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Title 3

Dec. 1967

A P P E N D I X B

GENERAL RECORDS SCHEDULES

(Arranged in numerical order by Schedule numbers)

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INSTRUCTIONS FOR USING GENERAL RECORDS SCHEDULES

General. General Records Schedules are issued by the Administrator of General Services to provide disposition standards for records common to several or all Federal agencies. Section 505(b) of the Federal Records Act of 1950 (44 U.S.C. 395(b)) directs the Administrator to establish standards for the selective retention of records of continuing value. The Records Disposal Act of 1943 (44 U.S.C. 369) authorizes him to submit to Congress schedules proposing the disposal, after the lapse of specified periods of time, of records of specified form or character common to several or all agencies that apparently will not, after the lapse of the periods specified, have sufficient value to warrant their further preservation by the United States Government. The records covered by General Records Schedules include those pertaining to civilian personnel, fiscal, accounting, and procurement matters, and other common functions; they constitute a large proportion of the total volume of records created by each Federal agency.

When approved by the Joint Committee on the Disposition of Executive Papers, General Records Schedules constitute authority to dispose of the records included therein as disposable. Agencies may apply this authority subject (1) to approval of the Comptroller General of the United States in the cases required by Section 9 of the Records Disposal Act; and (2) to compliance with the record keeping requirements of regulatory bodies (such as the Federal Power Commission, the Interstate Commerce Commission, and others) insofar as Federal agencies or parts of agencies are subject to the jurisdiction of such regulatory bodies.

General Records Schedules are comprehensive records retirement plans that not only include disposal authorizations, but also provide for the retirement to Federal Records Centers of non-current records that must be retained for specific periods of time and for the economical preservation of those records that are of continuing value. The authorizations and recommendations contained in them may be used by any agency in their entirety or in part; they are permissive and not mandatory. Because these Schedules are designed to cover records problems common to several agencies they are not intended to fit the precise needs of any given agency. They represent generally accepted standards for the retirement of the records covered and are phrased in such terms as to permit those responsible for records retirement activities to adapt them to their agency's own peculiar needs.

Method of Issuance. General Records Schedules are issued in loose-leaf form to permit the insertion or removal of pages upon which additions, deletions, or revisions have been made. Revised or added pages will be issued as changing conditions require

and no necessary Congressional and other approvals are obtained.

Coverage of General Records Schedules. General Records Schedules refer only to record copies of documents. It is not the intent of these schedules to impart record character to extra copies of documents previously defined in an agency as nonrecord material.

Copies of documents covered by these schedules, however, may in certain cases have become an integral part of subject or case files documenting activities different from those covered by the schedules. In such cases the disposition of the copies should be the same as that of files of which they are a part.

General Records Schedules, except as otherwise specified in the several schedules, are applicable to records created after January 1, 1921. Records created prior to this time in many cases were not sufficiently standardized to be susceptible to evaluation on a Government-wide basis. Those of each agency must therefore be separately appraised.

The schedules may, with the consent of the agency concerned, be applied to records in Federal Records Centers.

Each schedule has three parts: (1) an introductory analysis; (2) the schedule itself; and (3) an explanation of the reason for the retention or disposal of each type of record covered.

Previously approved agency schedules providing for shorter retention periods may be continued in force if an agency prefers; likewise, although it is believed this will usually be unnecessary, agencies may extend retention periods in order to meet needs peculiar to their own activities.

Procedures for transfers of records to Federal Records Centers are covered in General Services Regulations, FPMR 101-11.4. Addresses of the Centers are contained in FPMR 101-11.410-1.

General Records Schedules also indicate recommended or prescribed methods of filing many types of records so as to facilitate their use and disposal. Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provisions of Section 505(a) of the Federal Records Act of 1950 do not make reference to an established authority and any new regulations or directives that may be issued from time to time will supersede those recommendations.

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FPMR 101-11.4
December 15, 1967

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees, for the most part pursuant to regulations of the Civil Service Commission, the staff agency charged with the administration of the Civil Service Act, and related regulations, orders, and legislation. This schedule covers all personnel folders of civilian employees whose employment terminated on or after January 1, 1921. It covers also all other records relating to civilian personnel created since January 1, 1921, wherever located in an agency, exclusive of (a) copies of loyalty and other investigative files, (b) program records of the Civil Service Commission (including records of Boards of U.S. Civil Service Examiners and Committees of Expert Examiners, regardless of the custodian), and (c) records of the Bureau of Employees' Compensation and the Public Health Service maintained pursuant to statutory Government-wide responsibilities for the health and welfare of Government employees. Records of agency units functioning as staff personnel policy groups, rather than as operating personnel units, are not covered by this schedule. Evaluation and disposition of these groups of records must be provided for separately, except that Congress has given the St. Louis National Personnel Records Center, GSA, authority to destroy certain pre-1921 files that are transferred to its custody, provided the transferring agency concurs in their destruction.

The Official Personnel Folder, a case file documenting employment under rules and regulations of the Civil Service Commission, was established in 1947 by the Federal Personnel Manual and constitutes the key record relating to most civilian personnel. Executive Order No. 10561 of September 13, 1954, provided that comparable records be kept covering employees of the executive branch outside of the competitive service.

Records needed in litigation or appeals cases may be held beyond the required period.

Prior to 1947 the contents of personnel folders varied somewhat according to agency practices. These practices, however, have been essentially similar since about 1921. Specific personnel forms, such as the Notification of Personnel Action (Standard Form 50), have been standardized since 1941.

An auxiliary to the Official Personnel Folder is the Service Record Card (Standard Form 7), a mandatory form which replaced multiple types of similar forms used in the agencies. The Official Personnel Folder and Service Record Card are described in Civil Service Commission's Federal Personnel Manual Supplement 293-31, which prescribes a simplified system of recordkeeping for Federal personnel offices.

The Official Personnel Folder, which travels with the Federal employee as he moves from agency to agency, contains papers of long term value, listed as such in the Federal Personnel Manual, on the right hand side, and papers of short term value on the left side. Until November 1951, the contents of the left hand side of the folders were described in detail in the Federal Personnel Manual. Now, however, only the records required to be kept on the right hand side are described in detail.

Records normally maintained in addition to the official folder and its related service record card concern phases of personnel administration involving the selection of personnel and the supervision over the work history and on-the-job performance, as follows:

Position classification: These records include copies of position classification sheets and related records.

Recruitment and selection: These include interview files and related data.

Training: These include evidence of skills acquired and made available to the agency.

Other records pertaining to individual employees normally include various other controls maintained for purposes of convenience at the operating levels; agency dispensary records; and, for the period of World War II, draft deferment records.

When the "Authorized Disposition" column of this schedule states that records will be transferred to NPRC, (CPR), St. Louis, Missouri, it means that they should be sent to the General Services Administration, National Personnel Records Center, (Civilian Personnel Records), 111 Winnebago Street, St. Louis, Missouri, 63118 (formerly the Federal Records Center, at the same address).

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Personnel folders excluding (a) folders or groups of folders selected by the National Archives; (b) folders covering periods of employment terminated prior to January 1, 1921; and (c) papers on the left or the so-called "temporary" side of the folder, which are authorized for disposal by General Records Schedule 1, item 10.	Alphabetically by name.	(a) See Chapter 293, Subchapter 2, Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the Federal Personnel Manual, transfer folder to NPRC, (CPR), St. Louis, Missouri, 30 days after separation. Dispose 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years.
2.	Service Record Card (Standard Form 7 or its equivalent) except those of the Post Office.		
a.	Cards for employees separated or transferred on or before December 31, 1947.	In accordance with Federal Personnel Manual Supplement 293-31.	Transfer to NPRC, (CPR), St. Louis, Missouri.
b.	Cards for employees separated or transferred on or after January 1, 1948.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose 3 years after year of employee's separation or transfer to another agency.
3.	Correspondence and subject files relating to the administration and operation of personnel functions, excluding those at agency staff planning levels.	By subject or agency filing system; start a new file every 3 years.	Dispose 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.
4.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted; destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment and dispose of in accordance with provisions in item 15; (3) All others; dispose immediately.
5.	Certificate files, consisting of:		
a.	Requests for certificates of eligibles.	File request and certificates by certificate number.	Dispose 2 years after date of certificates.
b.	Certificates of eligibles.	File requests and certificates by certificate number.	Dispose 2 years after date of certificates.
c.	Employee record cards used for informational purposes outside personnel offices (such as SP 7-B).	In accordance with Federal Personnel Manual Supplement	Dispose or transfer to another agency or bureau or on separation of employee.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
7.	Position descriptions.	In accordance with Federal Personnel Manual Supplement 293-31.	(a) Dispose of one copy 5 years after position is abolished or description is superseded; (b) dispose of other copies when position is abolished or description is superseded.
8.	Employee interview records.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start a new inactive file every 6 months; dispose of inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, dispose of records 6 months after transfer or separation of employee.
9.	Duplicate case files of performance rating boards of review, copies of which have been forwarded to the Civil Service Commission.	Alphabetically by name; start a new file every year.	Dispose 1 year after closing file; if filing arrangement differs from that suggested herein, dispose of records 1 year after completion of case.
10.	All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual, Chapter 293, and Supplement 293-31.	On left side of folder, chronologically.	Dispose on transfer to another agency (except in a transfer of functions), separation of the employee, or when 1 year old, whichever is earlier.
11.	Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose when position is canceled or new strip is prepared.
12.	Incentive awards case files.	Alphabetically by name; start a new file every 2 years.	After closing case transfer to inactive closed file and dispose 2 years after closing.
13.	Reports pertaining to the incentive awards program.	Chronologically.	Dispose after 3 years.
14.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
	a. Chronological file copies, including face sheets.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose after 2 years.
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
15.	Applications for employment and related papers, excluding (a) records relating to appointments and requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder (covered in item 1 of this schedule).	In accordance with inspection requirements of the Civil Service Commission as stated in the Federal Personnel Manual.	Dispose upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier, providing the requirements of Chapter 333, Section A-4 of the Federal Personnel Manual are observed.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
16.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose 2 years after date of report.
17.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.		
a.	Correspondence and forms relating to pending personnel actions.	Not applicable.	Dispose when action is completed.
b.	Retention registers (including card files and related papers) from which reduction-in-force actions have been taken.	In accordance with Chapter 351, Appendix A of the Federal Personnel Manual.	Dispose after 2 years.
c.	Retention registers (including card files and related papers) from which no reduction-in-force actions have been taken.	In accordance with Chapter 351, Appendix A of the Federal Personnel Manual.	Dispose when superseded.
d.	All other correspondence and forms.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
18.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
19.	Files pertaining to the deferment of Federal employees from military training under the Selective Service and Training Act of 1940, as amended (excluding records held by the Selective Service System and the Review Committee on Deferment of Government Employees and their predecessor and successor agencies).		
a.	Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WAC Form 27 or equivalent).	Conform to agency practice.	Dispose after 6 months.
b.	Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers.	Conform to agency practice.	Dispose after 6 months.
c.	Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers.	Conform to agency practice.	Dispose after 6 months.

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	d. Correspondence between individual agencies and the Review Committee on Deferment of Government Employees and its predecessors.	Conform to agency practice.	Dispose after 6 months.
	e. Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions."	Conform to agency practice.	Dispose after 6 months.
	f. Reports made within an agency by individual employees on their Selective Service status.	Conform to agency practice.	Dispose after 6 months.
20.	Individual health record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated.	All cards pertaining to an individual are to be disposed of 6 years after date of last entry on the cards pertaining to him.
21.	Logs or registers of visits to dispensaries, first aid rooms, and health units.		
	a. Where information is summarized on statistical reports.	Chronologically.	Dispose 3 months after last date on log or register.
	b. Where information is not summarized elsewhere.	Chronologically.	Dispose 2 years after last date on log or register.
22.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history, except pre-employment physical examinations, Health Qualification Placement Records, disability retirement examinations, and fitness for duty examinations which become a part of the Official Personnel Folders (Standard Form 66) upon separation, but which may be maintained separately from the folder prior to separation (see Chapter 293, Subchapter 3 of the Federal Personnel Manual).	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose 6 years after date of last papers in the file.
23.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose 2 years after date of summary or report.
24.	Certificates of performance rating.	Conform to agency practice.	Dispose after 2 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
25.	Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Alphabetically by name of employee. Transfer to inactive Chronological file upon separation of employee or upon re-ecision of authorization to operate Government-owned vehicle.	Dispose 3 years after separation of employee or 3 years after re-ecision of authorization to operate Government-owned vehicle, whichever is the earlier.
26.	Statements of employment and financial interests, and related papers.	Alphabetically by name.	Dispose 2 years after employee leaves a position in which a statement is required, or two years after the employee leaves the agency, whichever is earlier.

Item 1. The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual, is considered to be the official record documenting employment history. The documents filed on the right side of the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. After carefully considering the various values inherent in these folders, an Ad Hoc Committee on the Disposition of Personnel Folders, consisting of representatives of the Civil Service Commission, the General Accounting Office, the Bureau of the Budget, and the General Services Administration, reported to the Administrator of General Services on December 31, 1952, that the folders did not have sufficient value to warrant preservation indefinitely beyond the time they were required for adjudication of retirement claims.

Executive Order 10561 of September 13, 1954, designated Official Personnel Folders as records of the Civil Service Commission, but comparable folders of employees occupying positions excepted from the competitive civil service are records of the employing agencies. These records have the same value as do Official Personnel Folders, and they are therefore included in the coverage of this item.

Any historical value that personnel records as a class may have relates primarily to the individual, not in his capacity as a Federal employee, but rather because of his position in the hierarchy of the agency or because of his fame or notoriety as an individual. It would not be reasonable for the Federal Government to keep the files relating to millions of employees on the gamble that a historian or biographer might some day find in one of the folders the missing clue to some aspect of the life or career of an individual who later became famous. On the other hand, the National Archives can identify the folders or groups of folders, particularly those relating to employees with periods of employment prior to standardization of the folder in 1947, that may contain papers of sufficient historical importance to warrant their retention. This selection will be made prior to disposal of the remainder of the files.

The importance of personnel folders in retirement proceedings and in determining the pension rights of former Government employees requires that the file of those covered, or potentially subject to coverage by a retirement system, be retained until these pension rights have been finally determined.

Retirement benefits may be obtained after varying periods of service and at various ages, but it is reasonable to assume that former employees will apply for these benefits before they are 75 years old. Consequently the retention period for the folders is set at 75 years after the employee's birth, or, if information as to date of birth is lacking, at 60 years after the date of the earliest document pertaining to his employment.

Item 2. These service record cards are official summaries of the salient facts of employment history that are maintained by personnel offices to obviate frequent reference to personnel folders and to be used as the official record in lieu of lost folders. Experience of the National Personnel Records Center, (CPR), St. Louis, Missouri, indicates that with the standardization of the Official Personnel Folder and the inauguration of the "traveling folder" in 1947 the need for the service record card as a substitute for missing or incomplete folders has declined to the extent that long retention of the cards is not justified. In those few cases where a personnel folder is lost, service can be verified from individual pay records or payrolls. For the period prior to standardization of the official personnel folder, extensive gaps in the folders and in pay records available to the St. Louis Center make retention of the service record cards necessary. Roster cards and service cards of the Post Office are excluded from coverage by this item because so many of its employees are hired on a temporary basis and no official personnel folders are created for them; the Post Office cards can best be evaluated on their own merits.

Item 3. These files, consisting of correspondence, forms, internal reports, Civil Service Commission inspection reports, and other papers, reflect the operation of the personnel office in administering the agency personnel program and that of the subor-

dinate branches charged with individual phases of the program. They serve temporary administrative needs in the daily problems arising in personnel work, and the retention period indicated is adequate to serve such temporary needs.

Significant personnel policies and procedures in the Federal Government are normally established by the Civil Service Commission and set forth in the Federal Personnel Manual. White House offices, the Congress, and special boards and committees from time to time exert a considerable influence on these policies. Records documenting the policies and the reasons for their adoption are in these agencies.

Insofar as concerns internal agency policies within the framework of the Government-wide policies, there are staff personnel policy offices distinct from the operating personnel offices in those agencies that employ the vast majority of all Federal employees. This item does not apply to the files of such offices.

In other agencies internal policies and approved deviations from the Government-wide standards and procedures established by the Civil Service Commission are documented in the files of management or other offices at administrative levels above the operating personnel office. Usually these policies and deviations are announced in agency directives initiated either by a management office or by an operating office with responsibilities for the agency's substantive program. The background files are normally in the initiating office, not in the operating personnel office.

Item 4. Correspondence relating to individuals who receive appointments is provided for elsewhere in this schedule and this item relates to routine papers reflecting pre-appointment negotiations with potential appointees.

Item 5. These forms relate to requests made by the agency to the Civil Service Commission for lists of eligibles from established registers. The certificate itself is of little administrative value once decisions have been taken with respect to the names certified.

Item 6. Standard Form 7-B was developed as an informational record for operating units served by the personnel office to obviate requests for employee service and related data. Once the employee leaves the operating unit, the card is of no further administrative value. The summary card record is maintained on Standard Form 7 (see item 2) by the personnel office itself.

Item 7. Position descriptions, used in classification work and in employment control, are of value as continuing personnel documents while the descriptions they contain are still valid. Except for descriptions which may be of continuing value because of their aptness of content (which may be retained as non-record reference material), these records are of limited value after they are superseded or obsolete. One copy of descriptions of positions abolished and of superseded descriptions is retained for 5 years in connection with job

restoration and other employee rights. Agencies may hold these longer than 5 years if they are needed in appeals cases.

Item 8. These are primarily employee relations files and involve entrance and exit interviews, and interviews involving complaints by or against the employee. Any action taken by reprimand or otherwise is documented on the right hand side of the personnel folder. Some agencies place these records on the left side of the folder, to be disposed of on transfer or separation.

Item 9. These are duplicated of papers submitted by members of Boards of Review to the Civil Service Commission on termination of their terms of office.

Item 10. These are temporary papers dealing either with the inception of personnel actions documented on the right hand side of the Official Personnel Folder or with administrative matters, and are of administrative value only for a short time.

Item 11. These visible strips, which are maintained with the service record card files, provide summary data on each position occupied. They have no record or reference value when the related positions are canceled.

Items 12 and 13. The awards programs of Federal agencies are carried on pursuant to Title III of Public Law 763, 83d Congress, 2d session, which superseded the management improvement and superior accomplishment awards made under Titles 7 and 10 of the Classification Act of 1949 (P.L. 429, 81st Cong.). Under the consolidated program, the head of each agency or the President is authorized to pay cash awards to employees or to present other types of awards in recognition of individual accomplishments on the job which are especially outstanding or distinguished. These items cover records accumulated both under the superseded award programs and the consolidated program. Files pertaining to employee suggestions have some administrative value in evaluating later suggestions and in documenting current practices. However, the disposal period is sufficient to satisfy such needs. Evidence of all awards under the Incentive Awards Act are required to be placed among the papers on the right side of the Official Personnel Folder, which is retained under item 1 of this schedule at least 5 years after cessation of Government employment. Reports covered by item 13 describe activities under the agency incentive awards program and are disposable after a period which provides for reference needs. They include not only copies of feeder reports prepared within the agency, but also agency copies of summary reports submitted to the Civil Service Commission.

