## I. Abbreviations and Acronyms

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<th>Abbreviation/Acronym</th>
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<tr>
<td>AIIM</td>
<td>Association for Information and Image Management</td>
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<td>ANSI</td>
<td>American National Standards Institute</td>
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<td>ARMA</td>
<td>Association of Records Managers and Administrators</td>
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<tr>
<td>CD</td>
<td>Compact Disk</td>
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<tr>
<td>CD-R</td>
<td>Write-once CD Technology</td>
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<td>CD-ROM</td>
<td>Read-only CD Technology</td>
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<tr>
<td>CD-RW</td>
<td>Rewritable CD Technology</td>
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<td>CFR</td>
<td>Code of Federal Regulations</td>
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<td>CIO</td>
<td>Chief Information Officer</td>
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<td>COFF</td>
<td>Cutoff</td>
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<td>COOP</td>
<td>Continuity of Operations Plan</td>
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<tr>
<td>CPIC</td>
<td>Capital Planning and Investment Control (Issued by OMB)</td>
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<td>DO</td>
<td>Departmental Offices (Treasury)</td>
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<td>DoD</td>
<td>Department of Defense</td>
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<td>DoD 5015.2-STD</td>
<td>Department of Defense Standard 5015.2 (for RMAs)</td>
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<td>DVD</td>
<td>Digital Versatile Disc</td>
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<td>ECM</td>
<td>Enterprise Content Management</td>
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<td>EIS</td>
<td>Electronic Information System</td>
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<td>Email</td>
<td>Electronic Mail</td>
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<td>EO</td>
<td>Executive Order</td>
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<td>ERA</td>
<td>Electronic Records Archives</td>
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<td>ERK</td>
<td>Electronic Recordkeeping</td>
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<td>ERKS</td>
<td>Electronic Recordkeeping System</td>
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<td>ERM</td>
<td>Electronic Records Management</td>
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<td>ESI</td>
<td>Electronically Stored Information</td>
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<td>FIRMR</td>
<td>Federal Information Resources Management Regulation(s) (Issued by GSA)</td>
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<td>FISMA</td>
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<td>FOIA</td>
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<td>FRC</td>
<td>Federal Records Center</td>
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<td>GAO</td>
<td>General Accounting Office</td>
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<td>GB</td>
<td>Gigabyte</td>
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<td>GPEA</td>
<td>Government Paperwork Elimination Act</td>
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<td>GRS</td>
<td>General Records Schedule</td>
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<td>GSA</td>
<td>General Services Administration</td>
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<td>ISO</td>
<td>International Standardization Organization</td>
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<td>IT</td>
<td>Information Technology</td>
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<td>ITMRA</td>
<td>Information Technology Management Reform Act</td>
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<td>MB</td>
<td>Megabyte</td>
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# RIM Glossary

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<th>Abbreviation/Acronym</th>
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<td>NARA</td>
<td>National Archives and Records Administration</td>
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<td>NFPA</td>
<td>National Fire Protection Association</td>
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<td>NIST</td>
<td>National Institute of Standards and Technology</td>
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<td>OMB</td>
<td>Office of Management and Budget</td>
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<td>PA</td>
<td>Privacy Act</td>
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<td>PRA</td>
<td>Paperwork Reduction Act</td>
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<td>PTR</td>
<td>Treasury Office of Privacy, Transparency, and Records</td>
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<td>RIM</td>
<td>Records and Information Management</td>
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<td>RMA</td>
<td>Records Management Application</td>
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<td>RMO</td>
<td>Records Management Officer</td>
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<td>SF</td>
<td>Standard Form</td>
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<td>TD</td>
<td>Treasury Directive</td>
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<td>TD P</td>
<td>Treasury Department Publication</td>
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<td>WAV</td>
<td>Waveform Audio File Format</td>
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II. Definitions

A

- **Access:**
  1. The availability of, or the permission to consult, records.\(^1\)
  2. The ability or opportunity to obtain security-classified or administratively controlled information or records.\(^2\)
  3. The right, opportunity, or means of finding, using, or retrieving information.\(^3\)

- **Accessioning:** Transferring physical and legal custody of permanent records from an agency to the National Archives.\(^4\) See also block, Electronic Records Archives, permanent record, pre-accessioning, transfer.

