

RECORDS MANAGEMENT PROCEDURES

- 1. REASON FOR ISSUE:** To revise Department-wide records and information management procedures that implement the policies contained in VA Directive 6300, Records and Information Management.
- 2. SUMMARY OF CONTENTS:** This handbook describes procedures for carrying out the records management program. These procedures have been developed based on records management requirements contained in various Federal regulations, guides, bulletins, and memoranda published and disseminated by the National Archives and Records Administration (NARA).
- 3. RESPONSIBLE OFFICE(S):** Office of the Assistant Secretary for Information and Technology (005), Office of Information Protection & Risk Management (005R), Office of Privacy & Records Management (005R1), Enterprise Records Service (005R1B).
- 4. RELATED DIRECTIVE:** VA Directive 6300, Records and Information Management.
- 5. RESCISSIONS:** VA Handbook 6300.1, dated January 12, 1998.

CERTIFIED BY:

**BY DIRECTION OF THE SECRETARY
OF VETERANS AFFAIRS**

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RECORDS MANAGEMENT PROCEDURES

CHAPTER 1 – OVERVIEW

1. PURPOSE.

This handbook contains mandatory Department of Veterans Affairs (VA) procedures for managing records effectively and efficiently throughout their life cycle. These procedures will facilitate accomplishment of VA's programmatic and administrative missions, preserve official records in accordance with applicable statutory and regulatory requirements, and promote access to information by VA staff and the public as appropriate. In addition specific procedures concerning records disposition, use, maintenance and filing standards for VA Central Office records are contained within this handbook.

2. GENERAL

a. The Federal Records Act of 1950, as amended, requires Federal agencies to make and preserve records containing adequate and proper documentation of their organizations, functions, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and regulations.

b. Records are broadly defined by statute and regulation to include all recorded information, regardless of medium or format, made or received by VA under Federal law or in connection with the transaction of public business, either preserved or appropriate for preservation because of their administrative, legal, fiscal, or informational value. Records serve as VA's memory; they are of critical importance in ensuring that VA continues to function effectively and efficiently.

c. VA records will be managed as assets throughout their information life cycle, which consists of three basic stages: creation, active maintenance and use, and disposition. The records life cycle is initiated by the creation, collection, or receipt of records in the form of data or documents in the course of carrying out administrative and programmatic responsibilities. The life cycle continues through the processing and active use of the information in the record, until the record is determined to be inactive. The final stage in the life cycle is disposition, which means they are no longer needed in office space for current VA business.

d. As records move through the information life cycle, they require management by “sponsors” who create them, or cause them to be created. “Sponsors” are responsible for: (1) the continued maintenance and disposition of the records; (2) users who have a need for the information in the records; and (3) custodians who have physical custody of the records at various stages in the life cycle.

e. Descriptions of records management terms used throughout this handbook are contained in Appendix A.

f. The National Archives and Records Administration (NARA) publishes records management guides and handbooks to assist Federal agencies in establishing and maintaining a records management program. The guides and handbooks are listed in Appendix B and are available in limited quantities, at no cost, from the National Archives, Attention: Publications Distribution Staff, (NECD), Room G-9, 7th Street and Pennsylvania Avenue, NW, Washington, DC 20408. Orders of more than five copies should be sent to the Agency Services Division (NIA), Room 2200, National Archives at College Park, 8601, Adelphi Road, College Park, Maryland 20740-6001. Several of these publications are posted in electronic form on the Internet at <http://www.nara.gov>.

g. Descriptions of records management terms used throughout this handbook are contained in the Definitions portion of the handbook.

CHAPTER 2 - FEDERAL RECORDS MANAGEMENT ROLES AND RESPONSIBILITIES

1. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). NARA is the oversight agency responsible for all Federal records, approving their disposition, providing program assistance and Federal records storage, evaluating agency records management programs, and serving as the final custodian of permanent records. NARA operates two different types of records facilities:

a. Regional/National Records Storage Facilities. These facilities provide temporary storage and reference service for records that are needed infrequently by the creating agency but are not yet eligible for disposal or transfer to the National Archives for permanent retention. Records stored in these facilities remain in the legal custody of the creating agency. NARA also maintains a National Personnel Records Center in St. Louis, Missouri, which maintains and services personnel records of separated Federal employees and designated records of the military departments and the U.S. Coast Guard.

b. National Archives of the United States. This facility stores the Federal Government's permanent records. When permanent records are transferred to National Archives, agencies also transfer legal custody of the records. The National Archives takes measures needed to preserve the records and also provides reference service, including service to the creating agency.

2. OFFICE OF MANAGEMENT AND BUDGET (OMB). This agency is responsible for:

a. Developing and implementing uniform and consistent information resources management policies.

b. Overseeing the development and promotion of the use of information management principles, standards and guidelines.

c. Evaluating agency information resources management practices to determine their adequacy and efficiency.

d. Determining compliance of such practices with policy, principles, standards, and guidelines that they issue.

3. GOVERNMENT ACCOUNTABILITY OFFICE (GAO). This agency issues the GAO Policy and Procedures Manual, Title 8, Records Management, which pertains to accounting and fiscal records. GAO must be included in the approval of records retention relating to claims or demands by or against the Government. GAO also conducts audits and performs evaluations of agency programs.

CHAPTER 3 - RESPONSIBILITIES

1. RESPONSIBILITIES OF VA RECORDS OFFICER. The Assistant Secretary for Information and Technology Management (OI&T) (005) has designated the Director, Privacy and Records Management Service (005R1B), as the VA Records Officer who will:

- a. Lead and manage the VA records management program.
- b. Establish policy and procedures for administering the records management program.
- c. Issue changes to this handbook that are necessary to implement and manage the program.
- d. Coordinate records management issues with other Federal agencies, as appropriate.
- e. Provide technical advice and training, as appropriate, to VA administrations and staff offices on establishing and maintaining effective records management programs.
- f. Serve as the VA liaison with NARA on micrographics management.
- g. Conduct periodic reviews of records management programs through the OI&T Review Program as required by Federal regulations.
- h. Serve as VA liaison officer with the Department of Defense, the uniformed services, NARA and other Government agencies on records management matters.
- i. Serve as authorized agency approving official for the SF-115, Request for Records Disposition Authority, and SF-258, Agreement to Transfer Records to the National Archives of the United States.

2. RESPONSIBILITIES OF ADMINISTRATION AND STAFF OFFICE RECORDS OFFICERS. Under Secretaries, Administration Heads, Assistant Secretaries, Other Key Officials, and Deputy Assistant Secretaries will designate one or more Records Officers (ROs) to serve as staff office ROs. They will manage and coordinate the records management program for their organizations. The responsibilities of these ROs are:

- a. Identifying recordkeeping requirements for major programmatic and administrative record series in all media.

b. Evaluating the value of records within their span of responsibility to serve as a basis for assigning records retention and disposition instructions and implementing the most responsive and cost-effective means for managing them.

c. Developing standardized file plans and indexing approaches where appropriate to simplify the use of, access to, and integration of information within the organization.

d. Inventorying and scheduling records created and maintained for their respective organization.

e. Implementing approved records dispositions, while ensuring that no records are destroyed without proper authorization as specified in the Federal Records Act.

f. Systematically reviewing records control schedules, file plans and procedures to ensure that they are current and updating them as necessary.

g. Conducting a program of regular internal records management reviews to assist offices within the organization in implementing appropriate records management procedures.

h. Assisting in the planning and implementing of automated or manual information systems to assure that records or information created and generated will be properly scheduled and placed in the organization's records control schedule.

i. Implementing a vital records program in accordance with the VA-wide program (see VA Handbook 6300.2).

j. Apprising organizational managers on matters related to records management activities.

k. Developing records management oversight roles and communication networks with all program offices and field facilities to ensure that the records management program is carried out in accordance with VA policy and the procedures contained in this handbook.

l. Developing and disseminating procedures, as needed, to supplement VA-wide procedures to meet the records management needs of their program offices and to support a records management program within their respective organizations.

CHAPTER 4 - MAINTAINING AND USING RECORDS AND INFORMATION

1. RECORDS LIFE CYCLE. VA will manage records throughout their information life cycle, which includes the following components:

a. **Records Creation/Collection.** This is the first stage of the life cycle of records. An official record will be created to appropriately document all VA functions, policies, decisions, procedures and essential transactions. Administration and staff office Records Officers will develop recordkeeping requirements for all official VA records for which they are responsible. Records usually may be created in the recording medium and format that meets VA's administrative needs. Consideration must be given, however, to the length of time the records will be maintained to ensure that the information, and the technological methods and devices necessary to decipher it, will be available for its expected life.

b. **Records Maintenance and Use.** This is the second stage of the life cycle of records. Phases of this stage of the life cycle include filing, retrieving, use, duplication, printing, dissemination, release, and exchange of the records.

c. **Records Disposition.** This is the final stage of the life cycle of records. This means that records are no longer needed in office space for current VA business. Phases of this stage of the life cycle include storage, transfer, preservation and destruction of the records.

2. USE OF INFORMATION AND RECORDS

a. The records and information collected and created by VA personnel in the conduct of official business belong to the Federal Government and not to the employee(s) who initiated their collection or creation. The legal authorization to destroy, sell, reassign, erase or otherwise remove records and information from VA control must be obtained from the Archivist of the United States, NARA.

b. If records or information are collected or created by VA in any form, manual or automated, they may not be disposed of (destroyed, erased, loaned, or otherwise removed from VA's custody) without authorization from NARA. The disposal of accountable officers' accounts records, records needed for GAO audit purposes, and records relating to claims or demands by or against the government may not be disposed of without GAO approval.

c. If records or information proposed for collection or creation pertain to individuals, the requirements of VA Directive 6300, VA Handbook 6300.3, and VA Regulations 38 CFR 1.500 (series) apply.

d. If records or information being collected or created involve a computer matching program, the OMB Guidelines for Computer Matching Programs and VA Handbook 6300.7 apply.

e. If records or information being collected or created will be received from or provided to other agencies, it may be necessary to establish formal agreements with the agencies involved. Refer to 36 CFR 1228.70 for guidance.

f. If information may eventually be transferred to an archival agency for permanent custody because it has been determined to have permanent and enduring value, the record medium must meet the standards of and be approved by the Archivist of the United States, NARA. Refer to 36 CFR, chapter XII, subchapter B.

g. If VA records or information are to be turned over to, or collected, created, maintained, used, processed, or handled in any way by a contractor, Title 41, United States Code, Public Contracts, and 36 CFR, chapter XII, subchapter B, apply.

h. The records and information of VA must be protected and used, or disseminated or released only in accordance with applicable Federal laws and regulations.

i. Duplication, copying, and printing of records, information, and informational products will be in accordance with applicable Federal and VA regulations and policies. Refer to MP-1, Part II, Chapter 9, Printing and Reproduction.

j. The emergency-preparedness needs of VA will be met through the identification of vital records and pre-positioning copies of them at strategic locations for ready accessibility in the event of a national or local natural or technological disaster. Refer to VA Handbook 6300.2, Procedures for the Vital Records Program and VA Handbook 0320.1, Emergency Preparedness Planning Procedures and Operational Requirements.

k. The dissemination or release of any records and information within and outside VA must be in accordance with Federal statutes and VA policy. In some instances it may be necessary to maintain sensitive records and information in locked or password-protected files or restricted-access areas for reasons of security. Refer to MP-I, Part I, Chapter 5, Security; and MP H-003-1 entitled, "Information Resources Security Handbook."

l. Electronic media information systems may require special design to maintain appropriate security and confidentiality, particularly when sensitive information is transmitted via standard telecommunications networks. VA officials must be aware of the sensitivity levels of the information for which they are responsible and must also be aware of the security capabilities of the technologies being used.

m. Information about an individual that is retrieved by means of that individual's name or personal identifier must be maintained in a system of records in accordance with a published Privacy Act System of Records Notice that describes the maintenance of that system. Notices of new proposed routine uses, including proposed computer matching activities, must be published in the *Federal Register* for public comment prior to implementation. The new use of the information cannot be implemented until at least 30 days after publication of the Notice. Refer to VA Handbooks 6300.4, Procedures for Processing Request for Records Subject to The Privacy Act, 6300.5, Procedures for Establishing and Managing Privacy Act Systems of Records, and 6300.7, Procedures for Computer Matching Programs for guidance.

