

5 FAM 400 RECORDS MANAGEMENT

5 FAM 410 RECORDS AND INFORMATION LIFE CYCLE MANAGEMENT PROGRAM

*(CT:IM-54; 09-17-2004)
(Office of Origin: A/RPS/IPS)*

5 FAM 411 SCOPE

(CT:IM-54; 09-17-2004)

This chapter:

- (1) Establishes the basis for an active, continuing program for the effective, economical, and efficient life cycle management of records and information within the Department of State (Department) and all of its components in the United States and abroad, as required by Federal statutes and regulations;
- (2) Defines policies with respect to the creation, maintenance, use, and disposition of records, including electronic, facsimile, imaged, audiovisual and Internet/Intranet records; and
- (3) Establishes the policies required to:
 - (a) Assure the Department's compliance with Federal information access laws and regulations, such as the Freedom of Information Act, the Privacy Act, and Executive Order 12958, as amended;
 - (b) Properly classify, protect, and declassify sensitive national security information; and
 - (c) Meet the Department's domestic and international copyright obligations.

5 FAM 412 AUTHORITIES

(CT:IM-54; 09-17-2004)

- a. 5 U.S.C. 552a (Privacy Act);
- b. 5 U.S.C. 552 (Freedom of Information Act);
- c. 5 U.S.C. 552 Appendix (Ethics in Government Act);
- d. 18 U.S.C. 641 (Public money, property or records);
- e. 18 U.S.C. 2071 (Concealment, removal mutilation of records, etc.);
- f. 31 U.S.C. 716 (Budget and Accounting Act of 1921);
- g. 44 U.S.C. Chapter 31 (Records management by Federal agencies) (Federal Records Act of 1950);
- h. 44 U.S.C. Chapter 33 (Disposal of records)(Records Disposal Act of 1943);
- i. 44 U.S.C. Chapter 35 (Coordination of Federal information policy) (Paperwork Reduction Act, as amended);
- j. Government Paperwork Elimination Act, Title XVII of Public Law 105A277;
- k. Guide to Personnel Recordkeeping, 5 U.S.C. Part 293;
- l. Inspector General Act of 1978, as amended;
- m. Executive Order 12656, National Security Emergency Preparedness Responsibilities;
- n. Executive Order 12958, National Security Information, as amended;
- o. The E-Government Act of 2002;
- p. 22 CFR, Part 171, Subchapter R, Access to Information;
- q. 36 CFR, Chapter XII, Subchapter B, Records Management;
- r. OMB Circular A-123, Management Accountability and Control;
- s. OMB Circular A-130, Management of Federal Information Resources; and
- t. GAO Policy and Procedures Manual for Guidance of Federal Agencies, Title 8—Records Management.

5 FAM 413 PROGRAM OBJECTIVES

(CT:IM-54; 09-17-2004)

- a. Information life cycle management is based on the concept that the three stages of the records life cycle—(1) creation, (2) maintenance and use, and (3) disposition—are interrelated, and that each stage of the cycle must be structured and managed to support the others. The records and information life cycle program applies standards, procedures, and techniques designed to:
- (1) Create and preserve Federal records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Department, as well as records necessary to protect the legal and financial rights of the Government and of persons directly affected by the Department's activities (44 U.S.C. 3101);
 - (2) Establish effective management controls over the creation, maintenance and use, and disposition of records in the conduct of current business (44 U.S.C. 3102);
 - (3) Establish and implement standards and procedures for classifying, indexing, and filing records; and publish these standards and instructions in a form designed for easy reference and revision;
 - (4) Promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of temporary records (44 U.S.C. 3102);
 - (5) Provide for the transfer of inactive records to a records center maintained and operated by the National Archives and Records Administration (NARA) or, when approved by NARA, to a center maintained and operated by the Department (44 U.S.C. 3103);
 - (6) Establish safeguards against the removal or loss of records determined to be necessary and required by regulations, including making it known to Department officials and employees that:
 - (a) Records in the custody of the Department are not to be alienated or destroyed except in accordance with 5 FAM 434 and 5 FAM 440, and
 - (b) There are penalties provided by law for the unlawful removal or destruction of records (44 U.S.C. 3105);

- (7) Notify NARA of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the Department; and, with the assistance of NARA, initiate action through the Attorney General for the recovery of records believed to have been unlawfully removed from another Federal agency and transferred to the legal custody of the Department (44 U.S.C. 3106);
- (8) Manage the Department's records so that operations at each stage of the records and information life cycle support and facilitate the operations of succeeding stages; and
- (9) Ensure that adequate training is provided to Department personnel on policies, responsibilities, and methods for the implementation of recordkeeping requirements and the objectives of records life cycle management.

