leave?	Personal papers that belong to an individual and are not used to conduct agency business. However, all correspondence files at or above the office director level must be maintained in accordance with this program.
d. Who in my office can assist me?	Contact the Records Officer for your functional area for assistance.

CSB Records Management Program

e. What is the disposition schedule for my records?

That depends on the type of record and the office. Some records common to all Federal agencies are governed by the General Records Schedule (GRS), and should be disposed of according to that schedule. Some records are unique to the CSB, e.g., the investigation evidence files. The CSB is developing its own disposition schedules for those records, which must be approved by NARA.

f. What does archiving mean?

Records scheduled as "permanent," which means that they will be kept forever by the National Archives, are stored and preserved at a Federal Records Center or within the National Archives itself. In this context, "archiving" does not mean backing up an electronic file.

g. Where do I get boxes to pack my records?

NARA requires special boxes to be used for transmission of records to a records center. Contact the Records Officer for your functional area for a supply and see Attachment 3 for instructions on packing.

h. What is a box listing and where can I get one?

A box listing is an inventory list of all items within each box to be sent to storage. This list is required by NARA, and must be completed with each box of records to be archived. You can use either a word processor document or spreadsheet to create the list. See sample in Attachment 3.

i. Where can I send my inactive records?

That depends on the life cycle of the record. For a complete listing, see Section 7. The Records Officer for your functional area will assist you in handling inactive records.

j. How do I retrieve files that have previously been archived?

You can work with your functional area's Records Officer to take care of that for you.

CSB Records Management Program

Section 2: What Is an Agency Record?

1. **What Is a Record?**

Records are defined in various statutes, including the Federal Records Act. The definition that follows is from the Federal Records Act, which governs agencies' records management responsibilities.

"Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301)."

Many of the key terms, phrases, and concepts in this statutory definition of records are defined in 36 CFR Part 1222.12

2. **What Is an Official Record?**

a. The term is redundant. If it is a record, it is official. Records contain information, regardless of physical form or characteristics, and pertain to:

1) Organization;
2) Functions and mission accomplishments;
3) Policies;
4) Decisions;
5) Procedures;
6) Operations;
7) Transactions; and
8) Other Government functions.

b. Even correspondence designated personal, confidential, or private is official if it pertains to the conduct of public business.

3. **Are All Official Records on Paper?**

No. Official records can be in many forms. Some examples are:

CSB Records Management Program

a. Maps;
b. Photos, videos, and microfiche;
c. Books and articles;
d. Electronic files such as databases, E-Mail, Voice Mail and electronic calendars; and
e. Imaged records.

Many people are now storing their records electronically and may, in some cases, never print them out, such as presentation slides or databases.

4. What Is an Unofficial Record?

Properly referred to as "non-record materials" (see paragraph 2-5 below). Extra copies, such as distribution copies, stock copies, and copies maintained for convenience of reference, are not Federal records. In addition, when a record exists in multiple formats, such as in paper and electronic form, then generally both the paper and the electronic copies are considered distinct records.

5. What Is a Non-record?

a. A non-record is a document, regardless of form or characteristic, that was used primarily for reference or is considered excess:

1) Blank copies of forms;
2) Duplicate copies of material not used for decision making;
3) Reference materials;
4) Data analysis and summaries;
5) Drafts (**NOTE:** Drafts and working papers should be filed and maintained as part of the agency's records <u>if</u> they explain how the agency formulated and executed significant program policies, decisions, actions, or responsibilities; or contain unique information such as annotations or comments;
6) Routine requests for case reports and data;
7) Extra copies of documents preserved for convenience of reference;
8) Stocks of processed documents, such as publications; and
9) Preliminary worksheets.

b. Non-records are not eligible for retirement at the Washington National Records Center (WNRC) or any other federal records center.

CSB Records Management Program

6. What Are Personal Papers or Files?

Personal files are those materials that belong to an individual, not the agency. Certain files are clearly personal, such as those that are not used in the transaction of agency business (36 CFR 1222.36). Personal files may contain references to or comments on agency business, but they are considered personal if they are not used in the conduct of business.

Traditionally, personal files have included the following categories of material:

a. Business or professional files created before entering Government service, files created during or relating to previously held positions, political materials, and reference files.

b. Private files brought into, created, or received in the office; family and personal correspondence and materials documenting professional activities and outside business or political pursuits, including manuscripts and drafts for articles and books and volunteer and community service records that are considered personal, even if created or received while in office, because they do not relate to agency business.

c. Work-related personal files including diaries, journals, notes, and personal calendars and appointment schedules; though work-related, they may be personal if they are used only as reminders and personal observations on work-related topics, not for the transaction of Government business.

The last category is the most difficult to distinguish from records because of its work-related content. Maintain personal files separately from the records of the agency. Consult the Office of General Counsel to help determine whether files are personal or Federal records.

7. What Is a Vital Record and the Vital Records Program?

Vital records are those necessary for the CSB to continue operations during an emergency or disaster, such as a fire, flood, or explosion. In other words, what records, either in paper, audiovisual or electronic formats, would you need to do your work "the day after." This program is associated with the Continuation of Government efforts and Homeland Security in the development of a disaster recovery plan.

a. The vital records program, required by several executive orders and NARA regulations, identifies, separates, duplicates, and preserves significant documents needed during an emergency or disaster that adversely affects CSB operations.

CSB Records Management Program

b. Vital records include those records that would:

1) Assist in reconstruction of the CSB;
2) Document authorities, functions, policies, and responsibilities;
3) Outline financial condition and responsibilities; and
4) Allow you to go back to work the next day.

c. The CSB should periodically review the emergency preparedness plans for its contractors and agencies with which it has agreements to manage and process records to ensure that staff are aware of how the CSB's records will be managed in an emergency.

8. **What Is a Permanent Record?**

Records appraised by NARA that have sufficient historical or other value to warrant preservation by the Federal Government beyond the time they are needed for administrative, fiscal, or legal purposes, are considered permanent.