3. DOCUMENTING OFFICIAL ACTIONS AND ACTIVITIES

a. VA officials are responsible for incorporating into the records of the Department all essential information on their major actions. Significant decisions and commitments reached orally or by informal electronic mail should be documented and included in the record. Minutes should be taken at important meetings, and these, together with a copy of the agenda and all documents considered at or resulting from such meetings, should be made part of the record.

b. The programs, policies and procedures of VA should be adequately documented in appropriate directives. A record copy of each such directive and supporting documentation, including those superseded, should be maintained as a part of the official files. Refer to VA Directive 6330, Directives Management and VA Handbook 6330, Directives Management Procedures, for guidance.

c. Papers of a private or nonofficial character that pertain only to an individual's personal affairs that are kept in the office of a VA official shall be clearly designated by him or her as nonofficial and shall at all times be filed separately from the official records of the office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business shall be extracted and made a part of the official files.

d. In planning automated or manual information systems, the life cycle of the records and information must be considered. The administration and staff office Records Officers must be included in the initial planning to ensure the records and information created or generated are properly scheduled.

CHAPTER 5 - FILES MANAGEMENT

1. GENERAL

a. The records and information collected and created by VA must be maintained in a manner that allows their ready retrieval whenever necessary throughout the approved life cycle of the information. The records maintenance process must include the application of authorized disposal requirements, including the identification and retention of records of permanent value. This is accomplished through the establishment and implementation of files management standards and procedures. VA will make reasonable efforts to maintain records in formats or media that are reproducible for purposes of Freedom of Information Act (FOIA) actions. Files management includes the following:

(1) Standards and procedures for classifying, indexing, labeling, and filing the records and information to ensure their ready access and retrievability for the conduct of VA business;

(2) Establishing and documenting official file locations to the extent that the maintenance of official files in unofficial locations is not permitted; and

(3) Standardized procedures for retrieval, charge-out, and refiling records and information.

b. To the extent possible, standard equipment and supplies stocked by the General Services Administration (GSA), Office of Federal Supply Service, will be used.

c. File personal papers and nonrecord materials separately from official VA records.

d. Record filing, indexing and storage systems will be designed and documented to the extent appropriate and necessary to maximize the usefulness of the records and allow retrieval throughout their life cycle.

e. For specific guidance on files management, refer to NARA Records Management Handbooks, "Files Operations," "File Stations," and "Subject Filing."

2. REVIEW OF OFFICIAL FILES. Official files are to be reviewed periodically by the administration and staff office Records Officers to ensure that:

a. There is no duplication of material, misclassification, and misfiles.

b. Non record material is not interfiled with record material, and permanent records are not interfiled with temporary records.

c. The adequacy of the filing system and its effectiveness in providing the records and information needed in a timely manner is sufficient for conducting VA business.

CHAPTER 6 - RECORDS DISPOSITION PROGRAM

1. GOALS AND FUNCTIONS OF THE PROGRAM

a. An effective records disposition program is essential to successful records management and is an integral part of VA's information resources management program. The goals of the records disposition program are to:

(1) Maintain adequate and proper documentation and evidence of VA activities for the time required to meet programmatic needs.

(2) Retire records requiring longer retention to economical storage facilities, providing savings in space and equipment.

(3) Provide timely disposal of records no longer needed for current VA business.

(4) Preserve records of continuing or enduring value through transfer to the National Archives.

b. VA's records disposition program consists of the following functions:

(1) Inventory by record series all records and information held in VA offices and in facilities of contractors.

(2) Appraise each series of records and formulate specific disposition instructions, including retention periods for temporary records, disposal of non record material, instructions for the retirement of inactive records to offsite storage facilities, and time periods for transfer of permanent records to the National Archives, when applicable.

(3) Obtain approval of the disposition instructions from NARA.

(4) Publish disposition instructions in a series of comprehensive records control schedules.

(5) Apply the approved records disposition instructions to the records of VA.

2. RECORDS DISPOSITION SCHEDULES

a. A records disposition schedule, also called a records control schedule or records schedule, is a document providing mandatory instructions for what to do with records no longer needed for current VA use. Records disposition schedules are required by

statute. All VA records and information must be identified by records series and be listed in a records control schedule.

b. Each series of records, regardless of medium, maintained by VA must have a current records disposition schedule. In addition to paper, records may be in other media, including electronic, microform, audio or video recordings, photographs, motion pictures, charts, maps or other non paper formats. Proper and timely records disposition is the key to management of records and other documentary materials. The following are the two basic types of records disposition schedules:

(1) NARA General Records Schedule (GRS). Disposition requirements for records and information that are common to two or more Federal agencies are listed in the GRS published by NARA. The disposition requirements of the GRS, including records retention periods, are mandatory VA-wide unless an exception is obtained from NARA. The GRS does not cover all VA records.

(2) VA Records Control Schedules. The GRS must be supplemented by VA-specific schedules covering records that are unique to program administrations and staff offices. Disposition requirements authorized for records and information maintained by VA are listed in comprehensive records control schedules that are developed and published by administration and staff office Records Officers. The records series contained in these records schedules are unique to their organization. Refer to Appendix B for a listing of the approved records control schedules and the offices that are responsible for them. Disposition instructions and retention periods cited in these schedules are mandatory. Citations from the GRS will be used in VA records control schedules as the authority for disposition of VA records whenever applicable.

c. Administration and staff office Records Officers may direct their questions regarding development of records control schedules to the Enterprise Records Service (005R1B). Field facilities should direct their questions to their respective administration or program office Records Officer.

3. INVENTORY AND REVIEW OF RECORDS

a. All records maintained by VA will be reviewed annually by the office holding them, and action will be taken to:

- (1) Remove less-active records to local storage;
- (2) Transfer inactive records to an approved records offsite storage facility;
- (3) Transfer permanent records to the National Archives; and;

(4) Destroy and document the destruction of records which have reached the term of their authorized retention period.

b. Administrations and staff office Records Officers will review their records control schedules annually to ensure that they are kept current, accurately reflect program office needs, and meet all statutory requirements. As a result of each review, administration and staff office Records Officers will submit changes through the records appraisal process procedures contained in Chapter 8, or new records schedules to the VA Records Officer (005R1B) for submission to NARA for approval.

4. PROCEDURES FOR RETIREMENT/TRANSFER OF RECORDS TO OFFSITE STORAGE FACILITIES

a. Records that can be retired may be relocated to the following offsite record storage facilities. The disposition authority for retirement must be cited in appropriate records control schedules:

(1) The VA Records Center and Vault (RC&V), is located at 11693 Lime Kiln Drive, Neosho, Missouri 64850-1959. The records center is managed and operated by the Austin Information Technology Center.

(2) NARA Records Storage Facilities are located throughout the United States. These facilities are managed and operated by NARA. (See Appendix C for a listing of these facilities and the geographical area that they serve.)

b. The storage facilities referenced above are specifically designed and equipped to store records in an efficient and economical manner saving both space and money. VA retains custody and controls access to and destruction of records stored at Federal Records Centers.

c. Field facilities, administrations and staff offices interested in retiring/transferring records to the RC&V should refer to VA Handbook 6300.8, Procedures for Shipment of Records to the VA Records Center and Vault in Neosho, Missouri.

d. The following procedures will be used to retire/transfer records to NARA records storage facilities:

(1) Preparing Records for Transfer. Records transferred to NARA records storage facilities must have their final disposition established by a NARA-approved records disposition authority. Before preparing the records for transfer, remove all non record material and extra copies. Separate records into series. A series is defined as a “block of records having the same disposition authority and same disposition date.” Each item or subordinate item in the records control schedule represents a series. Identify and sort the records into blocks (series) by item number and cut-off date. Records whose disposal date has passed must not be sent to a NARA records storage

facility. Such records must be disposed of locally. Each series of records must be transferred as a separate accession. Mixed series cannot be accepted.

(2) Required Supplies for Packing Records. The following standard supply items must be used for packing and shipping of records to NARA records storage facilities. They are available from the General Services Administration (GSA) Federal Supply Service:

<u>Item</u>	<u>GSA Stock Item No.</u>
Standard-size Record Boxes 14-3/4" x 12" x 9-1/2" White exterior, lock bottom	NSN 8115-00-117-8249
Special-purpose boxes: Half-size Size: 14-3/4" x 9-1/2" x 4-7/8"	NSN 8115-00-117-8338
Magnetic Tape Box Size: 14-3/4" x 11-3/4" x 11-3/4"	NSN 8115-00-117-8347
Microfiche Box Size: 14-3/4" x 6-1/2" x 4-1/2"	NSN 8115-01-025-3254
Microfiche Box Size: 14-3/4" x 6-1/2" x 5"	NSN 8115-01-132-1923
X-ray Box Size: 18" x 15" x 5-1/2"	NSN 8115-00-290-3386
Filament Tape, 1" Wide	NSN 7510-00-582-4772
Clear Packaging Tape, 4" Wide	NSN 7510-00-073-6094
Felt Tip Marker (Black)	NSN 7520-00-973-1059

(3) Packing the Records

(a) Facilities retiring records must use the standard-size box identified above when packing letter- and legal-size records for shipment to a NARA records storage facility. The facility will reject records shipped in boxes other than the standard size.