Item 14. Copies of notifications of personnel action (other than the Official Personnel Folder copy) which have administrative or fiscal use are the pay copy, which is to be disposed of uniformly with other pay records, and the journal action copies, which will be retained for two years, in accordance with the provision of RI-2 of the Federal Personnel Manual, to satisfy inspection requirements.

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Item 15. These files are involved in agency recruitment and appointment activities which are subject to Commission inspection to ensure that applicable rules are being observed. The application files are held for a sufficient period to serve the inspection needs of the Commission as well as the administrative needs of the agency personnel office. Papers pertaining to successful applicants are retained for a long period as part of the personnel folders described in item 1. The files covered by this item, however, involve pending or unsuccessful applications.

Item 16. These reports, which are required administratively and by the Commission on many phases of personnel administration, are normally consolidated into summary reports submitted to higher administrative levels, or are so detailed as to have no further administrative value after the period indicated.

Item 17. This item is intended to provide for the mass of local and other forms and correspondence which are not placed in the Official Personnel Folder because the Federal Personnel Manual does not require it or because it is deemed not to be administratively necessary to do so. Pending personnel actions, including those resulting from reduction in force proceedings, are documented in the folder, which is held for a long period (item 1), and the papers here described are essentially working papers which rapidly lose their value as organizational and personnel changes render them noncurrent. Generally, the other files covered by this item relate to aspects of employment history which are also documented in the official folders or in fiscal records to be retained for a long period by the provisions of this schedule, and therefore are of little administrative value after relatively short periods.

Item 18. These are copies of forms relating to personnel actions and other matters involving the employee submitted to the personnel office by the operating unit initiating the form.

Item 19. These records, created by Federal agencies as a result of operations pursuant to the Selective Service and Training Act of 1940, as amended, are of no further administrative value to the agencies. Actions taken with respect to individuals have been documented in Official Personnel Folders or their equivalents existing prior to 1947.

Items 20 and 22. These are the continuing records of treatment of individual employees; any correspondence, memoranda, or other data are filed in the same jacket. Journal entries are made on record cards or comparable forms recording each visit of the patient, brief diagnosis, or statement of referral to private doctor, and treatment given, if any. The documents deemed of long term value by both personnel officials and medical officials are normally part of the Official Personnel Folder

(item 1), even though they may have been maintained apart from the folder prior to separation. (Federal Personnel Manual, Chapter 293, Subchapter 3). The remainder of the papers in each file are of only ephemeral interest. The records have no historical value; they are not of value for documenting health activities; medical officers believe that if no new data have been obtained during the retention period specified, they are of no value medically; and their administrative utility is limited by the five-year statute of limitations on claims for employees' compensation.

Item 21. These are journals on which are recorded the name of each patient, date on which he came, and, often, other identifying data, time spent, and a very brief notation of the illness or injury that prompted him to come. The records are occasionally used for administrative purposes for about one year after they are created, but not longer. They have no historical value and no value for documenting the history and functions of the dispensary, first aid room, or health unit; medical officers state that they have no medical value. Since their only administrative use is for statistical purposes, it is possible to dispose of those which are statistically summarized almost immediately and the statistical utility of the others is exhausted within the alternate period specified.

Item 23. These are retained copies of reports and summaries compiled by a health unit for transmission to higher administrative echelons, where they are used in combination with other reports for statistical and narrative analysis, and of informational copies of analyses transmitted to health units by higher administrative echelons. In either case, significant data are available at the higher echelons and the records are of no utility in health units beyond the period of time specified.

Item 24. These files consist of certifications by each supervisor that he has rated employees under his jurisdiction and has discussed the ratings with them. The certifications provide the necessary documentation to support the processing of periodic salary increases, and for the recording of other than "satisfactory" ratings on the service record cards (item 2 of this schedule). The files are retained for a sufficient period to satisfy administrative needs.

Item 25. These papers have local administrative value, usually limited to the time the employee is authorized to operate Government-owned vehicles.

Item 26. These statements of employment and financial interests are required of certain classes of Federal employees by Subpart D of Part 735 of Title 5, Code of Federal Regulations. They are held long enough to meet administrative needs if questions of conflict of interest arise.

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GENERAL RECORDS SCHEDULE 2

GSA Reg. 3
Appendix B
(10-8-57)

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civil employees of the Government for personal services. This schedule applies to the pay records created since January 1, 1921, that are common to all agencies, but it excludes (a) retirement record cards (Forms 2806 or equivalent) that are maintained during employee duty and then are transferred to the Retirement Division of the Civil Service Commission; (b) files physically transmitted to the General Accounting Office or maintained in agency space for audit under section 117(b) of the Budget and Accounting Procedures Act of 1950 and the Post Office Department Financial Control Act of 1950; (c) records relating to tax withholding, savings bonds, or fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; (d) or to Bureau of the Budget files reflecting agency personnel needs and problems. Evaluation and disposition of these groups of records must be provided for separately, except that Congress has given the St. Louis Federal Records Center authority to destroy certain pre-1921 files that are transferred to its custody, provided the transferring agency concurs in their destruction.

Normally copies of papers required by the Comptroller General to be maintained for audit or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts (Schedule 6). In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of 1943, as amended (44 U.S.C. 37h).

Most Federal civilian pay accounts are prepared and maintained in accordance with General Regulations No. 102 of the Comptroller General, issued in 1944. This regulation provided, among other things, that the pay record for each employee be maintained on a separate card form (Standard Form 1127 or equivalent) and abandoned the comprehensive payroll fairly universal in the Federal Government since about 1880. The regulations induced a strong measure of uniformity, although the exemption of the Post Office Department and the Postal Service from its purview immediately removed about one-fourth of all Federal employees from its scope. However, there are at present three basic systems in use in the Federal Government for the preparation and processing of payroll: (a) The simplified payroll system promulgated by General Regulations No. 102, serving the administrative interests of the agencies, the General Accounting Office audit responsibilities, and the Division of Disbursement of the Treasury Department; (b) The Navy system for its field employees, which retains the older type of comprehensive payroll; and (c) The Post Office Department and United States Postal Service systems.

The various adaptations of Regulations No. 102 which have been permitted by the Comptroller General and the non-use of the regulations have resulted in the creation of records which are equivalent to the individual pay card in value but often differ radically in physical nature and format. Some agencies, for example, post pay and deduction data both to a pay card and to the older type of comprehensive payroll. Other agencies use no pay card and rely on the comprehensive payroll where it is felt that use of the simplified system, geared as it is to occasional changes in normal pay, is not administratively feasible because pay changes may be the agency norm rather than the exception.

The key file in any of the payroll systems is the record which contains the deduction and service data. This data appears in either the centralized pay card or on the face of the older type of comprehensive payroll traditionally used.

In the payroll process, a group of diverse records is accumulated. Under the Regulations 102 system, the pay records are normally site audited by representatives of the General Accounting Office, who examine primarily the earning record cards, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signature of the agency certifying officer, check lists prepared in lieu of the more formal payrolls by Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms advising of personnel actions resulting in change in pay. In addition pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave card, to which information is posted from more detailed records kept by time and attendance clerks located throughout an agency. Two basic forms are used by most agencies: (a) Standard Form 1137, which shows leave taken by an employee over a two-year period; and (b) Standard Form 1130, which is a combination time and attendance and leave record designed to be maintained in agencies in which the timekeeping function is decentralized. One Standard Form 1130 is maintained for each employee each pay period, and the current leave status figure is accumulated from pay period to pay period.

Other records incidental to the payroll process are withholding tax and savings bond records,

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reports made to Treasury Department units and the Civil Service Commission on income tax and retirement transactions, and other records not pertaining to individuals, but rather to the general administration of the payroll office and the payroll function.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Individual earning and service cards (such as Standard Form 1127 or its equivalent).	Alphabetically by name of employee; start a new file every year.	Transfer to Federal Records Center, St. Louis, Mo., 1 year after audit. (a) If in personnel folder or in individual pay folder filed adjacent to personnel folder: dispose with the personnel folder (see GRS 1, item 1); (b) If not in or filed adjacent to personnel folder: dispose 56 years after date of last entry on card.
2.	Correspondence files maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the units.	Conform to agency practice.	Dispose after 2 years.
3.	Time and attendance reports.		
	a. Copies used in payroll preparation and processing. (Where Standard Form 1130 is used for both time and attendance and leave posting purposes, the disposal provision for item 9 applies.)	Standard Form 1130 for each employee per pay period, arranged by pay period; one copy of Standard Forms 1135 and 1136, chronologically.	Dispose 2 years after audit by the General Accounting Office.
	b. All others.	By pay period with other pay recording	Dispose 6 months after end of pay period.
4.	Individual authorization card and record of payroll allotments (such as Treasury Department Form 225h).		
	a. Where record of bond deductions is maintained on earning record card.	Alphabetically by name of employee.	Dispose when superseded by new card or on transfer or separation of employee, whichever is earlier.
	b. Where record of bond deductions is not maintained elsewhere.	Alphabetically by name of employee.	Dispose 5 years after close of file. (Remove to inactive file when superseded or upon transfer or separation; close inactive file at end of each year and transfer to Federal Records Center 2 years thereafter.)
5.	Issuing agents' copies of bond registration stubs.	By year and bond number thereunder.	Dispose after 2 years.
6.	Receipts for and transmittals of U. S. Savings Bonds and checks.	By month and alphabetically thereunder.	Dispose 3 months after date of receipt.
7.	Reports of deposits and purchases of bonds, and related papers.	By month.	Dispose after 4 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Applications for leave and supporting papers.		
	a. Applications for leave taken immediately prior to separation.	Alphabetically by name; start a new file every year.	Attach to leave record card (see item 9). (a) If in personnel folder or in individual pay folder filed adjacent to personnel folder: dispose either 10 years after date of last entry on card or with the personnel folder (see ORS 1, item 1); (b) If not in or filed adjacent to personnel folder: dispose 10 years after date of last entry on card.
	b. All others.	Alphabetically by name; start a new file every year.	Dispose 1 year after file is closed or 1 year after date of application if filing arrangement differing from that suggested herein.
9.	Leave record cards, maintained independently of pay and earning records (including Standard Form 1130 when used as a leave record).		
	a. Pay or fiscal copy.		
	(1) Final card showing accumulated leave on separation.	Alphabetically by pay year.	Close file at end of year and transfer to Federal Records Center, St. Louis, Mo., 3 years thereafter. (a) If in personnel folder or in individual pay folder filed adjacent to personnel folder: dispose either 10 years after date of last entry on card or with the personnel folder (see ORS 1, item 1); (b) If not in or filed adjacent to personnel folder: dispose 10 years after date of last entry on card.
	(2) All other pay or fiscal copies.	Alphabetically by name; start a new file every 2 years if S. F. 1137 or its equivalent is used, and every pay period if S. F. 1130 is used.	Dispose 3 years after audit of related pay records.
	b. Other copies.	Conform to agency practice.	Dispose 6 months after the end of the period covered.
10.	Records of leave data transferred (such as Standard Form 1150).	Alphabetically by name; start a new file every year.	Dispose 2 years after file is closed or 2 years after date of document if filing arrangement differs from that suggested herein.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
11.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
	a. Pay or fiscal copy.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part 1 B 4.	Dispose after 2 years.
	c. All other copies.	Alphabetically start a new file every year.	Dispose after 1 year.
12.	Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.	By organization.	Dispose when superseded.
13.	Memorandum copies of payrolls, check lists, and related certification sheets (such as Standard Forms 1013, 1128, or equivalents).		
	a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.	Chronologically by pay period.	Dispose when Federal Records Center receives second subsequent payroll or check list covering same payroll unit.
	b. All other copies.		
	(1) Where earning record card is maintained.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	(2) Where earning record card is not maintained.	By pay period with other pay records.	Dispose when 10 years old. (Transfer to Federal Records Center, St. Louis, Missouri, when 3 years old.)
14.	Payroll control registers (such as Standard Form 1125).	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
15.	Payroll change slips exclusive of those in Official Personnel Folders (such as Standard Form 1126).		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. Copy used by disbursing officer in preparing checks.	By pay period, there-under alphabetically by name.	Dispose after preparation of check.
	c. All other copies.	By pay period, there-under alphabetically by name.	Dispose 1 month after end of pay period.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
16.	Memorandum copies of fiscal schedules involved in payroll processing.		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. All other copies.	Varies with agency practice.	Dispose 1 month after end of pay period.
17.	Administrative reports and data relating to payroll operations and pay administration.		
	a. Reports and data used for workload and personnel management purposes.	Conform to agency practice.	Dispose after 2 years.
	b. All other reports and data.	Conform to agency practice.	Dispose after 4 years.
18.	Withholding tax exemption certificates (such as Internal Revenue Form W-4).	Alphabetically by name.	Dispose 4 years after card is superseded or obsolete.
19.	Returns on income taxes withheld (such as Internal Revenue Form W-2).	By return and chronologically thereunder.	Dispose after 4 years.
20.	Reports of withheld Federal taxes and related papers (including records relating to income and social security taxes).	Conform to agency practice.	Dispose after 4 years and agency practice.
21.	Retirement reports and registers.	Chronologically.	Dispose after 4 years.
22.	Reports of insurance deductions and related papers, including copies of vouchers and schedules of payment.	Conform to agency practice.	Dispose after 4 years.
23.	Levy and garnishment records, including official notice of levy or garnishment, change slips, workpapers and correspondence relating to charge against retirement funds or attachment of salary for payment of back income tax or for other debts of Federal employees.	Conform to agency practice.	Dispose after 4 years.
24.	Wage survey files consisting of wage survey reports and data, working papers and related correspondence concerning area wages paid for each employment class (excluding authorized wage schedules and wage survey recapitulation work sheets).	Conform to agency practice.	Dispose after completion of second succeeding wage survey.

Item 1. These are the official centralized pay records maintained by agencies keeping such records under General Regulations No. 102 of the Comptroller General or an adaptation thereof. Summaries of service are also normally included. In agencies under payroll site audit, this centralized record is the only file documenting the fiscal aspects of employment history. If necessary to effective servicing of personnel records at the St. Louis Federal Records Center, that Center files the pay cards in the appropriate personnel folders; this happens when the cards reach the Center singly or in very small quantities. If larger quantities are received by the Center they are kept as separate blocks of records. The alternative disposal provisions ensure that the cards will be available for use if necessary in retirement proceedings, regardless how filed.

Items 2, 7, 12, 17. These files reflect the general operation and administration of the organizational unit responsible for preparation of the payroll. The correspondence files pertain to routine administrative matters and normally do not relate to individual pay accounts. Nor do they contain key fiscal data of more than transitory importance. Reports pertaining to bond sales are made either for internal

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accounting purposes or are submitted to Treasury units involved in the management of the savings bond program. In either case, the papers are held long enough to satisfy internal accounting, reporting, and other administrative needs. The administrative reports files may provide data on the volume of voucher examination or the incidence of other accounting operations, of interest for work measurement or staffing purposes; or they may consist of papers or reports transmitting agency accounting data for special or routine reporting purposes. In either case, copies are retained to provide for the reference needs of the unit preparing the report or compiling the data.

Items 3-6, 8-11, 13-16, 18-23. These files are accumulated in the course of processing and preparation of the payroll. They are generally disposable after agency administrative and General Accounting Office needs have been met, as follows:

a. Check lists, payrolls, posting media, controls, and related papers (Items 3, 11, 13-16). The basic record used in accumulating data for the preparation of payrolls are the time and attendance reports, which may consist of sheets manually posted by employees or payroll personnel, or punched mechanically by time clocks or similar equipment. Changes in employee status affecting the payroll are noted by the payroll office on the fiscal copy of the notification of personnel action (item 11a), or the change slip (item 15) prepared by the personnel office to authenticate, document, and provide accounting data on pay adjustments. The time and attendance reports, personnel action notifications, and change slips are all posting media to individual earning and service cards, and to check inscription plates (in the case of the change slips). Payroll control registers (item 14) are accounting devices locally maintained to insure the proper reconciliation, balancing, and agreement of accounts from one pay period to the next. The fiscal schedules are documents (item 16) summarizing, for accounting purposes, disbursements, collections, and specialized transactions occurring during the payroll process, but they normally do not contain data on individual payments. Schedules may be filed with other papers accumulated during the payroll process or may be filed as a supporting paper to the account current of the accountable officer (Schedule 6, item 1), or both.

Agencies using the simplified payroll system retain memorandum copies of check lists (item 13b) prepared by the Division of Disbursement, Treasury Department, or of comprehensive payrolls which have been prepared by the agency for the Division of Disbursement or agency disbursing officers. Comprehensive payrolls normally preclude the maintenance of individual earning cards. Where both are kept, the payroll is made disposable with the posting media and controls two years after the General Accounting Office site audit to provide for reference after such audit clearance. Where the earning record card is not maintained the memorandum copy of the comprehensive payroll is retained for 10 years. With the exception of individual earnings record cards and comprehensive payrolls which are retained for 56 years, General Accounting Office records relating to payroll transactions supporting disbursing accounts are available for a 12-year period.

In the normal course of current operations, security copies of agency payrolls or check lists and attached papers (item 13a) are transferred to appropriate Federal Records Centers by disbursing officers as soon as checks are issued. Since only current data need be available, documents are disposable at the Centers when the second subsequent roll or list is received. Other copies and the papers attached are held long enough after site audit to satisfy agency needs. Under this procedure the current and immediately preceding payment listing will be continuously available.

b. Savings bond, retirement, tax, insurance, and levy files (Items 4-6, 18-23). These are among the records relating to the documentation of deductions from pay made in the course of the payroll operation. They are summarized in the individual earnings record (item 1) and other fiscal records, such as certain vouchers and schedules (item 16). The Public Debt Bureau maintains adequate records of bonds purchased through payroll savings plans; reports of income and social security taxes and levies for payment of back income tax are sent to Internal Revenue Service; and reports of retirement, separation, and insurance transactions, and charges against retirement funds are sent to the Civil Service Commission.

c. Leave records (Items 8-10). The applications for leave are held for a minimum period, since they are posted to summary leave record cards (item 9). Most cards are disposable after retention for three years to satisfy normal reference needs, but cards showing accumulated leave upon separation are disposable after a sufficient period to provide for their use in answering claims. Leave records of employees in military service are retained with the Official Personnel Folder or for 10 years to ensure proper crediting of leave balances upon their return to civilian employment. Some agencies retain copies of the leave record cards in various offices for convenience; since the original or fiscal copy is available for at least 3 years these convenience copies are disposable very soon after the period they cover.