9. **What is a Temporary Record?**

A temporary record meets the definition of record, but has no enduring value. Usually temporary records include administrative or obviously short-term program records. These records are pre-approved by NARA for disposal, either immediately or after a specified retention period through the use of the General Records Schedules, also known as the GRS. Examples of temporary records include:

1) Correspondence below the office director level;
2) Convenience files;
3) Requests for printing services;
4) Contracts;
5) Travel documents;
6) Contracts;
7) Supervisor's personnel files;
8) Routine reports; and
9) Time and attendance (T&A) cards.

10. **What are Common Files Found in Offices?**

a. **Case Files**: Case or project files contain records relating to a specific action, event, organization, location, product, name, etc. A case file documents a transaction from beginning to end. Records commonly put in CSB case files include:

CSB Records Management Program

       1) Correspondence relating to that case;
       2) Purchase orders;
       3) Contracts;
       4) Investigation documents;
       5) Audit documents;
       6) Requisitions;
       7) Loans;
       8) Grants;
       9) Research project data and reports; and
       10) Official Personnel Files.

  b. **Subject Files**: Subject Files contain mainly letters, memoranda, forms, reports, and other material, all relating to program and administrative functions, not to specific cases.

11. What are Technical Reference Files?

Reference material or publications directly related to the work of the office that have no record value. You can think of them similarly to a library collection. Examples include:

  a. Periodicals;
  b. Equipment and software manuals;
  c. Technical reports;
  d. Copies of reports or articles copied from the Internet;
  e. Training manuals; and
  f. Pamphlets.

CSB Records Management Program

Section 3: How Does the CSB Control Access to Its Records?

1. **Who Owns Agency Records?**

Any information received, created, or compiled by officers, employees, or contractors in the conduct of Federal business is an official Government record and is the property of the United States. No Federal official, employee, or contractor by virtue of function or position has any personal or property right to official records even though the individual may have helped to develop or compile them.

2. **Who has Access to Agency Records?**

   a. In general, CSB employees have access to those CSB records which they are authorized to access and must reference in the course of executing their assigned official duties. Restrictions on access apply to various records depending on their status. For example, access to certain records may be restricted due to requirements of the Privacy Act, Trade Secrets Act, or other legal protections. In addition, most paper records may only be accessed via locked file cabinets. Electronic records may be password-protected.

   b. Contractors may be granted access to only those records which are necessary for them to carry out their assigned tasks. All contractor personnel must sign an appropriate confidentiality agreement before being granted access to any records.

   c. Public access to CSB records is governed by the Privacy Act, Freedom of Information Act, and Trade Secrets Act, among others. Different restrictions apply to different types of records as published in the CSB's Privacy Act Program implementation (Federal Register/Vol. 66, No. 61, March 29, 2001 Rules and Regulations and Notices) and as governed by the Freedom of Information Act and Trade Secrets Act.

   d. The Office of Investigations and Safety Programs maintains logs and indexes to content and in/out controls over its Evidence Files. Staff must sign in and out and go online to log items into the files. These procedures and the unique filing plan for Evidence Files are included in Attachment 2.

3. **Under What Circumstances Can Records be Released?**

   a. The Privacy Act, 5 U.S.C. 552a, requires that records containing personal information on employees and applicants be locked up during non-working hours. This applies to any material meeting the definition of records, regardless of

CSB Records Management Program

media. The Office of General Counsel is responsible for responding to requests
for records made pursuant to the Privacy Act.

b. The Freedom of Information Act (FOIA), 5 U.S.C. 552, as amended, requires that
some information be released upon request. The Office of General Counsel is
responsible for responding to requests for the release of information under FOIA.
You should refer all such requests to the Office of General Counsel.

c. The Trade Secrets Act, 18 U.S.C. 1905, a very broadly worded criminal statute,
prohibits the unauthorized release to the public of all trade secrets and data
obtained from a company or individual that is confidential or privileged. The
CSB can release such confidential data only in certain narrow circumstances.

Section 4: Responsibility for the Records Management Program

1. Who is Responsible for the CSB Records Management Program?

The Chief Operating Officer (COO) is the delegated authority for administering most aspects of the CSB's Records Management Program under Board Order 019. As provided by this Order, the General Counsel and the EEO Director are independently responsible for administering the records management program within their respective functional areas. In accordance with this Order, the Board also retains oversight over its own records and the records program generally. The Chairperson, the COO, the General Counsel, and the EEO Director will each appoint a Records Officer to manage the records program within their respective functional areas. These records officers, along with the IT Manager, will constitute the CSB Records Management Team. The records team will meet at least quarterly to address issues of common concern and will update the COO and Chairperson on the overall state of records management at the CSB at least twice per year. The Chairperson shall report at least annually to the full Board on the status of the records management program.

2. What Are the Responsibilities of the Records Officers?

To control official records within the respective functional areas for which they are responsible from the time they are created or received by the CSB until they are destroyed or archived. The Records Officers perform the following duties within their respective functional areas:

a. Analyze, develop, coordinate, and implement records management policies and procedures consistent with this program;

b. Preserve the records documenting their functional area's programs and functions, regardless of format;

c. Evaluate their functional area's records activities, advise appropriate officials of findings, and recommend appropriate actions based on findings;

d. Ensure that the disposition plans for destroying or archiving records are adequate;

e. Serve as liaison with NARA, Washington National Records Center (WNRC), and the General Accounting Office (GAO) to develop and recommend appropriate retention and disposition schedules;

f. Determine, in conjunction with agency counsel, what documents are records and non-records;

CSB Records Management Program

g. Certify the authenticity of records, when requested, e.g., in response to litigation requests;

h. Guide other personnel engaged in records management;

i. Determine the disposition schedule of groups of records;

j. Work with staff of their functional area to modify existing schedules or create new ones as new programs begin;

k. Coordinate changes of records descriptions with NARA for approval or modification;

l. Inspect records ready for shipment to interim storage or to the WNRC;

m. Coordinate file retrieval for the FOIA Officer (OGC) and other requests;

n. Comply with provisions of the Privacy Act;

o. Coordinate conversion of CSB records to electronic media, as appropriate;

p. Supply records boxes for shipment of files;

q. Consult with the designated NARA archivist on problems related to records management matters;

r. Notify NARA when the records officer for the functional area changes;

s. Train staff; and

t. Establish standardized office file plans and other retrieval tools.