(b) Letter-size records will be placed in the box with tabs facing the numbered end. The numbered end will be opposite the stapled end. Legal-size records will be placed in the box so that the tabs face to the left of the box facing the numbered end. Leave approximately one inch of space in each box for working the files--more if interfiles will

be added later. This prevents separation of file papers and reduces the amount of vacant space in boxes. Leave all guides and tabs in records if they will help staff at the NARA records storage facility service the records.

(c) Do not over pack the boxes. Never add additional files on the bottom, side or top of the records in the box. If the last box of the accession is not completely full, add packing material to strengthen the box during shipping.

(4) Preparing Standard Form 135, Records Transmittal and Receipt and SF-135-A, Continuation

(a) An SF-135, Records Transmittal and Receipt, must be completed and forwarded to the appropriate NARA records storage facility for approval before shipping the records. Use SF-135-A, Continuation, if more space is required. The SF-135 documents the physical transfer of the records to a NARA records storage facility and provides information such as the accession number and location of where the records are stored at the facility. (See Illustrations 6-1 and 6-2 for a sample of the SF-135 and the instructions for completion. See Illustration 6-3 for a sample of the SF-135-A.) The Records Officer who has jurisdiction over the records will prepare the SF-135.

(b) Complete all blocks on the SF-135 and 135-A except Item 4; Items 6(a)-(c), the accession number; and Item 6 (j)-(m). These items will be completed by NARA records storage facility. The Records Officer must sign and date the form in Item 2. In Item 3, show the name and commercial telephone number, including area code, of the person to contact concerning the records. Show the complete mailing address in Item 5.

(c) For Item 6(d), a standard-size box equals one cubic foot. Show agency box numbers in Item 6(e).

(d) In Item 6(f) Series Description, describe the records in sufficient detail to allow Federal Record Center (FRC) personnel to verify compliance with the appropriate records control schedule. Show closing or inclusive dates. Non-textual records; e.g., photographs, file, sound recordings, microform, magnetic tapes, computer disks, etc., should be identified and listed as a separate series on the SF-135.

(e) Detailed box listings are required for records scheduled for permanent retention, and/or records which are scheduled for sampling by either VA or NARA prior to their disposition for the purpose of selecting files for permanent retention. In these cases, a detailed box listing must be submitted for review with the SF-135. In all cases, including transfers of temporary records, the originating VA facility must retain a detailed box list with the file copy of the SF-135, so that box numbers can be provided to the NARA records storage facility when requesting reference service. In addition, in all cases, place a copy of the detailed box listing in the first box of each accession. This action will serve as a back-up file in the event the files are lost or damaged and as a finding aid for NARA records storage facility staff in cases of difficult reference searches.

(f) Complete Item 6(g), Restrictions, using one of the codes listed on the back of the SF-135. Explain any special restrictions at the bottom of the page if necessary.

(g) Complete Item 6(h) by citing the records control schedule and the item number for each record series.

(h) Compute the disposition date in Item 6(i) by using instructions in the records control schedule. Since disposition at the NARA records storage facility is accomplished in quarterly cycles, the date may be advanced to the beginning of the next calendar quarter; e.g., (1/12010, 4/2010, 7/2010, 10/2010).

(i) Forward an original and one copy of the completed SF-135 to the NARA records storage facility. The originating VA facility will hold one copy in suspense. The NARA records storage facility will review the SF-135 for completeness and accuracy. If acceptable, the NARA records storage facility will assign the accession number and return one copy of the form to the originating facility authorizing shipment of the boxes. Place one copy of the SF-135 in the first box of each accession before shipment.

(j) Upon receipt of the record shipments at the NARA records storage facility, the boxes will be matched against the copy of the SF-135 submitted with the shipment. That copy will be signed by a NARA records storage facility official and returned to the originating VA facility for filing. This is the only receipt the NARA records storage facility will provide for the transferred material. Therefore, this copy must be retained should future reference service be required from the NARA records storage facility.

(5) Labeling the Boxes for Shipment

(a) After receipt of the approved SF-135 from the servicing NARA records storage facility, follow the instructions printed on the standard size boxes for labeling boxes for shipment.

(b) Do not use glued-on labels to supply additional identifying information. No standard method of affixing labels is effective in long-term center storage. Accession number and box number must be written directly onto the box with a felt-tip marker. Numbering will be approximately 1-1/2" high. Provide any additional identifying information in the same manner.

(c) See Illustration 6-4 for a sample of labeling and arrangement of boxes when pallets are used to ship records.

(6) Shipment of Records

(a) If the records are being transported a short distance by government vehicle, 50 miles or less, the top flaps of the box may be tucked. In all other instances, especially including commercial transportation or shipment via the U.S. Postal Service, the boxes

must be sealed with filament or other strong sealing tape. Masking tape is not acceptable. Do not tape over the accession number or the agency box numbers.

(b) Shipping arrangements and costs are the responsibility of the originating facility.

(c) For shipments of 20 cartons or more, make all arrangements necessary to ensure that the boxes arrive at the NARA records storage facility in numerical order on pallets. Shipments that are out of order, improperly taped, or improperly marked upon arrival at the storage facility may not be accepted. Any return freight charges will be the responsibility of the originating VA facility.

(d) It is not economical to mail large shipments. If shipments of 20 cartons or more must be mailed, they may be sent in a postal container or bulk mail container available from the Postal Service.

(e) For shipments of 200 cartons or more, call the NARA records storage facility to schedule a shipping date. Instruct commercial carriers to contact the FRC 24 hours before delivery. This instruction should be noted on the bill of lading.

(f) The boxes should be received by the NARA records storage facility within 90 days after receipt of the authorization to ship. If boxes are not received within 90 days, the FRC will return the SF-135 and the accession number assigned will be canceled.

(g) Relocation of Records within a NARA Records Storage Facility. Occasionally, it may be necessary for a NARA records storage facility to move records within the facility. When this occurs, the originating VA facility will be notified of the relocation through NARA Form 13016, Notice of FRC Transfer Location Change. This form will be mailed the month following the relocation. The originating VA facility Records Officer must annotate copies of the SF-135 to show the new location numbers and must update any other location indexes for use in securing future reference service from the NARA records storage facility. The Veterans Benefits Administration field facilities Records Officers must also provide notification to their administration's Records Officer.

5. PROCEDURES FOR RECALL OF RECORDS FROM FEDERAL RECORDS CENTERS

a. Boxes or files may be retrieved from a NARA records storage facility by using the Centers Information Processing System (CIPS), the Beneficiary Identification and Records Locator System (BIRLS) (for recall of XC-folders only), or VA Form 7575, Request for Retired Records or Information. (See Illustration 6 for a sample of this form.)

b. Access to CIPS can be arranged by contacting the NARA records storage facility that services the VA facility. CIPS is an on-line, interactive, electronic link between

Federal agencies and NARA records storage facilities. Use of CIPS eliminates the initial mail or courier time, reduces administrative and paperwork costs and provides tracking capability for individual requests.

c. Access to BIRLS to recall XC-folders from NARA records storage facilities can be arranged through the Adjudication Officer of the requesting VA field facility.

d. If necessary to prevent unauthorized access to records, arrangements can be made with the servicing NARA records storage facility to maintain a list of VA staff authorized to request retrievals. The originating VA facility will need to contact the servicing NARA records storage facility to establish this list. If such a list is established, the originating VA facility will be responsible for keeping the list updated, and all VA Forms 7575 prepared must be signed by the authorized person before the NARA records storage facility will honor the request.

e. Records must be clearly identified when they are returned to a NARA records storage facility to be refiled. When an entire box has been withdrawn, do not obscure the original box markings upon its return. Contents of entire box refiles are assumed to be the same as when withdrawn; contents are not checked before refiling the box. Do not add or delete records in a box unless properly documented. An individual folder should normally be returned for refile accompanied by the original request form containing the necessary identifying information. To further ensure availability of this information essential to refiling, the NARA records storage facility will transcribe the location information on the folder when it is pulled. If it is necessary to replace damaged folders or boxes before return to a NARA records storage facility for refiling, all original markings and writing from the original folder or box must be copied onto the new container.

6. TRANSFER OF RECORDS TO THE NATIONAL PERSONNEL RECORDS CENTER (NPRC) IN ST. LOUIS, MISSOURI

a. NARA General Records Schedules 1 and 2 specify that the following Federal civilian personnel, medical, and pay records must be centrally stored at the National Personnel Records Center (NPRC) (Civilian Personnel Records) at 111 Winnebago Street in St. Louis, Missouri:

- (1) Official personnel folders of separated Federal civilian employees.
- (2) Service record cards of employees who separated or transferred on or before December 31, 1947.
- (3) Audited individual earnings and pay cards and comprehensive payrolls.
- (4) Medical folders of separated Federal civilian employees.

b. An SF-135, Records Transmittal and Receipt, will be prepared to transfer any of the above types of records to the NPRC. (See paragraph 4d (4) for guidance on preparation of the SF-135.) The NPRC requires no advance notification and no receipt will be furnished to the originating facility.

c. An SF-127, Request for Official Personnel Folder (Separated Employee), will be completed and forwarded to the NPRC to request recalls of official personnel folders from the NPRC. (**Note:** *Use of the SF 127 is restricted to authorized representatives of Federal personnel offices.*)

d. An SF-184, Request for Employee Medical Folder (Separated Employee), will be completed and forwarded to the NPRC to request recalls of medical folders. (**Note:** *Use of the SF 184 is restricted to authorized agency medical offices and requires a signature of an agency medical officer.*)

e. The above referenced forms will be completed by the Records Officer of the office that has jurisdiction over the records.