Item 24. Wage survey files have administrative value for comparative purposes in conducting immediately succeeding wage surveys. Changing economic conditions render these files obsolete beyond this period.

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GENERAL RECORDS SCHEDULES

Procurement and Supply Records

Agency procurement and supply records include the papers and files involved in obtaining goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

This schedule covers procurement files dated since 1894, when such files began to be somewhat standardized. All contract records prior to 1894, for example, are not of permanent value, but their unstandardized nature makes it necessary for these older files to be evaluated on their own merits and they are therefore not covered by this schedule. Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

This schedule does not apply to records held by the General Accounting Office or to those of the General Services Administration reflecting Government-wide procurement responsibilities. It applies, however, to records of other agencies to which the Administrator of General Services has made delegations of authority, under Section 302 of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 252). Normally originals of papers required by the Comptroller General to be maintained for site audit, or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts. These original papers are therefore excluded from coverage in this schedule for the reasons set forth in Schedule 6. Similarly, this schedule does not apply to documents submitted to or created by other coordinating or regulatory agencies, such as the National Production Authority, the Economic Stabilization Agency, and others, in the course of their program operations.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (41 U.S.C. 374).

Since 1949 Federal agencies have operated their procurement and supply systems under regulations issued by the General Services Administration, although the Secretary of Defense under Section 201(a) of the Federal Property and Administrative Services Act of 1949, may exempt his Department from certain General Services Administration procurement regulations and orders.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. Forms to be used and reports to be made both ad hoc and as part of the returns of Federal disbursing officers are prescribed. General Services Administration General Regulation No. 4, for example, makes mandatory the use of certain standard supply contract forms. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

Procurement files fall into a number of functional categories, depending on the role of the file in the total supply process and its administration.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisitions, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization. Confirmed copies of most procurement documents involving sums over \$5,000 for military agencies and over \$2,000 for other agencies, and leases, are submitted to the General Accounting Office at the time of their execution. The General Accounting Office contract file normally includes only those basic papers which enable its auditors to pass on the propriety of the expenditure or obligation. In agencies whose accounts are under site audit, the pertinent copies are maintained in agency space for the General Accounting Office.

Agency files may pertain to one or more of several procurement methods: (1) purchases against Federal Supply Service schedule contracts, record copies of which are in the appropriate Federal Supply Service regional office, (2) transactions initiated pursuant to the agency's own purchasing authority, or (3) requisitions from Federal Supply Service current inventories. Normally, in transactions not arising from Federal Supply Service schedule contracts, purchase orders are used for transactions under \$2,000 in value, and the more formal contract instruments are used for transactions involving larger sums of money.

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Certain basic legislation normally governs procurement policies. The First and Second War Powers Act, enacted early in World War II, laid down general policies which gave to contracting officers wide latitude in contract determinations. The Armed Services Procurement Act of 1947 (62 Stat. 21) stated policy for armed forces procurement. Title III of the Federal Property and Administrative Services Act of 1949, as amended (63 Stat. 377), restated overall procurement policy and methods for the Government as a whole. Specialized legislation, such as various renegotiation and price adjustment acts following World War II, produced temporary modifications of procedures.

The Federal procurement field has been affected from time to time by specialized legislation, some of which has been enacted for ad hoc purposes, while other laws have resulted in standard contract articles. Thus the Contract Settlement Act of 1944, as amended (58 Stat. 649), proscribed procedures and policies to be used in the termination of World War II contracts; the Fair Labor Standards Act of 1938 proscribed certain standards of working conditions and employment that are still in effect; and the Anti-Kickback Act of 1934, subsequently amended in 1946, attempted to outlaw illegal arrangements by which employees returned parts of their wages to their employers under duress. Other legislation and administrative policies have imposed other legal safeguards and prohibitions, particularly in the field of real property procurement. In most instances the procurement files are required to document actions taken under the various laws.

Legislation which governs the procurement process inevitably affects the content of procurement files but not in such a way as to affect the long term value of the files except in the cases of those involving certain aspects of real property acquisition.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs, local requisition and stock inventory files, and other minor supply papers.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of the title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different sized parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Procurement files (as described in item 1 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement or to major procurement programs (other than those covered by item 3).	Conform to agency practice.	Disposal not authorized by this schedule.
2.	Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).		
a.	Papers for property acquired prior to January 1, 1921.	Conform to agency practice.	Disposal not authorized by this schedule.
b.	Papers for property acquired since January 1, 1921, other than abstract or certificate of title.	Conform to agency practice. Transfer papers relating to property unconditionally sold or released by the Government to separate file upon sale or release.	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Abstract or certificate of title.	Conform to agency practice.	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.
3.	Correspondence files of procurement operating units pertaining to their internal operation and administration that are not covered elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Contracts, requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13.)		
	a. Procurement or purchase organization copy, and related papers.		
	(1) Transactions of more than \$2,500.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 6 years after final payment. (Place in inactive file on final payment; transfer fiscal year block to Federal Records Center after 2 years.)
	(2) Transactions of \$2,500 or less.	By contract symbol and number thereunder; by purchase order number.	Dispose 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose, except that files on which actions are pending will be brought forward to the next fiscal year's files for disposal therewith.)
	b. Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
	c. Copies of contracts, requisitions, purchase orders, leases, and other papers which are duplicates of papers defined in item 4a, used by component elements of a procurement office for administrative purposes.	As appropriate.	Dispose upon termination or completion.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
5.	Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
a.	Copies received from other units for internal purposes or for transmission to staff agencies.	By report and chronologically thereafter.	Dispose after 2 years.
b.	Copies in other reporting units, and related work papers.	By report and chronologically thereafter.	Dispose after 1 year.
6.	Bid files.		
a.	Successful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
b.	Unsuccessful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
c.	Lists or cards of acceptable bidders.	Alphabetically by stock item or by name of bidder.	Dispose when new list or card is made.
7.	Records relating to requisitions on the Public Printer, and all supporting papers.		
a.	Printing procurement unit copy of requisition, invoice, specifications, and related papers.	By requisition number.	Dispose 4 years after completion or cancellation of requisition.
b.	Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Attach to related vouchers.	Dispose 4 years after period covered by related account.
8.	Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	By requisition number.	Dispose after 1 year.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
9.	Requisitions for supplies and equipment from current inventory.		
a.	Stockroom copy.	Numerically by requisition number.	Dispose 2 years after completion or cancellation of requisition.
b.	All other copies.	Numerically by requisition number.	Dispose after 6 months.
10.	Inventory files.		
a.	Inventory lists.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years from date of list.
b.	Inventory cards.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.
c.	Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedule.	Conform to agency practice.	Dispose 2 years after date of survey action or date of posting medium.
11.	Telephone statements and toll slips.	Attached to related vouchers.	Dispose 4 years after period covered by related account.
12.	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	By contract; thereunder chronologically.	Dispose 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
13.	Tax exemption certificates, and related papers.	Conform to agency practice.	Dispose 4 years after period covered by related account.

Item 1. These procurement files, normally selected by the agency as of continuing value, consist of procurement papers and related records which may or may not have been physically located in the agency principal procurement file. The records are retained not because of the individual transaction they represent, but because (a) they represent new departures in administrative arrangements not documented elsewhere in the agency, (b) they are an integral part of a file which may illustrate the inception and accomplishments of a major procurement program, or (c) they represent procurement procedures radically different from those normally followed and therefore are deserving of separate consideration. Normally they will be found in only a few agencies, such as the Defense Department and Atomic Energy Commission, which have unusual procurement problems.

Item 2. Title papers maintained by Federal agencies to document the acquisition of real property by purchase, donation, condemnation, exchange, or otherwise, usually contain: (1) original deeds to the United States or copies of court orders in condemnation proceedings, land survey notes and maps, and land title opinions of the Attorney General; (2) abstracts or certificates of title; and (3) other muniments of title including options, purchase contracts and agreements, copies of court proceedings (sometimes) and judgment entries, records of payment, additional land descriptions and maps, and related correspondence and papers assembled in the course of establishing clear title.

The Federal Government needs these records for legal and administrative purposes during the period of ownership of the property. If the property is sold or released conditionally or with recapture clauses the Government may also have need for the title papers.

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Since unconditional sale or release by the Government is effected by quitclaim deed or its equivalent, in these cases the title papers can be disposed of at the end of the specified period of time.

This schedule does not authorize disposal of title papers for property acquired prior to January 1, 1921. Because of gaps in local and other records prior to 1921, the title papers may be one of the few sources of information on sites of historic interest. Also prior to 1921, title papers are often intermingled with site selection and other files so that it is impracticable to separate them.

Since 1921, there is sufficient additional information on sites formerly held by the Government to make it unnecessary to keep permanently the title documents which are limited to legal evidence of ownership. In addition, most real property acquired since 1921 that is of historical significance is retained by the Federal Government. The Historic Sites Act of August 21, 1935, gives the National Park Service responsibility for preventing the release by the Federal Government of sites of national historic interest.

Item 3. These are routine administrative files not part of other case files, and they do not include records of agencies or parts of agencies involved with the development of top procurement policy. Rather, these files are held by the units responsible for the day-to-day detailed procurement transactions. They are held long enough to satisfy administrative and reference needs.

Item 4. Agency procurement files (other than those described in items 1, 2, and 13) have the following conceivable values:

a. Legal and fiscal value: The principal values of procurement files are those pertaining to the rights of the Government as a contractor and as a claimant or claimee and those involving audits or investigations of transactions and payments by the General Accounting Office, the Congress, or others. The retention values of the files for these purposes diminish or increase correspondingly with the dollar value of the individual procurement transactions involved. For retention purposes, the files are divided into two classes, those involving transactions of \$2,500 or less and those involving individual transactions of more than \$2,500. Transactions for \$2,500 or less are generally handled by agencies under simplified procurement procedures, without formal advertising for bids. Agencies may adopt their own informal bid solicitation form, and generally will maintain case files developed under small purchase procedures separately from formal contract files.

The statute of limitations on submission of claims by a contractor to a Court of Claims bars such submission after 6 years (62 Stat. 976; 28 U.S.C. 2501). The statute of limitations on submission of claims to the General Accounting Office bars such submission after expiration of 10 years after the claim first accrues. The vast majority of claims of a substantive nature are submitted by contractors in sufficient time to permit their review in the Court of Claims. Contracts, purchase orders, leases, and related and supporting papers in the custody of the General Accounting Office or in site-audits files in the custody of Federal Records Centers are available for review in connection with claims submitted to the General Accounting Office after expiration of the 6-year period. The minimum retention period of 3 years after final payment on transactions for \$2,500 or less is adequate to satisfy audit needs of the General Accounting Office, since a statutory time limit of 3 years after receipt of accounts for audit and settlement by the General Accounting Office exists. (61 Stat. 101; 31 U.S.C. 82).

b. Historical value: Modern agency procurement files as a class are not of permanent historical or archival value since they represent essentially routine transactions and merely indicate the usual buyer-seller relationships. These agency files are very voluminous, and necessarily most of the transactions involved are of no historical importance. Important policies and procedures are established by the Comptroller General and agency staff groups, and compliance with these procedures and policies is checked by the General Accounting Office so that irregularities of significance are documented in that agency.

c. Agency administrative value: Normally, procurement files are of little reference interest to the agency after final payment has been made. Such needs, however, are adequately provided for by the retention period.

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GENERAL RECORDS SCHEDULE 3

Agencies may enter into "indefinite quantity" or "open end" contracts as a means of contracting for total requirements of items of supply, equipment, and material on a long-term basis. These contracts may also be referred to as "running" or "requirement" contracts. The files on these long-term contracts, as well as individual files representing procurement transactions under these contracts, are disposable under the standards in this item.

Item 5. These reports cover the phases of supply management, such as procurement planning and control, workload reporting and work measurement, as used in procurement staffing work, and in reporting to Federal staff agencies. The period of time specified is sufficient to satisfy internal agency needs for the information contained in these reports.

Item 6. The unsuccessful bids are retained for a period sufficient to serve needs of the contracting agency and other interested Federal units.

Item 7. These are case files on printing and binding jobs performed by the Government Printing Office. The files, comprising originating papers, agreements, and all related correspondence are normally maintained in the service organization involved in the printing and publication function. The period specified is sufficient to safeguard agency administrative needs arising from fiscal adjustments with the Government Printing Office, or from audit of the related accounts.

Item 8. These are requisitions for routine agency services. They are of minor value after the services have been performing.

Item 9. These are routine internal requisitions originated by operating units and filled from agency or Federal Supply Service inventories. They do not directly result in procurement action. The period provided is sufficient for local administrative needs and for posting to stock records.

Item 10. Inventory records, maintained to provide replenishment, stock control, and property maintenance data, are normally of administrative value as long as the individual inventory items involved are in stock or in current use. The periods provided are sufficient to allow for administrative and management uses, including those involving the property accounting audit responsibilities of the General Accounting Office, and the reconciliation with cost and control accounts. Papers primarily created to serve as posting media to inventory records, such as reports of survey resulting in the writing off or abandonment of property other than by sale or salvage, are held for a brief period after posting. The records covered by this item pertain to procurement management operations rather than to accounting functioning records created during cost, stores and plant accounting operations are covered by General Records Schedule 8. The data in those records are periodically reconciled with procurement inventory records, but they are created for agency accounting purposes rather than as supply management tools.

Item 11. Toll slips are in effect invoices authorizing payment via public vouchers for long-distance telephone calls, and are usually filed with the related vouchers. Disposal is based on the 3-year statutory period for the settlement of disbursing accounts, plus one year for agency administrative needs.

Item 12. The Department of Labor requires (29 CFR 5.5(a)(3)) that on each construction contract the contractor each week submit certified copies of all payrolls to the contracting officer, together with an affidavit that the payrolls are correct and that the rates paid are the same as those prescribed by the Secretary of Labor (these are not the copies used by the General Accounting Office in auditing cost-plus contracts). The contractor is required to preserve his payrolls for three years after the work is completed and to make them available for examination. The Federal agencies to whom the payrolls are submitted are also required (29 CFR 5.6(d)) to preserve the payrolls for three years. With relatively small contracts the payrolls in volume, constitute at least half of each contract file; in larger contracts, the volume is proportionately greater. The primary purpose of preservation of payrolls is for enforcement. Generally after the three-year period has passed the payrolls would be of little value if no enforcement action had taken place during such period. In cases where contractors' payrolls and related papers are being used in an enforcement case or where remedial action is pending at the end of the three-year period they should be retained.

Item 13. These files pertain to the Government's exemption from the payment of certain locally levied taxes on goods and services. The Federal purchaser pays these local taxes at the time a purchase is made, at the same time having the seller certify as to the amount and kind of tax paid. This tax exemption certificate, executed by the purchaser, is then used by the agency primarily to bill the State or local body involved for refund of the taxes paid. If the agency is unable to collect the bill, it is normally forwarded to the General Accounting Office for action. When collection is made, the refunded taxes are recorded in agency accounts, memorandum copies of which are provided for in item 1, General Records Schedule 8. The certificates are retained as long as the agency accounts which they support.

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GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration transferred the functions of the former War Assets Administration relating to property disposition to the new agency. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under the Department of State control. Surplus property transaction files dated prior to the establishment of the former Procurement Division of the Treasury Department in 1933 are also not covered. Such files are not necessarily of continuing value, but they must be evaluated separately from later similar records because, prior to assignment of program responsibility to the Procurement Division, the files are incomplete and of varying nature.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

In discharging its responsibilities, the General Services Administration has issued Title 1, Personal Property Management, Regulations of the General Services Administration, which sets up procedures for screening, redistribution, and sale of personal property in the Federal Government. Three forms are prescribed for use by any agency selling surplus personal property under the regulations.

a. Standard Form 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, and other notices of sale, invoices, and sales slips.

b. Standard Forms 120, Report of Excess Personal Property and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Form 120 reports personal property which is excess to the agency reporting to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Office of Personal Property, Utilization and Disposal Service, General Services Administration, which consolidates the data.

Procedures relating to real property are governed by Title 2, Real Property Management, Regulations of the General Services Administration.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Case files on sales of surplus personal property (as described in item 6 below) involving transactions of \$25,000 or more, and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs	Transaction files in alphabetical order by name of purchaser.	Disposal not authorized by this schedule.
2.	Case files on disposal of surplus real and related personal property.	Alphabetically by location or by control number, as appropriate	Disposal not authorized by this schedule (Transfer to Federal Records Center 3 years after close of file.)
3.	Reports of excess real property.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence files maintained by operating units responsible for property disposal, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.
5.	Reports of excess personal property.	Chronologically by reporting unit.	Dispose after 3 years.

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GENERAL RECORDS SCHEDULE 4

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
6.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in item 1 and 2).		
a.	Transactions of more than \$2,500.	Transaction files in alphabetical order by name of purchaser.	Dispose 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)
b.	Transactions of \$2,500 or less.	Transaction files in alphabetical order by name of purchaser.	Dispose 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose, except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)
7.	Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership since August 21, 1935, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided: (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	Conform to agency practices.	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money cartage.

Item 1. These files, normally selected by the agency for permanent retention, are retained because they document transactions involving new departures in the administration of surplus personal property disposal and as such may be of continuing value. Those not warranting continued preservation must be appraised on their own merits.

Item 2. Almost all contracts for the sale by the Government of surplus real property include recapture clauses, reservations on fissionable materials, reservations on water rights, and other restrictions. These reservations are not limited in time and therefore the sales files must be kept indefinitely. Older sales files and current ones not including such reservations may be disposable, but since they represent sales taking place under unstandardized policies and procedures they must be appraised on their own merits. The related personal property described in this item is property sold with the real estate or with similar reservations.

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GENERAL RECORDS SCHEDULE 4

Item 3. Reports of excess real property contain justifications for declaring the property excess and contain data on the methods by which the property was acquired. Continuing legal needs for this information preclude scheduling their disposal on a Government-wide basis.

Items 4 and 5. General correspondence files are retained long enough to serve administrative needs. Copies of the declarations and reports have a relatively short-term administrative value to the agencies in reporting surplus personal property to the General Services Administration and taking followup actions thereon.

Item 6. Since these agency sales case files represent a contractual relationship in which the Government is the seller instead of a buyer, the factors governing the disposal of procurement files (Item 4, General Records Schedule 3) generally apply also to personal property disposal records. The routine case files are, therefore, held for three or six years after final payment, depending upon the dollar value of the transaction.