- **Active record:** A record needed to perform current operations, subject to frequent use, and usually located near the user.\(^5\) Also called current record. See also current records, inactive record.

- **Adequate and proper documentation:** A record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.\(^6\)

- **Agency:** See executive agency, Federal agency.

- **Agency records schedule:** See comprehensive records schedule, records schedule, retention schedule.

- **Alienated records:** Records in the possession of an individual or organization not legally entitled to them.\(^7\)

- **Appraisal:** The process by which an organization determines the value and therefore the final disposition of Federal records, making them either temporary or permanent.\(^8\)

- **Archiving:**
  1. To back up electronic records or data or to store such information offline yet available for future use.
  2. To conduct all activities related to caring for records of continuing value.\(^9\)

- **Arrangement:**
  1. The process of organizing materials with respect to their provenance and original order in order to protect their context and to achieve physical and intellectual control over the materials.
  2. The organization and sequence of items within a collection.\(^10\)

- **Authenticity:**
  1. A condition that proves a record is genuine based on its mode, form, state of transmission, and manner of preservation and custody.\(^11\)
2. The sum of qualities of a record that establish the origin, reliability, trustworthiness, and correctness of its content.\textsuperscript{12}

3. The quality of being genuine, not counterfeit, and free from tampering. Authenticity is typically inferred from internal and external evidence, including physical characteristics, structure, content, and context.\textsuperscript{13} Controls to prove authenticity include protection against unauthorized addition, deletion, alteration, use, and concealment.\textsuperscript{14}

\textbf{B}

- **Backup systems**: System and file backup processes and media. Backup systems do not provide the appropriate recordkeeping functionalities and must not be used as agency electronic recordkeeping systems. \textit{See also} electronic recordkeeping, records management application.

- **Block**:
  1. One or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to the National Archives. For example, a transfer of records in five-year blocks.
  2. In electronic records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output.\textsuperscript{15} \textit{See also} cutoff, permanent record, transfer.

- **Budget and Accounting Procedures Act of 1950**: “Places the responsibility for establishing and maintaining adequate systems of accounting and internal control upon the head of each agency.” The act also establishes other budget and program authorities and requirements.\textsuperscript{16}

- **Business need**: An agency’s need to conduct its business, maintain a record of its essential activities and decisions for its own use, support oversight and audit of those activities, fulfill legal requirements, and permit appropriate public access.

\textbf{C}

- **Clinger-Cohen Act of 1996**: Establishes information technology responsibilities with regard to capital planning and investment control (CPIC) and performance-based and results-based management of information technology acquisitions. The act makes the agency Chief Information Officer responsible for providing advice and assistance to ensure the acquisition and management of information resources in an appropriate, legally compliant manner; develop, maintain, and facilitate “the implementation of a sound and integrated information technology architecture for the executive agency”; and promote “the effective and efficient design and operation of all major information resources management processes” for the agency.

- **Cloud computing**:
  1. A technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network, without having to build infrastructure to support these resources within their own environments or networks. Generally, cloud computing is viewed as
"renting" storage space on another organization's servers or hosting a suite of services, but other interpretations reference particular social media applications, cloud-based email, and other types of web applications. Responsibility for developing standards and guidelines for Federal cloud computing and providing an authoritative definition have been designated to the National Institute of Standards and Technology (NIST). While NIST states that the definition is evolving, NIST recommends that users consult NIST for the most current definition available.17

2. A model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.18

- **Compact disk (CD):** An optical disk that can store up to 700 megabytes (MB) of data. CDs are available in read-only (CD-ROM), write-once (CD-R), and rewritable (CD-RW) technologies.19 See also digital versatile disc, optical disk, storage media.

- **Comprehensive records schedule:** A schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all records of an independent agency or department, or those of a bureau, service, or office within a department. The comprehensive records schedule should also include instructions for nonrecord materials, whose disposition is based on agency needs.20 See also records schedule, retention schedule.

- **Creation:** The first stage of the records life cycle in which records are made (generated or received) by an office.21 Also called records creation.

