



NSA/CSS Records Management Handbook



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Introduction to Records Management at NSA/CSS

The National Security Agency and Central Security Service (NSA/CSS) are mandated under Federal law to preserve Federal records. Records provide evidence of the activities of our Agency. As an Agency we are accountable to Congress and the American people. In the event of audits, lawsuits, and Freedom of Information Act requests, these records are required as evidence of our actions. Our Federal records must be organized and easily retrievable to be identified quickly in these cases. Solid records management is crucial to protecting the rights and interests of each Federal agency, all Federal employees, and the American people.

Managing records effectively also ensures that records can be retrieved when required to carry out the mission. Employees need to locate their records quickly to complete actions efficiently. Proper preservation and management of material ensures that information can be accessed when needed, either the next day or years in the future. Too often records management is considered outside of the mission of NSA. In reality proper records management is integral to mission work and helps to effectively enable the mission.

The success of records management for the Agency is dependent on the records management practices in each office and organization throughout the Agency. The Agency has therefore mandated that each organization should assign Records Management Officers (RMOs) to work with the Records Management Policy Office in assisting organizations and offices with records management issues. The Records Management Policy Office offers training, a newsletter, office consultations, and support to agency employees to ensure quality records management.

This handbook the responsibilities for Directorate Records Officers (DROs), RMOs, and NSA/CSS employees are outlined. The handbook also provides information on the basics of records management, the submission process for the NSA/CSS Records Center, and the services of the NSA/CSS Archives. Contact information for all of these offices can be found at the back of this handbook, as well as a glossary of records management terms.

If you have any questions on any of these topics, please feel free to contact the Records Management Policy Office at any time. We would be happy to clarify these or other issues for you.

Records Management Authorities

U.S. Code Title 44 Section 3101

- “The head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency’s activities.”

36 CFR Subchapter B

- Explains how to implement U.S. Code Title 44 Section 3101.
- Provides specific information on managing records and penalties for failure to comply with regulations.

DoD 5015.2

- Provides guidance on the DoD Records Management Program.
- DoD 5015.02-STD identifies standards & design criteria for Electronic Records Management Applications.

NSA/CSS Policy 1-6

- Provides guidance on Records Management Policy and responsibilities of all Agency employees for the life cycle of records.

Records Management Responsibilities

Records Management Policy Office Responsibilities

1. Disseminate policy necessary for maintaining an effective and economical records management program according to Federal regulations.
2. Ensure NSA/CSS compliance with Federal law and regulations applicable to creating, maintaining, using, preserving, and disposing of records. Preserve records and safeguard against the removal or loss of Federal records.
3. Provide facilities and staff for storing, maintaining, and accessing NSA/CSS records. Maintain, operate and regulate the NSA/CSS Records Center (NCRC) and the NSA/CSS Archives.
4. Issue guidance and technical assistance with respect to compliance with Federal law and regulations applicable to the creation, maintenance, use, preservation, and disposition of records.
5. Cooperate and coordinate with the National Archives and Records Administration (NARA) and other appropriate agencies in matters of mutual interest pertaining to the NSA/CSS records management program.
6. Monitor Federal records management policies, procedures, and technologies
7. Obtain authority for the disposition of NSA/CSS records from the Archivist of the United States.
8. Exercise technical control over, and provide training to Directorate Records Officers (DROs), and supporting Records Management Officers (RMOs).
9. Provide reference services and access for records maintained in the NSA/CSS Records Center and the NSA/CSS Archives.
10. Implement the final approved disposition for records maintained in the NSA/CSS Records Center.
11. Transfer declassified or sanitized permanent records to NARA.

Directorate Records Officer (DRO) Responsibilities

1. Remain current on records management issues.
2. Complete CLAS1700 annually, CLAS1018 every three years, and CLAS1019 at least once. See page 23 for more information on training.
3. Develop and supervise Directorate RMOs, and ensure that the requirements of Policy 1-6 and the NSA/CSS Records Disposition Schedules (RDS) are carried out.
4. Ensure RMOs are designated down to the Branch level to coordinate all phases of records management and disposition within that organization.
5. Coordinate the RMOs' activities: ensure they are trained and in compliance with appropriate directives and procedures and they report their appointment as an RMO to the Records Management Policy Office in a timely manner.
6. Review all RDS categories that pertain to their Directorate and notify the Records Management Policy Office when records not previously included in an NSA/CSS RDS are created, or a previously scheduled file series is substantially modified, and assist the Records Management Policy Office in developing proposed disposition recommendations .
7. Notify the Records Management Policy Office when organizational designators for records maintained in the NSA/CSS Records Center change as a result of reorganization .
8. Perform RMO duties as necessary.

Records Management Officer (RMO) Responsibilities

1. When appointed as RMO notify the Records Management Policy Office via email with supervisor and DRO copied on the message.
2. Remain current on records management issues.
3. Complete CLAS1700 annually, CLAS1018 every three years, and CLAS1019 at least once. See page 23 for more information on training.
4. Perform the functions of records management for their respective organizations. All transactions pertaining to records management must be forwarded through the appropriate RMOs. This includes certifying requests to submit, withdraw, destroy, and archive Records Center holdings.
5. Maintain a good working knowledge of their organization's files, reports, forms, and records systems, including information systems.
6. Implement the appropriate NSA/CSS Records Disposition Schedules (RDS) categories for their organizations' records.
7. Create file plans to identify the location and requirements for all organizational records, both in office areas and the Records Center. Be aware of organization's holdings in the Records Center.
8. Ensure records in their area of responsibility are protected and apprise all personnel of records management policies, services, and procedures.
9. Inform their DRO of the need to change, add, or modify any existing file series in the RDS, as well as add new items for file series not covered. Annually assist their DRO in the review of all currently used RDSs to ensure continued appropriateness.
10. Ensure all records are identified, scheduled, and comply fully with all cited references.
11. Lead effort to review records that are 25 years or older for declassification per Executive Order (E.O.) 13526.
12. Contact the Records Management Policy Office to transfer records upon reorganization or when a new RMO is taking over responsibilities to ensure that records remain within the correct office.