Item 7. Non-Federal interests acquiring real property from the Government may need certain documents to operate the property, and this disposal item is designed to permit the appropriate Government agency to turn over to non-Federal custody the necessary records. The Historic Sites Act of August 21, 1935 (49 Stat. 666; 16 U.S.C. 461-467) provides for the preservation of historic American sites, buildings, and objects of national significance. Section 2-A of this Act provides that the Secretary of the Interior, through the National Park Service, shall secure, collate, and preserve drawings, plans, photographs, and other data of historic and archaeological sites, buildings, and objects. Between August 21, 1935, and July 1, 1949, in accordance with this Act, any buildings proposed for sale by, or released from the custody of, the Federal Government, in which there was any reasonable doubt as to historic interest, cleared through the National Park Service which prevented the release from Federal custody of those determined to be of national historic interest. Since July 1, 1949, real property may be alienated only in accordance with the provisions of the Federal Property and Administrative Services Act of 1949 (63 Stat. 377, as amended). Section 203 of this Act (40 U.S.C. 484) provides adequate safeguards against the alienation of real property of historic interest. Under this law, no real property can be sold before all Government agencies have had an opportunity to review the proposal to alienate the property and, under its organic act and related law and Executive orders, the National Park Service is responsible for ensuring that property of national historic interest be preserved in Federal custody. The Service must seek legislation before assuming title to such properties, but there are regular administrative and legal procedures for so doing. In addition, the Service is responsible for calling to the attention of State and local bodies disposable real property of local historic interest and for reviewing and approving their requests for the procurement of such properties. In view of these procedures, the only properties that may be alienated by the Federal Government are those without enduring historic values or which are transferred for historic use for specific periods of time. The proviso that, in cases where property is released for historic use, the records revert to Federal custody upon the discontinuance of such use, allows for their appraisal at that time. The proviso that the records must be susceptible of segregation without harm to other documents prevents disposal under this authorization of papers incorporated in bound volumes, and the provision that transfer of the property must have taken place since August 21, 1935, ensures that transfer was made under the provisions of the Historic Sites Act or of the Federal Property and Administrative Services Act. This item does not authorize disposal of the title and procurement records pertaining to such properties (General Schedule 3, item 2) nor does it authorize disposal of the case files on sales of surplus real property (General Schedule 4, item 2). The documents retained in these files supply adequate documentation of the Government's former ownership of real property of only marginal or less continuing historic interest.

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GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Bureau of the Budget and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by the Bureau of the Budget, usually in quarterly portions, and the agencies must indicate and justify regularly to the Bureau their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7) and detailed information relative to expenditures is obtained in the accountable officers' accounts (Schedule 6).

This schedule applies to records of budget preparation, presentation, and apportionment created since January 1, 1921, in all agencies, except that it does not apply to records of the Bureau of the Budget and the Treasury Department reflecting the Government-wide budget responsibilities of those agencies.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by Circular A-11 of the Bureau of the Budget, Instructions for the Preparation and Submission of Budget Estimates, which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary radically from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to the Bureau of the Budget. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, the Bureau of the Budget requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various types of service operations, such as personnel and payroll activities.

After the Bureau of the Budget examines the agency presentations to determine whether the proposed expenditures are in accord with the President's program, revision of agency requests are made. The agency budget file will therefore show the revisions made at the direction of the Budget Bureau prior to submission to Congress as part of the total presidential budget. In addition it will include copies of testimony before Congressional appropriation committees and of various exhibits and other data submitted in defense of the budget.

Apportionment and reporting are other aspects of budget work in the Federal Government. These budgetary activities are governed by Budget-Treasury Regulation No. 1, which prescribes records and procedures relating to apportionments and reports on the status of appropriations and other authorizations. In setting up the control over the budgetary and financial programs of the Government, the regulation prescribes a series of Standard Forms (SF 131-133, SF 141-143). The major functions of these forms are to make formal request of the Bureau of the Budget for amounts of obligations to be incurred during a specified period under an appropriation, for contract authorization, or for statutory authorizations, and to report on the status of the various appropriation accounts, by appropriation title.

Requests for apportionment (Standard Forms 131 and 141) and for reapportionment (Standard Form 132) are submitted by agencies in original and two copies for each appropriation account subject to apportionment. The original is returned to the agency by the Budget Bureau with a notation indicating the action taken, while the duplicate remains with the Bureau, and the triplicate is sent to the Bureau of Accounts, Treasury Department. To apprise the Budget Bureau of the fiscal status of each appropriation account, agencies submit monthly reports (Standard Forms 133 and 143) showing total amounts still available, the nature of the amounts available, and the relation of the obligations to the payments.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Correspondence files of formally organized budget offices showing agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Conform to agency practice.	Disposal not authorized by this schedule.
2.	File copies of budget estimates prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational levels, comprising appropriation language sheets, narrative statements, and related schedules and data.	Chronologically.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after the close of the fiscal year covered by the budget.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Correspondence files of budget offices not otherwise covered in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Work papers, cost statements, and rough data accumulated in preparation of annual budget estimates, including duplicates of papers included in file copies of budget estimates (described in item 2).	Conform to agency practice.	Dispose 1 year after close of fiscal year covered by budget.
5.	Periodic reports on the status of appropriation accounts and apportionments.		
	a. End of fiscal year report.	By report and chronologically thereunder.	Dispose 5 years after close of fiscal year involved.
	b. All other reports.	By report and chronologically thereunder.	Dispose 4 years after close of fiscal year involved.
6.	Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Chronologically.	Dispose 2 years after close of fiscal year involved.

Items 1 and 3. Papers relating to budgeting processes and to substantive policy decisions pertaining to the expenditure aspects of agency programs are retained as permanent program records of the agency. All other correspondence is held for a minimum period to satisfy normal reference needs.

Items 2 and 4. File copies of budget estimates prepared or consolidated in formally organized budget offices at the bureau or higher organizational levels have two values:

Values for administrative and management purposes in budget functions: These submissions are of potential value in tracing the budgetary development of program and operations. This use of the files makes necessary their retention for a period sufficient to make such reference possible. Agency experience indicates that administrative and management reference is heaviest for the five fiscal years following the year covered by the submission, and that after ten years such reference is virtually non-existent. Many programs prosecuted by Federal agencies are completed within a ten-year period.

Values for historical purposes in documenting the program of the agency: Much of the information contained in file copies of budget estimates is also contained in high echelon files of the agency that are retained permanently and in published hearings on the budget held by Congressional committees. In addition copies of recent submissions to the Budget Bureau are in the custody of that Bureau.

Several years ago the Budget Bureau copies of agency estimate submissions through the fiscal year 1960 were destroyed under authority granted by the Archivist of the United States and the Congress. However, the Bureau has now decided to treat this file as a permanent record. Section 157 of the Examiner's Handbook, dealing with the disposition of Estimates Division records, provides that official record copies of submissions, including "correspondence and memoranda; exhibits and appendices; and related papers reflecting Budget Bureau review of agency estimates" be sent to the Bureau's depository

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after retention in the operating unit for two fiscal years after the close of the fiscal year to which the submission pertains. Bureau of the Budget copies are available for the fiscal years beginning with 1941.

Despite the degree to which the data in bureau and agency budget files are duplicated elsewhere, however, the volume of these files is not extensive except in those agencies in which many types of work papers and various ephemera are present. Such papers are of little value and are disposable soon after preparation of the budget estimates is completed. The estimates formulated in formally organized budget offices are not all of continuing value, but there are enough instances in which they are convenient or sole source of information as to agency plans and hopes that it does not seem practicable to consider them disposable on a Government-wide basis. Many of them may be valuable for research, particularly because they are retained with other records of the agency concerned and therefore can be used easily in conjunction with other files of the agency. Their disposal is therefore not authorized by this schedule.

Items 5 and 6. The apportionment and reapportionment records are retained for a period sufficient to satisfy the management reference needs of the agency. Bureau of the Budget copies are retained as permanent records.

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GENERAL RECORDS SCHEDULE 6

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Accountable Officers' Accounts

Accountable officers' accounts include record copies of all papers concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer, who accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary schedule attests to the authenticity of vouchers listed on the schedule. The latter official takes the responsibility of approving for payment by the disbursing officer the sums due other agencies, contractors, employees, and others who have provided goods and services to the Government. Within the Federal Government the certifying officer and the disbursing officer are usually different individuals, but the disbursing officer and the collecting officer may be the same or different individuals.

Disbursements for virtually all Government agencies, except the Department of Defense, the Postal Service, the Department of State, and certain Government corporations, are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement within the Bureau of Accounts, Treasury Department. The Division was created by Executive Order 6166 of June 10, 1933. Prior to that time agencies had their own disbursing organizations. Traditionally agencies transmitted individual vouchers, covering schedules, and summaries on the basis of which payment was made and the papers were then forwarded to the General Accounting Office for audit. Since about July 1949, however, disbursements have been made for an increasing number of agencies merely on the basis of certified schedules, with the detailed vouchers transferred to the General Accounting Office from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by General Accounting Office General Regulations No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167 for use by all agencies effective July 1, 1952) and formally eliminated the transfer of vouchers to the Chief Disbursing Officer.

Another procedural change with major record implications was the inception and gradual extension of the on-the-site audit of agency accounts. Under this system the vouchers, contracts, schedules, accounts current, and other related supporting documents are to be retained in agency space for the General Accounting Office auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that the audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. Section 7(a) of General Accounting Office General Regulations No. 115 gives general authority to the agencies, if the records are no longer required for administrative purposes and subject to the written approval by the Comptroller General, to transfer records audited at the site to Federal Records Centers after two years. Because the records heretofore transferred to the General Accounting Office are retained in the agency and available, several agencies have eliminated the creation of memorandum copies.

This general schedule covers the memorandum copies of the accountable officers' accounts created since January 1, 1921, whether or not the agencies are assigned for an audit-on-the-site. Conversely, it does not apply to the papers which have been submitted to the General Accounting Office either by physical transfer or by retention in agency space for audit purposes. Nor does the schedule apply to the copies of the schedules and related papers held by the Chief Disbursing Officer, from which he makes payment. These are covered by a separate authorization.

Because of special General Accounting Office needs, vouchers and related papers pertaining to transportation charges are excluded from disposition. General Accounting Office Regulations No. 115 provides for the transfer of voucher schedules and supporting papers covering these charges to the General Accounting Office in Washington, regardless of whether the forwarding agency is under on-site audit. The memorandum copies are covered in General Records Schedule 9, which provides for transfer of freight payment files to a Federal Records Center after two years and disposal after 10 years, and for the disposal of passenger payment files 4 years after the period covered by the related account. In addition, because of their value as auxiliary personnel records, the records relating to pay of civilian personnel are excluded from coverage in this schedule and are separately treated in General Records Schedule 2.

In addition to the memorandum copies of returns, this schedule also covers records in other agencies which are related to the audit of the accounts by the General Accounting Office. These include (1) the notices of exception by which the General Accounting Office notifies the proper accountable officer that it takes exception to a specific payment or transaction, and (2) certificates of settlement that show the status of his account.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents which deposit funds into the Treasury, and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Treasury Department are not covered by this schedule and are provided for separately.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Accountable officers' returns, comprising memorandum copies of accounts current, all supporting vouchers, schedules, documents, and related papers not otherwise provided for in this schedule (exclusive of freight records covered by Schedule 9, and payroll records covered by Schedule 2).		
a.	Security copies of payment lists prepared or used for disbursement by Treasury disbursing offices.	Chronologically by payment period.	Dispose when Federal Records Center receives second subsequent document covering same type of payment.
b.	All other returns files.	Chronologically.	Dispose 4 years after period covered by the account.
2.	General Accounting Office notices of exception (formal or informal) and related correspondence.	Chronologically.	Dispose 1 year after exception is reported as cleared by the General Accounting Office.
3.	Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related papers.		
a.	Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Case file or schedule in chronological order.	Dispose 2 years after date of settlement, providing certificate is cleared.
b.	Certificates covering periodic settlements.	Case file or schedule in chronological order.	Dispose when subsequent certificate of settlement is received.
4.	Schedules of certificates of settlement of claims settled by the General Accounting Office.	Chronologically or by schedule number.	Dispose 2 years after date of settlement.
5.	Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants (other than records covered by item 1).	Chronologically.	Dispose 4 years after date of document.
6.	Administrative correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.		
a.	Files used for workload and personnel management purposes.	Conform to agency filing system.	Dispose after 2 years.
b.	All other files.	Conform to agency filing system.	Dispose after 4 years.

SUPERSEDED

GENERAL RECORDS SCHEDULE 6

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
7.	Federal personnel surety bond files.		
a.	Official copies of the bond and attached powers of attorney.	Conform to agency practice.	
	(1) Bonds purchased prior to January 1, 1956.		Dispose 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955.		Dispose 15 years after end of bond premium period.
b.	Other bond files, including other copies of bonds and related papers.	Conform to agency practice.	Dispose when bond becomes inactive or at end of bond premium period.

Items 1-4. Accountable officers' returns consist of a variety of papers prescribed by regulations of the Comptroller General. The returns, which are normally submitted monthly (although some returns are rendered quarterly), consist of an account current, summarizing all collection and disbursement transactions of the accountable officer, supported by detail documents supporting each summary entry on the account current. The account current and all supporting documents are audited by the General Accounting Office to insure that transactions were conducted by the accountable officers for legally proper purposes in accordance with established procedures. Exceptions may be raised where the propriety of transactions is not clear or where the supporting documentation is incomplete.

Under Public Law 72, 80th Congress (61 Stat. 101), the General Accounting Office must complete the audit of accounts within three years from the date of the submission of the account. The disposal period provided for all returns files other than those covered in item 1.a. includes the three-year period, plus an additional year for administrative purposes. Necessary references after the four-year period can be made to the originals of the papers held by the General Accounting Office in its own space, or in appropriate agency or Federal Records Center space.

In the normal course of current operations, security copies of voucher listings prepared or paid by the Treasury disbursing offices normally consist of memorandum copies of lists of various types of periodic payments made under certain Federal programs, and attached papers. These copies are transferred to appropriate Federal Records Centers by disbursing offices as soon as checks are issued. Since only current data need be available, these documents are disposable at the Centers when the second subsequent document for each type of disbursement is received. Under this procedure, the current and immediately preceding payment listings will be continuously available. The disposal provision for item 1.a. does not apply to original listings, which are maintained for a minimum of 12 years in the case of skeletonized payrolls, 56 years in the case of comprehensive payrolls, and eight years in the case of all other types of listings.

Exception and certificate files are scheduled for disposal after periods based on clearance of the exception as well as the total accounts.

Schedules of certificates of settlement of claims are listings of claims settled by the General Accounting Office and are retained for a shorter period than the certificates themselves.

Item 5. These records, relating to the availability, deposit and status of funds, comprise certificates of deposit and related papers, or their equivalents, covering collected funds into the Treasury, transcripts, tabulations, and reports prepared primarily by the Treasury Department informing administrative agencies of the status of their funds subject to disbursement from certified vouchers, and used to reconcile with agency accounting records; copies of appropriation warrants officially making funds available to agencies by Congress; and other records documenting the acquisition, maintenance, and availability of agency funds. Conversely, this item does not cover source records supporting the aggregates of funds or collections reported on certificates of deposit or summaries of disbursements. Therefore, records such as income tax returns, social security reports, Federal employee retirement accounts, and the like are not included. Those records serve separate and distinct special program purposes and do not relate to agency funds accounting activities. Records covered by this item are held for the same four-year period provided for the memorandum copies of accountable officers' returns, which reflect the collections and expenditures of the funds. Key ledger records summarizing accountable officers' accounts are retained for substantial periods in the Office of the Treasurer of the United States and the Bureau of Accounts, Treasury Department. The originals of the appropriation warrants (Treasury Department copies) are not scheduled for disposal.

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 6

Item 6. Files used for personnel and other non-fiscal management purposes are disposable after a ~~minimum~~ period necessary for administrative and reporting needs. Other files are held for a somewhat longer period, since they may contain substantive fiscal data and may be useful in General Accounting Office comprehensive agency audits.

Item 7. Public Law 323, 84th Congress (69 Stat. 618), changed the methods involved in placing Federal personnel under protective surety bonds. Effective January 1, 1956, Federal agencies were authorized for the first time to purchase surety bonds which are not for specific individuals, but which cover groups of positions regardless of incumbent. Agencies are still authorized, at their discretion, to buy the older type of name bonds. However, the "position schedule bond" (based on position rather than individual), and the "blanket bond" covering groups of employees, or possibly even whole agencies regardless of incumbent or type of position, are now the two types of bonds usually purchased by agencies under the new law.

This item pertains to all types of surety bonds covering civilian and military personnel in the executive branch of the Government. From time to time the Treasury Department may retain certain bonds beyond the specified periods for unique legal reasons. These may relate to Treasury officials whose bonding is specifically required by statute (mainly 6 U.S.C. 1) and whose fiscal or accounting activities may not come within the auditing purview of the General Accounting Office.

Personnel surety bonds are disposable after the specified periods on the following grounds:

a. They have little historical value. This is true of all the bonds covered by this item. The 1789-1925 group of bonds, now in the National Archives, have on a few occasions been used as a supplementary source of biographical data. This use, occasional as it is, is primarily for the files antedating 1900. The potential use of the later files for this biographical purpose is quite remote. Even if one of the bonded individuals turns out to warrant some interest, major sources of biographical data are far richer today than they were prior to 1900. Moreover, the prevalence of the "position schedule bond" and "blanket bond" under the new bonding legislation has eliminated almost completely reference to individuals by name.

b. They have limited legal value. There are no statutes of limitation on the date of discovery of shortage or fraud after the coverage of a bond ends. However, there are legal limitations on the time which can elapse between the date of discovery and the institution of court recovery proceedings. 6 U.S.C. 5, 28 U.S.C. 2462, and 28 U.S.C. 2501 require that recovery actions be instituted within five or six years from the date of discovery. Significantly, the interval between the date of submission of accounts and that of discovery is rather brief, for two reasons: (1) 31 U.S.C. 821 requires that General Accounting Office audits be completed within three years from the date of submission of the accounts. Since shortages normally are first discovered as the result of the audit of accounts, this requirement, waived only in time of war, logically results in the discovery of shortages relatively soon after they occur; and (2) the site audit program of the General Accounting Office normally uncovers shortages or exceptions soon after the fiscal transactions on which they are based.

Nor is documentation which would support Government claims under these surety bonds retained for a lengthy period. The Congress, in House Report No. 2471, 82d Congress, 2d sess. (July 3, 1952) approved the disposal of the originals of virtually all settled accounts 12 years from the date the accounts are submitted. Settlement normally takes place within three years from submission. Therefore, roughly 10 years after settlement of the account, the documentation supporting the surety bond in a claim would not be available. In addition, all but a relatively small number of paid checks are destroyed eight years after date of issue, under authority of House Report No. 1926, 79th Congress, 2d sess. (April 13, 1946).