5 FAM 414 PROGRAM RESPONSIBILITIES

5 FAM 414.1 Secretary of State

(CT:IM-54; 09-17-2004)

The Secretary is required to establish a Records and Information Life Cycle Management Program in accordance with the Federal Records Act. This responsibility is delegated through the Under Secretary for Management, the Assistant Secretary for Administration, the Deputy Assistant Secretary for Records and Publishing Services, to the Director of the Office of Information Programs and Services (A/RPS/IPS), as set forth in 1 FAM 200.

5 FAM 414.2 Department of State Records Officer

(CT:IM-54; 09-17-2004)

The Director of the Office of Information Programs and Services (A/RPS/IPS) is designated the Department's Records Officer and is responsible for seeing that the Department and all of its component elements in the United States and abroad are in compliance with Federal records statutes and regulations and meet the objectives set forth in 5 FAM 413. The Director of the Office of Information Programs and Services also coordinates records activities with other Federal and regulatory agencies, including NARA, the Office of Management and Budget (OMB), the General Services Administration (GSA), and the

General Accounting Office (GAO), and the Office of Personnel Management (OPM).

5 FAM 414.3 Office of Information Programs and Services (A/RPS/IPS)

(CT:IM-54; 09-17-2004)

As defined in 1 FAM 214.2, the Office of Information Programs and Services (A/RPS/IPS):

- (1) Serves as the primary point of contact and principal advisor on all matters concerning the management of information as a critical resource, specifically relating to records life cycle management, public and need-to-know access to information, classification management and declassification, privacy, research of official and public information resources, and preservation of corporate records archives. A/RPS/IPS plans, develops, implements, and evaluates programs, policies, rules, regulations, practices, and procedures on behalf of the Secretary to ensure compliance with the letter and spirit of relevant statutes, executive orders, and guidelines;
- (2) Carries out the Secretary's responsibilities for the Department's foreign policy archives, a unique collection of international significance. Represents the Secretary to the Archivist of the United States and the National Archives and Records Administration (NARA), as well as other Federal and regulatory agencies, on all records issues. A/RPS/IPS ensures Department-wide compliance with life cycle management of Department records and promotes the integration of life cycle management principles in the Department's business and operations, particularly in the development and application of new technology;
- (3) Administers the Department's Information Access Program for the need-to-know foreign affairs and national security community in Executive agencies, the Congress, and the public, as established by the FOIA, the Privacy Act, the Ethics in Government Act, E.O. 12958, as amended, and other applicable statutes and regulations. A/RPS/IPS coordinates special document production efforts to ensure the Department's compliance with discovery orders, subpoenas, and other similarly mandated demands. A/RPS/IPS ensures that responses to such requests are timely, accurate, and complete;

U.S. Department of State Foreign Affairs Manual Volume 5—
Information Management

- (4) As delegated by the Secretary through the Under Secretary for Management, ensures implementation of and compliance with the classification management and declassification requirements of E.O. 12958, as amended;
- (5) Serves as the Secretary's representative in legal proceedings against the Department dealing with records issues. A/RPS/IPS responds to administrative appeals; executes affidavits, and provides supporting evidence to the Department of Justice in defense of the Department in records-related lawsuits;
- (6) Administers the Department's Privacy Program to ensure compliance with the Privacy Act and the safeguarding of the privacy of U.S. citizens and aliens admitted for permanent residence to the United States, in their interaction with the Department;
- (7) Manages the Department's Library, a unique foreign policy collection. A/RPS/IPS develops, administers, and promotes desktop electronic capability for accessing this collection and other data sources and services;
- (8) Develops, operates, maintains, evaluates, and enhances those systems that: preserve the corporate records archives; support the information access and declassification programs; and serve the unique business systems related to the Office's mission; and
- (9) Promotes customer service principles within the Office and institutes initiatives to comply with applicable laws, regulations, and policies regarding customer service standards.