RESPONSIBILITIES OF NSA/CSS EMPLOYEES

1. Complete CLAS1700 annually. See page 23 for more information on training.
2. Ensure records management instructions and guidelines on records creation and filing procedures issued by the Records Management Policy Office are followed for all record types, to include paper records; electronic records; microfiche and microfilm; audiotape and audiovisual records; cartographic records; and architectural and engineering records.
3. Search all files, including electronic databases, prior to retirement or reassignment, to ensure that Federal records are transferred to a designated official or records officer. When moving to a new office, leave records in the originating office.
4. Keep personal papers separate from work related records.
5. Contact your Records Management Officer (RMO) or the Records Management Policy Office in cases where there are questions about the disposition of records.

Key Terms

Record

- Documents NSA business
- Explains, justifies, or documents an action or decision
- Documents official actions and the NSA's organization, structure, and achievements
- Maintained based on guidance in the Records Disposition Schedules (RDS)

Examples:

A movie with an Agency subject produced for the Agency under contract
Individual civilian personnel folders maintained by the Agency's Human Resources Office
Travel Orders and Voucher Statement held by the Agency's Corporate Travel Office
A master set of policy documents maintained by the Agency's Policy Management Officer
Investigative & Polygraph Files held by the Office of Security
Timesheets held by office timekeeper and Agency Payroll Entitlements Office

Non-record

- Documents non-NSA business
- Document some NSA business, but
 - Not created by you or your organization
 - Does not require action by you or your organization
- Reference materials
- Multiple copies of documents or blank forms
- Kept separately from records and can be maintained or destroyed at the discretion of the employee or organization.

Examples:

An Agency-All email concerning a traffic accident
Training materials you receive
Trade journals and open source publication used for reference

Personal Paper

- Documents non-NSA business
- Unique to each individual
- May be derived from work
- Kept separately from records and can be maintained or destroyed at the discretion of the employee or organization.

Examples:

Your Leave & Earnings Statement received in your email
Your ACE documentation (performance evaluations)
Personal business brought to work from home

Permanent Record

- Items that have been deemed worthy of preservation beyond day-to-day use
- Not to be destroyed, will eventually be transferred to the National Archives and Records Administration (NARA)

Examples:

Historical files, including memoranda, org charts, photos
Executive Files, including records at the Directorate and Field Station Chief level, etc.
Policy documentation

Temporary Record

- Items maintained for a specified period of time for administrative, reference or legal reasons
- Have been approved for destruction, by law, after a specific period of time

Examples:

Promotion records
Timesheets
Working papers

Office of Primary Interest (OPI)

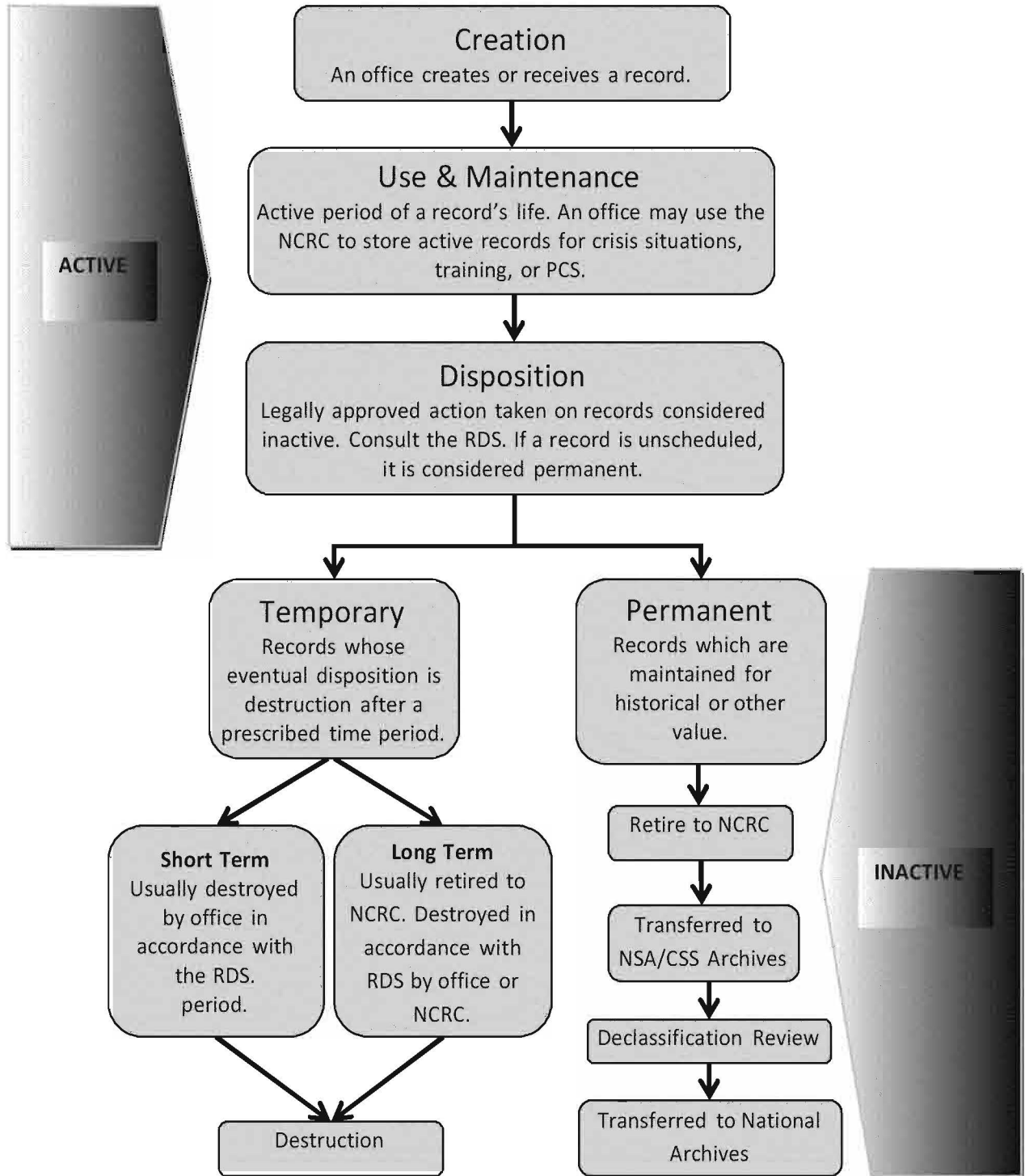
- The organization whose mission and functions most fully relate to the subject and functions of the record.
- Sender/Creator
- Recipient – requiring action
- The OPI maintains the official record copy.
- It is possible to have more than one OPI. There could be multiple record copies serving different purposes requiring retention by multiple organizations

