

# DAA-GRS-2013-0002

This file contains three documents. The “ERA Version” of the schedule is the official version as it appears in the Electronic Records Archives. Its presentation is heavily fielded to ERA architecture. You may find the “Review Version” (the format that will appear when the approved schedule is published online) easier to read. Both versions contain the same information. The Appraisal Memorandum provides additional background explanation and includes the appraiser’s justification for the retention decisions proposed in the schedule.

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National Archives and Records Administration  
Office of the Chief Records Officer  
GRS Team  
May 1, 2013

## Request for Records Disposition Authority

Records Schedule Number	DAA-GRS-2013-0002
Schedule Status	Appraiser Working Version
Agency or Establishment	General Records Schedules (National Archives and Records Administration)
Record Group / Scheduling Group	General Records Schedules
Records Schedule applies to	Government-wide
Schedule Subject	Records Related to Records and Information Management
Internal agency concurrences will be provided	No

**Background Information** This schedule covers records related to the coordination of information collection, library and information center services, records tracking and control, records management, forms management, and the management of vital business information.

Agencies conduct information collections and receive clearances from the Office of Management and Budget (OMB) under the auspices of the Paperwork Reduction Act. Records documenting OMB's government-wide information management planning and programming are not authorized for disposal by this schedule.

The National Archives and Records Administration (NARA) administers the Federal Records Act (44 U.S.C. Chapter 31 - Records Management by Federal Agencies) and 44 U.S.C. Chapter 33 - Disposal of Records. Records documenting NARA's government-wide records management planning and programming are not authorized for disposal by this schedule.

The General Services Administration's (GSA) forms management role is contained in 41 CFR 102-194, Standard and Optional Forms Management Program. GSA provides additional guidance on the Standard and Optional Forms Management Program through an external handbook called Standard and Optional Forms Procedural Handbook. Records documenting GSA's government-wide forms management planning and programming are not authorized for disposal by this schedule.

The management of vital business information by agencies is addressed by 36 CFR, CHAPTER XII, SUBCHAPTER B--RECORDS MANAGEMENT, Part 1223—Managing Vital Records and Federal

Continuity Directive (FCD) 1, Federal Executive Branch National Continuity Program and Requirements, Annex I-Vital Records Management. Records documenting the Department of Homeland Security's and NARA's government-wide vital records management planning and programming are not authorized for disposal by this schedule.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	1	8	0

GAO Approval

## Outline of Records Schedule Items for DAA-GRS-2013-0002

Sequence Number	
1	Library and Information Center Services Disposition Authority Number: DAA-GRS-2013-0002-0001
2	Interlibrary Loan Files Disposition Authority Number: DAA-GRS-2013-0002-0002
3	Circulation and Use Records
3.1	Records Related to the Circulation of Traditional Library Materials Disposition Authority Number: DAA-GRS-2013-0002-0003
3.2	Records Related to the Use of Special Collections Disposition Authority Number: DAA-GRS-2013-0002-0004
4	Records about Records Tracking and Control
4.1	Indexes and Finding Aids for Temporary Records Disposition Authority Number: DAA-GRS-2013-0002-0005
4.2	Indexes and Finding Aids Related to Permanent Records Disposition Authority Number: DAA-GRS-2013-0002-0006
5	Records Management Disposition Authority Number: DAA-GRS-2013-0002-0007
6	Records Related to Identifying and Managing Vital Business Information Disposition Authority Number: DAA-GRS-2013-0002-0008
7	Forms Management Disposition Authority Number: DAA-GRS-2013-0002-0009