7. DESTRUCTION OF RECORDS

a. Most temporary records are authorized for destruction when their retention periods expire. Most paper records may be recycled and sold as wastepaper. Nonpaper records, such as audiovisual or electronic, should be salvaged for reuse whenever possible.

b. Records with restrictions, such as national security classified, exempted from disclosure by statute, including Privacy Act (PA) or VA regulations, require special procedures. They must be segregated from non restricted records and shredded or otherwise definitively destroyed, with witnessed disposal for records destroyed by contractors.

c. The authorized destruction of records that are classified or otherwise restricted from disclosure by statute, such as PA or Title 38 U.S.C., must be witnessed by a Federal employee or a contractor employee. If a contract is used to dispose of restricted VA records, the facility Records Officer must authorize the use of a contractor or subcontractor employee to witness the destruction. The contract of sale should state that a contractor employee is authorized to witness destruction of the records. The destruction of restricted records must be by pulping, macerating, shredding, or otherwise definitively destroying the information contained in the records. In VA the destruction of national security information, including the method of destruction, must be approved by the VA Security Officer, Office of the Assistant Secretary for Security and Law Enforcement. Any contract for sale of VA records must prohibit their resale for use as records or documents.

d. When the retention period expires on temporary records that are stored at an FRC, the appropriate center will forward a NA Form 13001, Notice of Eligibility for

Disposal, to the VA facility that retired the records 90 days prior to the scheduled destruction. The VA facility must respond to the notice if the records are to be maintained beyond the scheduled destruction date. If a NARA records storage facility does not hear from the VA facility, the records will be destroyed as scheduled.

e. Temporary records whose retention standard has been approved by NARA may be stored on any medium, including optical disks, that ensures maintenance of the information until expiration of the authorized retention period. This means that conversion of such temporary records to optical disks and disposal of the original paper records or other media, do not require NARA's approval.

f. Records that are not restricted for classified reasons or exempted from disclosure by statute and which are authorized for destruction will be sold or salvaged. Paper records will be sold as wastepaper. Silver film records, including photographic film, microfilm, and x-rays, will be sold or salvaged through VA's precious metals recovery program. Records in other media, such as audio, visual, and data tapes, disks, and diskettes, may be sold or may be salvaged by erasing, degaussing, or over-writing, as appropriate, so that the medium may be reused. If the records cannot be sold advantageously or otherwise salvaged, they may be destroyed by VA personnel by burning, pulping, shredding, macerating, or other suitable means.

g. Any unlawful or accidental destruction, defacing, alteration or removal of VA records must be reported to the Director, Enterprise Records Service (005R1B) who must notify NARA in accordance with (36 CFR 1228.104). Field facilities will submit reports to their respective administration and staff office Records Officers. The following information must be provided under Interagency Report Control Number 0285-NAR-AR:

- (1) A complete description of the records with volume and dates if known.
- (2) The office of origin.
- (3) A statement of the exact circumstances surrounding the alienation, defacing, or destruction of the records.
- (4) A statement of the safeguards established to prevent further loss of documentation.
- (5) When appropriate, details of the action taken to salvage, retrieve, or reconstruct the records.

h. The penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a fine under the provisions of Title 18, U.S.C., or 3 years in prison, or both (18 U.S.C. 2071).

8. TRANSFER OF PERMANENT RECORDS

a. Permanent records are those determined by VA and approved by NARA to have sufficient historical or other value to warrant continued preservation by the Federal government. Permanent records require special attention. Permanent records must be created on archival-quality media, kept properly and in good order. Microform, audiovisual, and electronic records must be stored in conditions that meet Federal requirements contained in 36 CFR 1230, 1232, and 1234.

b. The records control schedules will contain information for transferring permanent records to the National Archives. Inactive permanent records may reside in a NARA records storage facility for a period of time before transfer to the National Archives or they may be transferred to National Archives as soon as they become inactive.

c. Records approved as permanent by the National Archives are transferred as directed by the approved records control schedule when:

(1) VA no longer needs them for current business.

(2) VA needs are satisfied by use of the records in NARA research rooms or by copies of the records.

(3) They are 30 years old.

d. Once records are transferred to the National Archives, both legal and physical custody passes from VA to the National Archives. The form documenting the legal transfer of permanent records to the National Archives is Standard Form 258, Agreement to Transfer Records to the National Archives of the United States. If the records are at a NARA records storage facility awaiting transfer, NARA will prepare the SF-258 and forward it to the VA Records Officer for approval. The VA Records Officer will forward the SF-258 to the responsible administration and staff office Records Officer. VA will have 30 days to respond. If the administration or staff office does not concur with the transfer, that office must return the form to the VA Records Officer with a written justification as to why the records need to be kept for current VA business. Justifications for retention of records more than 30 years old must be signed by the VA Records Officer. The administration and staff office Records Officers will prepare the SF-258 for records under their area of responsibility if the records are in VA custody. (See Illustration 6-8 for a sample of this form.)

9. TRANSFERRED RECORDS SUBJECT TO RESTRICTIONS

a. If records transferred to a NARA records storage facility are subject to special restrictions, administration and staff office Records Officers will forward a justification and cite the statute or FOIA exemption that authorizes restrictions on the use or examination of the records to the VA Records Officer (005R1B). That official will send the request to NARA and if NARA agrees, restrictions will be placed on the records.

b. Records transferred to a NARA records storage facility that are subject to PA must be accompanied by the most recent privacy act notice covering the records.

10. TEMPORARY EXTENSION OF AN APPROVED DISPOSITION AUTHORITY.

Program audits, litigations, investigations, or other special circumstances may require the retention of certain records beyond their scheduled destruction date. If an extension of an approved disposition authority is necessary, administration and staff office Records Officers will forward to the VA Records Officer (005R1B) a description of the records, the records control schedule governing the disposition, the estimated length of the extension, and the location of the records. The VA Records Officer must request approval from NARA.

11. RECORDS DISPOSITION PROCEDURES WHEN TERMINATING A VA COMPONENT

a. In the event of termination of a VA administration or major staff office, it is important to follow certain essential steps to prevent the loss or unauthorized destruction of VA records. The following procedures will be followed when a VA component is terminated:

(1) The Under Secretary, Assistant Secretary, or Other Key Official will notify, in writing, the VA Records Officer (005R1B) of the impending termination. The notification must include the anticipated impact of the downsizing on VA's records program and NARA. Include an estimate of the volume of records that may be transferred to an offsite storage facility or to the National Archives, the volume of classified records, and the volume of records in each format that requires special environmental conditions (microform, audiovisual, and electronic records). The VA Records Officer must notify NARA in accordance with Federal regulations.

(2) In preparing for the termination of an office, the administration or staff office Records Officer will:

(a) Review the GRS and the organization's records control schedule to determine which records series have disposition instructions. Under applicable disposition authorities, some records series will be eligible for immediate destruction. Others will need to be kept until eligible for final disposition (destruction or transfer to an offsite

storage facility) as specified in the schedule. If there is no successor office, all records designated as permanent in the schedule should be transferred to the National Archives.

(b) For records that are identified in subparagraph (11.2), perform the appropriate disposition action. That is, dispose of records for which the retention period has expired, transfer current or semi-current records to the successor office or offsite storage facility, and prepare to transfer permanent records to the National Archives.

(c) Destroy non record materials, such as reference materials and extra copies of publications and reports, except materials that may be of use to the successor office. Non record materials contained in an official library should not be destroyed. Instead, contact the Library of Congress to determine if it is interested in all or part of the collection. Also, ensure that a record set of office publications is either transferred to the successor office or NARA.

(d) Identify personal papers and segregate them from VA official records. Ensure that only personal papers are removed from VA custody.

(e) Prepare an SF-115 describing: 1. all unscheduled records series for which immediate destruction is requested; 2. all unscheduled records series with unexpired administrative, legal or fiscal value that must be retained temporarily by the successor office or at the offsite storage facility before final disposition action, and 3. all unscheduled records series recommended for permanent retention. Be certain to include all unscheduled electronic records. Submit the completed SF-115 to the VA Records Officer (005R1B) for forwarding to NARA. See Chapter 8 for specific procedures for preparation of a SF-115.

(f) Arrange for the orderly transfer of active, operating records to the appropriate successor office. Be sure to provide copies of all file plans.

(g) For inactive records scheduled for destruction after the office's termination, prepare an SF-135 to transfer the records to a NARA records storage facility. To the extent possible, an SF-135 should be submitted at least 20 days before an intended shipment. NARA records storage facilities will not accept from a terminating office unscheduled records or records eligible for disposal within one year without written authorization from NARA. Refer to Chapter 6, paragraph 4d (4) for procedures for preparing the SF-135. The following specific information will be included on the SF-135:

1. If a successor office has been given responsibility for the records, indicate the name of that office.

2. If no successor office is designated, include any restrictions on access, such as national security, Privacy Act, and any other restrictions on release.

3. Contact should be made with the NARA records storage facility where the records will be stored for other instructions for completing the SF-135.

b. An SF-258 will be prepared for all records scheduled as permanent, unless the records are needed for the regular current business of a designated successor office. Refer to paragraph 8d for instructions for preparing the SF-258.

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 reverse.		PAGE 1	OF 2 PAGES
1. TO (Complete the address for the records center serving your area as shown in 38 CFR 1228.150.)				6. FROM (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address.)			
Federal Records Center 380 Trapelo Road Waltham, MA 02154-6399				Department of Veterans Affairs (308/211) Regional Office 450 Main Street Hartford, CT 06103			
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title)		DATE			
		C. HUNT Adjudication Officer					
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)		DATE			
		Linda C. Abrams Section Chief (203) 240-3451					
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)		DATE			
6. RECORDS DATA							
ACCESSION NUMBER		VOLUME (cu. ft.)		AGENCY BOX NUMBERS		SERIES DESCRIPTION (With inclusive dates of records)	
RG	FY	NUMBER (a)	(b)	(c)	(d)	(e)	(f)
015	95			20		1-20	Inactive XC-Folders - 1995
						NOTE: Records restricted to VA Officials authorized use only Includes Separated XC-Folders - 1995	
						3-367-900 - 552-06-4900 360-501 - 7-463-201 7-777-201 - 20-644-701 27-244-701 - 8-933-602 8-934-502 - 4-970-203 5-411-803 - 4-538-904 5-000-804 - 042-6904	
						W RCS VB-1, Pt. I Items 03-140-100 & 03-140-200	
						DISPOSITION (a) DISPOSAL AUTHORITY (Schedule and item number) (b) DISPOSAL DATE (c) LOCATION (d) SHELF PLAN (e) CONTAINER TYPE (f) AUTO DISP. (g)	
						COMPLETED BY RECORDS CENTER LOCATION (d)	
						STANDARD FORM 135 (Rev. 7-85) Prescribed by NARA 38 CFR 1228.152	

Illustration 1, SF-135, Records Transmittal and Receipt

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135	
FOR COMPLETION BY THE TRANSFERRING AGENCY	FOR COMPLETION BY THE RECORDS CENTER
<p>Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:</p> <p><i>Col.</i></p> <p><i>Accession Number.</i> A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:</p> <p>(a) The NARA record group number assigned to the records of the agency making the transfer;</p> <p>(b) The last two digits of the current fiscal year; and</p> <p>(c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)</p> <p>(d) <i>Volume.</i> Enter the volume in cubic feet of each series of records being transferred.</p> <p>(e) <i>Agency Box Numbers.</i> Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.</p> <p>(f) <i>Series Description.</i> Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.</p> <p>(g) <i>Restriction.</i> Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).</p> <p>* U.S. GPO: 1990-282-081/20177</p>	<p>Item 4 is self-explanatory. Specific instructions for item 6 are as follows:</p> <p><i>Col.</i></p> <p>(j) <i>Location.</i> The records center annotates the shelf location of the first carton for each series of records.</p> <p>(k) <i>Shelving Plan.</i> The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.</p> <p>(l) <i>Container Type.</i> The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.</p> <p>(m) <i>Automatic Disposal.</i> The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.</p> <p>Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.</p> <p>Standard Form 135 Back (Rev. 7-95)</p>