Examples (From the examples of records above, the OPI is italicized):

Individual civilian personnel folders maintained by the *Agency's Human Resources Office*
Travel Orders and Voucher Statement held by the *Agency's Corporate Travel Office*
A master set of policy documents maintained by the *Agency's Policy Management Officer*
Investigative & Polygraph Files held by the *Office of Security*
Timesheets held by *office timekeeper* and *Agency Payroll Entitlements Office*

*For more records management definitions see the Records Management Glossary on page 25

Record Life Cycle



NSA/CSS Records Center

The NSA/CSS Records Center (NCRC) is an environmentally -controlled, secure records warehouse which provides cost-effective storage for inactive organizational records. The NCRC can store up to 88,000 cubic feet of records, both classified and unclassified .

All records, both temporary and permanent, first go to the Records Center. Our system tracks records from the request to store until they are either destroyed or released to the National Archives and Records Administration (NARA). For that reason, all records start in the Records Center, so that they can be appropriately tracked from the organization they came from all the way to destruction or release.

While NCRC staff provide records storage and destruction services as appropriate, organizations retain ownership and responsibility of their records until they are destroyed or transferred to the NSA/CSS Archives. Since records stored in the Records Center belong to the original or submitting organization , the organization is responsible for Freedom of Information Act (FOIA) requests and declassification review. The organization can also withdraw the records at anytime.

Storing inactive records in the Records Center instead of in your office provides cost savings and records protection. It's more economical to store records in the records center instead of occupying office space that could be better used by more employees working the mission. The Records Center is also an exclusionary area with environmental controls, so the records are stored in a more ideal space for long term preservation.

If the records are temporary, a message will be sent when they are eligible for destruction based on the Records Disposition Schedule (RDS). At this time the Records Management Officer (RMO) for that organization approves the destruction of the collection. Permanent records are also stored in the Records Center for a span of time in which they also still belong to the organization. The RDS denotes a period of time before the records are then transferred to the NSA/CSS Archives, usually when they are 30 years old.

The NCRC also stores classified records for Agency employees going on extended temporary duty (TDY) or permanent change-of-station (PCS) assignments.

NSA/CSS Archives

The NSA/CSS Archives is a holding area for the permanent records of the Agency that will be released to the National Archives and Records Administration (NARA). The NSA/CSS Archives contains over 21 million pages of permanent, historic records in its holdings. While the bulk of the material is textual, these holdings also include photographs, engineering drawings, microfilm, maps, artifacts, and other record types.

These records are transferred to the NSA/CSS Archives by the NSA/CSS Records Center (NCRC) in accordance with the Records Disposition Schedules (RDS). If your organization has records stored in the Records Center that you know are permanent and won't be withdrawn, they can be transferred to the NSA/CSS Archives prior to the prescribed retention period. These records are then arranged, described, and preserved by Archives' personnel under the guidance of NARA and following established archival standards.

When records are transferred to the Archives, they cease to be the property of the office that originally created or retained them. They become the property of the Archives and can no longer be withdrawn. NSA/CSS Archives is responsible for declassification reviews and FOIAs once the records are in the Archives.

Once records are arranged and described, NSA archivists are available to assist customers with accessing them to fulfill their mission-related research requirements. Records are transferred to the NARA in accordance with the RDS.

Using the Records Disposition Schedules

NSA/CSS has four Records Disposition Schedules (RDS) coordinated and authorized by the National Archives and Records Administration (NARA)

Research, Development, Test and Evaluation RDS (100 Series)

This schedule includes records categories that apply to organizations with Research, Development, Test and Evaluation functions.

