

Management System: Records Management

Subject Area: Records Management

Procedure: Transferring Inactive Paper Records to Records Holding Area/Records Storage Facility

Issue Date and Revision Number:
4/17/13 0

Lead Subject Matter Expert:
Jackie Schoultheis or Kathy Reid

Management System Owner:
John Sattler

1.0 Applicability

This procedure applies to all Environmental Management Consolidated Business Center (EMCBC) employees/organizations that maintain Federal records and may be adopted by an Environmental Management (EM) small site or supported site, at their discretion.

2.0 Required Procedure

The purpose of this procedure is to establish a process for transferring inactive paper records to a records holding area/records storage facility.

▲ Clarifying terms if adopted by an EM small site:

- Records Coordinator (RC) replaces the term Record Custodian (RC).
- The small sites Records Management Field Officer (RMFO) replaces the term RMFO.
- Records Holding Area/Records Storage Facility may vary in terminology for a small site.
- Site File Plan replaces the term Master File Plan (MFP).

Step 1	There are two ways for inactive records to be processed for transfer to the records holding area / records storage facility. 1) Record Holder (RH)/RC <ul style="list-style-type: none">• Reviews records annually to determine inactive records that can be transferred to storage. 2) RMFO <ul style="list-style-type: none">• Reviews Master File Plan (MFP) and notifies RH/RC of inactive records eligible for transfer to records storage.
---------------	--

Step 2	RH/RC ensures file folders are labeled properly and records are organized and arranged in accordance with the organizational file plan (by date, subject, etc.) within the file folders and by record category code. See Records Management Procedure – Identifying, Filing and Maintaining Paper Records. (Reference 1)
Step 3	RH/RC boxes records in an organized fashion according to the record category code (located on the organizational file plan). See Attachment 1: “ <i>How Should I Pack Records for Storage?</i> ” Fact Sheet
Step 4	RH/RC prepares a detailed index of the records by box. See Attachment 2: File Folder Listing by Box
Step 5	RH/RC completes the Records Transfer Form See Attachment 3: EMCBC Internal Records Transfer to Records Holding.
Step 6	RH/RC contacts Records Management (RM) staff and/or RMFO to assist with transferring the records to the records holding area / records storage.
Step 7	RM staff and/or RMFO either physically moves the records to the records holding area/records storage facility and/or obtains assistance to move the records.
Step 8	RM staff enters record data into Electronic Records Management System (ERMS).
Step 9	RM staff updates the tracking tool (EMCBC Master Tracking Spreadsheet), which documents RM activities (e.g., number of boxes received by organization, processed, etc.).
Step 10	<p>RM staff shall maintain inactive records either in the records holding area/records storage facility (short-term records) or transfer to a FRC (long-term records).</p> <ul style="list-style-type: none"> • <u>Short-term records</u> (less than 5 years/manageable volumes)* will remain in the records holding area until retention period has been met. <p>OR</p> <ul style="list-style-type: none"> • <u>Long-term records</u> (longer than 5 years) will be transferred to a Federal Records Center (FRC) utilizing Technical Instruction Document (TID) : “<i>Transferring of Temporary Inactive Paper Records to a Federal Record Center (FRC) or Permanent Records to the National Archives and Records Administration (NARA)</i>” (Reference 2). <p>*In the event there is a large quantity of short-term records and space becomes an issue, the RM staff may decide to transfer to an FRC.</p>

3.0 References – Forms/Attachments/Exhibits

3.1 References

- Records Management Procedure – *“Identifying, Filing and Maintaining Paper Records”*
- Technical Instruction Document (TID): *“Transferring of Temporary Inactive Paper Records to a Federal Record Center (FRC) or Permanent Records to the National Archives and Records Administration (NARA)”*

3.2 Attachments

- Attachment 1: *“How Should I Pack Records for Storage?”* Fact Sheet
- Attachment 2: File Folder Listing by Box
- Attachment 3: Internal Records Transfer to Records Holding

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the (Office of Technical Support & Asset Management - OTSAM) in accordance with the EMCBC Organizational File Plan.

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime, Non-Permanent, or N/A)
ADM 16-02-A2	Records Disposition Files –EMCBC Records Transfer and File Folder Listing	Office of Technical Support & Asset Management	Not Applicable

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Transferring Inactive Paper Records to Records Holding Area/Records Storage Facility

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
0	N/A 1 st Edition to meet EMCBC MS needs.	N/A	4/17/13