

## NCA RECORDS AND INFORMATION MANAGEMENT

- 1. REASON FOR ISSUE:** To update National Cemetery Administration (NCA) policy for the creation, maintenance, and disposition of Federal records.
- 2. SUMMARY OF CHANGES:** Changes to this policy include:
  - a. Consolidating and simplifying language in the policy section.
  - b. Removing a former responsibility for the Veterans Cemetery Grants Program and Alternate Dispute Resolution and Diversity Directors.
  - c. Adding a references section.
  - d. Adding a definitions section.
- 3. RESPONSIBLE OFFICE:** National Cemetery Administration, Office of Information Management and Business Support Service (43D), 810 Vermont Avenue, NW, Washington, DC 20420, is responsible for the contents of this directive. Questions may be referred to the NCA Records Officer, within the Information Management and Business Support Service.
- 4. RELATED PUBLICATIONS:**
  - a. VA Directive 6300, Records and Information Management.
  - b. VA Handbook 6300.1, Records and Information Management Procedures.
  - c. NCA Handbook 6300.1, Records and Information Management Procedures.
- 5. RESCISSION:** NCA Directive 6300, NCA Records and Information Management (May 8, 2012).
- 6. RECERTIFICATION:** This document is scheduled for recertification on or before the last day of March, 2023.

/s/  
Ronald E. Walters  
Principal Deputy Under Secretary  
for Memorial Affairs

Distribution: Electronic

## NCA RECORDS AND INFORMATION MANAGEMENT

### 1. PURPOSE AND AUTHORITY:

a. This Directive provides National Cemetery Administration (NCA) policy for the creation, maintenance, and disposition of Federal records. This policy applies to managing information in electronic or other machine-readable recording media, such as computer tapes and disks (including electronic mail), optical disks, Computer Disks-Read Only Memory, sound and video recording tapes, photographic film, and microfilm.

b. The statutory authority for disposition of records is the Federal Records Act of 1950, as amended. Federal agency records management programs must comply with regulations published by both the National Archives and Records Administration (NARA) and General Services Administration (GSA). Relevant NARA regulations are contained in the Code of Federal Regulations (CFR) at 36 CFR parts 1220 through 1239, and GSA regulations are contained in 41 CFR parts 102-193.

c. Authority to destroy or otherwise dispose of Federal records comes from the General Records Schedules published by NARA and specific schedules approved for NCA-unique records by the Archivist of the United States. The NCA Records Control Schedule applies to NCA records in all media and formats at all NCA locations. A current copy of the NCA record control schedule may be obtained from the NCA Records Officer.

### 2. POLICY:

a. It is NCA policy to manage agency records effectively and efficiently throughout the records' life cycle (creation, maintenance, use, and disposition), to facilitate the preservation of records in accordance with applicable statutory and regulatory requirements, and to promote access to information by NCA employees, agency partners, and the public, as appropriate.

b. Willful and unlawful removal, destruction, or damage of Federal records can result in criminal penalties under the provisions of title 18 U.S.C. section 2071.

### 3. RESPONSIBILITIES:

a. NCA Managers are responsible for:

(1) Making and preserving records that contain adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the office and are 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;

(2) Establishing and maintaining an active, continuing program for the economical and efficient management of the records of their office;

(3) Establishing safeguards against the removal or loss of records and making requirements and penalties known to their employees;

(4) Notifying the NCA Records Officer of any actual, impending, or threatened unlawful destruction of records and assisting in their recovery; and

(5) Designating one or more individuals on their staff to serve as a records liaison.

b. The NCA Records Officer is responsible for managing and coordinating the records management program for NCA. This includes:

(1) Providing guidance, training, and information to NCA employees about the proper maintenance and disposition of all records in all formats;

(2) Assisting in the appropriate disposition of records;

(3) Inventorying, evaluating, and scheduling new records schedules and revising existing records schedules, as necessary;

(4) Assisting in the planning and implementation of manual or automated information systems and the NCA vital records program;