3. Who Assists the Records Officers?

Each Records Officer may, after consultation with an individual's supervisor, designate one or more people to act as a Records Liaison. A Records Liaison may be the head of an administrative unit within one of the four functional areas, or another appropriate person (e.g., a designated member of one of the ISP investigative teams). The Records Liaison will assist the Records Officer in carrying out his/her duties as described above, within a particular administrative sub-unit.

CSB Records Management Program

### 4. How Do Individual Employees Properly Maintain Records?

Each employee is responsible for the safeguarding of records to ensure security and the appropriate level of confidentiality. In addition, each employee must:

a. Organize files according to their functional area's standard file plan and based on guidance from their Records Officer;

b. Make sure that folders, disks, and other filing media are properly labeled and have some method for identifying the full contents and date range of the records contained within;

c. Maintain proper storage over electronic and other non-paper records to ensure that they are not damaged due to environmental or other conditions;

d. Avoid overstuffing file cabinets because records can become bent, torn, and otherwise damaged. You should make full use of all filing cabinets so that they are at least ¾ full;

e. Keep extra copies of publications out of filing cabinets and in less expensive storage;

f. Create and maintain indexes and logs to facilitate the retrieval of files as needed.

Appropriate management of records will be a standard performance element in all employee performance plans.

5. How Should Files be Labeled?

a. You can create labels in a word processing software or with a label maker. Below is a sample of a desired format for a label:

FILE CODE	FILE TITLE	DATE

Date can be either calendar or fiscal year
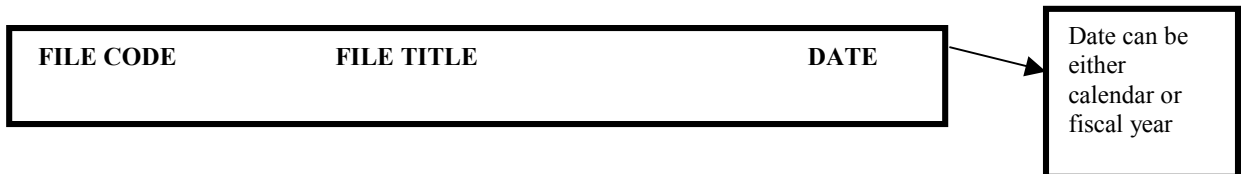
You can also use color coding on labels as a way to distinguish between years or type of file to facilitate retrieval and disposal. For example, you could keep all of 2004 budget files in blue binders or 2004 projects with blue labels making retrieval easier; or if certain records are to be retired 2 years hence and they are labeled with a blue label, then you can gather all blue labeled files and dispose of them quickly.

CSB Records Management Program

b. You can use any kind of file folder that meets the requirements of both your office furniture and filing equipment. You can use color to distinguish files, such as Evidence Files are maintained in green folders. Binders can also be used, but you should ensure that the proper label and file code are clearly visible on the outside of the binder.

6. What Records May an Individual Employee Take When Leaving the Agency?

a. When leaving Government service, you may wish to take with you:

1) Extra copies of selected Federal records, such as materials you drafted, reviewed, or otherwise acted upon; and

2) Copies of public affairs records such as news clippings and photographs taken at official functions and celebrations.

b. The CSB may approve or disapprove requests to remove extra copies of Federal records or other Government-owned documentary materials. Approval will be granted only if all of the following conditions are met:

1) Removal would not diminish the official records of the agency;

2) Removal would not exceed normal administrative economies;

3) The materials do not contain national security classified information;

4) The information removed is not subject to the Privacy Act of 1974 (5 U.S.C. 552a); and

5) Disclosure of the information removed is not otherwise prohibited by law.

When determining whether to permit departing officials and employees to remove documentary materials, the CSB will also consider the extent to which such removal could affect the agency's ability to invoke various legal privileges, and will consider the use of nondisclosure agreements in appropriate cases. When you wish to remove extra copies of work-related files for your personal use, your Records Officer and the General Counsel must review the materials and approve their removal.

CSB Records Management Program

Section 5: Managing Electronic and Audiovisual Records

1. **What Is the Responsibility in Handling Electronic Records?**

    a. The Office of Management and Budget (OMB) published Circular A-130, which
        requires all agencies to keep their computer systems secure and meet Government
        standards for establishing and maintaining automated data processing (ADP)
        systems. Electronic files that may meet the definition of official records include:

        1) E-Mail;
        2) Voice Mail;
        3) CD-ROM's and Diskettes;
        4) Digital photos;
        5) Scanned images;
        6) Fax transmissions; and
        7) Internet transmissions.

    b. Anything published on the CSB Intranet should be treated as a Federal record if it
        meets the prescribed criteria and must be cleared by the head of the functional
        area in which it originated.

2. **What Procedures Must Individual Employees Follow?**

    You must be familiar with the categories of records that are classified as official, as
    described in Section 2, so that you can determine what is a record and what is not.
    You must handle the electronic records as if they were paper records for purposes of
    the statutes listed in Section 1. Additionally, there are ISP guidelines for handling
    audiovisual records collected and/or created on site during an investigation.

3. **What Are the Responsibilities of the Records Officers?**

    See Section 4. Additionally, Records Officers will assist with management of
    audiovisual records and the IT Manager will assist with management of electronic
    records stored on the agency network.

4. **How Does CSB Handle E-Mail Records?**

    a. NARA has published rules that require E-Mail transmissions be treated exactly
        like paper records. If the E-Mail pertains to official records (see definition in

Section 2), make a copy and file it exactly the same as you would a paper record. Each employee must make this determination.

b. For general guidance, E-Mail is not considered a record if it is:

1) An announcement of a meeting;
2) A routine exchange of information; and/or
3) Other transmissions not used in the conduct of agency business.

E-Mail of the above nature should be deleted as soon as it has served its purpose. If E-Mail was created to document an official function, print it out and file it in the appropriate folder, then erase the email 180 days later.

5. How Do I Handle Voice Mail Records?

This information is being developed by NARA and will be provided as soon as it is available.