Signals Intelligence RDS (200 Series)

This schedule includes records categories that apply to organizations with SIGINT functions.

Administrative & Management RDS (300 Series)

This schedule includes records categories that apply to ALL organizations.

Information Assurance RDS (400 Series)

This schedule includes records categories that apply to organizations with Information Assurance functions.

Records Disposition Schedules (RDS) describe the records of an agency and provide guidance for proper disposition. The schedules are media neutral, unless otherwise indicated. File series cover any record, regardless of format, including paper records, special media, and electronic records.

An RDS is a list of record types (or file series) followed by information on how long each type should be kept for business and legal purposes. Each record is determined to be either Permanent or Temporary. Permanent records will be transferred to the NSA/CSS Archives at the end of their retention period. Temporary records will be destroyed at the end of their retention period. The disposition and retention period for each record is listed in the RDS.

To find the RDS number and disposition for a record, follow these steps:

1. Verify that the information you hold is a record. For help use our "[Is it a Record](#)" Handout.
 - a. Is it the original, created by you (or your office) or required action by you (or your office)? Does the information impact your office's mission and function? If so, it is a **record**.
 - b. Is the information used for reference purposes only, or an extra copy with no additional information than the master copy? If so, it is a **nonrecord**.
 - c. For additional help use our "[Is it a Record](#)" Handout.
2. Review and determine the type of information you have, and select one of the four schedules that encompasses this information.
3. Use the table of contents in the RDS or search the schedule to find a disposition description that depicts the information you have.

If you are unable to locate the RDS number for a record, please contact your RMO or the Records Management Policy Office for assistance.

Reading the RDS Example

366-01	<p><u>Property Record Files</u>. Consists of voucher registers, receiving vouchers, issuing vouchers, loan vouchers, inventory adjustment reports, reports of inventory count cards.</p>	<p>TEMPORARY. Close annually. Destroy 1 year after physical inventory reconciliation or a Defense Department Inspector General (IG) Office audit, whichever occurs earlier. (N1-457-07-001)</p>
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RDS Number — 366-01

File Series — Property Records Files

Records included in the series — Voucher registers, receiving vouchers, etc., relating to the requirements of accounting for property of the U.S. Government

Disposition — Temporary

Cut-Off — Annually

Retention — 1 year after physical inventory reconciliation or DOD IG audit.

366-02	<p><u>Real Property Files</u>. Title papers documenting the acquisition of real property (by purchases, condemnation, donation, exchange, or otherwise.), excluding records relating to property acquired prior to January 1, 1921.</p> <p>Note: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of an SF 115 to NARA.</p>	See sub-series below.
366-02A	<p>A. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.</p>	<p>TEMPORARY. Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. (GRS-3- 1a)</p>

RDS Number — 366-02A

File Series — Real Property Files

Records included in the series — Title papers documenting acquisition of real property acquired after December 31, 1920, other than abstract or certificate of title

Disposition — Temporary

Cut-Off - Determined by Office of Primary Interest

Retention — 10 years after unconditional sale or release

Creating a File Plan

A file plan is a document which identifies organizational records, location of material and disposition authority. In addition, file plans can identify cut-off dates, vital records, and file naming conventions and methods used by the organization. File plans can be used for soft copy (physical) records and hard copy (electronic) records. File plans can also provide instructions on the identification and maintenance of nonrecord materials.

Steps for creating a file plan

1. Determine the Scope
 - a. All records in organization, office, or subdivision?
 - b. Hard-copy or electronic?
2. Establish Support
 - a. Ensure that management recognizes the need and supports compliance .
 - b. Create talking points
 - i. Everyone can know what records the organization has and where they are kept.
 - ii. Useful to new employees and staff not working with records every day.
 - iii. Can help locate records more quickly for legal and FOIA cases.
 - iv. Eases the transition into electronic systems and will be necessary as NSA/CSS moves into STONEVAULT, NSA's electronic records management system.
3. Inventory records
 - a. Create listing of all record types/series created and maintained
 - b. Fill out Record Inventory Form (example on next page)
 - c. Match inventory information with Records Disposition Schedule (RDS)
4. Combine information from your inventory with the retention information from the RDS.
5. Customize the file plan template to meet the office's files (add or delete record category examples from the template based on the RDS items). See tabs at the bottom of the excel template.
6. Place a copy of the file plan in the office files and share with colleagues
7. Review the file plan at least annually and update accordingly. Remember that the file plan is a living document and will change over time.

For additional information see the [NSA/CSS File Plan Template \(.xlsx\)](#). This sample file plan is a tool to help organizations identify their records categories, identify their records directory/organizational structure, and prepare for future records dispositions. Organizations that use SharePoint should contact [DL ERM](#) to receive access to a SharePoint file plan template.