## Records Schedule Items

Sequence Number	
1	<p data-bbox="341 380 909 411"><b>Library and Information Center Services</b></p> <p data-bbox="341 432 1149 464">Disposition Authority Number      <b>DAA-GRS-2013-0002-0001</b></p> <p data-bbox="341 485 1521 1094">Many agencies operate libraries and information centers that provide information, research materials, and services to agency staff. Some agency libraries provide library materials and services to clients, researchers, and patrons from the general public. Agency libraries maintain collections, perform research, loan materials, borrow materials through interlibrary loan, and conduct database searches. Library and Information Center Services consists of records related to library and information center programs, including information on planning and management, and records documenting the communications with internal agency offices and external libraries. Records consist of those such as: • reports • statistics • catalog of holdings including: o manual and automated catalogs and lists of books, journals, reports, serials, and other published materials • reference requests records including: o call slips o requests for database searches o requests for research services • collection acquisition records including: o copies of purchase requests, orders, vouchers, receipts, invoices, and related correspondence documenting acquisition • serials subscription records including: o Logs o card files o databases</p> <p data-bbox="341 1115 919 1146">Final Disposition                      <b>Temporary</b></p> <p data-bbox="341 1167 878 1199">Item Status                                <b>Pending</b></p> <p data-bbox="341 1220 821 1251">Is this item media neutral?            <b>Yes</b></p> <p data-bbox="341 1272 821 1398">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p data-bbox="341 1419 821 1514">Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <p data-bbox="341 1545 659 1577"><b>Disposition Instruction</b></p> <p data-bbox="341 1608 1521 1682">Retention Period                         <b>Destroy 3 year(s) after the project/activity/transaction is completed or superseded</b></p> <p data-bbox="341 1713 659 1745"><b>Additional Information</b></p> <p data-bbox="341 1776 951 1808">GAO Approval                              <b>Not Required</b></p>
2	<p data-bbox="341 1839 659 1871"><b>Interlibrary Loan Files</b></p> <p data-bbox="341 1892 1154 1923">Disposition Authority Number      <b>DAA-GRS-2013-0002-0002</b></p>

Requests to borrow or photocopy materials from other libraries. Interlibrary Loan Files includes records such as: • receipts for materials • photocopy logs • accounting records • circulation records

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Retention Period Destroy 5 year(s) after completion of transaction

#### Additional Information

GAO Approval Not Required

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#### Circulation and Use Records

Logs, charge-out cards, and related records documenting the loan of library materials or use of materials in the library. Includes records such as: • logs • charge-out cards

3.1

#### Records Related to the Circulation of Traditional Library Materials

Disposition Authority Number DAA-GRS-2013-0002-0003

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Retention Period Destroy 1 year(s) after borrowed item is returned

#### Additional Information

<p>3.2</p>	<p>GAO Approval <span style="float: right;">Not Required</span></p> <p><b>Records Related to the Use of Special Collections</b></p> <p>Disposition Authority Number <span style="float: right;">DAA-GRS-2013-0002-0004</span></p> <p>Final Disposition <span style="float: right;">Temporary</span></p> <p>Item Status <span style="float: right;">Pending</span></p> <p>Is this item media neutral? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item exist as structured electronic data? <span style="float: right;">Yes</span></p> <p><b>Disposition Instruction</b></p> <p>Retention Period <span style="float: right;">Destroy no sooner than 10 year(s) after use of material by patron but longer retention is authorized</span></p> <p><b>Additional Information</b></p> <p>GAO Approval <span style="float: right;">Not Required</span></p>
<p>4</p>	<p><b>Records about Records Tracking and Control</b> Activities related to the proper maintenance, tracking, and transfer of records to the National Archives. Agencies create and maintain these records to provide access to and monitor various attributes of official Agency documents which include, but are not limited to: location, document type, format, and subject. Includes records such as: • electronic indexes • lists • registers • inventories • logs • reports Note: This series EXCLUDES records containing abstracts or other information that can be used as an information source apart from the related records.</p>
<p>4.1</p>	<p><b>Indexes and Finding Aids for Temporary Records</b></p> <p>Disposition Authority Number <span style="float: right;">DAA-GRS-2013-0002-0005</span></p> <p>Final Disposition <span style="float: right;">Temporary</span></p> <p>Item Status <span style="float: right;">Pending</span></p> <p>Is this item media neutral? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <span style="float: right;">Yes</span></p> <p>Do any of the records covered by this item exist as structured electronic data? <span style="float: right;">Yes</span></p>