Illustration 2 Instructions for Completion of SF-135, Records Transmittal and Receipt

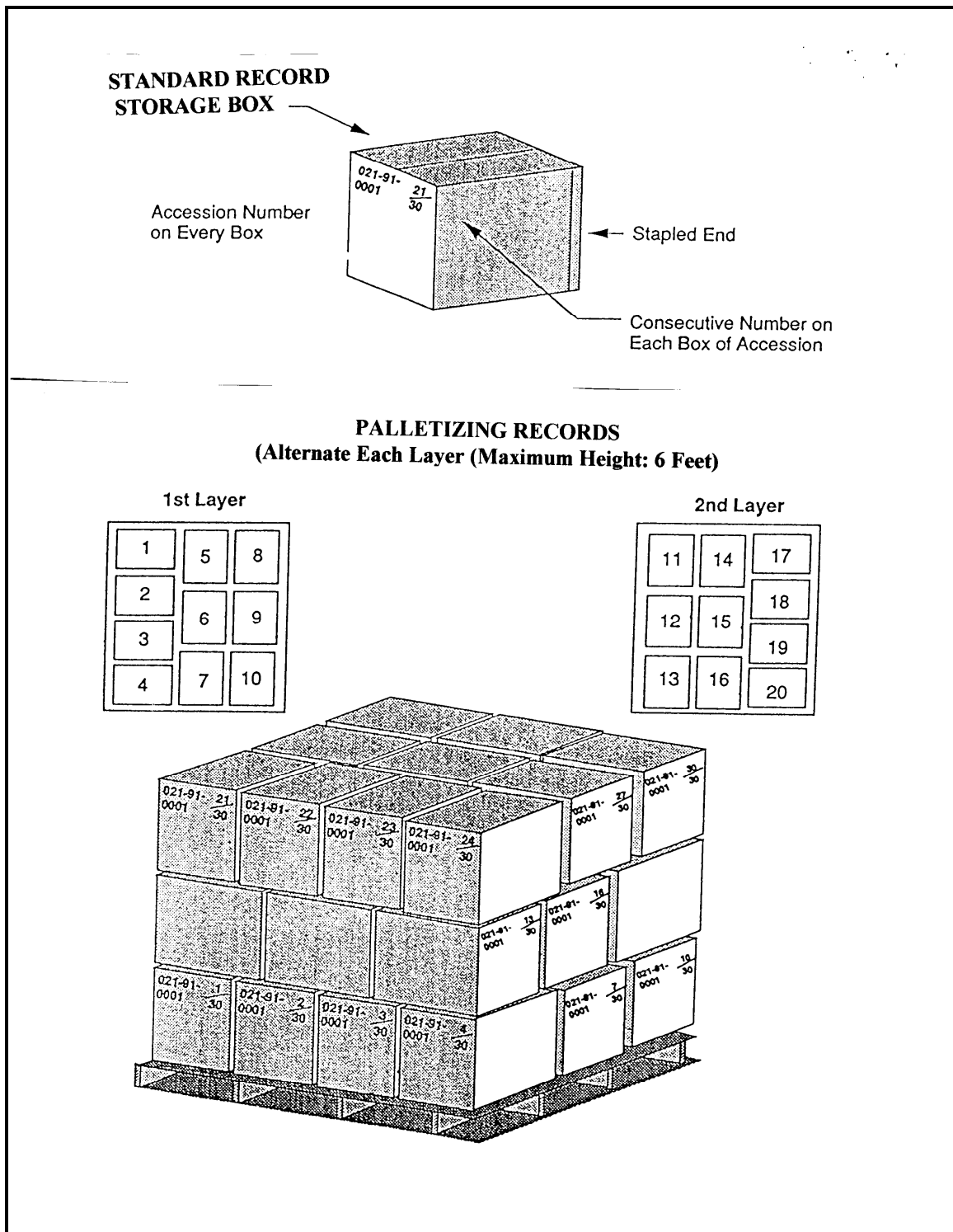


Illustration 3 – Sample – Labeling and Arrangement of Boxes When Pallets Are Used to Ship Records


Department of Veterans Affairs								
REQUEST FOR RETIRED RECORDS OR INFORMATION			1. TYPE OF REQUEST <input checked="" type="checkbox"/> PERMANENT RECALL <input type="checkbox"/> LOAN <input type="checkbox"/> REQUEST FOR INFORMATION					
INSTRUCTIONS - Submit copies 1 & 2 to the appropriate Federal Records Center. Use a separate form for each record requested. Complete all pertinent entries.								
TO National Archives and Records Administration Federal Records Center 100 Dan Fox Drive Pittsfield, MA 01201	FROM Department of Veterans Affairs (308/211) Regional Office 450 Main Street Hartford, CT 06103							
2. RECORD RETIRED FROM (Name of station) VA Regional Office Hartford, CT	3. YEAR RECORD RETIRED 1995	4. ACCESSION NO. 015-95-0110	5A. VA BOX NO. 2					
6. NAME OF VETERAN CHARLES, JOHN J.		7. SERVICE NO. 8. SEND REPLY TO (If different from Veterans Affairs) - DO NOT USE FOR RECALL OF VA EMPLOYEE MEDICAL RECORDS						
9. REASON FOR REQUEST Beneficiary claim for benefits								
ITEM (X) FOLDER RECORD REQUESTED ITEM (X) RECORD REQUESTED	X-RAY FILM							
10		R&E FOLDER	FILE NO.	18A		ENTRANCE	DATE	BRANCH OF SERVICE
11		DEA FOLDER	FILE NO.	18B		SEPARATION	DATE	BRANCH OF SERVICE
12		OAN GUARANTY FOLDER	LOAN NO.	18C		OTHER	X-RAY FILM DESIRED	
13		OUTPATIENT					NAME OF HOSPITAL OR CLINIC	
14		MEMBER TREATMENT FOLDER					PERIOD HOSPITALIZED OR DATE TREATED	
15		MEMBER CORRESPONDENCE FOLDER		19A		VA	RECORD IDENTIFICATION NO.	
16		USGLI-INSURANCE FOLDER	INSURANCE FILE NO.	19B		VA BENEFICIARY TREATED IN OTHER THAN VA HOSPITAL	NAME OF HOSPITAL	
17		NSLI-INSURANCE FOLDER	INSURANCE FILE NO.				PERIOD HOSPITALIZED	
20. REQUEST FOR OTHER RECORDS, EXTRACT, COPY, INFORMATION, OR ADDITIONAL DESCRIPTION OF RECORDS - USE THIS ITEM TO RECORD NAME & ADDRESS OF DESIGNATED MEDICAL MANAGER FOR RECALL OF VA EMPLOYEE MEDICAL RECORDS RETIRED PRIOR TO SEPTEMBER 1, 1984. XC Folder File Number: XC 20-000-020								
21. SIGNATURE AND TITLE OF AUTHORIZING OFFICIAL L. C. Abrams, Section Chief (860) 240-3451							22. DATE 10/2/96	
FOR USE BY FEDERAL RECORDS CENTER								
23. REPLY <input type="checkbox"/> RECORD ATTACHED <input type="checkbox"/> NO RECORD <input type="checkbox"/> SEE "REMARKS" FOR INFORMATION <input type="checkbox"/> CANNOT IDENTIFY (Furnish more data)								
24. REMARKS (Continue on reverse)								
25. SIGNATURE AND TITLE							26. DATE	

 VA FORM
 NOV 1989(R) **7575**

*U.S. Government Printing Office: 1992 — 313-106/52276

Illustration 4, VA Form 7575, Request for Retired Records or Information

NSN7540-00-634-4083

REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)		1. DATE OF REQUEST 10/9/96	
SECTION I--TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE			
2. CURRENT NAME (Last, first, middle) DOE, STEVE J.		2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than Item 2) Same	
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NATIONAL PERSONNEL RECORDS CENTER (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MO 63118		3. DATE OF BIRTH 7/8/45	
		4. SOCIAL SECURITY NUMBER 512-22-5312	
		SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED Original will be used to send folder or reply to your agency. Second copy retained by agency for its suspense files. Third copy is for records center use.	
5. PREVIOUS FEDERAL EMPLOYMENT			
AGENCY AND BUREAU	LOCATION	FROM	TO
Department of Veterans Affairs	Washington, DC	9/27/73	7/1/93
6. REASON FOR REQUEST (Check appropriate box) <input type="checkbox"/> a. Currently employed. <input type="checkbox"/> b. Temporary use. <input checked="" type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.			
REMARKS			
SECTION II--FOR USE BY RECORDS CENTER			
<input type="checkbox"/> a. Folder enclosed. <input type="checkbox"/> b. Our search did not reveal a record of claimed civilian Federal employment. Please submit any additional information or documentation that will help verify this employment. <input type="checkbox"/> c. Folder not received. Suggest you contact last employing office. <input type="checkbox"/> d. Folder not located. For a former employee of your agency, we suggest a further search of your agency. If still unlocated, verify name, date of birth, and social security number, and return request to NPRC together with the date folder was transferred to NPRC and several names, dates of birth, and social security numbers of other folders in same shipment.		<input type="checkbox"/> e. Folder was sent (Date) _____ To: _____ _____ _____ <input type="checkbox"/> Your agency <input type="checkbox"/> f. Other _____ _____ _____	
DATE		INITIALS	
SECTION III--TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE			
NAME OF REQUESTER Polly A. Montgomery		TELEPHONE NO. (202) 273-1000	
• Department of Veterans Affairs COHRMS (055B2) 810 Vermont Avenue, NW. Washington, DC 20420		Enter complete address to which folder or reply is to be mailed. Include ZIP Code: 	

127-109

STANDARD FORM 127 (Rev. 7-86)
Prescribed by NARA, 36 CFR 1228.154(e)

**Illustration 5, SF-127, Request for Official Personnel Folder
(Separated Employee)**

(Note: Use of the SF 127 is restricted to authorized representatives of Federal personnel offices.)