SECURITY CLASSIFICATION

Records Inventory Form

1. Office Maintaining the Files		2. Date Inventory Prepared	
3. Inventory Personnel (Name, SID, office, phone number)		4. Storage Location	
5. Title of File Series		6. RDS No.	
7. Highest Classification within Series		8. Inclusive Dates	
9. Description of Records (Contents, Purpose, and Use)			
10. Format <input type="checkbox"/> Paper <input type="checkbox"/> Electronic <input type="checkbox"/> Microform <input type="checkbox"/> Audiovisual	11. Cut-Off Date <input type="checkbox"/> Calendar Year <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Continuous <input type="checkbox"/> Other _____	12. Duplication Are these documents available in another place or another medium? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please list where and what medium:</i>	
13. Arrangement <input type="checkbox"/> Chronological <input type="checkbox"/> Alphabetic by _____ <input type="checkbox"/> Alphanumeric by _____ <input type="checkbox"/> Numeric by _____ <input type="checkbox"/> Geographic by _____ <input type="checkbox"/> Other _____		14. Reference Activity (after cutoff) <input type="checkbox"/> Active (at least once a month) <input type="checkbox"/> Semi-Active (less than once a month) <input type="checkbox"/> Inactive (not used for current business) 14. Vital Records Status: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Emergency-operating <input type="checkbox"/> Rights-and-interests <input type="checkbox"/> Both	
15. Volume <i>(cubic feet)</i>	16. Annual Accumulation <i>(cubic feet or inches)</i>	17. Physical Condition of Permanent Records: <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor Comments	
18. Indexes <i>(if any)</i>		19. Restrictions On Access And Use <i>(if any)</i>	

National Security Agency, May2013

Records Inventory Form Instructions

1. **Office Maintaining the Files**— Full name of office with organization designator of record owner
2. **Date Inventory Prepared**— Day, month, and year when the inventory was prepared
3. **Inventory Personnel (Name, SID, office, phone number)**— Name and contact information of person filling out the inventory
4. **Storage Location**— Room, flipper, safe, drawer, etc., where the records are stored.
5. **Title of File Series**— Found in the Records Disposition Schedules. See pages 13 and 14 of the Records Management Handbook for additional information.
6. **RDS Number**— Found in the Records Disposition Schedules. See pages 13 and 14 of the Records Management Handbook for additional information.
7. **Highest Classification within Series**— The classification of the most highly classified record
8. **Inclusive Dates**— Dates of the oldest and newest records in the series.
9. **Description of Records (Contents, Purpose, and Use)**— Brief description of what exactly the records are, why they were created, and what they are/were used for.
10. **Format**— The medium of the records in question.
11. **Cut-Off Dates**— May be found in the Records Disposition Schedules. See pages 13 and 14 of the Records Management Handbook for additional information. This describes when a file is closed and no more records are added to that particular file.
12. **Duplication**— Identify if records are in another format. If you are describing a series of paper records, are they also available in electronic versions?
13. **Arrangement**— How the records are organized?
14. **Reference Activity (after cutoff)**— How often are the records used after the files are closed.
15. **Vital Records Status**— Are these vital records. See page 22 of the Records Management Handbook for additional information.
16. **Volume**— Amount of records in the series
17. **Annual Accumulation**— How many records are added to this series each year?
18. **Condition of Permanent Records**— Any preservation concerns with the records that the archivists should be aware of when the records are transferred.
19. **Indexes (if any)**— Identify if there are any indexes or lists that go with the records and would help give identify, find, or give context to records.
20. **Restrictions On Access And Use (if any)**— Restricted Access Material is any material stored requiring special permission to release to a customer due to the possible compromising of sensitive information relating to an employee's health and personal identity, ongoing legal matters, national security investigations and matters pertaining to agency cover sites. Typically applies to the following organizations: Medical, Human Resources, FOIA and Privacy Act, Inspector General, General Counsel, F6 Field Site.

Using the NSA/CSS Records Center

* For additional SOPs not found here visit the [Records Management Application SOP page](#)

Box Preparation

Information to Gather During Box Preparation:

- Date range of box contents
- Highest classification of box contents
- Description of box contents
- RDS number
- RMO name and SID
- Media types

Instructions

- Only new, unused, **National Stock Number (NSN) 8115-00-117-8249** boxes will be accepted. Organizations may purchase boxes through Micro Purchasing Credit Card (MPCC) system.
- Do not fill boxes more than $\frac{3}{4}$ full so that they do not weigh more than **22 pounds**. If a box weighs more than 22 pounds, the entire collection will be returned.
- Request RMO approval of boxes before closing, sealing, and marking boxes. See the [RMO Listing](#) to find the appropriate RMO by organization.
- After receiving RMO approval, close and secure boxes with **clear packaging tape only**. Do not use paper tape, reinforced packing tape, masking tape, or any other form of tape other than clear packing tape as these other tapes deteriorate rapidly.
- Label boxes with the following information in **black marker only**. Do not mark the boxes with any other information. (The collection and box numbers are generated by the records management application after completing a storage request.) See diagram example below.
 - Write the COLLECTION number in the ACCESSION number space
 - Write the BOX number below the COLLECTION number
 - Write the BOX number # of # information to the right of the COLLECTION number



Submitting a Storage Request

1. Navigate to CONNECT portal.
2. Click on the **Supply Chain** icon.
3. On the next screen, select **Records Management (RM)** on the left side of the page.
4. Select **My Request**.
5. Under the section header *Add a New Request*, select the request type of **Store Records**.
6. Click **Add a New Request**.

REQUEST HEADER TAB

7. **Request Entered By:** Verify the accuracy of your SID.
8. **Requester Information:** Select the appropriate radio button for yourself or someone else.
9. **Alternate POC:** This field should be populated with the SID of someone that can respond to any issues regarding your shipment; in the event that you are not able to be contacted.
10. **Records Management Officer:** the system will populate this field with the information of the first (or only) RMO for your organization.
11. **Alternate Records Management Office (for approval only):** this RMO acts as a backup for approval only in the absence of the primary RMO for the organization.
12. **Classification Information:** Select the overall classification for the information contained in the storage request and the highest classification of the records contained in your shipment.
13. Proceed to **Request Details** tab.