The word "inactive" as applied to these bonds refers to the time when an employee is no longer covered or is no longer operative under a specific bond. Powers of attorney attached to bonds, authorizing individuals to act as agents for surety companies in executing such bonds, are held as long as the bonds themselves. Other powers of attorney are not covered by this schedule. All other related agency papers, which may include applications for bonds, correspondence, and copies of the bonds, are disposable after the bond itself has lapsed. Only the master copy of the bond is the controlling record in recovery actions.

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 7

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Appendix B
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Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and non-appropriated, are spent after allotment by the Bureau of the Budget, and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, with expenditure and with program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and papers further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against over expenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders which authorize exact and specific expenditure.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source for the data included in the basic apportionment reports to the Budget Bureau, and the Treasury Department, and over-all reports of agency fiscal condition which may be required by the General Accounting Office (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting Office auditors to be indicative of the suitability of the agency's entire accounting system and the reliability of its financial data.

This schedule provides for the disposal of expenditure accounting records created since January 1, 1921, in the several agencies. It does not apply to such records maintained on a Government-wide basis by the Treasury Department and the Bureau of the Budget, or to those formerly maintained by the General Accounting Office.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.	Conform to agency practice.	Dispose after 2 years.
2.	General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	One set of accounts by each established account covering asset and liability.	Dispose 10 years after close of fiscal year involved.
3.	Allotment records, showing status of obligations and allotments under each authorized appropriation.	One set of allotment records by established allotment.	Dispose 10 years after close of fiscal year involved.

SUPERSEDED

SUPERSEDED
GENERAL RECORDS SCHEDULE 7

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
4.	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not otherwise provided for in this schedule.		
a.	Original records.	One set of each control.	Dispose after 4 years.
b.	Copies.	One set of each control.	Dispose after 2 years.

Item 1. These are routine correspondence files maintained incidentally to the key accounting functions and are held long enough to satisfy agency administrative needs.

Items 2-3. As the central fiscal records, the general ledgers and the allotment records immediately supporting them have a longer retention value than any other agency fiscal records, with the exception of individual pay cards (Schedule 2), because of the summary nature of the information they contain. Their prime administrative and fiscal values to the agency are as sources of fiscal, expenditure and cost data for managerial purposes, and for use in budget preparation. Occasionally the general and allotment ledgers are brought into play in the administrative examination of claims. Although the ledgers are of considerable value they are not permanent records, for they serve needs which are essentially temporary in nature. The retention period in this schedule for the general ledgers is geared not only to the conceivable administrative needs of the agency, which normally arise within five years, but to the ten-year statute of limitations governing the presentation of most claims against the Government. Summary data on agency expenditures for historical and other purposes are available in permanently retained appropriation ledger files and the annual Combined Statement of Receipts, Expenditures and Balances of the United States Government, both of which are responsibilities of the Bureau of Accounts, Treasury Department. Such Bureau of Accounts records are not covered by this schedule. In addition, the basic program activities of agencies are inevitably reflected in the permanently retained upper echelon files of the agencies no less extensively than they are revealed in the general and allotment ledgers, which are often couched in technical, cryptic terms.

Item 4. These posting media and detailed appropriation and expenditure controls are held for a period sufficient for administrative needs after posting and after completion of the action contemplated by detailed project or work controls.

SUPERSEDED

GENERAL RECORDS SCHEDULE 8

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Appendix B
(9-10-56)H

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. The records created pursuant to these specialized accounting activities since January 1, 1921, are covered by this schedule. They are voluminous and often diverse, but they are integral parts of the fiscal and supply controls of the agencies. These records, which essentially reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data reflected in stock inventory records, but they are not procurement papers.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials. Custody is established by accomplished copies of material movement documents, and stores accounting information is posted from the documents covering the movement of goods to intermediate records. Stores accounting data are normally reviewed and consolidated by means of reports and returns submitted to agency headquarters, where the information is used for procurement planning, budget, and other management purposes. These records do not include papers reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary agency stores information is reflected in the pertinent general ledger accounts.

b. Plant Accounting. These records consist primarily of cards recording the principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a stores or stock inventory system. Summary data on plant value is also available in pertinent general ledger accounts.

c. Cost Accounting. These records are designed to accumulate and show data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately posted to the accounts in the agency general ledgers concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are utilized in evaluating economy of agency operation and in preparing budget estimates.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Plant account cards and ledgers pertaining to structures.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files of units responsible for plant, cost and stores accounting operations.	Conform to agency practice.	Dispose after 2 years.
3.	Invoices or equivalent papers used for stores accounting purposes.	Conform to agency practice.	Dispose after 4 years.
4.	Stores accounting returns and reports.	Conform to agency practice.	Dispose after 1 year.
5.	Work papers used in accumulating stores accounting data.	Conform to agency practice.	Dispose after 2 years.
6.	Plant account cards and ledgers, other than those described in item 1.	By plant item number or numerically by plant account.	Dispose 3 years after item is withdrawn from plant account.
7.	Copies of cost accounting reports.		
a.	Copies in units receiving reports.	Conform to agency practice.	Dispose after 4 years.
b.	Copies in reporting units, and related work papers.	Conform to agency practice.	Dispose after 4 years.

SUPERSEDED

SUPERSEDED
GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITIONS</u>
8.	Ledgers, forms, and machine records used to accumulate data for use in cost reports.		
a.	Ledgers and forms.	Conform to agency practicing	Dispose after 1 1/2 years.
b.	Machine records.		
(1)	Detail cards.	Conform to agency practice.	Dispose after 6 months.
(2)	Summary cardsting	Conform to agency practice.	Dispose after 6 months.
(3)	Tabulations.	Conform to agency practice.	Dispose after 1 year.

Item 1. These cards are retained because they document the physical features, placement and nature of structures on Government areas and installations.

Item 2. These are routine administrative correspondence files, not containing accounting data, held long enough to satisfy reference needs.

Items 3-5. The invoices are held long enough for posting of stores accounting data to intermediate records and to allow for internal check of transactions involving the movement of goods, while the returns and reports are retained for a sufficient period to permit utilization of the data they contain for management purposes. Summary general ledger data are retained for a ten-year period. Work papers are disposable after an appropriate period shorter than that provided for the records which they support.

Item 6. These records are held long enough to permit administrative control over the plant account item while it is active, and for reference after the item is no longer carried on the account. Basic data is available in procurement or project files which are retained permanently or for a substantial period, while specialized legal circumstances surrounding real property are documented in retained records of continuing value.

Items 7-8. The cost records containing data reflected in general ledger accounts being retained for a ten-year period are disposable after they have served agency budget and other management needs. Subsidiary records involved in the accumulation of cost data are scheduled for an appropriately short period. Information as to the cost of individual projects of importance are shown in project files, and copies of cost reports that are of major significance are contained in agency management or administrative files not covered by the schedule.

SUPERSEDED

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GSA Reg. 3
Appendix B
(4-6-62)

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records created since January 1, 1921, that pertain to the movement of goods and persons under Government orders. The record keeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments become part of the accountable officers' accounts, or are accounting posting media. Their disposition may be covered by General Records Schedule 6, item 1; General Records Schedule 7, item 4; or items 1 and 3 of this schedule.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which document the transaction. Included are records relating to the shipment of household effects, which is authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents.

Records for the years prior to 1959 pertaining to the movement of goods have been designated as records of temporary value, but are to be retained for the periods shown in item 1b in order to properly protect the interests of the Government in view of the statutory time limitations set forth in 31 U.S.C. 71n. Records for the years 1959 and later (in item 1b) are retained for shorter periods in accordance with the provisions of Public Law 85-762 (49 U.S.C. 16, 66, 304a, 908, 1006a).

b. Movement of persons. The movement of persons is essentially documented by copies of travel orders, which authorize travel and subsequent payment, and standard form vouchers showing payment for official travel. The two primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Freight records consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, and including files relating to the shipment of household effects.		
	a. Files covering freight transactions prior to 1959.		
	(1) Issuing office memorandum copies.	By bill of lading number.	Dispose after 10 years. (Transfer to inactive file on completion of transaction; break inactive file every 2 years and transfer to Federal Records Center 1 year later.)

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) All other copies.	Conform to agency practice.	Dispose after 1 year.
	(3) Bills of lading registers.	In numerical sequence.	Dispose 10 years after final entry on register.
b.	Files covering freight transactions 1959 and subsequent.		
	(1) Issuing office memorandum copies.	Conform to agency practice.	Dispose after 4 years. (Transfer to appropriate Federal Records Center if volume warrants.)
	(2) All other copies.	Conform to agency practice.	Dispose after 1 year.
	(3) Bills of lading registers.	In numerical sequence.	Dispose 4 years after final entry on register.
2.	Freight records relating to the administration of Government Losses in Shipment Act consisting of schedules of valuables shipped and related papers and reports.	Chronologically in case fashion.	Dispose after 4 years.
3.	Passenger transportation records consisting of memorandum copies of vouchers (Standard Form 1171a), memorandum copies of transportation requests (Standard Form 1169a), travel authorizations, transportation request registers, and all supporting papers.		
a.	Issuing office memorandum copy.	With related account.	Dispose 4 years after period covered by related account.
b.	Obligation copy if different from copy in a.	In appropriate fashion for posting.	Dispose when funds are obligated.
c.	Unused ticket redemption forms.	Conform to agency practice.	Dispose when administrative needs have been satisfied.
4.	Passenger transportation records pertaining to reimbursements to individuals, consisting of copies of travel orders, per diem vouchers, transportation requests, hotel reservations and all supporting papers relating to official travel of officers, employees, dependents, or others authorized to travel by law (exclusive of records covered by Item 3).		
a.	Travel administrative unit copies.	In folders arranged alphabetically by name of employee; break file every 2 years.	Dispose after 4 years.
b.	Obligation copies.	In appropriate fashion for posting.	Dispose when funds are obligated.

SUPERSEDED

SUPERSEDED

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(4-6-62)

GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
5.	Records, freight and passenger not otherwise covered in this schedule.		
	a. Correspondence, forms, and related papers pertaining to agency travel and transportation functions.	Conform to agency practice.	Dispose after 2 years.
	b. Accountability records.	Conform to agency practice.	Dispose 1 year after all entries on the records are cleared.

Item 1. The export certificates are the key documents affecting freight charges for material destined for overseas shipment; transit certificates document in-transit storage of freight; damage car record books show cars involved in freight damage and related data; and shipping documents giving a detailed description of the materials shipped are essential in determining proper freight classifications.

The retention period for the pre-1959 files is governed by Public Law 76-820 (31 U.S.C. 71a, 237) which bars claims against the Government after 10 full years from the date such claim first accrued.

Retention of the 1959 and subsequent files is in accordance with Public Law 85-762 (49 U.S.C. 16, 66, 304a, 908, 100(a)), barring claims by or against the Government, involving transportation transactions, after three years from (1) accrual of the cause of action, or (2) payment of charges for the transportation involved, or (3) subsequent refunds for overcharges, or (4) deductions, whichever occurs later.

These files, documenting freight shipment transactions, are held long enough to satisfy agency administrative needs and General Accounting Office requirements. The ten-year and four-year periods are sufficient for accounting adjustments, and claims can normally be adjudicated on the basis of the originals of papers that are sent to the General Accounting Office.

Item 2. Files relating to the administration of the Government losses in Shipment Act are retained for substantial periods by the Bureau of Accounts, Treasury Department, which has Government-wide responsibility. These agency copies are retained long enough to satisfy local administrative and legal needs.

Item 3. The records covered by this item relate to agency payments to carriers for the transportation of persons authorized to travel and are held long enough to satisfy agency administrative needs and General Accounting Office requirements. The four-year period is sufficient for accounting and adjustments, and claims can normally be adjudicated on the basis of the originals of papers that are sent to the General Accounting Office.

The obligation copy if different from the copy described in item a. has no value once fiscal and other postings are made.

Item 4. These files pertain to the travel of persons under orders issued by competent agency authority. Each paper normally concerns travel of an individual. Included are papers which are normally accumulated by agency units involved in expediting and arranging for travel, including copies of travel orders, per diem vouchers, hotel reservations, and related papers, as well as copies of accounting papers such as vouchers which may be used for fund control purposes. The latter are of no value after they have been posted to control ledgers; the administrative travel records are maintained generally as long as memorandum copies of related agency accounts (item 1, General Records Schedule 6).

Item 5. These are routine administrative files retained long enough to serve reference needs. Accountability records document the issue or receipt of accountable documents involved in the travel and transportation functions.

General Transportation requests and bills of lading which are spoiled or canceled in preparation, as well as empty request book covers for transportation requests, are not record material. They are disposable as soon as accountability requirements are met.

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SUPERSEDED

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GENERAL RECORDS SCHEDULE 10

GSA Reg. 3
Appendix B
(9-10-56a)

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies. Responsibility for Government-wide motor vehicle management policy was transferred in 1950 from the Budget Bureau to the General Services Administration by the act which created the latter. Agency records created since January 1, 1921, during the period of Budget Bureau cognizance were essentially the same as those now kept, and are therefore subject to the same disposition.

Personal Property Management Regulation No. 21 prescribes policies and procedures. Standard Form No. 82, which is an annual motor vehicle report required by the Federal Supply Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule does not cover the disposition of records of the Bureau of the Budget (to 1950) and the Federal Supply Service pertaining to motor vehicle management on a Government-wide basis, but it does cover agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflecta threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Supply Service (Standard Form No. 82, Annual Motor Vehicle Report); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance check-off sheets, cost ledgers and claims correspondence and forms.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Conform to agency practice.	Dispose after 2 years.
2.	Motor vehicle operating and maintenance records.		
	a. Operating records.	By chauffeur or car number as appropriate.	Dispose after 3 months.
	b. Maintenance records.	By car number.	Dispose after 1 year.
3.	Motor vehicle ledger and work sheets providing cost and expense data.	By subject.	Dispose 3 years after discontinuance of ledger or date of work sheet.
4.	Reports on motor vehicles (other than accident, operating, and maintenance reports).	By report and chronologically thereunder.	Dispose 3 years after date of report.
5.	Records relating to motor vehicle accidents, maintained by transportation offices.	In case fashion.	Dispose 6 years after case is closed.
6.	Vehicle release files.	By vehicle number.	Dispose 4 years after vehicle leaves agency custody.

Items 1-5. These records are retained long enough to satisfy report, fiscal, management, and automotive maintenance needs of the agency. Claims files have little legal or administrative value after the period indicated.

Item 6. These files relate to transfer of vehicles (excluding non-administrative vehicles of the Department of Defense) when they are transferred by sale, donation, or exchange. These records consist of retained copies of certificates of release, recognized in most states as title papers, copies of title papers themselves, and related correspondence and sales papers. The four-year period is sufficient in the event it is necessary to document disposition of the vehicle, or provide related data. General Records Schedule 4, Item 6, covers the disposition of vehicles sold as scrap after survey. Fiscal aspects of transfers by sale, donation or exchange are also documented in the accounts of the agency fiscal accountable officer. Disposition of memorandum copies of those records is covered by General Records Schedule 6, Item 1.

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GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (or equivalent agency with similar Government-wide responsibilities) as directed by law and by regulation (60 Stat. 257 and GSA Real Property Management Regulation No. 3); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records which reflect Government-wide programs (such as the records held by the Public Buildings Service of the General Services Administration); and (d) records created prior to the establishment of the Public Buildings Administration in 1939 or other space and maintenance records created in connection with the management of space not under Public Buildings Administration or Public Buildings Service cognisance (such records vary sufficiently in their nature to warrant specific evaluation on their merits).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if breaks in the file differ from that suggested herein.
2.	Records relating to the allocation, utilization and release of space under agency control, and related reports to General Services Administration.		
a.	Building plan files and related agency records utilized in space planning, assignment and adjustment.	Conform to agency practice.	Dispose 2 years after termination of assignment, or when lease cancelled, or when plans are superseded or obsolete.
b.	Correspondence with and reports to staff agencies relating to agency space holdings and requirements.		
(1)	Agency reports to General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers.	Conform to agency practice.	Dispose 2 years after date of report (in accordance with item 1).
(2)	Copies in subordinate reporting units and related work papers.	Conform to agency practice.	Dispose 1 year after date of report.
3.	Correspondence, forms and other records relating to the compilation of directory service listings.	Conform to agency practice.	Dispose 2 months after issuance of listing.
4.	Identification credentials and related papers.		
a.	Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.	Chronologically by date of return of credentials to issuing office.	Dispose of credentials 3 months after return to issuing office.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Receipts, indices, listings and accountable records.	Conform to agency practice.	Dispose after all listed credentials are accounted for.
5.	Requests for building and equipment maintenance services, excluding fiscal copies.	Numerically by control or requisition number.	Dispose 3 months after work performed or requisition cancelled.

Item 1. These are routine files with related data reflecting the activities of the service operation group in administering its internal management and operation. Policy documentation is normally reflected in files at higher administrative levels. The records are maintained a sufficient period to satisfy administrative needs and have no other significant values.

Item 2. These files accumulate in the process of assigning and utilizing agency space. Reports are submitted to General Services Administration as directed by the Federal Property and Administrative Service Act of 1949, and GSA Real Property Management Regulation No. 3. Administrative needs have been met after the lapse of period indicated and the value of summary records held by the General Services Administration reflecting Government-wide trends and policies must be determined separately.

Item 3. The memoranda, completed questionnaires, forms and reports are accumulated in the compilation of directory service listings and are of temporary value after issuance or publication of listing. They are held long enough to satisfy administrative needs.

Item 4. These records relate to the issuance of and accountability for identification credentials, issued to individualising. The credentials themselves and the related control records have little value after they have served their immediate purposes.

Item 5. Requests for maintenance service normally originate in the operating units. Their purpose is issued and they have little further value when the services which they request have been performed or the request has been cancelled.

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GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; wire and wireless service control and operational records; summary of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; and agency copies of penalty mail reports to the Post Office Department formerly required by statute.