- **Current records:** Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.22 See also active record, inactive record.

- **Cutoff:** Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated COFF and is also called file cutoff or file break.23 See also block, disposition, permanent record, temporary record, transfer.

**D**

- **Destruction:**
  
  1. The definitive obliteration of a record beyond any possible reconstitution.24

  2. In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding the material with other waste materials.25 See also disposition, final disposition.

- **Destruction hold:** A hold placed on the scheduled destruction of records due to foreseeable or pending litigation, governmental investigation, audit, or special organizational requirements.26 Also called destruction moratorium or destruction suspension. See also frozen records, legal hold.

- **Digital versatile disc (DVD):** Optical storage media that can store up to 47 gigabytes (GB) of data, or the equivalent of 7 CDs, on a single-sided, single-layer disc, or up to 8.5 GB on a single-sided, dual-layer disc. DVDs are available in read-only (DVD-ROM), write-once (DVD-R), and rewritable (DVD-RW) technologies.27 See also compact disk, optical disk, storage media.
• **Discovery**: The process of finding records and information in litigation. *See also* electronic discovery.

• **Disposition**:
  1. The third stage in the records life cycle. *28 Also called records disposition. See also* destruction, final disposition, permanent record, retirement, temporary record, transfer.
  2. A final administrative action taken with regard to records, including destruction, transfer to another entity, or permanent preservation. *29 See also* accessioning, Electronic Records Archives, pre-accessioning.
  3. The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal Records Centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. *30 See also* accessioning, Electronic Records Archives, pre-accessioning.
  4. The actions taken regarding nonrecord materials when they are no longer needed, including screening and destruction. *31*

• **Disposition authority**:
  1. Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Disposition authority must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office (GAO).
  2. The agency’s approval of disposition instructions for nonrecord materials. *32*

• **Disposition instructions**:
  1. Directions for cutting off records and carrying out their disposition in compliance with NARA’s regulations.
  2. Directions for screening nonrecord materials and carrying out their disposal when they are no longer needed by the agency. *33*

• **Document**: Recorded information or object that can be treated as a unit. *34*

• **Documentary materials**: A collective term for records, nonrecord materials, and personal papers (or personal files) that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of records. *35*

• **DoD Standard 5015.2 (DoD 5015.2-STD)**: A standard developed by the Department of Defense to establish required recordkeeping functionalities in electronic recordkeeping repositories. Required functionalities include: 1) declare records; 2) capture records; 3) organize records; 4) maintain records security; 5) manage access and retrieval; 6) preserve records; and 7) execute disposition. This standard also defined software criteria and a testing process for product certification. NARA endorses this standard for use by all Federal agencies. *See also* electronic recordkeeping, records management application.
E-Government Act of 2002: Seeks “to enhance the management and promotion of electronic Government services and processes by establishing a Federal Chief Information Officer within the Office of Management and Budget, and by establishing a broad framework of measures that require using Internet-based information technology to enhance citizen access to Government information and services, and for other purposes.”

Electronic discovery: Discovery in litigation of electronically stored information (ESI). Also called e-discovery, eDiscovery. See also discovery.

Electronic information system (EIS): An information system that contains and provides access to computerized Federal records and other information.

Electronic mail (email) messages: Documents created or received on an email system, including brief notes, more formal and substantive narrative documents, and any attachments, such as word processing documents, that may be transmitted with the message.

Electronic mail system: A computer application to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software applications that transmit files between users but do not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an email system.

Electronic record: Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act (44 U.S.C. § 3301). The term includes both record content and associated metadata that the agency determines are required to meet agency business needs.

Electronic recordkeeping (ERK):
1. Using automated processes to manage the electronic records of an agency. Recordkeeping functionality may be built into the electronic information system, or records may be transferred to an electronic recordkeeping repository, such as a DoD 5015.2-STD-certified product with the following required functionalities: 1) declare records; 2) capture records; 3) organize records; 4) maintain records security; 5) manage access and retrieval; 6) preserve records; and 7) execute disposition.

2. The development of automated techniques to facilitate the management of electronic records. ERK is a subset of electronic records management (ERM). See also backup systems, DoD Standard 5015.2, records management application.