REQUEST DETAILS


NOTE: '**This request does not require approval**' – If this box is checked then an MDAT request will not be generated for shipment.

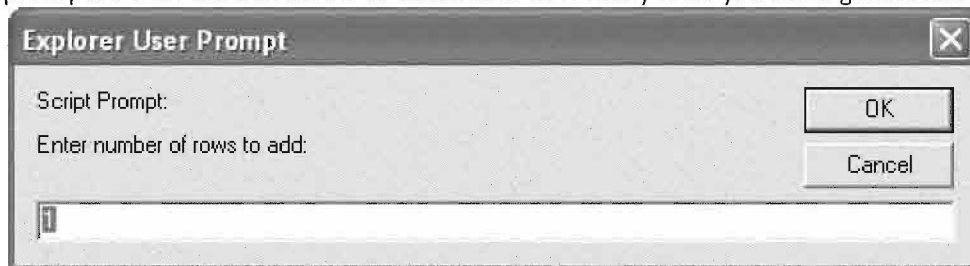
14. **Collection Information:** Select the correct radio button for storage of your records
 - a. **Enter an Existing Collection:** You must know the 8-digit Collection # in order to populate this field (e.g., annual promotion record collection numbers).
 - b. **Create a New Collection:** this option should be chosen only when sending a new collection to the NSA/CSS Record Center.
 - i. **RDS:** Choose the most appropriate RDS number for the records in this collection. One RDS number per collection.
 - ii. **Collection Description:** Enter a brief, but comprehensive description for the entire collection. Click on "What should be entered for the collection description" for guidance.
15. **Shipping Information:**

NOTE: '**This request does not require approval**' – If this box is checked then an MDAT request for shipping will not be generated. Uncheck this box to view shipping information.

 - a. **Are you located at NSAW or at a Field/Contractor Site?**
 - i. NSAW is inclusive of Fort Meade main campus, CANX, FANX, National Business Park, Mega Center One, and Emerson Buildings.
 - ii. All other locations should select Field/Contractor Site.
 - b. **How will you get the boxes to the NCRC?**
 - i. I will use a mail center – required when shipping 4 or less boxes for storage.
 - ii. I need the boxes moved – required when shipping 5 or more boxes for shipment.

c. **Boxes to be Stored**

i. **Copy Line Information When Inserting New Lines:** if you have multiple boxes of the same information, check this box to avoid having to enter redundant information. Additionally, if you have more than one box, click the  symbol and you will be prompted with the box below to determine how many lines you need generated.



Enter the number of additional boxes you need lines for and click <OK>.

ii. **Records Description:** Be sure to enter the appropriate description void of any Personally Identifiable Information (PII). A disclaimer will display on the screen upon click on the details link. Please read this disclaimer.

iii. **Begin Date of Material:** Enter the date of oldest document in the box.

iv. **End Date of Material:** Enter the most recent date of the document in the box.

v. **Restricted Access:** Select Yes/No. For questions on what constitutes Restricted Access for boxes, click the link that states What constitutes Restricted Access for boxes?

vi. **Classification:** Enter the highest classification level of the materials contained in the box. Collections may have more than one classification, but it will be determined on a per box level. NOTE: Classification level is determined by the highest classification of your collections contents.

vii. **Contents:** Select the most appropriate content type contained in the collections.

viii. Click **Save and Submit My Request**. **Save My Request w/o Submitting** will allow you to leave your request in draft status until you are ready to submit the request to your RMO for approval.

ix. The RMO for your ORG will receive the notification to [Approve/Deny] your request for storage.

NOTE: If your request is approved by your RMO, an automatically generated email will be delivered to you which will include a link to generate an MDAT request. Please read the instructions in this email and follow the link. **Field sites with questions should contact the Records Center at DL Record Center or 972-2295.**

Similar actions include:

- [Request to Withdraw](#) — Withdrawal collections stored in the Records Center
- [Request to Return](#) — Return withdrawn collections to the Records Center

Approving Records Management Requests – for RMOs Only

Once an employee submits a records management request (e.g., storage, withdrawal, return) through the records management application, an automatically-generated email will be delivered to organizational RMO for approval. RMOs should follow the link contained in the email to approve or reject the request or follow the below instructions.

1. Navigate to CONNECT portal.
2. Click on the **Supply Chain** icon.
3. On the next screen, select **Records Management (RM)** on the left side of the page.
4. Select **Approve/Reject Requests**. The Request Approval search page will default to displaying the RMO's requests that are "Not Completed."
5. Locate the request that requires approval. The "Request ID" number can be found in the automatically-generated email received by the RMO.
6. Review the information on the "Request Header" and "Request Details" pages. For questions regarding the request, contact the Requester as indicated on the "Request Header" page.
7. If possible, review the physical boxes packed by the Requester to ensure they meet the box preparation instructions for storage.
8. To approve the request, click **Approve This Request**. An email will be distributed to the Requester informing them that the request has been approved.
9. To reject the request, click **Reject This Request**. An email will be distributed to the Requester informing them that the request has been rejected.
10. If the request shows the "Restricted Access" field equals to "yes" there will be an additional step for the RMO.