This schedule covers the records described below, wherever located in an agency, but it does not cover records created prior to January 1, 1921, and does not cover records which reflect Government-wide programs, such as records held by the Post Office Department, the Postal Service and the Public Buildings Service of General Services Administration, rather than administrative management functions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Messenger service records including daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedule and related and similar records.	Conform to agency practice.	Dispose after 2 months.
2.	Correspondence and report files of the unit responsible for the communication function, pertaining to its own administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if break in file differs from that suggested herein.
3.	Wire and wireless service control and operational records.		
	a. Machine copies of incoming and outgoing messages, message registers, operator's and equipment service logs, performance reports, daily load reports, and related and similar records.	Conform to agency practice.	Dispose after 6 months.
	b. Telsautograph and telscribers tapes.	Not applicable.	Dispose after message is dispatched.
	c. Original copies of outgoing messages retained by wire and wireless service.		
	(1) Authorization copy not duplicated elsewhere showing time of dispatch.	Chronologically.	Dispose after 2 years.
	(2) Authorization copy duplicated elsewhere and showing time of dispatch.	Chronologically.	Dispose after 6 months.
4.	Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense voucher.	By organizational unit and chronologically thereunder.	Dispose after close of fiscal year in which audited.
5.	Postal records consisting of Post Office forms and supporting papers, exclusive of records held by the Post Office Department and Postal Service.		
	a. Record of received or dispatched registered mail pouches.	Chronologically.	Dispose after 1 year.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Application for postal registration and certificate of declared value of matter subject to postal surcharge.	Chronologically.	Dispose after 1 year.
c.	Receipt for incoming registered and insured mail.	Chronologically.	Dispose after 1 year.
d.	Record of incoming and outgoing registered and insured mail.	Chronologically.	Dispose after 1 year.
e.	Return receipts for registered, insured, and special delivery mail.	Chronologically.	Dispose after 1 year.
f.	Report of loss, filing, delay, wrong delivery, or other improper treatment of mail matter.	Chronologically.	Dispose after 1 year.
g.	Statement of Reading of Metered Registers.	Chronologically.	Dispose after 1 year.
6.	Mail control records and supporting and related papers.		
a.	Records of receipt and routing of incoming and outgoing mail other than (1) those listed in item 5, and (2) records used as indexes to correspondence files.	Alphabetically by name and chronologically thereafter.	Dispose after 1 year.
b.	Statistical reports of postage used on outgoing mail (air mail, special delivery, registered, foreign and parcel post over 4 pounds).	Chronologically.	Dispose after 6 months.
c.	Requisition for stamps, (exclusive of copies used as supporting documents to payment vouchers)	Chronologically.	Dispose after 6 months.
d.	Production reports of mail handled and work performed, with compilations derived therefrom.	Chronologically.	Dispose after 1 year.
e.	Record in agency mail units of remittances (check, cash, stamps and money orders) and other valuable enclosures received through agency's mail unit in incoming mail.	Chronologically.	Dispose after 1 year.
f.	Record of and receipts for mail and packages received through the Official Mail and Messenger Service.	Chronologically.	Dispose after 6 months.
7.	Official penalty mail reports formerly required by statute, and all related papers.	Chronologically.	Dispose after 2 years.

Item 1. These files pertain to the administrative management of messenger services. Their purpose is ~~saved~~ and they have little further value after the activities to which they relate are accomplished.

Item 2. These are routine files with related data reflecting the activities of the communication unit in administering its internal management and operation. Policy documentation and reports are normally reflected in files at higher administrative levels. The records are maintained for a sufficient period to satisfy administrative needs and have no other significant value.

Item 3. These records relate to the control and operation of wire and wireless service exclusive of the ~~Government-wide~~ program records of the Public Buildings Service of General Services Administration. The disposal of original copies of outgoing messages by the wire and wireless service are qualified due to the varied practices of agencies in preparing and maintaining elsewhere within the agency copies of the

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message actually showing time of dispatch. The agency needs have been met after the lapse of period indicated.

Item 4. The summaries of long distance telephone reports are of temporary value and are utilized as an administrative tool to indicate authorized use of telephone services as well as for auditing telephone tolls. They have no further value after audit has been performed.

Item 5. These records control the handling of special types of mail and related or equivalent material received or sent via the Postal Service. The records have value for a short time only. Claims resulting from the loss of registered, insured, or other types of special mail must be filed with the Post Office Department within one year after the date of mailing. The period of time indicated is sufficient to exhaust the value of the records for administrative and legal purposes.

Item 6. These mail control records and supporting papers are utilized to maintain control over the receipt and routing of ordinary and special mail, received from sources outside of the agency. The description of these files excludes any records used as indexes to correspondence or other files.

Item 7. The Penalty Mail Act of 1948, Public Law 785, repealed the requirement that the Postmaster General make periodic reports to Congress and the Bureau of the Budget on the amount of penalty mail sent by individual agencies of the Government. This report was based on information received from the agencies concerned. The records in the agencies were, in themselves, only of temporary value and the lapse of period of time indicated is sufficient to exhaust any value they may have had to the Post Office Department.

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GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the retention or disposal of all copies, wherever located in the agency of records created since January 1, 1921, that relate to printing, binding, duplicating and distribution, except as indicated in the several items. The principal records documenting these functions are: (a) Records pertaining to requests for service, control, production and distribution of individual jobs or projects; this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions, and to record the production, distribution and cost analysis within the operating units; and (b) Correspondence and report files reflecting the activities of the unit responsible for handling the printing, binding, duplication and distribution matters within the agency.

The Congressional Joint Committee on Printing is responsible for regulating the operation of agency "printing plants." The Committee is authorized to remedy any neglect, delay, duplication, or waste in the public printing and binding and the distribution of Government publications. No "printing plant," as defined in the Printing and Binding Regulations published by the Committee, can legally operate without prior authorization. The Committee further requires all agencies operating "printing plants" to submit reports not later than 30 days after the close of specified periods. Each agency maintaining a mailing list is required to revise it at least once each year by making inquiry as to whether the publications distributed are desired by the persons to whom addressed.

This schedule does not cover (a) records retained by agencies for on-the-site audit by the General Accounting Office; (b) agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records which reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing) rather than administrative management functions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Copy, in duplicating or distribution unit, of each publication, poster, chart, directive, regulation, booklet, speech, form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.)	By series and thereunder chronologically or by established numbering practice.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when 5 years old.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files of the unit responsible for the printing, binding, duplication and distribution matters, pertaining to its administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if break in file differs from that suggested herein.
3.	Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.		
a.	Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.	Numerically by control or requisition number.	Dispose 1 year after completion of job.
b.	Files pertaining to planning, standards, cost and related technical matters.	By series and thereunder chronologically or by established numbering practice.	Dispose after 3 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
4.	Control registers pertaining to requisitions and work orders.	Numerically by control or requisition number.	Dispose 1 year after close of fiscal year in which compiled or 1 year after filing of register, whichever is applicable.
5.	Mailing lists and related material.		
a.	Correspondence, request forms and other records relating to changes in mailing lists.	Alphabetically by name within mailing group.	Dispose after appropriate revision of mailing list or after 3 months, whichever is earlier.
b.	Card lists.	Alphabetically by name.	Dispose of individual cards when cancelled or revised.
c.	Plate or stencil mailing lists.	Alphabetically by name within mailing group	Dispose of plates or stencils when cancelled or revised.
6.	Reports to Congress and related records.	TH	
a.	Agency reports to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.	Conform to agency practice.	Dispose after 3 years.
b.	Copies in subordinate reporting units and related work papers.	Conform to agency practice.	Dispose 1 year after date of report.
7.	Records relating to internal management and operation of the unit.	Conform to agency practice.	Dispose after 2 years.

Item 1. Many agencies depend on their duplication or distribution units to retain record copies of all documents of this type. For that reason it is not possible to authorize by general schedule the disposal in such units of these copies because the documents are of basic value in documenting the history and activities of the agency. If agency procedures provide for retention of record copies in the units originating the document or elsewhere, other copies, including those in the printing or distribution units, may be disposable but such determinations must be made in the case of each agency.

Items 2 and 7. These are routine files reflecting the activities of the service operation group in administering its internal management and operations. Policy documentation is normally available in files at higher administrative levels. The records are held long enough to satisfy administrative needs and have no other significant value.

Item 3. These files are the technical, operational, production, and related papers pertaining to the planning and execution of the printing, binding, duplication and distribution jobs. The requisitions on the Public Printer and records relating to services obtained outside the agency are not covered by this item since they are provided for in Schedule 3. The records are retained for a sufficient period to satisfy administrative and reference needs after completion of the job.

Item 4. These registers are utilized in the operating units to control the receipt of requisitions and work orders to which production, distribution and cost analysis data are posted. Their purpose is served when the activities to which they relate are completed.

Item 5. These records are utilized in the maintenance and administration of mailing lists. The Printing and Binding regulation published by the Congressional Joint Committee on Printing requires agencies that maintain mailing lists to revise them at least once a year by making inquiry as to whether the publications distributed are desired by the person to whom addressed. The files have little further value when the services to which they relate have been performed.

Item 6. The Congressional Joint Committee on Printing requires that all heads of Departments or Agencies operating "Printing plants" submit reports on forms furnished by the Committee, not later than 30 days after the close of specified periods. These reports and related papers are held long enough to satisfy the needs of the agency.

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GENERAL RECORDS SCHEDULE 14

Informational Services Records

This schedule covers certain records created since January 1, 1921, pertaining to informational services performed by Government agencies in their day to day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6, however, are applicable only to files maintained in formally designated informational offices to which has been assigned responsibility for the operation of the informational activities of the agency or a subdivision thereof.

Since formal informational releases represent an agency's contemporary explanation to the public of its program, policies, and accomplishments, these end products are of considerable value for future research. The records designated as disposable by this schedule are not the only other types of records created by Federal agencies in connection with their relations with the public, but in many offices they are relatively voluminous and may be disposed of after a very short time. Essentially they consist of routine inquiries, replies thereto, other correspondence in which no unusual administrative decisions, policies, or efforts are involved, and administrative background materials for formal informational releases. Closely related records, such as certain records relating to budget presentation and printing, duplicating, and distribution records, are covered by other general records schedules.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations, and indexes thereto.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 4 years after close of file.)
2.	Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 2 years after break in file.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Requests for information and copies of replies thereto, involving no administrative action, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs and other informational literature.	Chronologically.	Dispose 3 months after transmittal or reply.
4.	Acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply.	Chronologically.	Dispose 3 months after acknowledgment and referral.
5.	Daily press service teletype news.	Chronologically.	Dispose after 3 months.
6.	Informational services project case files maintained in formally designated informational offices.	By project. Start a new file every year.	Dispose 1 year after close of file or 1 year after completion of project if method of filing differs from that suggested herein.
7.	Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records.	Chronologically.	Dispose after 3 months.

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GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Conform to agency practice.	Dispose when superseded or obsolete.

Item 1. These records document the public release of information concerning agency activities and accomplishments. It is incumbent upon the agency to determine where and in what manner the record series of these releases are retained (see General Records Schedule 13, item 1). Other copies, if filed separately, may be considered nonrecord and may be disposed of when of no further reference value; if integrated in general subject files they may be disposed of in the same manner as the file of which they are a part.

Item 2. The value of these records will vary greatly from agency to agency and even from bureau to bureau within a single agency. Some of the files, such as correspondence concerning the use of copyrighted material, may have long term legal value and other segments of the files may have continuing historical and research values.

Items 3 and 4. These records are of transitory value and after the lapse of time specified they will not have sufficient value to warrant their preservation. Inquiries and requests from the public are of such a nature that the retention of the material for statistical purposes would serve no significant purpose.

Item 5. These records keep agency officials posted on current news events and at times are of vital importance in the formulation of agency policy decisions. The information contained in these records is available with more comprehensive coverage in the daily newspapers, libraries, or in the organization issuing the releases.

Item 6. These records are accumulated in the preparation of agency informational releases (item 1). They consist chiefly of preliminary drafts, copies of requisitions and distribution lists, statistical compilations and work papers used in the preparation and issuance of formal informational releases. Basic data supporting the formal releases resulting from research or other work done in operating offices are retained in the operating offices engaged in program activities covered by the release.

Item 7. Those anonymous letters and letters of commendation, complaint, criticism, and suggestions and replies for which investigations or administrative action has been taken are not covered by this item. The residues are of little use in the documentation of agency programs and are of no value beyond the specified time.

Item 8. These records are of no value as finding aids unless kept current and those that are useful as indexes are retained under the provisions of item 1.

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations, or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Housing and Home Finance Agency, the National Capital Housing Authority, the Department of Health, Education, and Welfare, or the Veterans Administration pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations and over-all supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence files pertaining to the maintenance and management of housing projects.	Conform to agency practice.	Dispose after 2 years.
2.	Maintenance and repair records for individual units.		
	a. Summary card or ledger record.	By housing unit classification scheme.	Dispose 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.
	b. Work orders, requisitions, and related papers involved in repair and maintenance work.	By work order or requisition number.	Dispose 3 fiscal years following close of fiscal year in which work is done.
3.	Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	By report and chronologically thereunder.	Dispose after 2 years.
4.	Lease files, including copies of leases, renewals, termination notices, and related papers.	Alphabetically by name of tenant.	Dispose 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.
5.	Assignment and vacancy card files.		
	a. Individual tenant cards.	Alphabetically by name of tenant.	Dispose when tenant vacates unit.
	b. Individual housing unit cards.	By housing unit classification numbering scheme.	Dispose 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6.	Furnishing inventory files, pertaining to items included in furnished units.	By housing unit classification scheme.	Dispose 3 fiscal years after close of fiscal year in which inventory is superseded.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
7.	Application files (other than copies in lease files).		
a.	Rejected application files.	Alphabetically by name of applicant.	Disposes 1 year from date of rejection.
b.	All others.	Alphabetically by name of applicant.	Dispose after 2 years.

Item 1. These files relate to routine matters of housing management which do not reflect agency policy and do not relate to individual occupants.

Item 2. Summary records of maintenance and repair work on each unit are retained as long as the unit is available for occupancy. Records created in the course of accomplishing maintenance work are of only temporary value and are retained for a brief reference period.

Item 3. These are reports on collections and occupancy status, reports on the status of inventory items (including surveys), and copies of narrative statements of management problems and conditions that are normally submitted to agency superiors. They are retained long enough for the information they contain to be fully exploited for housing management purposes.

Item 4. These lease files, containing all papers pertaining to leasing transactions, are held long enough for reference purposes after the tenant vacates. The period indicated is sufficient, since leases are self-terminating, or are terminated or canceled in accordance with mutual agreement or clearly defined legal procedures. Provision is made for the holding of lease files involved in litigation long enough for the legal purposes involved.

Item 5. These records are maintained to provide ready identification of vacant units or of the tenants in occupied units. They are retained for reference purposes during the incumbency of the tenant or the availability of the unit for occupancy.

Item 6. These files, pertaining to furnishings issued to tenants, are retained long enough to record the issue and return of the equipment.

Item 7. Unsuccessful application files are retained for a brief period to satisfy reporting or other management needs. Applications not acted upon within a two year period normally represent applicants no longer interested in housing accommodations.

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Administrative Management Records

This schedule provides for the retention or disposal of certain records relating to administrative management activities in Federal agencies. These activities involve the direction and control of those staff and management improvement programs not under line personnel directing and controlling substantive operations and programs. For the purpose of this schedule only, they exclude records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules, but include records of related specialized procedural and management staffs. Included within the scope of the schedule are the most frequently found files which are created in the course of organizational planning, development and simplification of procedures, records management activities, and administration of management improvement programs. General Records Schedule 1 (items 13 and 14) provides for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs.

This schedule covers administrative management records created during and after calendar year 1939. Records of any earlier management activities, to the extent they are found in any agency, must be evaluated separately.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are successively division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with at least division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

The physical nature and content of management records are not standardized on a Government-wide basis, although some management operations fall within the Government-wide staff supervision of the Bureau of the Budget, the General Services Administration, the General Accounting Office, and the Civil Service Commission, as well as other agencies having certain responsibilities of Government-wide implication, and involve the use of mandatory forms and reporting procedures. Records of these agencies created in the course of exercising Government-wide staff supervision are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them are of continuing value. Files pertaining to a management program in a well defined area, such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist largely of project files which are established for each separate problem assigned for investigation; the resulting case file is usually of continuing value in documenting the history of how the agency conducted its business. In either event there is a residue of ephemeral materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.

Because of variations in the size of management offices, it is not possible to make specific recommendations as to the frequency with which blocks of records of continuing value should be retired to Federal Records Centers. The determination as to timing of such transfers should therefore be made by each agency, largely on the basis of the volume of records accumulated during a five-year period. It is recommended that transfers be so planned as to insure that sizeable blocks of relatively inactive records are not retained in agency space.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Copy of each internal directive issued by or for the head of the agency or of any bureau or division thereof, together with supporting case file, if any.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
2.	Copy of each pamphlet, report, leaflet, graphic presentation, or other published or processed document, and of the last manuscript report (if not published or processed) on management projects, together with supporting papers documenting project inception, scope, procedure, and accomplishments (but excluding working papers as described in item 10).	Conform to agency practice. Starting new file every 5 years.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
3.	Records disposition files, including descriptive inventories, disposal authorizations, schedules for the retirement of records, and correspondence or memoranda relating to revisions.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
4.	Form files containing data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded, or canceled.	Conform to agency practice.	Disposal not authorized by this schedule.
5.	Copies of management improvement reports, submitted to the Bureau of the Budget, and related analyses and feeder reports.	Chronologically.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE</u>			
6.	Statistical reports of records holdings.	Chronologically.	Dispose after 3 years.
7.	Project control files, showing assignments, progress, and completion of projects.	By project control number.	Dispose 1 year after year in which project is closed.
8.	Reports control files; case files on reports maintained for each report created, canceled, or superseded.	Numerically by control number or appropriate coding system.	Dispose 2 years after report is discontinued.
9.	Form files other than those contained in files described in item 4 of this schedule, and related indexes.	Conform to agency practice.	Dispose when related form is discontinued, superseded, or canceled.
10.	Project working papers including background materials studies, analyses, notes, rough drafts, interim reports, and related papers pertaining to management projects, exclusive of documents covered by items 1, 2, 3, 4, and 8.	By project.	Dispose 6 months after final action on project report or 3 years after completion of report if no final action taken.

Item 1. Record sets of directives at the division or higher level are retained as basic documentation of agency policies, programs, and procedures. Directives are designated as such by agency definition, and are subjected to management control to achieve clarity and avoid duplication and overlapping in the issuance of agency instructions. Routine instructions, such as those involving personnel processing or requests for procurement, are normally not considered directives for management control purposes. This item does not relate to directives directly affecting other agencies or the general public.

Item 2. File copies of published and processed issuances prepared or cleared by management units frequently document substantive programs and accomplishments of agencies. Final reports on projects, or in the case of abandoned projects, the latest progress or status report, together with files showing the inception and accomplishments of the project, are retained together with management issuances for their value in reflecting procedures, administration, and operation of the agency in a manner not available elsewhere in concise fashion.

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Item 3. These record copies of disposal authorizations and related papers are of indefinite administrative value during the life of the agency. In addition to containing evidence of legal disposal authorizations, they serve as media for locating agency records still in agency space or transferred to the National Archives and Records Service. Copies of disposal authorizations are available in the National Archives and Records Service but these documents only partially duplicate the agency files and are not convenient to use in connection with other agency records as are the copies retained by the agencies. The retained records inventories normally contain somewhat detailed data on types of records maintained, their informational content, and volume. Statistical or summary reports of records holdings are disposable under item 6.