Electronic Records Archives (ERA): NARA's system that allows Federal agencies to perform critical records management transactions with NARA online. The activities and transactions include being able to (1) draft new agency records retention schedules for records in any format; (2) officially submit those schedules for NARA approval; (3) request the transfer of records in any format to the National Archives for accessioning or pre-accessioning; and (4) submit electronic records for storage in the ERA electronic records repository. See also accessioning, pre-accessioning.
• **Electronic records management (ERM):** Policies, procedures, and tools for managing the retention, destruction, and storage of electronic records. *See also* records management, records and information management.

• **Electronically stored information (ESI):** As referenced in the United States Federal Rules of Civil Procedure, information that is stored electronically, regardless of the media or whether it is in the original format in which it was created, as opposed to stored in hard copy (i.e., on paper).

• **Executive agency:** Any executive department or independent establishment in the executive branch of the U.S. Government, including any wholly Government-owned corporation. *See also* Federal agency.

• **Exhibit 300:** See OMB Circular A-11: Exhibit 300.

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**F**

• **Federal agency:** Any executive agency or any establishment in the legislative or judicial branch of the U.S. Government, except for the Supreme Court, the Senate, the House of Representatives, and the Architect of the Capitol and any activities under the Architect’s direction. *See also* executive agency.

• **Federal Records Act:** A “series of laws . . . that sets forth the records management policies and practices of federal agencies in the federal government.” The Federal Records Act of 1950 states, “The head of each agency shall . . . make and preserve records containing adequate and proper documentation . . . [and] provide for effective controls over the creation . . . of records in the conduct of current business.”

• **Federal Records Center (FRC):** A records center operated by NARA. *See also* records center, Standard Form 135.

• **File:** A group of documents in any format or media related by subject, activity, or transaction, often handled as a unit.

• **File name:**
  1. The name given to a group or series of related documents contained in a physical file folder.
  2. A specific electronic document or record name.

• **File plan:**
  1. A classification scheme describing different types of files maintained in an office, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the approved disposition for each file.
  2. A plan designating the physical location(s) at which an agency’s files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office. *See also* filing system.

• **Filing system:** A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. *Also called* recordkeeping system.
• **Final disposition:** The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to the National Archives. See also permanent record, temporary record, scheduled records, unscheduled records.

• **Freedom of Information Act (FOIA):** Generally provides any person with the statutory right, enforceable in court, to obtain access to Government information in executive branch agency records. This right to access is limited when such information is protected from disclosure by one of nine statutory exemptions. The FOIA is codified at 5 U.S.C. § 552, as amended.

• **Frozen records:**
  1. Records whose destruction process has been suspended because of special circumstances, such as an audit, court order, or investigation. See also destruction hold, legal hold.
  2. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order or an investigation, require a temporary extension of the approved retention period.

• **General Records Schedule (GRS):** A NARA-issued schedule governing the disposition of specified records common to several or all agencies. See also records schedule, Standard Form 135.

• **Government Paperwork Elimination Act (GPEA):** Requires, “when practicable, Federal agencies [to] use electronic forms, electronic filing, and electronic signatures to conduct official business with the public.”

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

• **Human-readable record:** A record on tangible media (e.g., paper) that can be read by using human eyes to view the record contents, in contrast to requiring the use of a machine or equipment for viewing the contents. See also machine-readable record.

• **Inactive record:** A record no longer needed to conduct current business but preserved until it meets the end of its retention period. See also active record, current records.

• **Information system:** The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.
• **Legal and financial rights records**: The type of vital records essential for protecting the rights and financial interests of an organization and of the individuals directly affected by its activities.\(^{64}\)

• **Legal hold**: A communication issued as a result of current or anticipated litigation, audit, government investigation, or other such matter that suspends the normal disposition or processing of records.\(^{65}\) *Also called* freeze notice, hold, hold notice, litigation hold, preservation order, or suspension order. *See also* destruction hold, frozen records.