NSN 7540-01-271-8649 184-101

REQUEST FOR EMPLOYEE MEDICAL FOLDER (SEPARATED EMPLOYEE)		1. DATE OF REQUEST 10/9/96	
SECTION I—TO BE COMPLETED BY AGENCY'S DESIGNATED MEDICAL RECORDS MANAGER			
2. CURRENT NAME (Last, first, middle) DOE, STEVE J.		2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than item 2) Same	
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NATIONAL PERSONNEL RECORDS CENTER (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MO 63118		3. DATE OF BIRTH 7/8/45	
		4. SOCIAL SECURITY NUMBER 512-22-5312	
		SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED <i>Original will be used to send folder or reply to MEDICAL RECORDS MANAGER. Second copy retained by agency for its suspense files. Third copy is for records center use.</i>	
5. PREVIOUS FEDERAL EMPLOYMENT			
AGENCY AND BUREAU Department of Veterans Affairs	LOCATION Washington, DC	FROM 9/27/73	TO 7/1/93
6. AGENCY ACCESSION INFORMATION (Complete items a. through e. if the last separation date in item 5 is prior to September 1, 1984, and the medical records were retired to this Center as part of an agency accession. If the records were not retired by your agency, contact previous employers for assistance.)			
a. Record Group No. 015	b. Accession No. 83-0100	c. Agency Box No. 5 of 20	d. Records Center Location No.
e. Description of Folder (Include file number and title.)			
7. REASON FOR REQUEST (Check appropriate box.) <input checked="" type="checkbox"/> a. Currently employed. <input type="checkbox"/> b. Other (Explain):			
8. REMARKS			
SECTION II—FOR USE BY RECORDS CENTER			
<input type="checkbox"/> a. Folder enclosed. <input type="checkbox"/> b. Folder not located. Insufficient location information. Suggest you contact last Federal employer. <input type="checkbox"/> c. Folder was sent (Date) _____ To: _____		<input type="checkbox"/> d. Folder not received. Suggest you contact last Federal employer. <input type="checkbox"/> e. Other _____ _____ _____ DATE _____ INITIALS _____	
SECTION III—TO BE COMPLETED BY AGENCY'S DESIGNATED MEDICAL RECORDS MANAGER			
NAME (Type or Print) Polly A. Montgomery		SIGNATURE TELEPHONE NO. (Include area code) (202) 273-1000	
Department of Veterans Affairs COHRMS (055B2) 810 Vermont Avenue, NW. Washington, DC 20420		Enter complete address to which folder or reply is to be mailed. Include ZIP Code.	

STANDARD FORM 184 (1-88)
Prescribed by NARA 36 CFR 1228.154(a)

Illustration 6, SF-184, Request for Medical Folder (Separated Employee)

(Note: Use of the SF 127 is restricted to authorized representatives of Federal personnel offices.)

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES		1. INTERIM CONTROL NO. (NARA Use Only)																				
<p style="text-align: center; margin: 0;">TERMS OF AGREEMENT</p> <p style="font-size: x-small; margin: 0;">The records described below and on the attached <u>8</u> 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.</p> <p style="font-size: x-small; margin: 0;">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 <i>Guide to the National Archives of the United States</i>. 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.</p>																						
<p>2A. AGENCY APPROVAL</p> <p>Signature _____ Date _____</p>	<p>3A. NARA APPROVAL</p> <p>Signature _____ Date _____</p>																					
<p>2B. NAME, TITLE, MAILING ADDRESS Donald L. Neilson (045A4) VA Records Officer 810 Vermont Avenue, NW. Washington, DC 20420</p>	<p>3B. NAME, TITLE, MAILING ADDRESS</p>																					
RECORDS INFORMATION																						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px; vertical-align: top;"> <p>4A. RECORDS SERIES TITLE Administrative Issue History Files</p> <p>4B. DATE SPAN OF SERIES 1925-1959</p> <p>5A. AGENCY OR ESTABLISHMENT Department of Veterans Affairs</p> <p>5B. AGENCY MAJOR SUBDIVISION Office of Information Resources Management</p> <p>5C. AGENCY MINOR SUBDIVISION Policy and Program Assistance</p> <p>5D. UNIT THAT CREATED RECORDS Information Management Service</p> <p>5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: Sandra S. McIntyre Telephone Number: (202) 273-8014</p> <p>6. DISPOSITION AUTHORITY: National Archives Job No. NI 15-88-2</p> <p>7. 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<p>8B. FRC ACCESSION NUMBER _____ CONTAINER NUMBER(S) _____ FRC LOCATION _____</p> <p style="text-align: center;">N/A</p>																						
NARA PROVIDES																						
<p>15. SHIPPING INSTRUCTIONS TO AGENCIES / REMARKS REGARDING DISPOSITION</p>		RG																				
<p>16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES</p> <p>Signature _____ Date _____</p>		<p>17. NATIONAL ARCHIVES ACCESSION NO.</p>																				
<p style="font-size: x-small;">NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</p> <p style="text-align: right; font-size: x-small;">SF 258 (9/95) Prescribed by NARA 36 CFR 1228</p>																						

Illustration 7, SF-258, Agreement to Transfer Records to the National Archives of the United States

INSTRUCTIONS

GENERAL: This form may be initiated by the transferring agency or the National Archives and Records Administration (NARA). Prepare a separate SF 258 for each series or SF 115 item being transferred.

WHEN INITIATED BY AN AGENCY: The agency completes blocks 2 and 4 through 14 using the instructions below. Block 2 must be signed and dated. Send the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

WHEN INITIATED BY NARA: NARA completes blocks 1 and 4 through 14 and sends the original to the transferring agency's records officer. The agency completes block 2, completes or corrects blocks 4 through 14. Block 2 must be signed and dated. The agency sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

MAILING ADDRESS: Mail the completed form to either the address below or to the appropriate National Archives regional archives.

Accessions Control Staff (NN-E)
Office of the National Archives
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

If you do not know the address of the appropriate regional archives, telephone the Accessions Control Staff at 301-713-6655.

★ ★ ★

1. **INTERIM CONTROL NUMBER:** *Leave blank.* NARA will fill in.

2. **AGENCY APPROVAL:** The agency records officer having the delegated authority to transfer the records with NARA should sign and date the form here (2A) and provide his/her name, title and mailing address (2B).

3. **NARA APPROVAL:** When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3A and 3B.

4A/B. **RECORDS SERIES TITLE/DATE SPAN OF SERIES:** The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records are in a Federal records center (FRC) attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.

5. Fully identify the unit (5D) that created or organized the records. Usually this is not the agency's records management office. Place the creating unit within its organizational hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the *U.S. Government Manual*. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

6. **DISPOSITION AUTHORITY:** This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

7. **IS SECURITY CLASSIFIED INFORMATION PRESENT?** If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (e.g., Sensitive

Compartmented Information — SCI or North Atlantic Treaty Organization — NATO). Restricted Data and Formerly Restricted Data — RD/FRD — refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

8. **CURRENT LOCATION OF RECORDS:** Check the appropriate box for the current location of the records. If the records currently are in a Federal records center, complete 8B. If the records are located in the transferring agency or other location, complete 8A.

8A. For records located in the transferring agency or other location, provide a complete address.

8B. For records located in a Federal records center, name the center, provide the FRC accession number and container number(s), and the FRC location.

9. **PHYSICAL FORM(S):** Check all the boxes that apply to the records included in the transfer.

10. **VOLUME:** Include both the cubic feet of the records and the number and type of containers holding the records. For example: Cu. ft. 15; Number 15; Type ERC boxes. Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

11. **DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES:** Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115 or agency manual.

12. **ARE THE RECORDS FULLY AVAILABLE FOR PUBLIC USE?** If the records are exempt from release pursuant to the FOIA, 5 U.S.C. 552(b)(1)-(9) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

13. **ARE THESE RECORDS SUBJECT TO THE PRIVACY ACT?** The National Archives is required to notify the public, through the *Federal Register*, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. 552a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to and a copy of the Privacy Act notice published by the agency for the system. NARA will use the transferring agency's notice to inform the public, through the *Federal Register*, that the records have been transferred to the National Archives and that no further modification of them is possible.

14. **ATTACHMENTS:** Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

15. **SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION:** NARA uses this space to provide shipping instructions relating to transfers.

16. **RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES:** The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.

17. **NATIONAL ARCHIVES ACCESSION NO.:** NARA assigns this unique, permanent control number to each transfer of records.

Illustration 8, Instructions for Completion of SF-258, Agreement to Transfer Records to the National Archives of the United States

CHAPTER 7 - TYPES OF RECORDS

1. GENERAL. All records and information will be classified as non record or record material, through the appraisal process. (Refer to Chapter 8 for procedures for preparing records appraisals.)

2. NON RECORD MATERIAL. Non record materials are informational documents excluded from the definition of “records” or do not meet the requirements of that definition, including extra copies of documents kept only for convenience or reference.

a. Non record material may be disposed of at any time after its purpose has been served.

b. Non record material will not be interfiled with temporary or permanent record material.

c. In some cases non record material, such as transmittals or routing slips, acquire record status because they clarify a matter being documented. Similarly, carbons or reproduced copies that duplicate record material in other files may acquire record status if they constitute a collection of material on a single subject or for a particular function, and the original record material is dispersed throughout many files. Distinguishing non record material from record material requires care and discretion. In accordance with NARA guidance, it is the responsibility of the administration and staff office Records Officers to determine whether recorded material is a record or a non record.

3. RECORD MATERIAL. Record materials have a predetermined retention period and are further categorized as:

a. Permanent Records. Those records that have enduring historical or other value and will never be removed from Federal custody.

(1) VA records or records series determined by VA and approved by NARA to be permanent must be available in a medium and format that conforms with the standards for permanent records. (See NARA Handbook entitled, “Disposition of Federal Records.”)

(2) VA permanent records will be offered to the National Archives at the earliest possible time when they cease to be needed for the conduct of day-to-day business. If the offer is accepted, immediate action will be taken to effect the transfer.

(3) VA records that are more than 30 years old and have not been appraised or reappraised since 1990 will be offered to NARA as permanent records, or their continued retention by VA will be justified in appropriate records appraisal documentation.

(4) Within 6 months after an offer to transfer historic VA records to the National Archives is declined by NARA, the designated administration and/or staff office Records Officer will initiate a request to the VA Records Officer for authorization to dispose of the records.

b. Temporary Records. These types of records will be destroyed or otherwise removed from Federal Government control after a fixed period of time or after occurrence of a specified event.

(1) Temporary records will be maintained and disposed of only in accordance with an approved records control schedule. Records classified as temporary will not be retained beyond their authorized retention period; nor will they be destroyed or otherwise disposed of prior to the end of their authorized retention period.

(2) Temporary records will be clearly identified through labeling and indexing, and will not be interfiled with permanent records or with non record material.

(3) Temporary records eligible for disposal will be removed from active files annually for further retention in inactive files areas or destruction, if applicable, and their disposal will be documented.

4. ELECTRONIC MAIL RECORDS. These types of records are received or transmitted in electronic form via remote computer terminals. The electronic mail activities and practices of all VA components will be fully consonant with regulations established by NARA for VA records created or received in electronic mail applications. VA policy and procedures on electronic mail records are contained in VA Directive and Handbook 6301, Electronic Mail Records and Handling of Electronic Mail Records.