4.2

GRS or Superseded Authority Citation	N1-GRS-95-2 item 9 N1-GRS-81-9, item VI-1 N1-GRS-81-9, item VI-2 N1-GRS-98-2 item 45 N1-GRS-98-2 item 46 N1-GRS-03-1 item 4b
<b>Disposition Instruction</b>	
Retention Period	Destroy when no longer needed
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Indexes and Finding Aids Related to Permanent Records</b>	
Disposition Authority Number	DAA-GRS-2013-0002-0006
<p>NOTES: (1) Per NARA practice, indexes and finding aids for permanent records should be transferred with the related records using the disposition authority for the related records rather than the GRS disposition authority. (2) Agencies may retain a copy of indexes and finding aids related to permanent records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.</p>	
Final Disposition	Permanent
Item Status	Pending
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
<b>Disposition Instruction</b>	
Transfer to the National Archives for Accessioning	Transfer to the National Archives with the permanent records to which the documentation relates
<b>Additional Information</b>	
What will be the date span of the initial transfer of records to the National Archives?	Unknown This authority applies to records across the entire Federal Government. Specific transfers are unknown.
How frequently will your agency transfer these records to the National Archives?	Unknown



This authority applies to records across the entire Federal Government. Specific transfers are unknown.

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### Records Management

Disposition Authority Number      **DAA-GRS-2013-0002-0007**

Activities related to the policies, procedures, and tracking of records of Agency business from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and operating the function of agency records management. This function is to manage operational records, which are those records that agency staff and contractors create in the course of conducting agency business. Activities include: • Providing oversight of entire records management program; • Retiring, destroying, and retrieving records stored in records centers; • Inventorying records and conducting records surveys; • Scheduling records; • Providing other records management services to customer units (such as records storage/reference assistance, disaster recovery/incident response, and technical assistance with files plans and other records management questions); • Inspecting records that have been converted to alternative formats and media; • Conducting records "clean out" days; and • Conducting special projects. Specific record types may include the following: • descriptive inventories • agency records management program surveys or evaluations • reports of surveys or evaluations • reports of corrective action taken in response to agency program surveys or evaluations • disposal authorizations, schedules, and reports • records schedules • records transmittals and receipts • transfer requests

Final Disposition      **Temporary**

Item Status      **Pending**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?      **Yes**

GRS or Superseded Authority Citation      **N1-GRS-98-2 item 19 - in part  
N1-GRS-98-2 item 16  
N1-GRS-98-2 item 17  
N1-GRS-98-2 item 18  
N1-GRS-91-4 item 1  
N1-GRS-98-2 item 22**

Disposition Instruction

6	Retention Period	Destroy no sooner than 6 year(s) after the project/ activity/transaction is completed or superseded but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	<b>Records Related to Identifying and Managing Vital Business Information</b>	
	Disposition Authority Number	DAA-GRS-2013-0002-0008
	Planning, operating, and managing the agency's vital records program Includes records such as: • vital records inventories • cycling plans • results of tests, surveys, or evaluations • reports of corrective action taken in response to agency tests	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-GRS-98-2 item 19 - in part
Disposition Instruction		
Retention Period	Destroy 6 year(s) after project/activity/transaction is completed or superseded	
Additional Information		
GAO Approval	Not Required	
7	<b>Forms Management</b>	
	Disposition Authority Number	DAA-GRS-2013-0002-0009
	Activities to ensure use of standard federal and Agency forms to support effective record keeping and ensure that Federal standard forms are available and used as appropriate to support Federal record keeping requirements. Forms Management includes records such as: • Forms registers used to record and control the numbers and other identifying data assigned to each form. • Official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the	

form. • Working papers, background materials, requisitions, specifications, and processing data.

Final Disposition Temporary

Item Status Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-GRS-81-4 item 1  
NC1-64-77-8 item 4b

Disposition Instruction

Retention Period Destroy 5 year(s) after form is discontinued, superseded, or cancelled

Additional Information

GAO Approval Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
04/30/2013	Certify	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services

## Executive Summary

### Summary

Permanent Item Numbers           0006

Federal Register Notice

Publication Date

Copies Requested                   0

Comments Received                 0

NOTE: This schedule is intended to be used as an alternate review version of a Request for Records Disposition Authority submitted for approval in the Electronic Records Archive (ERA). This version contains the same information that is in ERA with one exception, it has provided hierarchical overview and item numbers. These numbers reflect the manual citation numbers that will appear in the manual version of the GRS published on NARA's website.