**5 FAM 414.3-1 Programs and Policies Division
(A/RPS/IPS/PP)**

(CT:IM-54; 09-17-2004)

A/RPS/IPS/PP:

- (1) Develops policies and procedures to ensure the maintenance and preservation of the official records of the Department and its posts abroad;

U.S. Department of State Foreign Affairs Manual Volume 5—
Information Management

- (2) Develops, reviews and updates disposition authorities and disposition schedules to ensure the appropriate preservation and disposition of the Department's records;
- (3) Develops and implements programs for information life cycle management, classification and declassification management, review and transfer of permanent historical records to NARA, access to information by former Presidential appointees, and the protection of individual rights vis-à-vis the Department's records;
- (4) Ensures the Department's compliance with and implementation of the Federal Records Act, FOIA and EFOIA, the Privacy Act, E.O. 12958 and its amendments, and other records-related statutes and regulations, as identified in 5 FAM 412;
- (5) Analyzes, evaluates and oversees records programs, activities, and operations; provides expert advice and counsel in information life cycle management and the protection of information; conducts education and outreach programs on life cycle management and records-related subjects;
- (6) Ensures the integration of record-keeping requirements in the operations and activities of the Department, especially in the development and application of new technology;
- (7) Coordinates records and information management issues with other Federal agencies, particularly NARA, OMB, and the Department of Justice; represents the Department at inter-agency and public fora, and working groups;
- (8) Fulfills official requests from Congress, judicial authorities, and other Federal agencies for special document production; and
- (9) Coordinates the Department's responses to: amendment requests under the Privacy Act; appeals of denial of access to information under provisions of the FOIA, the Privacy Act, E.O. 12958; and appeals of refusals to amend records under the Privacy Act.

5 FAM 414.3-2 Requester Liaison Division (A/RPS/IPS/RL)

(CT:IM-54; 09-17-2004)

A/RPS/IPS/RL:

- (1) Serves as the primary point of contact for customers in matters pertaining to public and need-to-know access to information;
- (2) Initiates the processing of public and need-to-know information access requests; coordinates processing of information access requests directed to the decentralized offices (see 5 FAM 414.6); monitors the progress of all such inquiries and provides status reports to customers upon request; and
- (3) Evaluates and ensures compliance with applicable laws, regulations, and policies regarding customer service standards and the "Government Performance and Results Act" (GPRA), and actively promotes customer service efforts.

5 FAM 414.3-3 Statutory Compliance and Research Division (A/RPS/IPS/CR)

(CT:IM-54; 09-17-2004)

A/RPS/IPS/CR:

- (1) Performs systematic, comprehensive, and complex searches for information in response to public and need-to-know information access requests; coordinates with regional and functional bureaus to search records maintained in the Department and at posts;
- (2) Provides for the review of records containing classified or other information protected by statute, regulation, or court decision in order to determine what information may be released to the requester; coordinates document review with other agencies, as needed;
- (3) Through the Systematic Review Project (A/RPS/IPS/CR/SRP) provides for the review and transfer to NARA of the Department's permanent historic records, including electronic records and microfilm, as they reach 25 years of age; and
- (4) Operates the Records Service Center (A/IPS/CR/RSC) which is responsible for: retrieval and search of retired records;

retirement of records and transfer of records to a Federal Records Center or NARA; and emergency safe haven of records from posts.

5 FAM 414.3-4 The Library Division (A/RPS/IPS/LIBR)

(CT:IM-54; 09-17-2004)

A/RPS/IPS/LIBR:

- (1) Develops, administers, and operates the Department's Ralph E. Bunche Library, the principal source of external research materials for the Department and the Foreign Service community;
- (2) Serves as project manager to provide electronic desktop access to the Library's collection and to other digital sources and services; plans and manages the automated systems of the Library's branches and coordinates their integration with other Library functions;
- (3) Represents the Department on U.S. Government and private sector library bodies and at professional meetings; and
- (4) Implements outreach programs and public relations initiatives.