5. ELECTRONIC RECORDS

a. These types of records are stored in a form that only a computer can process. They are also referred to as machine-readable records or automated data processing records. Refer to NARA guide entitled "Managing Electronic Records."

b. Permanent computer files should be transferred to the National Archives as soon as possible. Guidelines on the types of potentially permanent electronic records and special handling, storage and preservation problems can be found in 36 CFR 1234 and in the National Archives publication entitled "Managing Electronic Records."

6. AUDIOVISUAL, CARTOGRAPHIC AND ARCHITECTURAL RECORDS

a. Certain categories of audiovisual, cartographic and architectural records are of permanent, historical value, and will be scheduled for transfer to National Archives as soon as they become inactive or whenever VA cannot provide the proper care and handling of the materials to guarantee their preservation. (See 36 CFR 1228.184 and 1228.186 for a listing of the categories.)

b. Guidelines on the types of potentially permanent audiovisual records and special handling, storage and preservation problems can be found in 36 CFR 1232 and in the National Archives publication entitled "Managing Audiovisual Records."

c. Guidelines on the types of potentially permanent cartographic and architectural records and special handling and storage problems can be found in the National Archives publications entitled "Cartographic and Architectural Records."

7. MICROFORM RECORDS. These types of records are in a form containing greatly reduced images or micro images, usually on microfilm. Roll or generally serialized microforms include microfilm on reels, cartridges, and cassettes. Flat or generally unitized microforms include microfiche, microfilm jackets, aperture cards, and micro cards, or micro-opaques. Refer to the NARA publication entitled "Managing Micrographic Records."

8. VITAL RECORDS. These types of records are essential to the continued function or reconstruction of an organization during and after an emergency. Refer to the VA Handbook 6300.2 and NARA publication entitled "Vital Records and Records Disaster Mitigation and Recovery" for guidance on handling these types of records.

9. FACSIMILE TRANSMISSION RECORDS

a. Documents received through facsimile transmissions have the same potential to be Federal records as any other documentary materials received. They are Federal records when (1) they are received in connection with VA business; and (2) they are appropriate for preservation as evidence of VA activities or because of the value of the information they contain.

b. Some Federal personnel send and receive fax transmissions via personal computer fax/modems and software. These transmissions are subject to the same records management controls as transmissions via fax machines.

c. The following procedures will be followed to preserve VA records received or transmitted by facsimile:

(1) All thermal paper facsimiles that are Federal records must be copied on plain paper at the time of receipt.

(2) Materials provided for information only, including advance copies on which no administrative action is taken, are non record and may be destroyed when no longer needed.

(3) Materials that meet the criteria as a “Federal record” should be treated accordingly.

(4) When a fax machine is used to send or receive facsimile documents, plain paper copies of documents that are Federal records should be filed in accordance with VA’s standard filing procedures.

(5) When a computer is used to send or receive facsimile documents, a paper copy must be printed if the information falls under the definition of a “Federal record” and filed appropriately.

(6) All VA administrations, staff offices and field facilities will include on fax message leaders, such as cover sheets, headers, and boxed notes, advice on replacing thermal paper facsimiles that are records with a plain paper copy. A sample advisory is: **“WARNING: Some fax machines produce copies on thermal paper. The image produced is highly unstable and will deteriorate significantly within a few years. It should be copied on plain paper prior to filing as a record.”**

10. PERSONAL PAPERS

a. Most VA officials accumulate and keep some personal papers at the office. Certain materials are clearly personal, and officials may readily claim them as such. In more difficult cases, VA officials may wish to obtain an opinion from the General Counsel. VA officials should consult their administration or staff office Records Officer or other designated official to help determine if the materials in question are personal papers or official records of VA. Personal papers are documentary materials that are not used in the transaction of VA business.

b. If personal papers are maintained in a VA office, they should be clearly designated as such and filed or otherwise maintained separately from the official records of the office.

c. VA officials may not remove any Federal records from VA custody while removing their personal papers and designated non record materials. Before senior officials depart from VA, they should consult with their designated Records Officer to ensure that official records that may be included in personal papers are returned to VA files.

d. See NARA Management Guide entitled “Personal Papers of Executive Branch Officials” for guidance on distinguishing official records from personal materials and how to keep personal separate and apart from official VA records.

CHAPTER 8 - SUBMISSION AND APPROVAL OF REQUESTS FOR DISPOSITION AUTHORITY

1. PREPARATION OF RECORDS APPRAISAL

a. Administration and staff office Records Officers will ensure that their office is notified when new records are created or an approved disposition authority must be changed.

b. All VA records and information created in any medium must be scheduled for disposition through an appraisal process to determine use, value and ultimate disposition of the records and information. Completion of the records appraisal is an essential step in scheduling records for disposition. If the disposition authority changes or there are any changes in the record series of a previously appraised record, a reappraisal of the record must be completed.

c. The records appraisal process will be conducted exclusively by Central Office administration and staff office Records Officers for records under their area of responsibility, including records maintained by all field facilities.

d. An appraisal in which the records are designated as “record material” must be submitted to NARA for approval. Records designated as “non record material” are disposable by the authority of the responsible administration and staff office Records Officer. Therefore, non record material does not require approval by NARA; however, a records appraisal must be completed.

e. See Illustration 8-1 for a sample of a records appraisal.

f. A records appraisal will be initiated within 1 year following the issuance of this handbook for all records series that have not been previously appraised and for those records that require a change in the disposal authority.

2. PREPARATION AND SUBMISSION OF SF-115, REQUEST FOR RECORDS DISPOSITION AUTHORITY

a. After the records appraisal has been completed and all necessary concurrences have been obtained, an SF-115 will be prepared and submitted to the VA Records Officer for review, signature and submission to NARA for approval.

b. Preparation of an SF-115 is necessary for all records appraisals where the records are designated as “record material.” The SF-115 will be prepared after all internal concurrences have been obtained on the records appraisal.

c. The completed SF-115, along with the original records appraisal, will be submitted over a covering memorandum to the VA Records Officer (005R1B). The VA Records Officer must sign the SF-115 and submit it to NARA for approval and assignment of a NARA Job Number.

d. GAO's approval is required for the following categories of records:

(1) Administrative records proposed for retention periods shorter than those prescribed by GRS 2 through 10.

(2) All program records having a proposed retention period of less than 3 years.

(3) Records relating to claims or demands by or against the Government.

The VA Records Officer will request GAO's approval when the SF-115 is submitted to NARA. While GAO's approval is pending, NARA processes the SF-115 but withholds approval until written concurrence is received from GAO.

e. When NARA completes its review, the SF-115 will be returned to the VA Records Officer. Upon receipt, the action taken by NARA and all original documents will be forwarded to the originating administration or staff office Records Officer. Upon receipt by the originating Records Officer, the approved disposition should be published in the appropriate records control schedule.

f. See Illustrations 8-2 and 8-3 for a sample of the SF115, the instructions for completing the form, and a copy of the SF-115A, continuation sheet.

g. Additional guidelines on conducting the appraisal process and preparing the SF-115 can be found in NARA Records Management Handbook, entitled "Disposition of Federal Records," or by contacting the records management staff of (005R1B).

**DEPARTMENT OF VETERANS AFFAIRS
OFFICE OF INFORMATION RESOURCES MANAGEMENT
PROPOSED DISPOSITION OF RECORDS**

A. TITLE OF RECORD

VA Form 0245, VA Records Center and Vault (RC&V) Reference Request

1. Original returned from RC&V with the record.
2. Suspense copies, except copies held for analysis.
3. Copies held for analysis.

SAMPLE

B. RECOMMENDED DISPOSITION

1. Destroy after return and upon completion of any administrative action necessary.
2. Destroy upon receipt of original.
3. Destroy after data for analysis has been completed.

APPROVED:

VA Records Officer

Date

C. CONCURRENCES

___ Concur in disposition recommended in paragraph B.

___ Concur for reason(s) stated in paragraph D.

10

Date

20

Date

1.

Illustration 8-1 Sample Example of a Records Appraisal

D. REASON(S) FOR NONCONCURRENCE**E. ANALYSIS OF RECORD****SAMPLE**

This is an appraisal of record material. This appraisal establishes a retention standard for VA Form 0245, VA Records Center and Vault (RC&V) Reference Request. The form is used by VA Central Office and field facilities to accomplish the recall of files or information stored at the RC&V in Neosho, Missouri.

Offices that require recall of records or information stored at the RC&V complete an original and one copy of VA Form 0245. The original is forwarded to the RC&V and a copy held in suspense until the requested records are returned. If the requested records are located by the RC&V staff, the records, along with the original VA Form 0245 are returned to the requesting office.

There may be instances whereby the records cannot be located by RC&V staff. For example, records were destroyed; records not in RC&V custody; wrong box number provided; additional information required to identify requested records; records previously charged out. In these cases, RC&V staff completes the section on the form entitled "For Use By RC&V" and returns the form to the requesting office. Offices will use this information to conduct further research to locate the records. In these instances, the requesting office must retain the information provided by the RC&V until all attempts to locate the records or information are exhausted.

D. SOURCES OF INFORMATION

VA Handbook 6300.8, Procedures for Shipment of Records to the VA Records Center and Vault in Neosho, Missouri
Raymond McClelland, Operations Manager, RC&V, Neosho, Missouri

E. CONCLUSIONS

In summary, it is recommended that the original VA Form 0245 be destroyed when received from the RC&V with the requested records or information, and upon completion

2.**Illustration 8-1 Sample Example of a Records Appraisal (Continued)**

of any administrative action necessary. It is also recommended that suspense copies, except those held for analysis be destroyed upon receipt of the original form from the RC&V; copies held for analysis can be destroyed after data for analysis has been completed.

VA Form 0245 loses its value when the RC&V has returned the records or information and after any data required to locate the records or information has been completed.

Susan Snow
Management Analyst (045A4)
8/23/96

SAMPLE

3.

Illustration 8-1, Sample Example of a Records Appraisal (Continued)

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) Department of Veterans Affairs		DATE RECEIVED	
2. MAJOR SUBDIVISION Office of Information Resources Management		NOTIFICATION TO AGENCY 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 Central Office and Field Facilities			
4. NAME OF PERSON WITH WHOM TO CONFER Susan Snow	5. TELEPHONE 202-273-0000	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 <u>3</u> page(s) are not now needed 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE Donald L. Neilson	TITLE Department of Veterans Affairs Records Officer (045A4)	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	VA Form 0245; VA Records Center and Vault (RC&V) Reference Request 1. Original returned from RC&V with the record. <u>Disposition:</u> Destroy after return and upon completion of any administrative action necessary. 2. Suspense copies, except copies held for analysis. <u>Disposition:</u> Destroy upon receipt of original. 3. Copies held for analysis. <u>Disposition:</u> Destroy after data for analysis has been completed.		

