

## **NARA's Unauthorized Disposition Reporting Requirements**

Anyone can report the unauthorized disposition (UD) of federal records.

When reporting an incident of UD please provide any evidentiary documentation that can help substantiate the UD as well as the information outlined in sections 1-3 below.

If a federal agency is self-reporting a UD incident, please provide the information outlined in sections 1-5 below.

Send all UD reports to NARA's Oversight and Reporting Program via email at [UnauthorizedDisposition@nara.gov](mailto:UnauthorizedDisposition@nara.gov)

### **UD reports should contain the following information:**

#### **1. Description of the records**

- What information did the federal record document?
  - e.g. Were the records documenting project files, medical records, or contracts etc.
- How many records are associated with the UD incident?
  - Quantify the amount of records lost based on the record medium type or the content of the records. eg. 5 cubic feet, 3 case files, 1 TB of data, or 34 emails etc.
- What time period do the records cover?
  - e.g. emails from CY 2000-2013, FY 2012 budget files or text messages from January - May 2010 etc.
- Were the records scheduled or unscheduled?
  - If the records were scheduled, what NARA approved disposition authority (i.e. records schedule) is associated with the records in question?

#### **2. Agency Program responsible for managing the records**

- Which agency program office is responsible for maintaining the records?

#### **3. Circumstances surrounding the unauthorized disposition**

- Describe the exact circumstances that led to the UD incident?
- When did these circumstances occur?
- Which agency program office/staff was involved in the UD incident?
- Why did the circumstances occur?

#### **4. Agency actions taken to salvage or reconstruct the records**

- Can information from the records be reconstructed or salvaged?
- Describe any agency attempts to salvage or reconstruct the information documented on the records?
  - e.g. Does a backup file of the records exist? Does another program office maintain information that could re-establish the record partially or entirely? Can a third-party provide copies of the information documented on the records in question?

#### **5. Established agency safeguards**

- Agencies must assess current agency records management processes, procedures and systems to identify issues that led to the UD incident.
- Agencies must determine what necessary actions can be taken to prevent future losses from happening.
- Provide a detailed description of any established safeguards.
  - e.g. If agency personnel lost paper receipts while teleworking, a potential safeguard could entail creating new standard operating procedures, and supplying equipment that allows staff to scan or photograph receipts and upload the digital files to an agency Electronic Records Management System (ERMS) or network drive.