## REQUEST FOR RECORDS DISPOSITION AUTHORITY

**Records Schedule Number:** DAA-GRS-2013-0002

**Agency or Establishment:** General Records Schedules (National Archives and Records Administration)

**Records Group:** General Records Schedules

**Record Schedule applies to:** Government-wide

**Schedule Subject:** Records Related to Records and Information Management

### **Background Information:**

This schedule covers records related to the coordination of information collection, library and information center services, records tracking and control, records management, forms management, and the management of vital business information.

Agencies conduct information collections and receive clearances from the Office of Management and Budget (OMB) under the auspices of the Paperwork Reduction Act. Records documenting OMB's government-wide information management planning and programming are not authorized for disposal by this schedule.

The National Archives and Records Administration (NARA) administers the Federal Records Act (44 U.S.C. Chapter 31 - Records Management by Federal Agencies) and 44 U.S.C. Chapter 33 - Disposal of Records. Records documenting NARA's government-wide records management planning and programming are not authorized for disposal by this schedule.

The General Services Administration's (GSA) forms management role is contained in 41 CFR 102-194, Standard and Optional Forms Management Program. GSA provides additional guidance on the Standard and Optional Forms Management Program through an external handbook called *Standard and Optional Forms Procedural Handbook*. Records documenting GSA's government-wide forms management planning and programming are not authorized for disposal by this schedule.

The management of vital business information by agencies is addressed by 36 CFR, CHAPTER XII, SUBCHAPTER B--RECORDS MANAGEMENT, Part 1223—Managing Vital Records and Federal Continuity Directive (FCD) 1, Federal Executive Branch National Continuity Program and Requirements, Annex I- Vital Records Management. Records documenting the Department of Homeland Security's and NARA's

government-wide vital records management planning and programming are not authorized for disposal by this schedule.

### 1. Library and Information Center Services

Many agencies operate libraries and information centers that provide information, research materials, and services to agency staff. Some agency libraries provide library materials and services to clients, researchers, and patrons from the general public. Agency libraries maintain collections, perform research, loan materials, borrow materials through interlibrary loan, and conduct database searches.

Library and Information Center Services consists of records related to library and information center programs, including information on planning and management, and records documenting the communications with internal agency offices and external libraries.

Records consist of those such as:

- reports
- statistics
- catalog of holdings including:
  - manual and automated catalogs and lists of books, journals, reports, serials, and other published materials
- reference requests records including:
  - call slips
  - requests for database searches
  - requests for research services
- collection acquisition records including:
  - copies of purchase requests, orders, vouchers, receipts, invoices, and related correspondence documenting acquisition
- serials subscription records including:
  - Logs
  - card files
  - databases

**Disposition:** Temporary. Destroy 3 year(s) after the project/activity/transaction is completed or superseded.

**Disposition Authority:** DAA-GRS-2013-0002-0001

**Media Neutral:** Yes.

**GAO Approval:** Not Required

## 2. Interlibrary Loan Files

Requests to borrow or photocopy materials from other libraries.

Interlibrary Loan Files includes records such as:

- receipts for materials
- photocopy logs
- accounting records
- circulation records

**Disposition:** Temporary. Destroy 5 year(s) after completion of transaction.

**Disposition Authority:** DAA-GRS-2013-0002-0002

**Media Neutral:** Yes.

**GAO Approval:** Not Required

## 3. Circulation and Use Records

Logs, charge-out cards, and related records documenting the loan of library materials or use of materials in the library.

Includes records such as:

- logs
- charge-out cards

### a. Records Related to the Circulation of Traditional Library Materials

**Disposition:** Temporary. Destroy 1 year(s) after borrowed item is returned.

**Disposition Authority:** DAA-GRS-2013-0002-0003

**Media Neutral:** Yes.

**GAO Approval:** Not Required

### b. Records Related to the Use of Special Collections

**Disposition:** Temporary. Destroy no sooner than 10 year(s) after use of material by patron but longer retention is authorized.