SAMPLE

115-109
NSN 7540-00-334-4064
PREVIOUS EDITION NOT USABLE
STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Illustration 8-2, SF-115, Request for Records Disposition Authority

INSTRUCTIONS

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone number of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

Illustration 8-3, Instructions for Completion of SF-115, Request for Records Disposition Authority Continuation

CHAPTER 9 - TRANSFER OR LOAN OF VA RECORDS

1. LOAN OR TRANSFER OF PERMANENT AND UNSCHEDULED RECORDS TO NON-FEDERAL RECIPIENTS

a. No permanent or unscheduled records will be loaned to non-Federal recipients without prior written approval from NARA. Administration and staff office Records Officers will submit a written request to the VA Records Officer (005R1B) for submission to NARA for approval (36 CFR 1228). The following information will be included in the request:

- (1) The name of the organization having custody of the records.
- (2) The name and address of the proposed recipient of the records.
- (3) A listing containing the identification by series or system of the records to be loaned, the inclusive dates of each record series, and the NARA disposition job number and records control schedule item number.
- (4) A statement of the purpose and duration of the loan.
- (5) A statement specifying any restrictions on the use of the records and how these restrictions will be administered by the donee.
- (6) A certification that the records will be stored according to the environmental specifications for archival records.

b. NARA approval is not required for temporary loan of permanent and unscheduled records between Federal agencies.

2. TRANSFER OF RECORDS FROM VA CUSTODY TO ANOTHER FEDERAL AGENCY. Transfer of records from the custody of VA to another Federal agency must be approved by NARA. Approval by NARA is not necessary if the transfer is required by statute, executive order, a Presidential reorganization plan, or if the records are lent for official use, or when the transfer is between two parts of the same executive department. Administration and staff office Records Officers will submit a written request to the VA Records Officer (005R1B) for submission to NARA for approval (36 CFR 1228). The following information must be included in the request:

- a. A concise description of the records to be transferred, including the volume in cubic feet.

- b. A statement of the restrictions imposed on the use of the records.
- c. A statement of the agencies and persons using the records and the purpose of this use.
- d. A statement of the current and proposed physical and organizational locations of the records.
- e. A justification for the transfer including an explanation of why it is in the best interests of the Government.

DEFINITIONS

- 1. Audiovisual Records.** Records in pictorial or aural form that includes motion pictures, still pictures, sound recordings, video recordings, graphic materials such as posters and original art, audio and video recordings and combinations of media such as slide tape productions.
- 2. Disposal.** Removal of records from VA control and authority by their sale, donation, or assignment of legal custody or title to others (Federal or non-Federal entities), or by their physical destruction, sale as waste material, or other forms of salvage or transfer; includes erasure of information captured or maintained on electronic media.
- 3. Disposal Authority.** The legal authorization obtained only from the Archivist of the United States, NARA, for the disposal of records and recorded information.
- 4. Disposition.** An interim or final placement of records and recorded information; the actions taken with regard to records and recorded information to maintain them in a proper place following their appraisal, including the actions of (1) retaining; (2) transferring to a records center for temporary storage; (3) transferring to an archival agency; (4) donation to an eligible repository; and (5) image reproduction or destruction.
- 5. Electronic Records.** A category of machine-readable records in which the information is represented by electronic impulses on a magnetic medium, such as magnetic tape, disk, or diskette, and which requires the use of specialized equipment to convert the information to human-readable form.
- 6. Enterprise Records Service (ERS).** The planning, budgeting, organizing, directing, training, and controlling associated with the creation, maintenance and use, and disposition of information as well as with related resources, or assets, such as personnel, equipment, funds, and technology, including data processing, telecommunications and records management.
- 7. Information System.** The aggregate of all records, information, information handling functions, and systematic processes necessary for operating a program; the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.
- 8. Life Cycle of Records.** The management concept that records pass through three stages: creation, maintenance and use, and disposition.
- 9. Non Record Material.** All informational materials that are determined to be disposable by VA without the specific approval of the Archivist of the United States that are not included within the definition of "Record Material." Specifically, this includes informational materials preserved solely for purposes of reference or exhibition in

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libraries or museums; extra copies of documents preserved only for convenience of reference (reading file and follow-up copies of correspondence, identical copies of documents maintained in the same file, extra copies of printed or processed materials of which official copies have been retained for purposes of record, etc.); stocks of publications and processed documents preserved for supply purposes; drafts, worksheets, and notes that do not represent significant basic steps in the preparation of record copies of documents, that were not circulated or made available to employees other than the creator, and that do not contain unique information that aids in the understanding of VA business that has not been made part of the official record; letters of transmittal that do not add information to that contained in the transmittal material; shorthand notes, stenotype tapes and similar secretarial materials, such as word processing disks/diskettes from which the informational content has been transcribed or otherwise processed to provide official copies for purposes of record; other material that has been determined to be nonrecord based on the appraisal procedures specified in this handbook.

10. Permanent Records and Information. In U.S. Government usage, records and information appraised by VA and approved by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which VA dealt, and for which there is no plan for destruction.

11. Records Appraisal. The process of determining the value and, thus, the final disposition of records and information based upon their administrative, financial, and other uses, their evidential, legal, and informational or research value, their arrangement and relationship to other records, and their historic value to VA, other agencies of the Federal Government, or to the general public.

12. Records Management. The managerial activities involved with respect to records creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of VA operations.

13. 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 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.

14. Records Officer (Administration Heads, Assistant Secretaries, Other Key Officials, and Deputy Assistant Secretaries). Persons designated responsibility for managing and coordinating a records management program for their respective organization. This responsibility includes Central Office program offices and respective

field facilities that fall under their purview. This official works in cooperation with the VA Records Officer.

15. Records Officer (VA). The person assigned responsibility by the agency head for overseeing an agency-wide records management program.

16. Records Series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific 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.

17. Temporary Records. Records approved by NARA for disposal, either immediately or after a specified retention period.

18. Unscheduled Records. Records whose final disposition has not been approved by NARA.

ADMINISTRATION AND STAFF OFFICE RECORDS CONTROL SCHEDULES

Records Control Schedule (RCS)	Description	Responsible Office
OI-1, Appendix A	Disposition schedule covering Central Office (CO) records only.	Assistant Secretary for Human Resources and Administration, Deputy Assistant Secretary for Administration
RCS VB-I, Part I	Disposition schedule covering records maintained in the Veterans Benefits Administration (VBA) field facilities only.	Under Secretary for Benefits
RCS VB-1, Part II	Disposition schedule covering records maintained in VBA CO program offices only.	Under Secretary for Benefits
RCS 10-1	Disposition schedule covering records maintained in the Veterans Health Administration (VHA) field facilities and CO VHA program offices.	Under Secretary for Health
MP-4, Part X	Disposition schedule for records relating to budget and financial management maintained at CO and field facilities.	Assistant Secretary for Management, Deputy Assistant Secretary for Financial Management
National Archives Job NC1-15-85-19	Disposition schedule for records relating to General Counsel (District Counsel) field offices.	General Counsel
RCS for National Cemetery System (NCS) CO	Disposition schedule for records relating to CO NCS records.	Director, National Cemetery Administration
RCS for NCS Area Offices	Disposition schedule for records relating to NCS Area Offices.	Director, National Cemetery Administration
RCS for National Cemeteries	Disposition schedule for records relating to NCS Ntl. Cemeteries.	Director, National Cemetery Administration

**LISTING OF NARA REGIONAL/NATIONAL RECORDS STORAGE FACILITIES AND
AREAS SERVED**

REGIONAL/NATIONAL FACILITIES	AREAS SERVED
Southeast Region Atlanta 5780 Jonesboro Road Morrow, GA 30260 Telephone No.: (404) 736-2820	Alabama, Florida, Georgia, Kentucky, Mississippi North Carolina, South Carolina, and Tennessee.
Northeast Region (Boston) Fredrick C. Murphy Fed Center 380 Trapelo Road Waltham, MA 02154-6399 Telephone No.: (781) 663-0130	Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont.
Great Lakes Region (Chicago) 7358 South Pulaski Road Chicago, IL 60629-5898 Telephone No.: (773) 948-9001	Illinois, Wisconsin, and Minnesota.
Great Lakes Region (Dayton) 3150 Springboro Road Dayton, OH 45439-1883 Telephone No.: (937) 425-0600	Indiana, Michigan, and Ohio.
Rocky Mountain Region Federal Records Center, Building 48 P.O. Box 25307 Denver, CO 80225 Telephone No.: (303) 407-5700 FAX (303) 407-5707	Colorado, Utah, Montana, North Dakota, South Dakota, Wyoming, and New Mexico.
NARA Southwest Region 1400 John Burgess Drive Ft. Worth, TX 76140 Telephone No.: (817) 551-2000	Arkansas, Louisiana, Oklahoma, and Texas.
Central Plains Region 17501 West 98th	Iowa, Kansas, Missouri, and Nebraska,

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MARCH 24, 2010

Suite 47-48
Lenexa, KS 66219
Telephone No (913) 563-7600

Pacific Region (Laguna Niguel, CA)
24000 Avila Road
1st Floor, East Entrance
Laguna Niguel, CA 92677-3497
Telephone No (949) 360-2641

Arizona; (Clark County), Nevada, and southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, and San Diego).

Mid-Atlantic Region (Northeast Philadelphia)
14700 Townsend Road
Philadelphia, PA 19154-1025
Telephone No.: (215) 305-2000

Delaware and Pennsylvania

Northeast Region (Pittsfield)
Silvio O'Conte National Records Center
10 Conte Drive
Pittsfield, MA 01201-8230
Telephone No.: (413) 236-3600
FAX (413) 236-3609

National collection of long term records.

Pacific Region (San Francisco)
1000 Commodore Drive
San Bruno, CA 94066-2350
Telephone No.: (415) 876-9249
FAX (415) 876-0920

Nevada, except Clark County; California, except southern California and American Samoa.

Pacific Alaska Region (Seattle)
6125 Sand Point Way, NE
Seattle, WA 98115-7999
Telephone No.: (206) 526-6501
FAX (206) 526-6545

Idaho, Oregon, and Washington State, and for selected Federal agencies in Alaska (with the exception of pre-archival records), Hawaii (with the exception of certain files from the US Courts, department of Justice, and the Government of American Samoa--these files are stored in the San Bruno facility), and the Pacific Ocean area.

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746-8001
Telephone No.: (301) 457-7000

District of Columbia, Maryland, West Virginia, and Virginia.

MARCH 24, 2010

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National Personnel Records Center
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, MO 63118-4199
Telephone No. (314) 425-5722
FAX (314) 279-5719

The entire Federal Government personnel records of separated Federal employees; medical and pay records of Federal employees; designated medical records of Army and Air Force military personnel and their dependents, and records of agencies in the St. Louis, Missouri area.