1 ▪ **Creating and Using File Plans.**
National Archives and Records Administration.
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2 ▪ **Agenda.**
- File Plan Ingredients.
- Steps to Create a File Plan.
- What Should the File Plan Include?
- Show Some Sample File Plans.
- How Does a File Plan Work with Electronic Records?
- File Plan Use and Maintenance.

3 ▪ **File Plans – What Do They Do?**
- List the records in your office.
- Describe how you name and file records.
- Specify disposition.
  - Destruction.
  - Transfer to Naara.
- May describe standardized content of case files.

4 ▪ **File Plan Ingredients.**
- Approved records retention schedule.
- Office records inventory.
- Staff consensus.

5 ▪ **What is a Record Series?**
- Functional grouping.
- Usually filed together as a series.
- Result from same activity.
- Document a specific type of transaction.
- Have the same disposition authority.
- Examples:
  - Contracts, time and attendance, property inventories, specific case files.

6 ▪ **Record Schedules.**
- The legal authority for the transfer or destruction of records.
- Based on record series.
- General Records Schedule.
  - http://www.archives.gov/records-mgmt/GRS.
  - General administrative records.
- Agency records schedule.
  - Agency programmatic records.
  - May be combined with General Records Schedule.

7 ▪ **Example Item, General Records Schedule -2 - 8.**

8 ▪ **Creating the Plan.**
- Determine scope.
  - Be reasonable.
- Establish support.
  - Solicit cooperation.
- Inventory records.
  - Create file plan from inventory.
- Use consensus.
- *LIVING* document.

9 ▪ **Record Series Inventory.**
- Define scope.

- ◦ Focus and simplicity.
- Determine which records to include.
  - ◦ High volume, use, or importance.
- Inventory by records series.
- Identify unscheduled records.
- May include electronic records.

10 **File Plan Items.**
- Number or file code.
- Record series title.
- Records series description.
- Filing instructions (optional).
- Retention.
- Disposition instructions (optional).
- Disposition authority.

11 **File Plan Worksheet (optional).**
- One way to collect the information you need to:
  - ◦ Determine the information needed for each series to create the Plan.
  - ◦ Use as a reference document to share with staff for consensus-building.

12 **File Code.**
- Your agency may specify.
- Simple is better.
- Make extensible.
- Examples.
  - ◦ ADMI-820 Visitor Control Files.
  - ◦ BU-11-16   FTE Planning.
  - ◦ HCR-531   Individual Permits.
  - ◦ HCR-531-WA Washington Individual Permits.

13 **Record Series Title.**
- Adapt from record series title in records schedule.
- Commonly used term.
- Descriptive.
- Reasonably short.

14 **Record Series Description.**
- Adapt from record schedule series description.
- Include sub items.
- Meaningful and intuitive.

15 **Filing Instructions.**
- How do you name and categorize records.
  - ◦ Filing schemes.
  - ◦ Folder naming conventions.
- Electronic records.
  - ◦ File and folder naming conventions.
- How and where do you keep records?
  - ◦ Paper filing systems.
  - ◦ Electronic documents on servers.

16 **Retention.**
- Records schedule.
  - ◦ Agency schedule.
  - ◦ General Records Schedules.
- Cite retention authority.
- Must not be shorter than retention in the records schedule.

17 **Cutoff.**

- When records become inactive.
- When retention clock starts ticking.
- Examples: contract ends, patient dies, permit expires, employee separates, fiscal year ends.

18 **Disposition Instructions.**
- Before retention period expires.
  - Cutoff.
  - Transfer to Federal Records Center.
  - Privacy and security considerations.
- After retention period expires.
  - Destruction.
    - How authorized.
  - Transfer to Naara.

19 **Sample File Plans.**
- Office of External Affairs.
- Fiscal Management.

20 **Electronic Folder Structure.**

21 **Electronic File Naming Conventions.**

22 **File Plan Use and Maintenance.**
- Assign responsibility.
- Keep current.
  - Reflect records schedules changes.
  - Reflect work process changes.
  - Reflect media type changes.
- Add additional records series as needed or desired.

23 **Resources.**
- http://www.archives.gov/records-mgmt/.
  - Naara's records management page.
- http://Naara.learn.com.
  - Naara's Learning Management System.
- http://www.archives.gov/records-mgmt/GRS/.
- File plan inventory worksheet.
- Records management contact list.

24 **Thank You for Your Attention.**