6. How Do I Handle Records on Computer Files?

a. **Employee Created:** Procedures for most computer files are covered in the GRS 20, "Electronic Records." Those files that are specific to the CSB must be treated in accordance with the disposition schedule assigned by the functional area that created the files. All other computer files pertaining to official records (see definition in Section 2) should be copied and filed by you exactly the same as you would a paper record. Each employee must make this determination.

b. **Outside Contractor Created:** The CSB uses outside contractors for many purposes. Most contractor products are official records and must be treated as any other official record. If the data deliverables include computer files, the contractor is required to deliver sufficient technical documentation of the files to permit the agency to use the data.

7. How Do I Handle Audiovisual Records?

Policies and procedures for managing audiovisual records in the Federal Government are found in 36 CFR 1228.184. GRS 21 explains the handling and disposition of audiovisual records. The majority of the CSB's audiovisual records are created by the Office of Investigations and Safety Programs, but some may also exist for use in public affairs activities and training. Instructions for the creation of these records can be found in ISP procedures. Audiovisual records include program and information still and digital pictures, sound recordings, video recordings, commercially purchased

CSB Records Management Program

or prepared videos and other audiovisual records, and related records that document the creation or acquisition of audiovisual records and the retrieval of information about or from audiovisual records.

Section 6: Records Management in the Functional Areas

1. How Are Records Managed in Each Functional Area?

   a. Each of the four distinct CSB functional areas – the Board, the Office of the Chief Operating Officer and subordinate offices, the Office of General Counsel, and the Office of Equal Employment Opportunity – has its own standard File Plan. Each functional area's standard File Plan has two main components. One component of a functional area's File Plan is common file categories, usually pertaining to housekeeping matters and based on the GRS, that may be found in offices throughout the agency. A list of typical generic file plan categories is included as Attachment 9. The other component of a functional area's File Plan is file categories, generally pertaining to substantive responsibilities, that are specific to that particular area. A functional area's File Plan is used for all its records, with the exception of Investigative and Evidence Files within the Office of Investigations and Safety Programs, which are maintained in accordance with the ISP Records Management Procedures/Filing System, explained in Attachment 2.

   b. Each functional area's standard File Plan is linked to the applicable records schedules so that staff can easily determine how long to keep their files.

   c. The head of each distinct functional area is responsible for approving that area's standard File Plan, and any subsequent changes to it.

2. How does Each Functional Area Manage Its Records?

Each functional area has a Records Officer, who, with the assistance of the Records Liaisons, coordinates records management tasks for that area, including:

   a. Determining what are records and non-records using the guidelines in Section 2 of this program;

   b. Ensuring that all records are created, maintained, and disposed of according to the provisions of this program;

   c. Helping to implement their functional area's standard file plan;

   d. Following the records retention schedule for their functional area's records;

   e. Keeping their functional area's records disposition schedule up-to-date;

   f. Properly packing and labeling boxes destined for WNRC;

g. Preparing the contents listing for boxed records; and

h. Providing information to employees in their functional areas so that they know how to properly handle records in their possession.

CSB Records Management Program

Section 7: Records Disposition

1. **How Often Must Records be Reviewed for Disposition?**

   Review records annually to see which ones must be disposed of in the current year.

2. **What Do I Do with Records that Are No Longer Used?**

   They can be disposed of or retired in three ways:

   a. If the records are not being used, but are still active according to the approved CSB or GRS disposition schedules, they can be transferred to interim storage where they can be retrieved if necessary until the destruction or archival date;

   b. If the records have been kept for as long as necessary and must be archived according to the disposition schedule, they must be sent to NARA to be preserved in perpetuity; and

   c. If the records are no longer active according to the disposition schedule, and do not need to be archived, they can be destroyed by shredding or burning. **Do not throw records into the trash as many CSB records contain business confidential and Privacy Act information.**

3. **What Can be done with Files that Must be Disposed of in the Future?**

   a. The CSB may transfer records to a federal or commercial storage facility. The WNRC may approve an accelerated retirement of records if excessive retrieval is not necessary. The SF 135 should show the entire retention period for which accelerated retirement has been requested.

   b. If there is at least 1 cubic foot of files to transfer, the WNRC will accept records that:

      1) Have 1 to 3 years remaining before disposal;
      2) Are scheduled for disposal; and
      3) Will not cost more to move than to continue to store in the office.

   c. In order to use an alternative storage facility, you must:

      1) Pack records in approved boxes according to CSB instructions and include a records listing;

CSB Records Management Program

2) Take the boxes to the Records Officer for your functional area;
3) Check the instructions in Attachment 4 before packing and labeling boxes;
4) Fill boxes at least 3/4 full;
5) Keep records to be sent to WNRC in properly marked boxes until you accumulate enough to warrant transfer; and
6) Put records in the box so that staples on the box are at the right, rear corner.

The person who packs the boxes must also prepare, sign, and date the listing of contents.

4. How Does the CSB Retire Records?

a. To retire a record, contact the Records Officer for your functional area. Records covered by the GRS should be disposed of as soon as their retention period expires. Records covered by a CSB-specific schedule cannot be disposed of until the CSB's disposition schedules have been approved by NARA and, if applicable, GAO has concurred on the financial records schedules. When disposal is authorized, follow the appropriate CSB-specific schedule or the GRS for the category of records you have to dispose of to determine:

1) When to cut off, retain, or dispose of files;
2) What records are to be transferred to WNRC; and
3) How long the records will be kept at the WNRC.

b. If the type of records you need to retire do not appear on an approved schedule, or if an approved schedule needs to be modified to meet current business operations, work with your Records Officer to obtain approval from NARA.

1) The Records Officer will prepare the draft revised text of the records schedule that needs to be changed or added as a word processing document.

2) The Records Officer will prepare an SF 115, "Request for Records Disposition Authority," (see copy in Attachment 5) to add, delete, shorten, or extend any scheduled item.

The Records Officer will sign the SF 115 and send a copy to NARA, or to GAO for concurrence before submitting to NARA, when the change in the disposition schedule is for financial records only.

NOTE: Records recommended for disposition cannot be destroyed or sent to NARA until the authorization is completed. Only the Archivist of the United States can authorize destruction of a record.