**Disposition Authority:** DAA-GRS-2013-0002-0004

**Media Neutral:** Yes.

**GAO Approval:** Not Required



#### 4. Records about Records Tracking and Control

Activities related to the proper maintenance, tracking, and transfer of records to the National Archives. Agencies create and maintain these records to provide access to and monitor various attributes of official Agency documents which include, but are not limited to: location, document type, format, and subject.

Includes records such as:

- electronic indexes
- lists
- registers
- inventories
- logs
- reports

Note: This series EXCLUDES records containing abstracts or other information that can be used as an information source apart from the related records.

##### a. Indexes and Finding Aids for Temporary Records

**Disposition:** Temporary. Destroy when no longer needed.

**Disposition Authority:** DAA-GRS-2013-0002-0005

**Media Neutral:** Yes.

**Supersedes:** N1-GRS-03-1 item 4b (GRS 24, item 4b)

N1-GRS-95-2 item 9 (GRS 20, item 9)

N1-GRS-81-9, item VI-1 (GRS 21, item 28)

N1-GRS-81-9, item VI-2 (GRS 21, item 29)

N1-GRS-98-2 item 45 (GRS 23, item 8)

N1-GRS-98-2 item 46 (GRS 23, item 9)

**GAO Approval:** Not Required

##### b. Indexes and Finding Aids Related to Permanent Records

NOTES:

(1) Agencies may retain a copy of indexes and finding aids related to permanent records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

**Disposition:** Permanent. Transfer to the National Archives with the permanent records to which the documentation relates.

**Disposition Authority:** DAA-GRS-2013-0002-0006

**Media Neutral:** Yes.

**GAO Approval:** Not Required

## 5. Records Management

Activities related to the policies, procedures, and tracking of records of Agency business from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and operating the function of agency records management. This function is to manage operational records, which are those records that agency staff and contractors create in the course of conducting agency business. Activities include:

- Providing oversight of entire records management program;
- Retiring, destroying, and retrieving records stored in records centers;
- Inventorying records and conducting records surveys;
- Scheduling records;
- Providing other records management services to customer units (such as records storage/reference assistance, disaster recovery/incident response, and technical assistance with files plans and other records management questions);
- Inspecting records that have been converted to alternative formats and media;
- Conducting records "clean out" days; and
- Conducting special projects.

Specific record types may include the following:

- descriptive inventories
- agency records management program surveys or evaluations
- reports of surveys or evaluations
- reports of corrective action taken in response to agency program surveys or evaluations
- disposal authorizations, schedules, and reports
- records schedules
- records transmittals and receipts
- transfer requests

**Disposition:** Temporary. Destroy no sooner than 6 year(s) after the project/activity/transaction is completed or superseded but longer retention is authorized.

**Disposition Authority:** DAA-GRS-2013-0002-0007

**Media Neutral:** Yes.

**Supersedes:** N1-GRS-98-2 item 19 – in part (GRS 16, item 7)

N1-GRS-98-2 item 16 (GRS 16, item 2a(1))

N1-GRS-98-2 item 17 (GRS 16, item 2a(2))

N1-GRS-98-2 item 18 (GRS 16, item 2b)

N1-GRS-91-4 item 1 (GRS 16, item 10a)

N1-GRS-98-2 item 22 (GRS 16, items 10b)

**GAO Approval:** Not Required

## 6. Records Related to Identifying and Managing Vital Business Information

Planning, operating, and managing the agency's vital records program

Includes records such as:

- vital records inventories
- cycling plans
- results of tests, surveys, or evaluations
- reports of corrective action taken in response to agency tests

**Disposition:** Temporary. Destroy 6 year(s) after project/activity/transaction is completed or superseded.

**Disposition Authority:** DAA-GRS-2013-0002-0008

**Media Neutral:** Yes.

**Supersedes:** N1-GRS-98-2 item 19 – in part (GRS 16, item 7)

**GAO Approval:** Not Required

## 7. Forms Management

Activities to ensure use of standard federal and Agency forms to support effective record keeping and ensure that Federal standard forms are available and used as appropriate to support Federal record keeping requirements.