(5) Conducting reviews of records management activities; and

(6) Helping NCA staff establish, document, and use file plans.

c. Each Records Liaison will be responsible for the implementation of the provisions of VA and NCA records management policy within their office. This includes:

(1) Providing guidance and information from the NCA Records Officer to NCA Service staff about the proper maintenance and disposition of all records in all formats;

(2) Assisting in the inventory and appropriate disposition of records;

(3) Informing NCA Records Officer of any need to evaluate or schedule new records scheduled and revise existing records schedules;

(4) Assisting the NCA Records Officer in the planning and implementation of manual or automated information systems and the NCA vital records program;

(5) Assisting the NCA Records Officer in conducting reviews of records management activities; and

(6) Helping NCA employees establish, document and use file plans.

d. All NCA employees are responsible for following established policies and procedures within NCA and VA related to the management of records, files, and information.

#### 4. REFERENCES:

- a. The Federal Records Act of 1950 as amended (44 U.S.C. Chapters 21, 29, 31, 33).
- b. Office of Management and Budget Circular A-130, Managing Federal Information as a Strategic Resource (last updated July 28, 2016, see 81 FR 49689).

#### 5. DEFINITIONS:

a. **File Plan**. A Document listing records filed in an office as well as their disposition authority.

b. **General Records Schedule**. The NARA General Records Schedule (GRS) contains the retention and disposition requirements for records and information that are common to two or more Federal agencies. The disposition requirements of the GRS, including record retention periods, are mandatory across VA unless an exception is obtained from NARA. The GRS does not cover all VA or NCA records. Citations from the GRS will be used in the NCA record control schedule as the authority for disposition of NCA records whenever applicable.

c. **Life Cycle**. The records management concept covering creation, maintenance and use, and disposition of records and recorded information.

(1) Creation: The records life cycle is initiated by the creation, collection, and receipt of records in the form of data or documents; in any medium (i.e. paper, film, disk, or electronic file) and format (i.e. electronic, audiovisual, microfilm, architectural, engineering, or printed) in the course of carrying out administrative, programmatic, and clinical responsibilities and needs of the facility. Records disposition must be part of the architecture of any new record development or updates/corrections or modifications to existing records.

(2) Maintenance and Use: Records life cycle continues through the maintenance and use of the record which includes filing, retrieving, use, duplication, printing, dissemination, release, and exchange of the records. The facility will maintain and preserve records necessary to protect the legal and financial rights of the government and of persons directly affected by its activities. Reasonable efforts will be made to maintain records in appropriate format or media for reproduction under the Freedom of Information Act (FOIA). Duplicate records will be prepared only in amounts required for the efficient operations of the facility or as permitted by Federal regulations.

(3) 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.

d. **Records**. All recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them. **NOTE:** *Consistent with 36 CFR 1222.14, the term "records" does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents.*

e. **NCA Managers**. An NCA manager is an NCA employee in a leadership or supervisory role that oversees the operations of an NCA program element. Position titles include, but are not limited to: Chief of Staff, Deputy Under Secretary, Executive Director, Service Director, Cemetery Director, or Chief.

f. **NCA Records Control Schedule**. The NCA record control schedule covers records and record series that are unique to NCA; it supplements the GRS. The NCA record control schedule applies to all NCA records, including those in NCA field facilities and NCA Central Office program offices.

g. **Inventory**. A record inventory will include the date prepared, department or program creating the inventory, person conducting the inventory, record location, record series, description of the record, inclusive dates of information in the series, disposition, and type of medium (paper, electronic, audiovisual, etc.). Both electronic and non-electronic records should be included in the record inventory.

h. **Records Liaison**. Individuals in NCA offices, services, organizations and field locations responsible for implementation of records management procedures.

i. **Records Management**. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, maintenance, use, and disposition, to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

j. **Records Officer (VA)**. Person within VA assigned responsibility for overseeing the VA-wide records management program.

k. **Records Officer (NCA)**. Person within NCA assigned responsibility for working with the VA Records Officer in managing and coordinating a records management program for NCA.