CSB Records Management Program

c. Records of continuing value must be preserved, regardless of format. It is prudent to remove out-of-date records from the office files to save space. Before retiring records you must:

1) Screen the records to see if they are eligible;
2) Inspect the boxes to see if they are properly packed;
3) Reconcile the packing inventory with the contents;
4) Prepare and keep a copy of SF 135, "Records Transmittal and Receipt;"
5) Locate the appropriate records schedule; and
6) Identify the old records for disposition.

d. The numbers assigned to each functional area's disposition schedules are linked to that area's file plans. Your functional area's file plan will help you to group all files relating to your area using the numbers found in the disposition schedule.

e. Be sure to indicate if the contents are permanent (whether scheduled or unscheduled). List each file in the box separately unless they are alphabetically or numerically arranged; then only list the first and last file in the box. Include a box contents list for disposable records. The Records Officers must retain a copies listing all records transferred to WNRC or other off-site storage.

f. The Records Officer will notify WNRC for pickup. The SF 135 must be processed through the WNRC before boxes are shipped. If pick-up service is not available, ship to the WNRC by the most economical means.

5. How Do I Destroy Records?

a. Records of temporary value must be destroyed according to NARA guidelines.

b. What are the options for destroying records?

1) Shred when it is necessary to avoid disclosure (if the documents are confidential or covered by the Privacy Act);
2) Erase or break when files are computerized; and/or
3) Authorize NARA or other off-site interim storage facility to destroy the records.

NOTE: If a record in storage has been requested by OGC for litigation involving the CSB, then the records schedule is suspended until litigation is completed. This includes records stored both at CSB and any interim, offsite or NARA facility. The disposition "clock" is put on hold and begun again once litigation is completed. For example, if a record were scheduled to be held for 20 years by NARA, and litigation begins in year 6 and ends in year 9, then 3 more years are added for a total of 23 consecutive years before the record can be destroyed.

CSB Records Management Program

6. Can I Get a Waiver to Retire Records?

a. The Records Officer for a functional area may approve specific waivers of retirement procedures only on an individual basis, but no records can be destroyed until the schedule is officially changed. If you believe there is a good reason to waive any of the retirement procedures, you must make a request in writing to both the Records Officer for your functional area and the head of that functional area.

b. Normally, records with a short disposition time that are scheduled to be destroyed after expiration of the approved retention period (temporary records) are not sent to NARA. In rare circumstances, NARA can waive the approved retention period for very significant records such as those that document a significant episode in the administrative history of the agency or the Federal Government. If there is ever a need to request such a waiver, it must be sought from NARA through your functional area's Records Officer.

7. How Can I Retrieve Records Previously Retired?

a. Contact your functional area's Records Officer to coordinate retrieval of your records. Only the Records Officer can retrieve records from the WNRC, per NARA procedures.

b. Federal agencies can request the return of their records, excluding official personnel folders and employee medical folders, from Regional Records Services facilities and from the WNRC, Suitland, Maryland, via the World Wide Web or dial-out modem, using NARA's Centers Information Processing System (CIPS). Records are normally mailed within 24 hours of receipt of an agency's request. Overnight service, at agency expense, can be arranged. This service is not available to the public.

   1) Federal agencies may secure a user ID and password from their CIPS administrator.

   2) Set up a computer for modem access and request the return of records according to the instructions contained in the CIPS Users Manual.

   3) Use a current web browser to follow a link to instructions for the web version of the CIPS system and to request records from storage at NARA Records Centers.

CSB Records Management Program

8. **Are there any Specific Requirements for Records Classified Under the Privacy Act?**

    a. Records with Privacy Act information authorized for disposition must be destroyed by shredding or burning. Your Records Officer will arrange for destruction. Pack and label boxes as follows:

        1) Number boxes sequentially, e.g., 1,2,3,... with a black marker in the upper right corner;
        2) Fold in top flaps after packing, but do not tape; and
        3) Prepare a summary of contents and include office, room number, person to contact, brief description of the types of records, and time frame of the records.

    b. You may store the boxes temporarily. Be sure to review the boxes and verify that the records can be disposed of immediately before sending them for disposition. Return any material not authorized for disposal.

    c. Occasionally WNRC will relocate boxes and will notify the CSB of the new location (accession location change). When a Records Officer receives a National Archives (NA) Form 13016, "Notice of Accession Location Change," the Records Officer should update the information about those boxes so that the new location will be clearly shown for future retrieval (see example in Attachment 7).

9. **What Is the Final Disposition of Retired Records?**

    a. WNRC notifies the agency via a NA Form 13001, "Intent to Destroy Records," (see example in Attachment 8), when records stored there are ready to be disposed of. The appropriate Records Officer will notify the specific office responsible for the records. The program office will have 90 days to object. Objections should be in writing to WNRC through the appropriate Records Officer. If WNRC does not hear from CSB within 90 days, they will destroy the records. Update your records to indicate that those files are destroyed and are no longer available for retrieval.

    b. If you object, you must justify the request for continued retention, in writing, along with the estimated extension time. For example, the files may be needed to complete an ongoing audit.

    c. The appropriate Records Officer should create an SF 258 to transfer records and give legal custody to the National Archives (see sample in Attachment 9). The Records Officer will sign for CSB when records are scheduled to be transferred from the WNRC to the National Archives. The Records Officer should keep a copy.

ATTACHMENTS

CSB Records Management Program

Attachment 1 – Glossary of Terms

Accession Number is the number that is assigned to each series of records. The number is used to control and locate inactive records transferred to the WNRC for storage.

Administrative Files contain material that relates to the housekeeping or management functions of an office rather than to the program or technical work, for example personnel and travel. See also Housekeeping Files.

Appraisal is the review process by NARA of draft records schedules to determine if the schedule is appropriate for the records series and to make recommendations to the Archivist of the United States for approval.

Archive is a place where records are stored and preserved permanently, not to be confused with the IT term "archiving" which means backing up files.

Audiovisual Records are those records created or stored in an audio, visual or combination media, such as video tapes, digital photos, and audio tapes.

Coding is the process of implementing the file classification decision made and is the process of putting file designations on the records themselves.

Convenience Files are extra copies of records, personal papers, or publications maintained for ease of access and reference. Also known as reference files.

Disposal is the destruction of records through shredding or burning.

Disposal Authority is the legal authorization for the disposal of records, obtained from the Archivist of the United States and, for certain series, from the Comptroller General. It is obtained by agencies on Standard Form 115, "Request for Records Disposition Authority" or granted in the General Records Schedules (GRS).