Forms Management includes records such as:

- Forms registers used to record and control the numbers and other identifying data assigned to each form.
- Official case files consisting of the record copy of each agency-originated form with related instructions and documentation showing inception, scope, and purpose of the form.
- Working papers, background materials, requisitions, specifications, and processing data.

**Disposition:** Temporary. Destroy 5 year(s) after form is discontinued, superseded, or cancelled.

**Disposition Authority:** DAA-GRS-2013-0002-0009

**Media Neutral:** Yes.

**Supersedes:** NC1-GRS-81-4 item 1 (GRS 16, item 3a); NC1-64-77-8 item 4b (GRS 16, item 3b)

**GAO Approval:** Not Required



NATIONAL ARCHIVES *and*  
RECORDS ADMINISTRATION  
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*www.archives.gov*

**Date:** April 29, 2012  
**Appraiser:** Laura Adams McHale, ACNR  
**Agency:** General Records Schedules (GRS)  
**Subject:** DAA-GRS-2013-0002

AMR 4/29/13

## INTRODUCTION

### Schedule Overview

Records Related to Records and Information Management

### Additional Background Information

Records in the Records and Information Management sub-function cover the activities of library and information center services, records tracking and control, records management, forms management, and vital business information management. Items in this sub-function came from the former GRS 16, Administrative Management Records; GRS 20, Electronic Records; GRS 21, Audiovisual Records; and GRS 23, Records Common to Most Offices Within Agencies. NARA added 4 new items to this schedule within the Library and information center services activity.

This schedule was developed with assistance from volunteer representatives from the following agencies: National Park Service and the US Environmental Protection Agency. Schedule development and review also included the NARA Forms Liaison and PRA Clearance Officer.

### GRS item completely removed from this schedule:

- GRS 16, items 4a & 4b: Records Holdings Files  
In the Records Management category we removed one series, GRS 16/4 Records Holdings Files. Based on reading the dossier, this series was intended for agency reports to NARA using Standard Form-136: Annual Summary of Records Holdings. This form was cancelled in 1985, and NARA no longer requires agencies to submit these reports.

### Overall Recommendation

I recommend approval of the attached schedule.

## APPRAISAL

### Item 0001: Library and Information Center Services

This item covers operational records within library and information centers. NARA bases the item on our review of agency schedules. Many of these agency schedules derive from 1978 to 1981; and are granular in nature with multiple items.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Has little or no research value. Records are administrative in nature.

\* Similar records have been approved as temporary. Library General Correspondence Files, NC1-059-80-21, item 1b. Library Systems Development File, NC1-412-78-07, item 1. Distribution and Control Records, N1-AFU-89-012, item 20. Administrative Files, item 34, NC1-090-78-12 .

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. Agency retentions for these operational records generally range from 3 months to 5 years. A 3 year retention is generally adequate for administrative business needs.

**Media Neutrality:** Approved

### **Item 0002: Interlibrary Loan Files**

Records consist of files documenting the request to borrow library materials from participating institutions. This item requires a longer retention than most library operations records because of requirements established by the Digital Millennium Copyright Act (DMCA). The law became effective in October 2000 and it has been incorporated into the Copyright Act (Title 17 of the U. S. Code). We based this item on our review of \*90314 Interlibrary Loan Files, General Retention and Disposition Schedule for New York State Government Records, Effective January 2008.1

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Has little or no research value. These records are administrative in nature.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. A 5 year retention will meet the business needs of most agencies. This retention will also meet any legal need to demonstrate compliance with U. S. Copyright Law (Title 17 U. S. Code 507) which establishes a 5 year limitation on criminal actions for copyright violations.

**Media Neutrality:** Approved

### **Item 0003: Circulation and Use Records- Records Related to the Circulation of Traditional Library Materials**

Records documenting circulation and usage of library materials.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\*Has little or no research value. These records are administrative in nature.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. These records have short term business use and a 1 year retention should meet the needs of most Federal agencies.

