



# CDC UNIFIED PROCESS GUIDE



## MASO RECORDS CONTROL SCHEDULE

### Purpose

CDC projects are required to comply with various CDC and Federal regulations, mandates, policies, processes, and standards. Information about these requirements is available from various websites and supporting documents. However, this information is often not presented from the perspective of the project team and their roles & responsibilities in complying with these requirements. CDC Unified Process (UP) Guides provide that perspective.

CDC UP Guides help project teams comply with CDC and Federal requirements by:

1. Setting the requirements in the context of their purpose
2. Providing step-by-step instructions for completing the activities required for compliance
3. Illustrating potential integration points between processes
4. Presenting requirements in a concise, easy-to-understand, and consistent format
5. Making that presentation accessible to the CDC community via the CDC Unified Process website

The specific purpose of this Process Guide is to describe the **MASO Records Control Schedule** process as it applies to project teams.

### MASO Records Management Program Overview

The Management Analysis and Services Office (MASO) role is to plan, coordinate, and provide CDC-wide management and information services in the following areas:

- Developing new and revised records control schedules that meet the National Archives and Records Administration (NARA) approval
- Assisting with the development and implementation of recordkeeping functionality in new and current systems
- Developing file indexes and classification schemes
- Performing records inventories for all records regardless of their formats
- Assisting with the management of inactive records
- Providing disposition advice of records regardless of media

The management of vital records is part of all Federal agencies' emergency preparedness responsibility and should be a consideration during the design and implementation of any new system. Some goals of implementing such a system are to provide the agency with the ability to:

- Identify and protect the most important of records such as emergency-operating records and records needed to protect legal rights and interests of stakeholders
- Conduct business under emergency operating conditions
- Continue to operate essential services using duplicate vital records when access to facilities may be temporarily compromised
- Promote the resumption of normal business as quickly as possible after an emergency event

For more information on the management of vital records visit the NARA Guidance on Vital Records at <http://www.archives.gov/records-mgmt/vital-records/recovery.html>. For information about MASO and the information it provides, please refer to the CDC MASO RM Website at <http://intranet.cdc.gov/maso/RM/rmHome.htm> or contact [Mary Wilson](#), 404-498-1552.



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### Process Overview

All Federal agencies and Departments are required by [Federal law](#) to maintain systems according to statutory, regulatory, and other legal mandates and guidelines as defined by NARA.

Why must all systems be inventoried and placed on a records control schedule?

- Proper management and disposition of records limits risk and the potential for unauthorized information leaks.
- If records are destroyed too early essential CDC history may be lost, agencies may not be able to properly respond to Privacy Act (PA) or Freedom of Information Act (FOIA) requests
- It helps ensure that agencies have the recorded information necessary to conduct Government business, avoid waste, and preserve America's documentary heritage.

NARA requires Federal agencies to obtain disposition authority for all programmatic records whose disposition is not covered in the General Records Schedules (GRS). Records without disposition schedules may not be destroyed and must be preserved until a disposition schedule can be applied to them by NARA.

At the CDC all federal records must be maintained in accordance with the retention periods and disposition instructions outlined by CDC/ATSDR Records Control Schedules and NARA General Records Schedule (GRS). Any request for variance from these schedules should be brought to the attention of the CDC Records Officer, Management Analysis and Policy Branch (MAPB) of MASO. For more information regarding this policy and schedule visit: <http://intranet.cdc.gov/maso/RM/rmSenior.htm>.

Developing a records schedule includes reviewing agency functions and recordkeeping requirements, inventorying and evaluating records, preparing disposition instructions, organizing and clearing the schedule internally, and obtaining approval from NARA and, if necessary, from the General Accountability Office (GAO).

CDC shall use [NARA GRS](#), particularly [GRS 20 Electronic Records](#), [GRS 23 Records Common to Most Offices Within Agencies](#), and [GRS 24 Information Technology Operations and Management Records](#) as applicable schedules for the disposition of electronic records and related documentation and indexes. The GRS covers only disposable (temporary) records. GRS 23 covers word processing files, certain administrative databases, and electronic spreadsheets.

For those systems not scheduled CDC will develop proposed records disposition schedules for electronic records created or received. This will be done in accordance with the policy and procedures specified in [HHS IRM, "Records Management."](#) This policy also requires the development of records disposition functionalities in electronic recordkeeping system during the design phase of the system.

For more information on managing electronic records please refer to the NARA Tool Kit at: <http://toolkit.archives.gov/pls/htmldb/f?p=102:1:854440830252666842>



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### Is Your System Scheduled?

If you are in the planning phase for developing a new system the CDC Records Officer should be part of the development team. The Records Officer can ensure standardization of IT project management with HHS best practices for records. Also, the Officer can identify key records processes that each project should follow to meet Federal regulations and other compliance mandates.

If your system is operational then you should check the following records control schedules to see if it is already scheduled, [CDC Records Control Schedules](#), [ATSDR Records Control Schedules](#), or [NARA General Records Schedules](#). If it is scheduled then the disposition authorization should be a part of the functionality of the system to ensure compliance with Federal requirements and other obligations.