Disposition means the action taken with records when they become inactive. It may be one of several things: retirement, destruction, transfer, or conversion to other forms such as microfilm.

Disposition Schedule is a schedule established for the mandatory disposition of recurring records series of an agency. Also known as Records Disposition Schedule.

Electronic Records are all information meeting the definition of records that is created, maintained, or stored on electronic media, such as magnetic tapes, magnetic disks, optical disks, floppy disks, drums, and cassettes.

CSB Records Management Program

Federal Records Center (FRC) is a storage facility established for the receipt, maintenance, servicing, and disposition of files that are retired. The National Archives and Records Administration (NARA) operates the system of FRCs. Most records in the Washington, DC area are stored at the Washington National Records Center (WNRC).

File Plan is a plan or outline designating the physical location at which a functional area's files are maintained, the specific types of files to be maintained there, and the organizational elements having custodial responsibilities.

General Records Schedules (GRS) are schedules issued by NARA to provide disposition standards for records common to most agencies of the Federal Government.

Historical Value is the usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things.

Housekeeping Records are records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations normally common to most agencies, as distinguished from program records that relate to an agency's primary functions. See also Administrative Files.

Inventory is a survey of files that generally includes such data as series title, inclusive dates, use, volume, arrangement, duplication, and other pertinent information.

Non-record Material is material having no documentary or evidential value. This includes stocks of publications, standards library materials, duplicate copies of record material, such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value, drafts, worksheets, informal notes, and routing slips. Non-record materials are destroyed when their purpose is served.

Permanent Records are archival records appraised by NARA as having enduring value because the document the organization and function of the agency that created or received them or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. These records have historical value.

Personal Papers are papers and files of a private non-official character that are kept in the office of a Federal employee, official, or contractor that pertain only to that individual's personal affairs.

Program Records are records created or received and maintained by an agency in the conduct of the functions for which it is uniquely responsible. The term is used in contrast with housekeeping or facilitative records.

Recall means to withdraw, or call back, records that have been retired to an FRC.

CSB Records Management Program

Retire is one of the ways to dispose of records. See Disposition.

Temporary Records meet the definition of official records but have no enduring value.

CSB Records Management Program

Attachment 2 – ISP Records Management Filing Procedures

Records Management Procedures/Filing System
As of February 2003

DOCUMENTS RECEIVED OR PRODUCED:

When a new document (fax, photo, drawing, tape, etc.) is produced or is provided to the Investigation Team, it is processed using the following steps:

1. Date stamp if incoming document (upper right hand corner except for drawings – drawings stamped by scale box usually in lower right hand corner).
2. Make a working copy for the team, if necessary
3. Assign a document number based on the appropriate filing location for the document

   • In the Evidence Log, record the document number, originating organization, date received, title or description, requested by, received from, number of pages and notes.
   • Place a sticker with the appropriate document number at the upper right hand corner or by the date stamp if drawing.

4. File record copy by the file location (see attached "Evidence Filing System"), then by sequential number.
5. Ensure control of documents. When a record is removed from the file, the removal and return must be noted on the control log.

Example of document number:
CSB2001-01-D4-001

Where,
CSB Incident #	File Location	File number (within the file location)
CSB2001-01	-D4	-001

CSB Incident #, used here, is assigned based on the fiscal year and the sequential order of investigations conducted within that fiscal year. The expanded Incident # used on the cover of our reports includes additional information: including a code "I" referencing that it is an Investigation report and the state code for where the incident occurred. For example, CSB2001-01-I-MD was the first investigation conducted in fiscal year 2001 and occurred in Maryland.

DOCUMENTS REQUESTED

When a document is requested from an organization, it is to be tracked using the following steps:

1. Assign the requested document a tracking number in the following format:

Supplying Organization	Request #
OSHA	-001

CSB Records Management Program

2. Log the requested document on a tracking sheet and record the date requested, by whom, from whom, the date received, the source and CSB file location.
3. Note whether the received documents are complete in satisfying the request.
4. Log the documents according to the procedures for documents received.

PHOTOS

1. Assign one document number per roll of film (or diskette) and log.
2. Make sure photos are in the same order as negative.
3. Apply a sticker with the appropriate document number to the upper right hand corner of the photo back (or diskette).
4. The photographer should complete a photo log for each roll of film or diskette.
5. Place photos/disk in storage sleeves or in a heavy-duty sheet protector.
6. Log and file the documents according to the procedures for documents received.

TRANSCRIPTS

1. Date stamp new incoming transcript in upper right hand corner.
2. Make 1 copy of transcript unless a copy is provided by the reporting service.
3. Assign transcript a tracking number following the Evidence Filing System.
4. Affix tracking number label on upper right hand corner above date stamp on both original and copy. On the copy indicate copy number (i.e. CSB2001-01-T1-001, copy 1).
5. For each new transcript, prepare a label containing the transcript document number, the name of the interviewee, and the date of the interview. See Example below:

> CSB2001-01-T1-030
> Joe Smith, 1/25/01

6. Log and file the documents according to the procedures for documents received and ensure removal and returns are noted on the control log.

CSB Records Management Program

ISP File Code

FILING SYSTEM FOR <u>CSB1999-XX-I-XX</u>

CODE   CATEGORY

A   **ADMINISTRATION – CSB**
A1   File System / Evidence Logs
A2   Investigation Procedures
A3   CSB Policy & Management – MOU's, Protocols, Authorizations
A4   Other Agencies MOU's, Protocols, Authorizations
A5   Business Cards / Contact Info. (Binder)
A6   Phone Lists / Meeting Rosters

B   **BACKGROUND**
B1   General Company Information
B2   Company Standard Policies, Procedures & Programs
B3   Company Quality Control
B4   Company Research and Development
B5   Company Emergency Policies & Procedures
B6   Company Permits / Applications
B7   Incident and Regulatory History

C   **COMMUNICATIONS**
C1   CSB Document Requests
C2   Other CSB Correspondence
C3   Other Agencies Correspondence
C4   Company Correspondence
C5   Newspaper Clippings
C6   Television Videotapes
C7   Internet and Other News
C8   Media Releases
C9   Public Comments / Letters