5 FAM 414.3-5 Archiving and Access Systems Management Division (A/RPS/IPS/AAS)

(CT:IM-54; 09-17-2004)

A/RPS/IPS/AAS:

- (1) Designs, develops, implements, enhances, and manages the Department's official automated corporate archive (the State Archiving System (SAS)) to maintain the authoritative record of official correspondence, communications, and documentation related to the conduct of the foreign relations of the United States;
- (2) Compiles and analyzes user requirements for access to and use of SAS to ensure that state-of-the-art methodologies are available to facilitate timely and expeditious location and reproduction of information to fulfill customer needs and legal requirements;

- (3) Ensures the integrity, security, and integration of SAS with the Office's Freedom of Information Document Management System (FREEDOMS), and other business applications;
- (4) Designs, develops, implements, enhances, and manages FREEDOMS to control workflow and to maintain the authoritative record of requests for information, document searches and review, changes of classification status, and responses to requesters;
- (5) Compiles and analyzes user requirements for access to and use of FREEDOMS to ensure that state-of-the-art methodologies are available to facilitate timely and expeditious location and production of information to fulfill customer needs and legal requirements;
- (6) Develops business applications that support and enhance workflow within A/RPS/IPS and facilitate connectivity or interface between the Office's systems, in conformance with established Department architecture and security standards and practices;
- (7) Serves as the Department's technical expert on the application of technology to: the capture and archiving of all official documentation, in any media form; information access; document production; and document declassification business processes, as required by FOIA, EFOIA, the Privacy Act, E.O. 12958, as amended, and other applicable statutes, regulations, and policies; and
- (8) Designs, develops, implements, enhances, and maintains the Department's FOIA website, as required by EFOIA, and A/RPS/IPS web-enabled business processes and customer services.

5 FAM 414.3-6 Program Support Division (A/RPS/IPS/PSD)

(CT:IM-54; 09-17-2004)

A/RPS/IPS/PSD:

- (1) Serves as the principal advisor on administrative, management, and resource issues pertinent to A/RPS/IPS programs and responsibilities;
- (2) With A/RPS/IPS managers and A/EX, develops program and workforce plans; identifies all employee training needs; ensures that employees are appropriately trained for their

- responsibilities and establishes a professional development program;
- (3) With A/EX, coordinates the management of assets (personnel, funds, and facilities) utilized by the Office, ensures that proper internal controls are exercised and that resources are adequate to meet the mission and goals of A/RPS/IPS;
 - (4) With A/EX, directs and manages the delivery of administrative, budget, and personnel to support the Office's employees;
 - (5) Establishes and monitors performance measures and tracks the accomplishment of program goals and objectives; keeps the Office Director informed of progress with respect to the organization's mission;
 - (6) Coordinates function code resources and serves as liaison to A/EX for all Office program administrative issues, such as budget, staffing, training, internal controls, facilities management, equipment, inventory, planning, and contract services; and
 - (7) Provides centralized clerical support to A/RPS/IPS divisions, including oversight, direction, and quality assurance; supports special projects that may require a range of functions to be performed under time constraints; distributes incoming mail and dispatches outgoing mail.

5 FAM 414.4 Bureaus

(CT:IM-54; 09-17-2004)

- a. Department bureaus and offices are responsible for implementing and administering the records policies, standards, systems, and procedures issued by the Department's Records Officer, beginning with those set forth in 5 FAM 400 and 5 FAH-4.
- b. The Executive Office of each bureau shall appoint a Bureau Records Coordinator to be responsible for coordinating a bureau's records activities with the Office of Information Programs and Services (A/RPS/IPS). The Records Coordinator is responsible for:
 - (1) Regularly reviewing the bureau's records systems and records management practices for compliance with the policies and procedures set forth in 5 FAM 400, Records Management, and 5 FAH-4, *Records Management Handbook*;

U.S. Department of State Foreign Affairs Manual Volume 5—
Information Management

- (2) Managing the bureau's central files in conformance with 5 FAM 400, *Records Management*, 5 FAH-4, *Records Management Handbook*, and 5 FAH-3, *TAGS/Terms Handbook*;
 - (3) Establishing guidance and procedures to assure management of the bureau's office files in conformance with 5 FAM 400, *Records Management*, and 5 FAH-4, *Records Management Handbook*;
 - (4) Regularly and timely applying the appropriate records disposition schedules to bureau and office records;
 - (5) Coordinating the retirement of bureau and office records with the Records Service Center (A/RPS/IPS/CR/RSC) as described in 5 FAM 445; and
 - (6) Analyzing the bureau's records management needs and coordinating appropriate follow-on action with the Office of Information Programs and Services (A/RPS/IPS).
- c. The Records Management staff of the Life Cycle Division in the Office of Information Programs and Services (A/RPS/IPS/LC) is available to assist Bureau Records Coordinators with any of the above tasks.