**Media Neutrality:** Approved

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1 As viewed on April 16, 2013 at [http://www.archives.nysed.gov/a/records/mr\\_pub\\_genschedule\\_accessible.html](http://www.archives.nysed.gov/a/records/mr_pub_genschedule_accessible.html).

**Item 0004: Circulation and Use Records- Records Related to the Use of Special Collections**

This item covers records related to the circulation and use of special collections within libraries.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Has little or no research value. These records are administrative in nature.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. We determined that a 10 year retention was sufficient to meet the business needs of most Federal agencies because special collections are used infrequently and this will allow agencies extra time to determine whether theft has occurred.

**Media Neutrality:** Approved

**Item 0005: Records about Records Tracking and Control-Indexes and Finding Aids for Temporary Records**

This item covers records used by agencies to track various attributes of records or collections of records.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Previously approved as temporary. Finding Aids (or Indexes), N1-GRS-95-2, item 9. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records, N1-GRS-81-9, item VI-1. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records, N1-GRS-81-9, item VI-2. Tracking and Control Records. N1-GRS-98-2 item 45. Finding Aids (or Indexes), N1-GRS-98-2, item 46. System Backups and Tape Library Records-Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs, N1-GRS-03-1, item 4b.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. We reduced the retention from 2 years to when no longer needed and moved 5 items from the current GRS under this category because these are all series used by agencies to track various attributes of records.

**Media Neutrality:** Approved

**Item 0006: Records about Records Tracking and Control-Indexes and Finding Aids Related to Permanent Records**

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate.

**Appraisal Justification:**

\*Serves as a finding aid to other permanent records.

\* Previously approved as permanent. Documentation- Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule, N1-GRS-07-4, item 11a2.

**Adequacy of Proposed Transfer Instructions:** Appropriate  
**Media Neutrality:** Approved

**Item 0007: Records Management**

Records covered by this item are the operating records of agency records management programs. Files document the programmatic functions of records management, such as records disposition and inspection.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Previously approved as temporary. Records Management Files, N1-GRS-98-2, item 19 – in part. Records Disposition Files- SF 115s that have been approved by NARA, N1-GRS-98-2, item 16. Records Disposition Files-Other records, N1-GRS-98-2 item 17. Records Disposition Files-Routine correspondence and memoranda, N1-GRS-98-2, item 18. Microform Inspection Records- Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1238.22, N1-GRS-91-4, item 1. Microform Inspection Records- Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1238.24, N1-GRS-98-2, item 22.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. NARA combined several existing items from GRS 16, Administrative Management Records, into 1 item to cover records management operations within agencies. This action would require agencies to increase retention from 2 to 6 years for superseded SF-115s, routine correspondence, and memoranda. We added the flexibility to keep the SF-135s longer, if an agency wishes.

**Media Neutrality:** Approved

**Item 0008: Records Related to Identifying and Managing Vital Business Information**

Records created and maintained through activities involved in managing and implementing an agency's essential/vital records program.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Previously approved as temporary. Records Management Files, N1-GRS-98-2, item 19 – in part.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. Records are proposed for a 6 year retention similar to Item, 0009 Records Management. Consultation with the agencies confirmed the 6-year retention meets agency business needs.

**Media Neutrality:** Approved

**Item 0009: Forms Management**

Records include forms case files and working files which have been merged into one series in order to reduce the recordkeeping burden on the agencies.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

\* Previously approved as temporary. Forms Files-One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form, NC1-GRS-81-4, item 1. Forms Files- Background materials, requisitions, specifications, processing data, and control records, NC1-64-77-8, item 4b.

**Adequacy of Proposed Retention Period:** Adequate from the standpoint of legal rights and accountability. This will add 5 years to the “working papers” of the file, which had previously been disposable when no longer needed, but will simplify managing this series. Consultation with the agencies confirmed the 5-year retention meets agency business needs.

**Media Neutrality:** Approved

LAURA ADAMS McHALE  
Appraiser