E   **EVIDENCE**
E1   Physical Evidence
E2   Work & Maintenance Orders
E3   Inspection Records
E4   Logs & Notes (Operator / Maintenance)
E5   Electronic Information and Data Printouts
E6   Laboratory Analyses / Testing Results
E7   Process Description / Manuals
E8   Other Evidence

F   **FINANCES**
F1   Cost Tracking / Expense Reports
F2   Procurement Records / Receipts

CSB Records Management Program

I	**INVESTIGATION TOOLS**	
I1	Events & Causal Factors Charting	
I2	Analysis Tools (Barrier / Target, Change, etc.)	
I3	Laboratory Analyses and Testing	
I4	Industry Standards	
I5	Regulatory Information	
I6	Chemical Data	
I7	Reference and Research Materials	
I8	Expert Analyses and Reports	
I9	Site Safety Plan	
I10	Other	
L	**LEGAL**	
L1	Contracts	
L2	Confidentiality	
L3	Legal Action Notices	
L4	Other	
P	**PERSONNEL**	
P1	Company Personnel (Organizational Charts, Training)	
P2	Company Contractors (Organizational Charts, Training)	
P3	Other Agencies Personnel	
P4	Other (Community Members, Media Contacts, Elected Officials)	
R	**REPORTS**	
R1	CSB Investigation Report	
R2	Comments on CSB Investigation Report	
R3	CSB Contracted Reports	
R4	Company Reports	
R5	Other Reports	
R6	Distribution Lists	
S	**SAFETY PROGRAMS**	
S1	Process Safety Management (Program Description, Audits, PHA's, HAZOP's, MOCA's)	
S2	MSDS's	
S3	Safety Meetings & Records	
T	**TRANSCIPTS**	
T1	Transcript Log	
T2	CSB Interviews	
T3	Other Agency Interviews	
T4	Media Interviews	
T5	Interview Audio Tapes / Video	
V	**VISUAL AIDS**	
V1	Photographs / Disks	
V2	Drawings and Diagrams (P&ID's, Block Flow)	

CSB Records Management Program

V3   Equipment Schematics
V4   Sketches

V5   Maps
V6   Videotapes
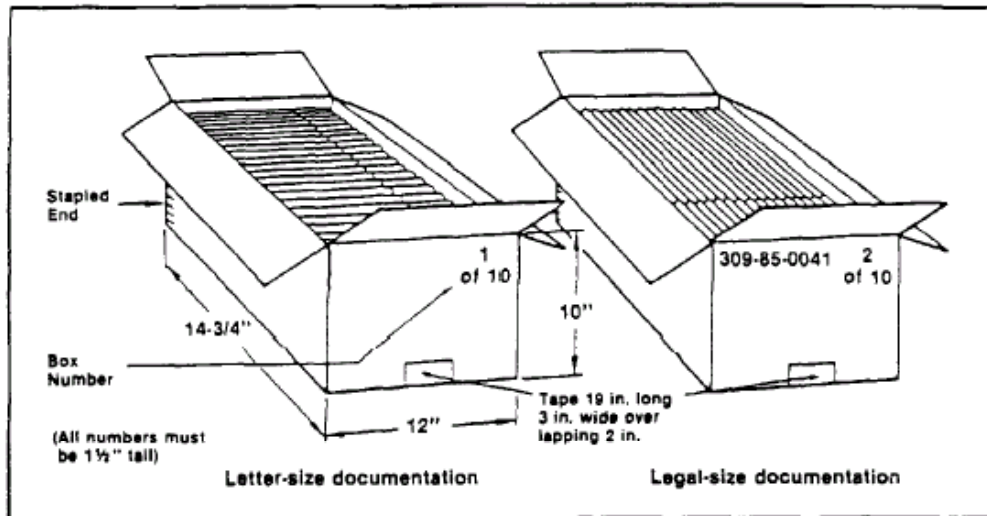
CSB Records Management Program

Attachment 3 – Box Instructions and Listing

Packing and Labeling Records for Storage and Transfer

a. The container used to transfer letter and legal-size documents is a cardboard box measuring 14-3/4 by 11 by 9-1/2 inches supplied by NARA. Each carton holds approximately one cubic foot of records. To estimate the number of boxes required, use the following guidelines:

  (1) 3,000 letter-size sheets of paper equal one cubic foot of records.

  (2) Each full letter-size drawer is equal to 1-1/2 cubic foot of records.

  (3) Each full legal-size drawer is equal to 2 cubic feet of records.

  (4) 1000-foot of motion picture containers can be stored 6 to a box.

  (5) 100-foot, 35 mm microfilm reels can be stored 50 to a box.

  (6) 100-foot, 16mm microfilm reels can be stored 100 to a box.

b. Use the following GSA records storage boxes with staples in them as follows:

  (1) Number the front of the boxes as follows:

    (a) Write the accession number in the upper left hand corner of each box with a black magic marker.

    (b) Number the boxes sequentially (1 of 10, 2 of 10, etc.) with a black magic marker in the upper right front corner. This keeps the boxes in sequence and serves as a count of the boxes being transferred.

  (2) The stapled part of the box is the back; never number it.

  (3) Place folders in boxes upright with:

    (a) Letter size folders facing front of the box.

    (b) Legal size folders facing the left side of the box.

  (4) Do not place folders on top of files within the box.

  (5) Do not force files into the boxes. Leave a half inch in each box for easy withdrawal and reference.

  (6) Pack records in the same arrangement as used in the original file. Do not pack file guide cards.

CSB Records Management Program

     (7)   Pack only records with the same disposal date authority and the same disposal date in the same carton.

  c.   After packing:

     (1)   Fold tops of boxes, but do not tape them.

     (2)   The Records Liaison must compare the records in the boxes with the inventory of contents.