If you cannot locate your system on the above records control schedules then you need to schedule the system. Steps in scheduling your system are as follows:

- Initial Consultation and Analysis with the CC/CO/NC Program Officials and CDC Records Officer
- Formulation of the SF-115 Draft
- Internal (CDC) Review
- External Review between CDC RO, DHHS RO and NARA
- External Review between CDC Office of the General Counsel (OGC), HHS OGC and NARA OGC
- Finalized Approval of Records Schedule (SF-115)

Proper implementation involves issuing the approved records schedule as an agency directive, training employees to use it, and carefully applying the schedule's provisions to both permanent and temporary records. The schedule's objective is to ensure the authorized, appropriate, and timely disposition of the agency's records. Besides being developed and implemented, the schedule needs to be reviewed at least annually and updated whenever necessary.



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### Process Attributes

This section provides a list of process attributes to help project teams better understand when and how the requirements may impact their project and how to remain in compliance with statutory, regulatory, and other legal mandates and guidelines.

PROCESS ATTRIBUTE	DESCRIPTION
<b>Process Owner(s)</b>	Mary K. Wilson, CDC Records Officer
<b>Process Criteria</b>	All Federal agencies and departments are required by Federal law to maintain electronic systems that comply with statutory, regulatory, and other legal mandates and guidelines. All CC/CO/NC are required to adhere to such policies, procedures, and processes as may be developed to achieve compliance with this obligation.
<b>Timing of Process in Project Life Cycle</b>	Establish a Records Control Schedule at the beginning of the project's lifecycle, during the concept/initiation phase of the project. Execute on that schedule throughout the remainder of the project's life.
<b>Estimated Level of Effort</b>	Minimal
<b>Associated Costs</b>	Dependant on program and size of electronic systems (e.g., electronic storage space, hard copy production, disposition authority, etc.)
<b>Process Prerequisites</b>	None
<b>Process Dependencies</b>	Within 18 months after program begins
<b>Related Systems/Tools</b>	General Information and Database Search <a href="http://intranet.cdc.gov/maso/RM/rmGeneral.htm">http://intranet.cdc.gov/maso/RM/rmGeneral.htm</a>
<b>Available Training</b>	Records Management Training and Additional Links <a href="http://intranet.cdc.gov/maso/RM/rmTraining.htm">http://intranet.cdc.gov/maso/RM/rmTraining.htm</a>
<b>Additional Information</b>	None

### Contact List

This section provides a list of individuals and/or offices that are available to assist project team in answering questions regarding the content of this Process Guide and related topics. The information is correct as of this publication. However, due to the ever-changing nature of our work environment it is possible some information may be out of date.

NATIONAL CENTER	ROLE	NAME
Management Analysis and Services Office (MASO)	CDC Records Officer	<a href="#">Mary K. Wilson</a>
Management Analysis and Services Office (MASO)	Assistant CDC Records Officer	<a href="#">Beverly King</a>
Management Analysis and Services Office (MASO)	Management and Program Analyst	<a href="#">Mary Cunningham</a>



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### Processes

This section contains information on processes specific to the activities outlined within this document.

RECORDS DISPOSITION PROCESS	
<b>Required for Records Disposition Authority</b>	<ul style="list-style-type: none"> <li>• Initial Consultation and Analysis with the CC/CO/NC Program Officials and CDC Records Officer</li> <li>• Formulation of the SF-115 Draft</li> <li>• Internal (CDC) Review</li> <li>• External Review between CDC RO, DHHS RO and NARA</li> <li>• External Review between CDC Office of the General Counsel (OGC), HHS OGC and NARA OGC</li> <li>• Finalized Approval of Records Schedule (SF-115)</li> </ul>
<b>Annual Review</b>	Records schedules are reviewed annually, each agency is required to evaluate periodically its records management programs, including records disposition, for compliance with relevant laws and regulations and for effectiveness

MANAGING RECORDS DISPOSITION	
<b>Steps in Managing Records Disposition</b>	<ul style="list-style-type: none"> <li>• Issue a program directive assigning authorities and responsibilities for records disposition activities in the agency and keep that directive up to date</li> <li>• Develop, implement, and update a comprehensive records schedule</li> <li>• Train all those taking part in the agency's records disposition activities</li> <li>• Publicize the program to make all agency employees aware of their records disposition responsibilities</li> <li>• Evaluate the results of the program to ensure adequacy, effectiveness, and efficiency</li> </ul>



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### Key Terms

The CDC Unified Process Team maintains a comprehensive list of key terms and acronyms relevant to all Unified Process artifacts maintained on the CDC UP website. Follow the link below for definitions and acronyms related to this, and other, documents.

[http://www2.cdc.gov/cdcup/document\\_library/glossary/default.asp](http://www2.cdc.gov/cdcup/document_library/glossary/default.asp)

### Activities Checklist

This section provides a list of steps outlining the activities associated with complying with this process, who usually performs those activities, and a list of any related documents or tools that may assist in completing the activities.