5 FAM 414.5 Posts

(CT:IM-54; 09-17-2004)

- a. The Principal Officer at each post is responsible for implementing and administering records policies, standards, systems, and procedures issued by the Department's Records Officer, beginning with those set forth in 5 FAM 400 and 5 FAH-4.
- b. Under the supervision of the Management Officer, the Information Management Officer (IMO) is designated the Post Records Coordinator. At a post that does not have an IMO, the Information Program Officer (IPO) is designated the Post Records Coordinator. At posts that do not have an IPO, the senior IM representative is designated the Post Records Office. Finally, at posts that do not have an IM representative, the Principle Officer shall designate a cleared employee to act as the Post Records Coordinator. The Post Records Coordinator is responsible for:
 - (1) Regularly reviewing the post's record systems and record management practices for compliance with the policies and procedures set forth in 5 FAM 400 and 5 FAH-4;

- (2) Managing the post's central files, if centralized, in conformance with 5 FAM 400 and 5 FAH-4;
- (3) Establishing guidance and procedures to assure management of the records held within each section in conformance with 5 FAM 400 and 5 FAH-4;
- (4) Managing, safeguarding, and providing appropriate guidance for the disposition of any unclassified, non-SBU records stored off-site;
- (5) Regularly and timely applying the appropriate records disposition schedules to the post's files;
- (6) Coordinating retirement or safe haven of the post's records with the Records Service Center (A/RPS/IPS/CR/RSC) as described in 5 FAM 434.6 and 5 FAM 445; and
- (7) Analyzing the post's records management needs and coordinating appropriate follow-on action with the Office of Information Programs and Services (A/RPS/IPS).

5 FAM 414.6 Decentralized Offices

(CT:IM-54; 09-17-2004)

Certain offices within the Department have large collections of centralized files that are unique with respect to both volume and content. The records of these offices, known as decentralized offices, are essentially administrative in nature, contain primarily Sensitive But Unclassified (SBU) information, and are often name-retrievable. Examples are: the offices in the Bureau of Consular Affairs that provide visa, passport, and overseas citizens services, the Office of Medical Services, the Bureau of Human Resources, and the Bureau of Diplomatic Security. The decentralized offices have unique records management responsibilities, especially concerning access to and disposition of their records. Requests for access to the records of the decentralized offices are coordinated through the Requestor Liaison Branch of the Office of Information Programs and Services (A/RPS/IPS/RL) in conformance with the policies and procedures of 5 FAM 470.

5 FAM 414.7 Management Officers

(CT:IM-54; 09-17-2004)

The management section of each Department bureau, office, or post is responsible for the following actions:

- (1) Reminding all employees who are about to leave the Department or the Foreign Service of the laws and regulations pertaining to the disposition of personal papers and official records (5 FAM 434);
- (2) Ensuring that in conformance with 3 FAH-2352 Form DS-8A, *Administrative Clearance for Separation*, and Form OF-109, *Separation Statement*, are executed for each departing employee and forwarded to the Bureau of Human Resources, Records and Information Management Division (HR/EX/IRM); and
- (3) Advising ambassadors or officials ranked assistant secretary and above to consult with the Department's Records Officer about depositing personal papers of historical interest, accumulated during their tenure, with NARA or a Presidential archival depository, where specific restrictions may be placed on access to such papers.

5 FAM 414.8 Department Employees

(CT:IM-54; 09-17-2004)

All Department employees are:

- (1) Required by law to preserve documentary materials meeting the definition of a record under the Federal Records Act, 44 U.S.C. § 3301, as reproduced in 5 FAM 415.1 (a);
- (2) Responsible for creating, using, maintaining, preserving, and disposing of the Department's information and records in accordance with 5 FAM 400 and 5 FAH-4; and lastly,
- (3) Responsible for creating, using, and protecting classified national security information in accordance with 5 FAM 480 and 12 FAM 500.

5 FAM 415 DEFINITIONS

5 FAM 415.1 Records and Record Types

(CT:IM-54; 09-17-2004)

Administrative v. program records. Administrative records are records relating to the housekeeping or facilitative functions common to most offices, for example, budget, personnel, equipment, and supplies. Program records document the unique, substantive functions

for which an office is responsible.

Electronic records. Numerical, graphical, and textual information recorded on any medium capable of being read by a computer and which satisfies the definition of a record set forth in 5 FAM 415.1 (a). Electronic records include, but are not limited to, records stored on-line or on off-line media such as tapes, disks, and optical disks.