• **Life cycle of records**:
  1. The management concept that records pass through three stages: creation, maintenance and use, and disposition.\(^{66}\) *See also* disposition, final disposition, creation, maintenance and use.
  2. The distinct phases of a record’s existence, from creation to final disposition.\(^{67}\)

• **Machine-readable record**: A record that requires the use of a machine or equipment (e.g., computer, microfilm reader) to view the record contents. *See also* human-readable record.

• **Magnetic media**: Any storage media in which different patterns of magnetization are used to represent stored bits or bytes of information.\(^{68}\) *See also* optical disk, storage media.

• **Maintenance and use**: The second stage of the records life cycle. Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency.\(^{69}\) *Also called* records maintenance and use.

• **Medium**: A general term referring to the material onto which business information has been recorded and which may subsequently be used for business purposes.\(^{70}\) *Also called* media (plural).

• **Metadata**: Preserved contextual information describing the history, tracking, and/or management of an electronic document.\(^{71}\)

• **Microfilm**:
  1. Raw (unexposed and unprocessed) fine-grain, high resolution photographic film with characteristics that make it suitable for use in micrographics.
  2. The process of recording microimages on film.
  3. A fine-grain, high resolution photographic film containing an image greatly reduced in size from the original.

• **National Archives and Records Administration (NARA)**: Responsible for overseeing agencies’ adequacy of documentation and records disposition programs and practices, establishing standards for the retention of records having continuing value (permanent records), and assisting Federal agencies in applying the standards to records in their custody.\(^{72}\) NARA was established as an
independent administration in the executive branch under the supervision and direction of the Archivist.  

- **Network:**
  1. A collection of individuals or objects, and their interconnections, seen as a whole.
  2. In computing, the equipment and materials used to connect servers and terminals.  

- **Nonrecord:**
  1. An item that is not usually included within the scope of official records (e.g., convenience file, day file, reference material, draft).
  2. A document not required to be retained and therefore not appearing on a records retention schedule.  

- **Nonrecord materials:** Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. § 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications, processed documents, and library and museum materials intended solely for reference or exhibit.  

**O**

- **Official records:** Records maintained by officials of the U.S. Government documenting their Government service.

- **Office of Management and Budget (OMB) Circular A-11:** Provides guidance on preparing the budget and instructions on budget execution.

- **OMB Circular A-11: Exhibit 300:** “[D]esigned to coordinate OMB’s collection of agency information for its reports to the Congress . . . [and] to ensure the business case for investments [is] made and tied to the mission statements, long-term goals and objectives, and annual performance plans . . . . For IT, exhibit 300s are designed to be used as one-stop documents for many . . . IT management issues such as business cases for investments, Clinger Cohen Act implementation, E-Gov Act implementation, Government Paperwork Elimination Act implementation, [agency] modernization efforts, and overall project (investment) management.”

- **OMB Circular A-130:** “[E]stablishes policy for the management of Federal information resources. OMB includes procedural and analytic guidelines for implementing specific aspects of these policies as appendices.”

- **Optical disk:** A storage medium from which data are read and to which data are written by lasers.  

**P**

- **Paperwork Reduction Act of 1995:** A law enacted by the U.S. Congress to increase Federal agency responsibility and public accountability for reducing the burden of Federal paperwork on the public.
• **Permanent record:**
  1. Any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. Permanent records are those for which the disposition is permanent on a Standard Form (SF) 115, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973.  
  2. A record that has been determined to have sufficient historical, administrative, legal, fiscal, or other value to warrant continuing preservation.

• **Personal paper (or file):**
  1. Documentary material belonging to an individual that is not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government.
  2. Material belonging to an individual that was not created or received in the conduct of business while the individual was in the employ of an organization.

• **Pre-accessioning:** Processing and transferring permanently valuable electronic records for preservation purposes in order to assume physical custody before the records are scheduled to legally become part of the National Archives of the United States. Legal custody is retained by the agency until the records are scheduled to come under the legal custody of NARA. To ensure preservation, pre-accessioning of permanent electronic records should generally occur within two to three years of creation.

• **Preservation:**
  1. The provision of adequate facilities to protect, care for, or maintain records.
  2. Specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records. See also permanent record, records maintenance and use.
  3. Process and operation involved in ensuring the technical and intellectual survival of authentic records through time.