Using the Vital Records Program

The NSA/CSS Vital Records Program (VRP) identifies and protects those records that specify how an agency will operate in case of emergency or disaster, those records vital to the continued operations of the agency during and after an emergency or disaster (emergency operating records), and records needed to protect the legal and financial rights of the Government and of the persons affected by its actions (legal and financial rights records). The management of vital records is part of an NSA/CSS continuity of operations plan designed to meet emergency management responsibilities.

The following information will assist Agency employees in depositing, maintaining and retrieving those records deemed essential by their organizations to meet operational and legal responsibilities under national security emergencies or other emergency or disaster conditions:

1. After the organizational representatives determine which records are essential for that organization to continue operating during adverse conditions, those records will be duplicated and prepared for shipment to the Vital Records Depository (VRD); it is the responsibility of the submitting organization to prepare the material for transfer. All Vital Records destined for deposit will be sent to DJ6-VRD, SAB 2, Door 22, Suite 6884. Records Management Policy Office personnel will ensure that all materials will be transferred to the VRD site.
2. All records destined for the VRD will be accompanied by NSA/CSS form O3748A, Vital Records Deposit/Withdrawal Request. The Records Management Policy Office staff can assist with the processing of this form.
3. No less than annually, the submitting organization will review those vital records to determine if they are still accurate and appropriate. It is the responsibility of the submitting organization to inform Records Management personnel of any changes in status of either the records or the organization itself.
4. During normal working hours and non-critical conditions, Records Management personnel will facilitate the return of vital records; during other than normal duty hours, the requesting organization should contact the Support Services Operations Center (SSOC) directly.

Records Management Training

CLAS1700 – Records Management Annual Awareness Training (VUport)—Provides all NSA/CSS affiliates with an awareness of the purpose and requirements for Records Management Program and their responsibilities .

CLAS1018 – Records Management Policy Workshop—Provides participants with increased skills and understanding of their records management responsibilities. This course is required for Records Management Officers (RMOs) to take every three years.

CLAS1019 – Files Improvement—Provides instruction on the requirements, statutory and regulatory, for maintaining records. In addition, students learn how to effectively and efficiently manage and preserve records for proper disposition by creating a file plan. This course is recommended for RMOs.

The Record: Records Management Newsletter—Bi-monthly newsletter geared towards RMOs, but has useful information for everyone.

Touring the Archives and Records Center—Tours provide an opportunity to learn about the programs of the Records Management Policy Office and what happens to the material you send to the Records Center, as well as the chance see examples of the historical records preserved in the NSA/CSS Archives. Agency employees interested in attending a tour should contact the DJ6 archives' alias, [DL Archives](#), or complete the form on the linked website to request a tour.

Common Records Management Questions

* For more information on these topics click on the links.

[What Do I Do With All My Files? \(.pdf\)](#)

First determine whether the material is actually a federal record and whether your copy is a record copy. Use the Records Disposition Schedules (RDS) to determine the retention period. Organize your filing system (for both hard and soft-copy records) based on the RDS series number.

[What is a File Plan?](#)

A file plan is a records management tool identifying the types of records your organization holds, the location (physical and electronic) of those record categories, and the Records Disposition Number which applies to those categories. It can also include other important details such as whether or not particular records are vital records.

[How Do I Transfer Records to the NSA/CSS Records Center \(NCRC\)? \(.pdf\)](#)

First determine the correct RDS numbers for your record types and group records by RDS number into a collection spanning no more than 10 years. Pack the records into an approved Record Center box based on each collection. Use the records management application online to enter a storage request. Once the storage request is submitted and approved by the RMO the system will provide unique collection numbers for each collection. Label the boxes based on the [Box Preparation Instructions](#) and ship them to the Records Center using the MDAT system.

[How Do I Use the Online Records Management Application?](#)

There are [SOPs](#) to guide you through the process on our webpage, as well as in the "Using the Records Center" portion of this manual. If you are still having issues feel free to contact our office.

[I Am About to Retire/Resign/Change Jobs - What Should I Do With My Records? \(.pdf\)](#)

First, take an inventory of hard and soft-copy records in your possession. For active records, transfer hard-copy records to an individual taking over your job duties. Transfer soft-copy records to an accessible information system such as a shared drive, Sharepoint Site, etc. For inactive records, work with your RMO to determine the appropriate Records Disposition Schedule (RDS) category for your records. Follow guidance on the schedule to either destroy, store, or transfer your records appropriately. Finally, contact the Records Center to determine if you have any stored records assigned to you and identify a replacement point of contact (POC).

[How Do I Manage My Email Records? \(.pdf\)](#)

You manage e-mail the same way you manage your hard-copy records by subject matter, contract, or other business functions. The method of delivery and format of the record is irrelevant.

[How Do I Become a Records Management Officer \(RMO\)? \(.pdf\)](#)

In order to become an RMO, individuals must inform their organization's DRO, receive permission from their supervisor, and complete the following ongoing training:

- CLAS1700 Mandatory Records Management Training-annually
- CLAS1018 Records Management Policy Workshop-every three years
- CLAS1019 Files Improvement -at least once

Records Management Glossary

Archives—Holding area for the permanent records of the Agency that will be released to the National Archives and Records Administration (NARA).

Active Record—A record needed to perform current operations, subject to frequent use, and usually located near the user.

Crosswalk—Table mapping superseded Records Disposition Schedule (RDS) number to the current RDS number. Can be used if you have references to superseded schedules to determine the updated RDS.