Non-record materials. Materials that do not meet the definition of a record as set forth in 5 FAM 415.1 (a). Examples are extra copies of documents kept only for reference, stocks of publications or processed documents, and library or exhibit materials intended solely for reference or display.

Permanent v. temporary records. Permanent records have been determined by NARA to warrant preservation in the National Archives, and their disposition as permanent has been recorded on a Form SF 115, *Request for Records Disposition Authority*. Temporary records have been determined by NARA to have insufficient value to warrant preservation in the National Archives, and their disposition as temporary or disposable is documented on either a Form SF 115 or in a General Records Schedule (see 5 FAM 443).

Personal papers. Documentary materials of a private nature that have not been used in the transaction of Department business. This may include papers created or received before or after an individual entered into U.S. Government service so long as they are not related to or used in transacting Department business. Personal papers may also include the individual's copies of employment-related records, such as leave and travel authorizations or time and attendance records. Diaries, journals, notes, personal calendars and appointment schedules may be regarded as personal papers only if they are solely for personal use and have not been used to prepare for, transact, or communicate Department business. This is a complex category and may require consultation with the Department's Records Officer and the Office of the Legal Adviser. Correspondence or email sent or received as a Department official is not personal.

Records. 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 U.S. 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, operations or other activities of the Government or because of the informational value of the data they contain.

Unscheduled records. Records whose final disposition has not been determined by NARA are unscheduled; they are treated as permanent records until NARA determines what their final disposition should be.

Working papers or working files. Notes, annotated copies of documents, preliminary drafts and similar materials used in the transaction of Department business or in the preparation of other documents constitute working papers or files. They may meet the definition of records set forth in 5 FAM 415.1

(a), and should be treated as records when they do. For example, working papers would constitute records when they:

- (1) Are circulated to other employees for approval, comment, action, recommendation, or follow-up, or to communicate with Department personnel about Department business, and
- (2) Contain information such as substantive annotations or comments that add to a proper understanding of the Department's formulation and execution of policies, decisions, actions or responsibilities.

5 FAM 415.2 Organization of Records

(CT:IM-54; 09-17-2004)

- a. **File** means an arrangement of records. The term is normally used to denote records, regardless of physical form or storage media, organized by subject, by date, or according to some other general principle, and maintained for the purposes of research, consultation or the conduct of official business. **File series** means a group of file units arranged by subject or function and kept together because they have a relationship arising out of their creation and use.
- b. **System** is the organized collection, processing, transmission, dissemination, retention, and storage of information in accordance with defined procedures. It may be called a **record system** or an **information system**. The latter term is most often used in reference to electronic records and involves input or source documents, records on electronic media, and output records.
- c. **TAGS/Terms** is the system used to organize, manage, locate and retrieve information in the Department's Central Foreign Policy Archive. **Subject TAGS** are four-letter acronyms that identify general subject areas (e.g., AMGT for management operations, CVIS for visa matters). **Geo-political TAGS** are two-letter acronyms that identify specific world locations (e.g., AL for Albania, GH for Ghana). **Program TAGS** are used to identify information

relating to specific Department programs (e.g., KJUS for administration of justice, KTIA for treaties and international agreements).

5 FAM 415.3 Use and Disposition of Records

(CT:IM-54; 09-17-2004)

- a. **Access** means the use of or the ability to consult records, including classified or administratively-controlled records.
- b. **Appraisal** is the process by which NARA determines the value and thus disposition of Federal records, making them either permanent or temporary.
- c. **Disposition** means those actions taken, after appraisal by NARA, regarding records no longer needed for conducting the Department's regular current business. This may be temporary storage or destruction for temporary records, or transfer to NARA or a Federal Records Center for permanent records.
- d. **Schedule** (records schedule or disposition schedule) is a document that provides mandatory instructions for what to do with records and nonrecord material no longer needed for current U.S. Government business. In everyday Department usage, "records disposition schedule" usually refers to Form SF 115, *Request for Records Disposition Authority*, which authorizes the disposition of Federal records upon approval by NARA. The disposition schedules for Department records may be consulted at the Records Management website on OpenNet.
- e. **Storage media** includes but is not limited to magnetic media such as tapes and disks, and optical media such as optical disks and CD-ROMs.

5 FAM 416 THROUGH 419 UNASSIGNED