• **Privacy Act of 1974:** “[E]stablishes safeguards for the protection of records that the Federal government collects and maintains on United States citizens and aliens lawfully admitted for permanent residence.”

• **Record:**
  1. Recorded information, regardless of medium or characteristics, made or received by an organization in pursuance of legal obligations or in the transaction of business.
  2. According to 44 U.S.C. § 3301, the term “includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization,
functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.\(^87\) Also called Federal records, which exclude Presidential records and records of the U.S. Congress.

- **Record series**: See series.

- **Recordkeeping system**: A manual or electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.\(^88\)

- **Records and information management (RIM)**: The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.\(^89\) Also called records management. See also electronic records management, records management.

- **Records center**:
  1. 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 that need to be preserved for varying periods of time and need not be retained in office equipment or space.\(^90\)
  2. A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Records centers include NARA-authorized agency records centers and NARA-operated Federal Records Centers.\(^91\) See also Federal Records Center, holding area.

- **Records creation**: See creation.

- **Records disposition**: See disposition.

- **Records Liaison**: A person responsible for overseeing a records management program in a headquarters or field office in cooperation with the agency Records Management Officer.\(^92\) Also called Records Liaison Officer. See also Records Management Officer.

- **Records life cycle**: See life cycle of records, creation, maintenance and use, disposition.

- **Records maintenance and use**: See maintenance and use.

- **Records management**: The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation and receipt, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective economical management of agency operations.\(^93\) See also electronic records management, records and information management.

- **Records management application (RMA)**: Software used by an organization to manage its records. An RMA’s primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of electronic records that are stored in its repository.\(^94\) See also backup systems, DoD Standard 5015.2, electronic recordkeeping.
• **Records Management Officer (RMO):** The person assigned responsibility by the agency head for overseeing an agency-wide records management program. Also called records officer or records manager. Note: RMO responsibilities are defined in Treasury Directive (TD) 80-05.

• **Records retention schedule:** See comprehensive records schedule, records schedule, retention schedule.

• **Records schedule:** A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. The term includes the Standard Form 115, the General Records Schedule, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. See also comprehensive records schedule, General Records Schedule, retention schedule, unscheduled records.

• **Records suspension:** See legal hold, destruction hold, frozen records.

• **Report:** Data or information transmitted or used in determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions; or preparing other reports. The data or information may be in narrative, statistical, graphic, or other form and may be on paper, magnetic tape, or other media.

• **Retention period:** The length of time that records must be kept.

• **Retention schedule:** A comprehensive list of record series, indicating for each the length of time it is to be maintained and its disposition. Also called comprehensive records schedule, records retention schedule, or records schedule. See also comprehensive records schedule, General Records Schedule, records schedule.

• **Retirement:** The transfer of records to agency storage facilities or a Federal Records Center. See also disposition, transfer.

• **Risk:** The potential harm that may arise from some present process or some future event.

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**S**

• **Scheduled records:** Records whose final disposition has been approved by NARA. See also disposition, final disposition, permanent record, records schedule, temporary record.

• **Series:**
  1. File units or documents arranged according to a filing or classification system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called record series.
  2. A block of records that have the same disposal authority and the same disposal date. A series is generally handled as a unit for disposition purposes.
3. A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.\textsuperscript{104}

- **Social media:** An umbrella term (similar to Web 2.0) used to define the various activities integrating web technology, social interaction, and user-generated content. Through social media, individuals or collaborations of individuals create, organize, edit, comment on, combine, and share content. Though some may fit into more than one category based on their use, there are three categories of platforms, including:
  1. **Web Publishing:** Platforms used to create, publish, and reuse content (e.g., microblogging, blogs, wikis, mashups).
  2. **Social Networking:** Platforms used to provide interactions and collaboration among users (e.g., social networking tools, social bookmarks, virtual worlds, crowdsourcing/social voting).
  3. **File Sharing/Storage:** Platforms used to share files and host content storage (e.g., photo libraries, video sharing, storage, content management).\textsuperscript{105}

- **Standard Form (SF):** A form prescribed by a Federal agency, pursuant to its authority, and approved by the General Services Administration (GSA) for mandatory Government-wide use.