Item 4. These papers, normally consisting of memoranda, analyses, justifications, and comments maintained in case files, document the use of the form in the administrative or program work of the agency. Agencies that issue all forms through directives or operate a specialized kind of control program may find that these papers are not of continuing value, but such agencies should seek special authorization for their disposal. As a general rule the files have continuing value, and this is particularly true in the case of temporary emergency agencies, the form files of which are likely to be of great value to a later agency facing comparable problems. Papers pertaining to the more routine supply activities involved in making the forms physically available to agency personnel are disposable under item 9 of this schedule.

Item 5. Reports are submitted to the Bureau of the Budget annually, under Executive Order 10072 and Title I of Public Law 429, 81st Congress, showing actions taken in management areas to solve program and operating problems, and to direct related employee suggestion systems. Agency copies of these reports are retained with other records of continuing value to provide summary documentation of programs and procedures.

Item 6. Records statistics used as a basis for developing agency disposal schedules or for other purposes are of value only as long as the information they contain is valid. Annual statistical reports of agency records holdings required by General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer, are held long enough to meet normal reference needs.

Item 7. Project control files, usually consisting of summary cards, are of temporary value in providing a running summary of project status. Since final project reports are retained under item 2, these are disposable a short time after close of the related project.

Item 8. Case files on reports contain evidence of their existence, the procedural and operational situation out of which they arose, and their discontinuance. These files relate to reports for which there are formal requirements and do not include reports below the divisional or equivalent level which are not involved in reports control programs. This authorization does not, of course, apply to the issuance (item 1) requiring the report, nor to the reports themselves, but only to the files accumulated in the course of administrative control of the reports.

Item 9. These papers, which are sometimes contained in the same case files that include the papers described in item 4, pertain to the more routine supply controls maintained for each form or consist of duplicate copies of the form in varying arrangements. They normally include copies of requisitions, specifications, processing data, and issue and stock control records, and are maintained long enough to serve immediate operating needs. Forms files which reflect the function and purpose of the form in the work of the agency may be of continuing value and are retained under item 4 of this schedule.

Item 10. These project files represent the less significant residue remaining after the case file covered by item 2 is created. This residue, consisting of working papers not having a substantive bearing on the project and intermediate drafts and work sheets, is retained for a brief reference period after final action is taken on the related report, or, where no action is taken, for a suspense period sufficient to provide for full consideration of the project report.

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Cartographic, Photogrammetric, and Related Records

This schedule covers cartographic, photogrammetric, and related records that have been created, used, or located in agencies of the Federal Government. Disposal authorizations contained herein are not applicable to records created before January 1, 1860. Records created prior to that date are not disposable unless specific approval of their disposal is obtained from the Congress.

Among the cartographic records are maps and such variant forms of graphic presentation as charts (hydrographic, nautical, weather, aeronautical, and the like), cartograms, globes, and relief models, which have been prepared or used in connection with the official activities of the United States Government. The maps and charts are listed in various stages of completion from the planetable or similar drawing to the final publication. The word "publication" as used in this schedule means reproduction by printing, photographic, and other methods in multiple copies, whether for limited or general distribution.

The photogrammetric records include the aerial film and other photographic materials used in mapping. The related textual records are those which form an integral part of the map-making activities of agencies and include field survey notes; project, map history, and similar files; controls and computations; and finding aids.

This schedule covers the principal categories of records that are common to several or all agencies. Records not included are of such a specialized character that they are not readily susceptible to evaluation on a Government-wide basis. For example, the schedule covers annotated maps used in intermediate stages of the preparation of a published map. These annotated maps are essentially working papers used by all map-making agencies in similar ways. Annotated maps that are unique and an end in themselves are not, however, covered. This is because it is impossible to state in general terms which of these have enduring value and which are disposable. Among such records are military campaign and order of battle maps, international boundary maps, cadastral maps, and maps showing property lines and rights of way.

The map-making and map-using activities of the Government have increased many times over during the past several decades and the making of a modern map has become exceedingly complex. This is largely the result of the development of photogrammetry, the science of obtaining reliable measurements of the earth's surface by means of photography.

The rapid increase in mapping activities and the complex methods required to achieve a final product have resulted in the creation of a large volume of records of varying degrees of importance. Most of these records lose their usefulness after specified periods of time and can therefore be disposed of. Certain records, created or used in the process of making a map, however, have continuing value. They should be transferred to a Federal Records Center or to the National Archives when they are no longer needed in the current operations of the agency holding them. Normally cartographic and related records created or used in offices outside the Washington area should be transferred to the nearest Federal Records Center. In the Washington area records of continuing value should be transferred to the National Archives or the Region 3 Federal Records Center.

Cartographic records of continuing legal, administrative, and research value are of two principal kinds: (1) those created or checked in the field on the basis of surveys and observations or from photogrammetric sources; and (2) one copy of each edition or variant of each published map.

The first group is retained as the primary source material from which the published maps are taken and which often contains more information than is included in the publications. The published maps are retained as the sum of the map-making accomplishments of the agency as well as for administrative, legal, and research use.

The records created in the intermediate stages of map-making, between the original survey records and the final maps, are for the most part temporary records and can be disposed of in accordance with provisions of this schedule.

There is not a sufficiently standardized terminology to permit the use of universally accepted titles for the various records created in the map-making process. For that reason additional descriptions of the records covered by each item are included in the appraisal section of the schedule.

CARTOGRAPHIC RECORDS

The cartographic records listed below include the most significant ones created in the map-making agencies of the Federal Government. The items are listed approximately in the order in which the records are created during the map-making process regardless of whether the maps are based on field work or office compilation.

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The final published or finished composite manuscript maps created by each agency are generally of enduring value as are the original drawings and related records based on precise observations and measurements. Records created during the intermediate map-making steps are for the most part disposable after the maps have been completed or published.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Planetable and similar field made drawings and related materials.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
2.	Stereophotogrammetric drawings and related materials.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
3.	Field completion boards of the stereo-compiled manuscript.	Dispose 1 year after publication or completion of the resultant map, provided they are not required for any future revision. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
4.	Field completion board or blueprints and similar prints other than those derived from stereophotogrammetric origin.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
5.	Overlay and similar drawings prepared in the field on the basis of field surveys.	
	a. Those only partially duplicated in resultant map.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
	b. Those completely duplicated in resultant map.	Dispose 1 year after publication or completion of the resultant map.
6.	Overlay and similar drawings prepared in the office on the basis of compilation.	
	a. Those only partially duplicated in resultant map.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
	b. Those completely duplicated in resultant map.	Dispose 1 year after publication or completion of resultant map.
7.	Manuscript office compilations, derived from other than field surveys and stereophotogrammetric sources, that have not been published	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after compilation is completed.)
8.	Composite manuscript office compilations derived from field survey and similar sources and only partially reproduced in published maps.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication of resultant map.)
9.	Manuscript office compilations, derived from other than field survey and stereophotogrammetric sources, that are not unique because they have been published.	Dispose 1 year after publication of the resultant map.
10.	Color separation boards or manuscripts for reproduction and related materials.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
11.	Map reproduction media.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
12.	Color pulls and the like.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
13.	Map correction files.	Dispose 1 year after publication of the resultant map, provided retention is not required for legal purposes. (If retention required for legal purposes, transfer to Federal Records Center 1 year after publication of resultant map, pending expiration of legal requirement.)
14.	Proof copies of maps and related papers.	Dispose 1 year after publication of the resultant map.
15.	Mono-color positive prints of composite manuscript drawings prepared for issuance as preliminary edition.	Dispose after publication of the resultant map.
16.	Copy of each published (printed or otherwise reproduced) map and variant thereof, including atlases and portfolios.	Disposal not authorized by this schedule. (Transfer to the National Archives in annual blocks at the close of the fiscal year in which published.)
17.	Globes and models.	Disposal not authorized by this schedule. (Transfer to Federal Records Center or the National Archives 1 year after preparation.)
18.	Graphic indexes.	Dispose when records to which they relate are disposed of.

PHOTOGRAMMETRIC RECORDS

Photogrammetric records are being used to an increasing extent by map-making and map-using agencies, particularly by agencies responsible for mapping extensive areas. Much of the aerial photography required by the agencies is done for them by private organizations under contract. The negative film is supplied to the agency which can then make as many prints as it needs. The aerial film is of enduring value as the primary source of information on physical and cultural landscapes. The film contains the most complete and accurate information available not only for legal and administrative requirements but also for research.

Since most modern aerial film is on a safety acetate base, provision is made in this schedule for its retirement to a Federal Records Center. It should be noted, however, that nitro-cellulose film normally will not be accepted by the National Archives or Federal Records Centers owing to the special handling it requires.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
19.	Vertical and oblique negative aerial films.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when superseded by more recent film.)
20.	Photo index sheets, flight line indexes, and similar finding aids (negatives and prints).	Disposal not authorized by this schedule. (Transfer to Federal Records Center when records to which they relate are transferred.)

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
21.	Record set of aerial mosaics and similar prints covering selected areas.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when no longer needed in current transactions.)
22.	Record set of contact aerial photographic prints.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when no longer needed in current transactions.)
23.	Precise film negatives of stereophotogrammetric manuscript drawings.	Dispose 1 year after publication of the resultant map.
24.	Diapositives.	Dispose 1 year after publication of the resultant map.
25.	Precise film negatives of maps other than the stereophotogrammetric manuscript used for field completion.	Dispose 1 year after publication of the resultant map or area on that map.

RELATED RECORDS

In order to have a complete and accurate account of mapping plans and programs as well as of the production, flow, and distribution of maps, certain closely related textual records have been developed.

Administrative and housekeeping records pertaining to map-making offices are provided for elsewhere in General Records Schedules, which require the retention of record sets of publications, organizational and functional charts, directives, regulations, speeches, press releases, and similar materials.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
26.	Project, map history, or similar files. a. Documents outlining the projects. b. Minor administrative papers summarized in a. above.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication of map or completion of project.) Dispose 1 year after publication of map or completion of project.
27.	Research and reference files.	Dispose when obsolete or superseded or upon publication of related map, whichever is later.
28.	Primary controls and computations. a. Those developed by the agency or obtained from non-Federal agencies. b. Those obtained from other Federal agencies.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication or completion of resultant map.) Dispose 1 year after publication or completion of resultant map.
29.	Supplemental controls and computations.	Dispose when superseded or when resultant map is published whichever is sooner.
30.	Field survey notes.	(Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication or completion of resultant map.)
31.	Finding aids to cartographic and related records.	Dispose when records to which they relate are disposed of.

Item 1. A planimetric field drawing generally is a manuscript map covering a prescribed area and drawn on a specially prepared paper board (sometimes metal-mounted). This map is first prepared in the field, usually in pencil, from local observations and precise measurements. Later it may be finalized in ink.

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Item 23. These are film negatives of the stereophotogrammetric drawings (item 2) made usually on a large scale. Blue-line, brown-line, and similar color prints and ozalid copies are made from these precise film negatives for use in field completion activities of the agency. Since these are merely copies of the retained drawings they can be disposed of shortly after publication of the maps.

Item 24. These are positive photographic prints on a transparent medium, usually glass, that have been prepared from aerial film. They are used in a plotting instrument or projector in preparing a map or stereophotogrammetric drawing. They are disposable as working papers after publication of the maps.

Item 25. These are, like the negatives in item 23, made merely in order to prepare prints. They can be disposed of as working papers after publication of the maps.

Item 26. These files which vary from agency to agency are retained because they give in narrative and graphic form a history of the cartographic accomplishments of the agencies. They contain documents showing proposals and outlines of mapping projects planned; authorizations and contracts; periodic reports, memoranda, and correspondence on progress made; lists of sources and place names used; procedures followed in drafting, filming, and editing, and distribution; over-all cost statements; final completion reports, project histories, or papers explaining discontinuance, change, or extension of projects; and, where necessary, attachments in the form of photographs, drawings, maps, plans, and charts.

The minor administrative papers, assembled in connection with projects but not necessary to an adequate history of them, can be disposed of shortly after completion of the projects. Such papers include daily progress and work reports, working papers, and records of personnel assignments and travel, and similar materials.

Item 27. These are files maintained in various forms by offices and individual cartographers on mapping in general and on specialized problems connected with the preparation of specific maps. They constitute the background material which is helpful for reference. They contain copies of publications and of records retained elsewhere and rough working notes. Included are publications; bibliographies; copies or excerpts of correspondence, reports, control data, lists of sources and place names, and related materials; photographs, sketches, maps, plans, and charts; and similar and related materials. While of considerable value to the cartographer in the preparation of a map they need not be retained past the period of their usefulness to the individual or the office. The records listed elsewhere in this schedule, which are to be retained, document sufficiently the cartographic accomplishments of the agencies.

The maps included in these files, if considered rare or valuable items, can be offered when no longer needed by the agency to the Map Division of the Library of Congress. All information and files on place names (i.e. geographic names) when no longer needed can be offered to the United States Board on Geographic Names.

Item 28. In the making of a map to precise specifications one or more controls are considered essential to accuracy. These controls are usually obtained from observations and measurements in the field and include transit traverse, triangulation, leveling, and altimetry records and field and office computations. The observations and similar control data obtained in the field are usually in field notebooks. Office computations are usually typed, processed, or printed lists.

For the United States and certain other areas the primary controls are developed and made available by the U. S. Coast and Geodetic Survey. For other areas controls and computations may have been developed by other Governments, other agencies of this Government, or non-Government sources.

Controls and measurements prepared by the agency itself are of continuing value as the accuracy of the resultant maps is dependent upon them. Those obtained from other agencies of this Government need not be kept after they have served their purpose because they will be held by the creating offices. Those obtained from other sources will need to be kept in order to insure their availability.

Item 29. These include field derived observations that generally are of only temporary value because in most instances the observation is obtained from sighting on non-permanent objects that are subject to change. In most instances the marker, if placed, cannot be controlled.

Item 30. A principal product of nearly all field surveys and observations is the written record usually in the form of a pocket-size notebook. These field survey notes may be a running account of observable material and cultural features of the terrain; a description of subsurface conditions as to water resources, geology, mineral resources, and the like based on a series of readings or measurements in the field. For a log or journal account closely related to and often an integral part of a specific mapping activity whether it is on land or on water. Such records generally are of continuing value because they describe the area as it was observed by the surveyor in the field.

Item 31. Finding aids are tools which expedite the use of cartographic and related records. They need to be kept as long as the records to which they relate. Wherever possible they should be filed with or near the related records. The following are, in addition to the graphic indexes listed in items 18 and 20, the kinds of finding aids generally found in agencies: card indexes; descriptive lists, shelf lists, and the like; registers and similar bound and loose leaf volumes containing lists and descriptions of cartographic records; and published catalogs, calendars, guides, and lists.

It takes its name from the planetable on which it is made. This manuscript drawing has continuing value because it portrays the landscape as the topographer saw it at a given date and because it includes unique data.

A manuscript sketch and similar map drawing derived from field observations and not made according to the planetable mapping technique has enduring value also if it is unique and records terrain information in relation to an official survey. Maps such as these have often been made in connection with a field reconnaissance, a traverse survey, or as a general sketch of an area in which geodetic and similar controls have not been used. They were standard products of field mapping prior to the introduction of the planetable and similar precise mapping techniques.

Item 2. These drawings are prepared in mapping offices from aerial photographs (generally diapositive) in accordance with a precise pattern of controls and have record value equivalent to that of the planetable drawing. This process of making manuscript maps is generally referred to as stereoscopic mapping and has to a large extent superseded planetable mapping, especially of rough terrain. The drawings have continuing value because they contain unique data.

Item 3. These are blue-line, brown-line, and other photocopies of the stereophotogrammetric drawings listed in item 2. The photocopy, or field board as it is frequently called, is sent to the field for completion and, if necessary, correction. These annotated photocopies are not needed longer than one year after publication of the resultant maps (which duplicate them) unless they are required for future revisions of the maps.

Item 4. It is a general practice of map-making agencies in resurveying an area to prepare blue-line photocopies to precise scale of existing acceptable maps of the region. The copies are sent to the field for either completion or correction according to specific requirements. If additional data or changes are added to these copies they become of enduring value since they represent the results of field observations and are unique.

Items 5 and 6. The overlay sheets and similar drawings are prepared in the field or in a map-making office on tracing paper or cloth or on acetate sheets laid over a base map. Selected information is placed on these transparencies. The drawings together with the base maps from which they were made are of enduring value because they contain unique information if the information has not been reproduced on the final published map.

Item 7. These manuscript maps, generally on paper, vellum, tracing cloth, acetate, or vinylite, are compiled in map-making offices or drafting rooms from one or several other maps and related sources. Each map is a composite, usually in black and white, including on one base all of the required information. These maps may be entirely in ink or pencil or they may include information added to the map base by stickup, Zipatone, or similar adhesive means. Maps such as this, which are prepared for specific purposes and have not been published, are unique and may have enduring value. Because it is difficult to appraise such records as a unit, they should be transferred to the Federal Records Center, pending special individual appraisal.

Item 8. These manuscript maps, generally on paper and often mounted on metal such as aluminum, are prepared from field survey drawings and other sources. They are composite manuscript maps which are reproduced in whole or in part as published maps. Often the composite manuscript map includes more information than is finally selected for reproduction in the published map and accordingly becomes a unique record and may have enduring value. The maps may be in ink, pencil, or color.

Item 9. These maps are the same as those described in item 7 except that they have been published. They can, therefore, be disposed of one year after publication. Some agencies retain these manuscripts in order to add changes for new editions of the published map. If an agency wishes to do this, it should dispose of each manuscript when it is no longer needed.

Item 10. These color separation boards, sometimes referred to as "metal-mounts" because the paper often is secured to a metal (usually aluminum) sheet, are blue-line or similar plates of composite manuscript maps. There is a separate color board for each color required on the final map. From each of these a glass plate or similar negative copy to precise registry is made for the ultimate purpose of deriving a metal or similar press plate for each separate color to be printed on the published map. The practice in some agencies is to retain the color separation boards indefinitely for subsequent editions of the published map. Unless this is necessary, the boards can be disposed of one year after publication of the relevant map.

Item 11. Many processes are used in the preparation of modern published maps. Among the materials used are glass plate negatives, film negatives, and the like; lithographic (stone) engravings; press plates of various kinds; copper engravings; wood cuts; lino cuts; zinc engravings; and others.

Although these are considered as nonrecord items they are noted here because they usually are retained in a map-making agency for a considerable period of time, occupying a large amount of space and requiring special equipment for storage. Except in rare instances these media, once the map has been published, may be unused for a decade or more. A plan should be developed for the disposal or salvage of such of these items as are not absolutely essential for future publication. In most instances, retention of the color separation boards should make unnecessary the retention of the so-called reproduction media.