ACTIVITY	RELATED DOCUMENTS/TOOLS	PERFORMED BY
1. CC/CO/NC requests a records disposition authority for new or existing records.		CC/CO/NC Program Manager
2. CDC Records Officer (RO) prepares a records disposition authority for new or existing records. The Request for Disposition usually begins when the CDC RO is notified of the need for disposition authority for unscheduled or newly created records or the need to revise the disposition of scheduled records.		CDC Records Officer (RO)
3. The CDC RO interviews the CC/CO/NC program office to collect information needed to complete the draft records control schedule <ul style="list-style-type: none"> <li>• If the schedule represents a revision in older schedules then superseded item in current NARA approved schedules must be listed in the SF-115.</li> </ul>		CDC RO
4. CDC RO drafts schedule on a SF-115 Request for Disposition Authority.	SF-115	CDC RO
5. After a thorough review of all background material and programmatic needs of the CC/CO/NC, the CDC RO forwards the draft SF-115 containing a proposed records control schedule to the CC/CO/NC program office for approval.	SF-115 and background information	CDC RO
6. The CC/CO/NC program office reviews the schedule internally for approval.	SF-115	CDC RO and CC/CO/NC Program Manager
7. If revisions are requested, the CDC RO determines whether the revisions are necessary and relevant. <ul style="list-style-type: none"> <li>• If the CDC RO determines the revisions are reasonable, they are incorporated into the draft schedule.</li> <li>• If the CDC RO determines the revisions are not reasonable, negotiations are held and consensus is reached with program officials.</li> </ul>	SF-115	CDC RO
8. CDC RO forward SF-115 draft to OGC for approval.	SF-115	CDC RO



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ACTIVITY	RELATED DOCUMENTS/TOOLS	PERFORMED BY
9. Does OGC have any questions or comments? • If not, then go to step 14.	SF-115	OGC
10. If the OGC has questions or comments the CDC RO forwards those to the CC/CO/NC program office.	Questions and comments on the draft SF-115	CDC RO
11. Do the CC/CO/NC program office and OGC reach an agreement on SF-115? • If yes, then the OGC approves and returns the SF-115 to CDC RO. • If not, negotiations take place until the CC/CO/NC and OGC reach an agreement.	Questions and comments on the draft SF-115	CDC RO, OGC and CC/CO/NC Program Manager
12. The CDC RO forwards the SF-115 and supporting documentation to the HHS RO and HHS Director of Freedom of Information Act (FOIA) Request and Privacy Act Requests for review and signature.	SF-115	CDC RO
13. Have HHS Officials approve and sign? • If yes, HHS forwards SF-115 to NARA for concurrence and approval. • If not, then negotiations must take place between the CC/CO/NC and HHS to reach an agreement before HHS will approve the SF-115.	SF-115	HHS ,CDC RO, and CC/CO/NC Program Manager
14. The SF-115 is signed by both HHS officials and forwarded to NARA for review.	SF-115	HHS
15. CDC RO provides NARA with information to conduct investigation.	SF-115	CDC RO
16. After investigation does NARA approve SF-115? • If yes, NARA will then publish the schedule in the Federal Register for forty-five days (45) for public comment. If there is no public response the Archivist will approve and sign the SF-115, containing the legally approved schedule and forward it to the HHS RO who will then make a copy and forward the original to the CDC RO. • If not, negotiations take place until NARA and the CDC RO reach an agreement. • The schedule is then distributed to 10 Federal Records Centers across the country.	SF-115	NARA
17. If there is public comment negotiations must take place between HHS, NARA, and CDC RO before SF-115 is approved.	SF-115	NARA, HHS, and CDC RO
18. If there is no public comment the archivist will approve and sign the schedule and return the SF-115 to HHS RO.	SF-115	Archivist
19. HHS RO makes a copy and sends the original to CDC RO.	SF-115	HHS RO
20. The CDC RO places the original SF-115 in an approved records control schedule.	SF-115	CDC RO



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ACTIVITY	RELATED DOCUMENTS/TOOLS	PERFORMED BY
21. The CDC RO will then place the original paper copy of the approved SF-115 in an "approved records control schedule" file. A copy of the SF-115 is sent to the applicable records liaison and program officials who maintain the records.	SF-115	CDC RO
22. Are the records recurring? <ul style="list-style-type: none"><li>• If yes, an excerpt of the schedule is placed in a word directory called "CDC Records Control Schedules, B-321" and a copy is also maintained on the CDC MASO RM Intranet site.</li><li>• If not, then the request for Records Disposition Authority is completed.</li></ul>	B-321	CDC RO and CC/CO/NC Program Manager
23. Request for Records Disposition Authority Completed and moves into maintenance mode.		

Additional ongoing support and maintenance activities are performed by the CC/CO/NC Program Manager and include the following. Additional information can be obtained at <http://intranet.cdc.gov/maso/RM/rmTraining.htm>:

1. Maintain a comprehensive records inventory on electronic systems
2. Support electronic records management and database management systems
3. Assist with the management of records i.e. active, inactive, and disposition
4. Offer file management assistance
5. Provide online training as well as one-to-one training on records management topics