  - **Standard Form 115 (SF 115), Request for Records Disposition Authority:** The form used by Federal agencies to obtain disposition authority from NARA for records to which the General Records Schedule is inapplicable.\textsuperscript{106} See also General Records Schedule, records schedule, temporary record, unscheduled records.

  - **Standard Form 135 (SF 135), Records Transmittal Receipt:** The form to be submitted by agencies to a Federal Records Center before transferring records there.\textsuperscript{107} See also General Records Schedule, records schedule, temporary record, transfer.

  - **Standard Form 258 (SF 258), Request to Transfer, Approval, and Receipt of Records to National Archives of the United States:** The form used by Federal agencies to transfer legal custody of permanent records to the National Archives.\textsuperscript{108} See also permanent record, unscheduled records.

- **Storage media:** The various types of storage materials on which information is recorded, such as paper, magnetic, microform, and optical.\textsuperscript{109} See also compact disk, digital versatile disc, magnetic media, microfilm, optical disk.

**T**

- **Temporary record:**
  1. A record approved by NARA for disposal, either immediately or after a specified retention period. *Also called* disposable record.\textsuperscript{110} Note: Temporary records may be transferred to agency storage facilities or Federal Records Centers, prior to approved destruction in blocks. See also block, cutoff, disposition, transfer.

  2. Any Federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation as a permanent record by the National Archives and Records Administration. This determination may take the form of:
• Records designated as disposable in an agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority); or

• Records designated as disposable in a General Records Schedule.\(^{111}\)

• Transfer:
  1. The act or process of moving records from one location to another, especially from office space to agency storage facilities or Federal Records Centers, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation. Transfer to NARA assigns both physical and legal custody to NARA.
  
  2. The records involved in such a relocation.\(^{112}\) See also block, cutoff, disposition, retirement.

• Transitory record: A record that has little or no documentary or evidential value and that need not be set aside for future use. Note: Examples of transitory records include correspondence that requires no administrative action, policy decision, or special handling and nonrecord copies of quasi-official notices, such as memoranda, that are not used as the basis of an administrative or program action or decision.\(^{113}\)

• Treasury Department Publication (TD P) 80-05: Serves as the records and information management manual for the Treasury Department, providing detailed information about requirements, practices, and guidelines. See also Treasury Directive (TD) 80-05.

• Treasury Directive (TD) 80-05: Provides policies and assigns responsibilities for records management, applies to all records of the Treasury Department, and authorizes the issuance of Treasury Department Publication (TD P) 80-05. See also Treasury Department Publication (TD P) 80-05.

U

• Universe of information: As used in the Treasury Department’s RIM training, a set or collection of information, regardless of media, format, type, and management. The universe of information includes records, nonrecords, and personal papers; human-readable and machine-readable information; metadata and electronically stored information; and information that is managed or unmanaged according to Treasury directives, policies, and procedures.

• Unscheduled records: Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.\(^{114}\) See also comprehensive records schedule, disposition, final disposition, records schedule.

• Unstructured electronic records: Records created using office automation applications, such as electronic mail or other messaging applications and word processing or presentation software.\(^{115}\)

V

• Vital records: 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 the
Government's actions (legal and financial rights records). See also legal and financial rights records.

• **WAV file:** File in uncompressed waveform audio format. WAV files are one of NARA’s accepted formats for files containing exclusively audio material, either spoken word or music. The acronym is also the file extension.


36 CFR § 1236.2.


36 CFR §§ 1236.2, 1220.18.


36 CFR § 1220.18.


36 CFR § 1220.18.


36 CFR § 1236.2.

36 CFR §§ 1220.10(a), 1220.12(b).

76 36 CFR § 1220.18.
78 36 CFR § 1220.18.
80 36 CFR § 1220.18.
88 36 CFR § 1220.18.
93 36 CFR § 1220.18.
97 36 CFR § 1220.18.
100 NARA Records Management Key Terms, Records Management Training, NARA, 2007.
102 36 CFR § 1220.18.
111 36 CFR § 1220.18.
115 36 CFR § 1236.2.
117 Frequently Asked Questions (FAQ) about Digital Audio and Video Records, NARA, 