Cut-off—Practice of breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal, declassification or eventual transfer to the National Archives and Records Administration (NARA).

Directorate Records Officer (DRO)—DROs are at the highest level of the organization or directorate. They are responsible for managing Directorate-level and other related records management resources under their purview. *See DRO Responsibilities.*

Disposal—Destruction/deletion of temporary records after their retention period expires.

Disposition—Those actions taken when records are no longer needed to conduct business (inactive). At NSA/CSS this could mean disposal of temporary records or transfer of temporary and permanent records to the NSA/CSS Records Center, according the RDS.

Electronic Record—Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record in 44 USC 3301.

File—Usually refers to a folder of papers. The term is also used to denote papers, photographs, maps, and other records information accumulated or maintained in filing cabinets or a storage facility and occupying office or storage space. A file may also be maintained electronically or in microfilm.

File Plan—A records management tool used to enable organizations to identify their records categories, identify their records directory/organizational structure, and prepare for future records dispositions. In addition, file plans can identify cut-off dates, vital records, and file naming conventions and methods used by the organization.

File Series—A group of records arranged together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, or have some other type of relationship. Also referred to as a record series.

File Series Exemption (FSE)—Delay from automatic declassification at 25 years for file series in which the records “almost invariably” fall under one or more exemption category detailed in [Executive Order 13526](#).

Frozen Record—Temporary records held for litigation, investigation, or audit purposes. Can only be destroyed after completion of litigation, investigation, or audit.

General Records Schedule (GRS)—Schedule issued by the National Archives and Records Administration (NARA) to provide disposition authority for records common to all federal agencies.

Inactive Record—A record no longer needed to conduct business, but must be preserved until it meets the end of its retention period.

Life Cycle—The records life cycle is the life span of a record from its creation or receipt to its final disposition. It is usually described in three stages: creation, maintenance and use, and final disposition.

National Archives and Records Administration (NARA)—Federal agency responsible for the oversight of records management and archives in the federal government.

Non-record—U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of the definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

Office of Primary Interest (OPI)—The organization whose mission and functions most fully relate to the subject and functions of the record. The OPI maintains the official record copy. It is possible to have more than one OPI. Therefore multiple record copies serving different purposes may need to be retained.

Permanent Record—Any Federal record that has been determined by National Archives and Records Administration (NARA) to have sufficient value to warrant its preservation in the National Archives.

Personal Paper—Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business.

Record—All documentary materials, regardless of physical form, that are made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business, and preserved for an appropriate amount of time as evidence of agency activities because of the value of the information they contain.

Record Copy—Copy maintained by the Office of Primary Interest (OPI).

Records Center—Environmentally-controlled, secure records warehouse which provides cost-effective storage for inactive organizational records.

Records Disposition Schedule (RDS)—Official document providing mandatory instructions for what to do with records no longer needed for current Government business. The schedules identify temporary and permanent records and lay out instructions for what to do when records have met their retention.

Records Inventory—Complete and accurate survey of an organization or office's business information that documents the records created, received, and used by an organization or office. It is the first step in creating a file plan.

Records Management —Planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance, use, and disposition of records.

Records Management Officers (RMOs) —RMOs are “deputies” of the Records Management Policy Office who are designated throughout all parts of the Agency, in every organization and directorate. *See RMO Responsibilities.*

Retention —The length of time a record must be kept (either in the office or in the Records Center) because it is needed for ongoing business, to document an action, or for statutory reasons. Also referred to as a retention period.

Semi-Active Record —A record that is infrequently referred to but is still needed for reference.

STONEVAULT —STONEVAULT is the cover-term for NSA’s Electronic Records Management solution. Using a web-based solution, users can search for records and retrieve them automatically. STONEVAULT will be incrementally rolled-out to the NSA/CSS workforce in phases.

Temporary Record —Record approved by National Archives and Records Administration (NARA) for disposal (destruction) either immediately or after a specified retention period.

Unauthorized Disposal —Improper removal of records without National Archives and Records Administration (NARA) approval, or the willful or accidental destruction of records without regard to the Records Disposition Schedule or General Records Schedule.

Unscheduled Record —Record whose final disposition has not been approved by National Archives and Records Administration (NARA). Unscheduled records may not be destroyed or deleted until disposition has been approved.

Vital Record —Record essential to the continued functioning or reconstitution of an organization during and after an emergency, or record essential to protecting the rights and interests of the organizations and the individuals affected by its activities.

Where to Go for Help

For Agency employees, their organization’s Records Management Officer (RMO) is the best place to start with your questions. See the [Records Management Officers Listing](#) to identify your RMO.

Agency employees, RMOs, and DROs can also contact the Records Management Policy Office with questions. The Records Management Policy Office has four components, please see the listing below to identify who would be best to answer your question.

NSA/CSS Records Management Policy Office

Location: [SAB2, Door 22, Suite 6884](#)

Website: [go records management](#)

NSA/CSS Records Management



DL recmgmt

*Contact for records management related questions, consultation requests, RDS help, and RMO changes

NSA/CSS Records Center



DL record_center

*Contact for help with the records management application, as well as assistance with shipping, withdrawing, or returning records

NSA/CSS Archives



DL archives

*Contact to conduct mission related research or to request and exhibit loan or tour of the Records Center and Archives.

Electronic Records Management—STONEVAULT



DL erm

*Contact for questions regarding electronic records management and the electronic records management system

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