CSB Records Management Program

Attachment 4 – SF 115

REQUEST FOR RECORDS DISPOSITION AUTHORITY	LEAVE BLANK (NARA use only)
	JOB NUMBER
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001	Date Received

1. FROM (Agency or establishment)	NOTIFICATION TO AGENCY
2. MAJOR SUB DIVISION	In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
3. MINOR SUBDIVISION	

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached_____page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required   ☐ is attached; or   ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached sheets		

115-109   PREVIOUS EDITION NOT USABLE   **STANDARD FORM 115** (REV. 3-91)
                                                            PRESCRIBED BY NARA 36 CFR 1228

CSB Records Management Program

Attachment 5 – SF 135

RECORDS TRANSMITTAL AND RECEIPT	Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on	PAGE 1	OF PAGES

1. TO	(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.) **Federal Records Center**	5.	FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

2. AGENCY TRANSFER AUTHOR-IZATION	TRANSFERRING AGENCY OFFICIAL (Signature and title)	DATE
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone no.)	
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title)	DATE

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER	SERIES DESCRIPTION (With inclusive dates of records)	RESTRIC-TION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)

NSN 7540-00-634-4093

Standard Form 135 (Rev. 7-85)
Prescribed by NARA
36 CFR 1228.152

CSB Records Management Program

Attachment 6 – NA Form 13001

NA Form 13001
Notice of Intent to Destroy Records

NOTICE OF INTENT TO DESTROY RECORDS	DATE OF NOTICE	DISPOSAL DATE
The records described in this notice appear eligible for disposal on the date shown. In accordance with FPMR 101.11.410.8(b) they will be destroyed 90 days from the date of this notice. You should annotate you SF-135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of the records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date), within the 90 day period to the Director of the Federal Records Center indicated at the right.	RECORDS DESCRIPTION	
	ACCESSION NUMBER	SUBGROUP
REMARKS	DISPOSAL AUTHORITY	VOLUME *(Cu.ft.)*
	SERIES DESCRIPTION	
	ADDRESS OF FEDERAL RECORDS CENTER	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION   NA FORM 13001 (4-85)

CSB Records Management Program

Attachment 7 – NA Form 13016

NA Form 13016
Notice of Accession Location Change

NOTICE OF ACCESSION LOCATION CHANGE	DATE OF NOTICE	DISPOSAL DATE	
The records described in this notice have been relocated within the Center. Please note this change on your SF-135, as this new location must be furnished with any request for records from this accession.	RECORDS DESCRIPTION		
	ACCESSION NUMBER	SUBGROUP	
REMARKS	DISPOSAL AUTHORITY	VOLUME (Cu.ft.)	
	SERIES DESCRIPTION		
	ADDRESS OF FEDERAL RECORDS CENTER		

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION   NA FORM 13016 (4-85)

CSB Records Management Program

Attachment 8 – SF 258

SF 258, "Agreement to Transfer Records to the National Archives of the United States"

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES	1. INTERIM CONTROL NO. *(NARA Use Only)*

TERMS OF AGREEMENT

The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of

these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

2A. AGENCY APPROVAL	3A. NARA APPROVAL
Signature _____ Date ____	Signature _____ Date ____
2B. NAME, TITLE, MAILING ADDRESS	3B. NAME, TITLE, MAILING ADDRESS

RECORDS INFORMATION

4A. RECORDS SERIES TITLE

4B. DATE SPAN OF SERIES   *(Attach any additional description.)*

5A. AGENCY OR ESTABLISHMENT	9. PHYSICAL FORMS
	☐ Paper Documents ☐ Posters
5B. AGENCY MAJOR SUBDIVISION	☐ Paper Publications ☐ Maps and Charts
	☐ Microfilm / Microfiche ☐ Arch / Eng Drawings
5C. AGENCY MINOR SUBDIVISION	☐ Electronic Records ☐ Motion / Sound / Video
	☐ Photographs ☐ Other *(specify)*:
5D. UNIT THAT CREATED RECORDS	10. VOLUME: CONTAINERS:
	Cu. Mtr. _____ (Cu. Ft. ___) Number ___ Type ___
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES
Name:	
Telephone Number:	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?
6. DISPOSITION AUTHORITY:	
	☐ YES ☐ NO *(If no, attach limits on use and justification.)*
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☐ NO ☐ YES	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?
LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret	*(If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)*
SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO ☐ Other ___	☐ YES ☐ NO
INFORMATION STATUS: ☐ Segregated ☐ Declassified	
8. CURRENT LOCATION OF RECORDS	
___ Agency (Complete 8A only)	14. ATTACHMENTS
___ Federal Records Center (Complete 8B only)	☐ Agency Manual Excerpt ☐ Listing of Records Transferred
8A. ADDRESS	☐ Additional Description ☐ NA Form 14097 or Equivalent
	☐ Privacy Act Notice ☐ Microform Inspection Report
	☐ Other *(specify)*: ☐ SF(s) 135
8B. FRC ACCESSION NUMBER CONTAINER NUMBER(S)	FRC LOCATION

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION	RG

16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES	17. NATIONAL ARCHIVES ACCESSION NO.
Signature _____ Date ____	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
This form was electronically produced by Elite Federal Forms, Inc.

SF 258 (9/95)
Prescribed by NARA 36 CFR 1228

Attachment 9 – Generic Administrative File Plan Categories

ADMI	Administrative and Management Programs
ADMI 2	Forms and Stationery
ADMI 3	Federal Forms
ADMI 3.1	E-Forms
ADMI 3.2	CSB Standard stationery
ADMI 5	Calendars, Schedules and Logs of Daily Activities
ADMI 6	Reading or Chron Files
ADMI 7	Suspense/Tickler
ADMI 8	Finding Aids or Indexes
ADMI 9	Training
ADMI 11	Conferences,Seminars, Associations, and Societies Files
ADMI 12	Staff Meetings
AUDV	AudioVisuals
AUDV 2	Mission Related Videos
AUDV 4	Mission Related Sound Recordings
AUDV 5	Training Videos, Slides and Power Point Presentations
COMT	Committees
COMT 1	External Committees
COMT 2	Internal Committees
COMU	Communications
COMU 7	Mailing Lists
COMU 7.1	One-time and Specialized Mailings
CONT	Contracts and Agreements
CONT 1	Contract Management Records-
CONT 2	Final Deliverables

CSB Records Management Program

CORR	**Correspondence**
CORR 1	General Correspondence Files
CORR 2	Controlled and Major Correspondence
PUBL	**Publications**
PUBL 2	Publications and Promotional Items
PUBL 3	Manuscripts of Articles Written by CSB Personnel
TECH	**Technical Reference Material**
TECH 1	Technical Reference Material