Item 12. These are reproductions of each of the individual press plates for each color or run and are to the precise scale of reproduction of the final published map. Normally these are not needed longer than one year after publication. In some instances, agencies retain these printed copies on paper either in place of or in addition to press plates. Normally these copies are less stable and useful than the color separation boards, the glass plate and similar photographic negatives, and the press plates, although they require less space and are easier to handle.

Item 13. These generally are published (printed) copies of maps prepared in the agency that have been annotated with specified kinds of information. The annotations on these office copies generally represent corrections of the extant edition of the published map made prior to the issuing of a new edition. These maps are referred to as map correction copies, aid proofs, correction copies, and the like. After publication of the corrected map they are not needed for longer than one year except in rare instances where there may be legal need to give the origins of revisions.

Item 14. Normally one or more special press runs (or hand pulls) are required before final publication of each map. Such proof copies often bear annotations by the editors indicating final changes to be made in line, color, or composition. The records cease to have value soon after the final published map has been accepted.

Item 15. These are mono-color (usually blue) prints of the completed composite manuscript drawing. These prints are advance copies of the final published map and are made available in small numbers as a preliminary edition. They have only temporary record value.

Item 16. Among the most important cartographic records of an agency are its published maps and similar forms of graphic presentation. A record set of these items which may be printed, photocopied, or otherwise reproduced, is of enduring value. They represent the map-making accomplishments of the agency and they contain the significant cartographic information assembled or developed by the agency. One copy of each published map, atlas, portfolio, and photomap, including each edition and variant, and of all related indexes (in map or other form) are to be preserved permanently.

Item 17. Globes and terrain models are prepared and used often to show selected, highly specialized information. They are, like the final manuscript or published maps, of enduring value.

Item 18. Graphic indexes generally take the form of a base map or may be on transparencies or overlays accompanying a base map of an area which is covered by several maps or sets of maps. The indexes indicate in color, line, or by other means the coverage of each map. They should be retained as long as the maps to which they refer are retained as they are finding aids which expedite use of the maps. Other graphic indexes are listed in item 20.

Item 19. This is the negative film made by or for an agency and accepted as satisfactory for use in the preparation of a map. The film normally is "flown" in accordance with a carefully developed and controlled plan and each roll must be identified by letter and number so that it is possible to determine precisely what portion of the earth's surface is represented. The line of flight and the area covered by each is correlated with a photo-index or similar finding aid. Normally the film on a spool is housed within a properly labelled metal container (cylinder) approximately six inches in diameter and about twelve inches long. The aerial photographic film is equivalent in value to records created on the basis of field surveys.

Item 20. These records take several different forms, though basically they are graphic indexes to each roll of negative film. The standard form is a photo-index sheet. The index sheets, together with overlays showing the line and number of flights, descriptive lists, and catalogs of the film described in item 19 are needed as long as the film is needed.

Item 21. Frequently photo prints are assembled, matched, and then reproduced as units covering a specific area. Such mosaics, prepared in connection with particular projects or activities, may have enduring value. Prints in addition to those in the record set can be disposed of when no longer needed.

Item 22. The contact prints made from the aerial film are used in stereoscopic mapping, the preparation of mosaics, and plotting supplemental control, as well as for general terrain information. A record set of these prints can serve as insurance against film loss or damage. Other copies can be disposed of when no longer needed. Provision for retention of a record set of these prints does not mean that an agency should make up a set for this purpose. Only a record set of the prints available after completion of the mapping project is necessary.

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GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect security classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to insure the adequacy of protective measures at privately-owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from, the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are files of offices having Government-wide or agency-wide responsibilities for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records, dated after January 1, 1921, documenting administrative actions relating to the above functions. Records documenting Government-wide or agency-wide security and protective services planning and programming, reflecting basic over-all policies and determinations (Item 1), are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the media of a General Records Schedule is therefore impractical.

Security and Protective Services Program Records

Records accumulated by organizational elements having Government-wide or agency-wide responsibilities for administration of security and protective services programs. They relate to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 2 years. Transfer closed file to Federal Records Center after 2 years.

Classified Information Accounting and Control Records

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive Order 10501, other Executive orders, or statutory or regulatory requirements.

2.	Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered in Item 1 or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
3.	Classified document receipts, relating to the receipt and issue of classified documents.	Chronologically.	Dispose after 2 years.
4.	Classified document destruction certificates relating to the destruction of classified documents.	Chronologically.	Dispose after 2 years.

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GENERAL RECORDS SCHEDULE 10

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
5.	Classified document inventory files, consisting of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	Chronologically.	Dispose after 2 years.
6.	Top Secret document accounting and control files. a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. b. Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	Conform to agency practice. With related document.	Dispose 5 years after documents shown on forms are downgraded, transferred, or destroyed. Dispose when related document is downgraded, transferred, or destroyed.
7.	Access request files consisting of requests and authorizations for individuals to have access to classified files.	Alphabetically by name of requestor.	Dispose 2 years after authorization expires.
8.	Classified document container security files consisting of forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	By organizational element and chronologically thereunder.	Dispose when superseded by a new form or list, or upon turn-in of containers.

Facilities Security and Protective Services Records

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

9.	Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered by Item 1 or elsewhere in this Schedule.	Conform to agency practice.	Dispose after 2 years.
10.	Reports of surveys and inspections of Government-owned facilities conducted to insure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard infiltration and facilities against sabotage and unauthorized entry.	Chronologically.	Dispose after 3 years, or upon discontinuance of facility, whichever is sooner.

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GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
11.	Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers.	By facility and chronologically thereunder.	Dispose after 4 years, or when security cognizance is terminated, whichever is sooner.
12.	Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	Conform to agency practice.	Dispose after 2 years.
13.	Property pass files, authorizing removal of property or materials.	Alphabetically by name of individual.	Dispose 3 months after expiration or revocation.
14.	Files relating to guard assignments and strength. a. Ledger records.	By organizational unit.	Dispose 3 years after final entry.
	b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	By organizational unit.	Dispose after 2 years.
15.	Files relating to exercise of police functions. a. Ledger records of arrest, cars ticketed, and outside police contracts.	By organizational unit.	Dispose 3 years after final entry.
	b. Reports, statements of witnesses, warning notices, and other case papers relating to arrests, commitments, and traffic violations.	By organizational unit.	Dispose after 2 years.
	c. Reports on contact of outside police with building occupants.	By organizational unit.	Dispose after 1 year.
16.	Files relating to accountability for personal property lost or stolen. a. Ledger files.	By organizational unit.	Dispose 3 years after final entry.
	b. Reports, loss statements, receipts and other papers relating to lost and found articles.	By organizational unit.	Dispose after 1 year.

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GENERAL RECORDS SCHEDULE 1B

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
17.	Files relating to accountability for keys issued.	By organizational unit.	For areas under maximum security, dispose 3 years after turn-in of key. For other areas, dispose 6 months after turn-in of key.
18.	Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	By organizational unit.	For areas under maximum security, dispose 5 years after final entry or 5 years after date of document, as appropriate; for other areas, dispose 2 years after final entry or 2 years after date of document, as appropriate.
19.	Files relating to periodic guard force facility checks. a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files or agency security offices covered by Item 25 of this schedule), b. Reports of night after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 25 of this schedule.	By organizational unit. By organizational unit.	Dispose after 1 year. Dispose after 1 month.
20.	Guard service control files. a. Control center key or code records, emergency call cards, and building record and employee identification cards. b. Round reports, service reports on interruptions and tests, and punch clock dial sheets. c. Automatic machine patrol charts and registers of patrol and alarm services. d. Arms distribution sheets, charge records, and receipts.	Conform to agency practice. By organizational unit. By organizational unit. By organizational unit.	Dispose when superseded or obsolete. Dispose after 1 year. Dispose after 1 year. Dispose 3 months after return of tags.
21.	Guard logs and registers not covered elsewhere in this schedule. a. Central guard office master logs. b. Individual guard post logs of occurrences entered in master logs.	By organizational unit. By organizational unit.	Dispose 2 years after final entry. Dispose 1 year after final entry.

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GENERAL RECORDS SCHEDULE 18

Personnel Security Clearance Records

Records accumulating from investigations of personnel conducted under Executive Order 10450, other Executive orders, or statutory or regulatory requirements.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
22.	Correspondence files relating to administration and operation of the personnel security clearance program, not covered by Item 1 or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
23.	Personnel security clearance case files containing a record of investigations of personnel employed by or seeking employment from the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of copies of investigative reports and related papers furnished to agencies by the Civil Service Commission for which maintenance and disposition instructions are provided in Chapter I-2 of the Federal Personnel Manual.	By case number, or alphabetically by name of individual.	Dispose 30 years after date of last action. Transfer to Federal Records Center 5 years after date of last action.
24.	Personnel security clearance status files maintained in security units to show the security clearance status of individuals, either in the form of lists or rosters, or as individual case files containing copies of documents contained in case files described in Item 23 above.	Lists or rosters, chronologically; case files, alphabetically by name of related individual.	Dispose of lists or rosters when superseded or obsolete; dispose of case files upon transfer or separation of related individual.
25.	Security violation files, consisting of case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.	Conform to agency practice.	Dispose 2 years after completion of final corrective or disciplinary action.
26.	Security violation files, consisting of case files relating to investigations of alleged security violations of a sufficiently serious nature to be classified as felonies.	Conform to agency practice.	Disposition not authorized by this schedule. Transfer to Federal Records Center 5 years after date of last action.

Emergency Planning Records

Records accumulating from the formulation and implementation of plans (such as evacuation plans) for protection of life and property during emergency conditions.

27.	Correspondence files relating to administration and operation of the emergency planning program, not covered by Item 1 or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
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GENERAL RECORDS SCHEDULE 1B

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD FILING</u>	<u>AUTHORIZED DISPOSITION</u>
28.	Case files accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
29.	Copies of plans and directives, other than those maintained in case files described in Item 28 above.	Conform to agency practice.	Dispose when superseded or obsolete.
30.	Agency reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.	Conform to agency practice.	Disposal not authorized by this schedule.
31.	Operations tests files consisting of papers accumulating from tests conducted under emergency plans, such as instructions to members participating in tests, staffing assignments, messages, tests of communications and facilities, and retained copies of reports.	Chronologically.	Dispose after 3 years.

Item 1. These files possess sufficient evidential values regarding agency organization, policies, and procedures in administering security and protective services programs to warrant their continued preservation.

Items 2, 9, 22, and 27. Overall policies, plans, and procedures relating to security and protective services programs are documented in the files described in Item 1. In addition, individual transaction files of primary importance resulting from implementation of the programs are retained in accordance with other provisions of the schedule. These two classes of files furnish comprehensive documentation of agency program organization and functions. The general correspondence files covered by these items reflect administrative actions of secondary importance, and are retained for a period sufficient to satisfy administrative requirements.

Items 3, 4 and 5. Forms, ledgers, and registers utilized in security units and other designated control points to record the receipt, internal routing, dispatch, or destruction of individual classified documents, exclusive of Top Secret documents. The retention periods indicated are sufficient to satisfy all control and accountability requirements.

Item 6. These are comparable to files described in Item 5, except that they pertain to Top Secret documents. They are retained for a sufficient period of time to insure their availability for accountable and investigative purposes.

Item 7. Requests for access to classified files and actions taken in approval or disapproval of the requests. They serve only a short-term purpose in controlling access to the files.

Item 8. These files contain data as to safe and padlock combinations and names of individuals having knowledge thereof. The data are required for current daily usage, and become obsolete when combinations are changed and the changes are noted on new forms or lists, or when the containers are turned in.

Items 10 and 11. These files reflect the findings or regularly scheduled surveys and inspections of facilities involved in classified operations. They are required to determine the current adequacy of security measures in effect at the facilities. They become obsolete upon completion of the next survey or inspection, or upon release of the facility from classified operations.

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Item 12. Reports of the more serious incidents are generally submitted by the activity at which the incidents occur to another organizational element or agency for review. The original reports are generally contained in files defined in Item 1 of this schedule and are not authorized for disposal. The retained copies of these reports, and reports of incidents settled locally, are retained for a period sufficient to satisfy administrative requirements.

Item 13. Property passes serve only a short-term purpose in controlling the removal of property from security areas.

Items 14-21. These are files maintained at the guard force unit level, and document the day-to-day operations of the guard force. They relate to such matters as assignment, strength reporting, events occurring from the exercise of police functions, issuance of fire arms, and comparable matters. They serve only a temporary administrative purpose. Files relating to the overall administration of the guard force function are maintained at higher administrative levels.

Item 23. In the case of Government employees, the results of the investigations are recorded in Official Personnel Folders. Much of the information contained in the case files is in the form of allegations of a confidential nature. Any potential historical research value the files may possess as a class cannot be realized, since generally the information they contain cannot be publicly disclosed. Under the specified retention period, the files will be retained long enough to satisfy the administrative needs for which they are created. Files transferred to the Federal Records Center, or information contained therein, will be released only to the agency transferring the files.

Item 24. Files maintained in security units to reflect the current security clearance status of individuals. Record copies of documents contained in individual files are maintained in the case files described in Item 23. They are of administrative value only during the period the related individuals are assigned to duty, and can logically be disposed of upon transfer or separation.

Item 25. These files are created in determining the conditions leading to minor security violations and in fixing responsibility for violations. They serve only a short-term administrative purpose after corrective or disciplinary action has been taken.

Item 26. These files reflect the circumstances surrounding security violations of a serious nature. Certain of the case files may contain sufficient long-term legal or historical values to warrant their continued preservation. These values can best be determined by appraisal of the files on an individual agency basis.

Item 28. Classified and unclassified plans, directives, and instructional materials issued by agencies in developing and implementing programs for civil defense and other emergencies requiring measures for protection of life and property. The value of the records will vary from agency to agency due to subjects covered and other reasons. However, the historical and research values attached to a significant portion of the records are considered sufficient to warrant the establishment of record sets of basic documents for permanent retention.

Item 29. Permanent retention of the basic documentation covered by Item 28 above will permit the disposal of these records after they have served administrative purposes.

Item 30. The agency reports are retained with related plans to provide a summary documentation of an agency's participation in emergency planning programs.

Item 31. These files serve only a temporary administrative purpose in carrying out the preliminary planning and other phases of operations tests.

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GENERAL RECORDS SCHEDULE 19

Research and Development Records

These are records created since January 1, 1921, by agencies in the conduct of technical and scientific research and development for the purpose of developing new concepts, techniques, equipment, and materials, or improving or modifying those already in existence. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They accumulate at various agency organizational levels, such as offices responsible for program direction, laboratories, proving grounds, and arsenals.

The basic records created from the research and development function generally possess historical and scientific research values. These values are usually inherent in two types of records: (1) those resulting from program direction, review, and analysis, reflecting organization, functions, procedures, and operations in a comprehensive manner, and (2) those accumulating from the conduct of individual projects and containing data of a scientific and technical nature, including results and conclusions which may be useful for research purposes in the same or related fields of scientific endeavor.

Scientific data accumulating during the conduct of a specific project are generally recorded in laboratory notebooks, and later summarized in technical reports. While the technical reports will normally show the progressive and final results of the research effort, they do not always show how these results were achieved, or when a theory, device, or process was first conceived or reduced to practice. The laboratory notebooks and other subsidiary scientific papers record the methods and procedures used daily by the scientist in research performance, and possess potential reference value for future scientific research, as well as for the establishment of patent or invention rights.

Research and development for some agencies is accomplished both by contracting for the services of private commercial or research organizations and by scientific personnel employed by the agency. When the former procedure is used, the contractor is required to furnish the results of research to the agency in the form of technical reports, experimental data, or comparable media. All records furnished by the contractor pursuant to terms of the contract become the property of the Government and the provisions of this schedule are applicable thereto.

Work on a major research and development project or system may be assigned to various organizational elements of an agency. These work assignments may be designated as "sub-projects," "tasks," or "phases." They are generally identified with the major project or system through the agency project numbering or classification system. The term "project" as used in this schedule includes any related sub-projects, tasks, or phases. It is desirable that these related records be consolidated into a single project file prior to transfer to a Federal Records Center. However, on projects of long duration, where volume or other factors preclude the retention of records until completion of the entire project, records relating to individual sub-projects, tasks, or phases may be transferred to Federal Records Centers in the same manner as for project case files derived under Item 3 of this schedule.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Program files consisting of program documents, schedules, and correspondence maintained by offices responsible for execution, review, and analysis of agency research and development programs, and relating to the general planning and supervision of the programs.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 3 years. Transfer closed file to Federal Records Center after 2 years.
2.	Technical committee and board files consisting of (1) agendas, directives, minutes or meetings, and reports covering general operations of the committee or board, and (2) papers relating to the establishment, revision, or termination of individual projects.		
a.	Official file of the committee or board maintained by the Secretary, Chairman, or other designee.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 3 years. Transfer closed file to Federal Records Center after 2 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Copies of committee or board files distributed to members.	Conform to agency practice.	Dispose when superseded or obsolete or upon termination of membership whichever is earlier.
3.	Project case files maintained at the laboratory or comparable level, reflecting a complete history of each project from initiation through research, development, design, and testing, to completion. They include (when created by agency personnel or received from contractors) procurement files, consisting of a copy of each contract or agreement for research services with related modifications, changes, or addendums; project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered to be essential to document design, modifications, and engineering development; technical and progress reports; notice of completion or cancellation; reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and correspondence influencing the course of action taken on a project.	By project number or title, as appropriate. When the volume warrants, papers in case file may be subdivided by type, e.g., procurement files, authorization documents, reports, and drawings and specifications.	Disposal not authorized by this schedule. Transfer to inactive file upon receipt of completion or termination notice; break inactive file every 2 years, and transfer to Federal Records Center after 3 years.
4.	Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by an agency.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to Federal Records Center to the extent practicable with related project files.
5.	Source data files, punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects.	Conform to agency practice.	Dispose when determined by competent agency research personnel that the files have served all research purposes.
6.	Laboratory notebooks containing technical and scientific data accumulating from the conduct of research and development.		
	a. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.	By project or book number, as appropriate.	Dispose 6 months after completion or termination of the related project or projects.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other notebooks.	By project or book number, as appropriate.	Disposal not authorized by this schedule. Transfer to inactive file upon completion or termination; break inactive file every 2 years and transfer to Federal Records Center after 3 years.
7.	Technical report files, consisting of an official file copy of each technical report or unpublished manuscript of report prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.	By project number or title, and thereafter by number or date of report.	Disposal not authorized by this schedule. Transfer closed file to Federal Records Center after 5 years.
8.	Drawing and specification files, consisting of an official file copy of each drawing and specification showing final design and technical characteristics of items developed.	By drawing or specification number, or item nomenclature, as appropriate.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete; break inactive file at end of each year; transfer to Federal Records Center after 1 year.
9.	Correspondence files of a general administrative or housekeeping nature, (exclusive of papers containing scientific or technical data) maintained by offices other than those referred to in Item 1.	Conform to agency practice.	Dispose after 2 years.
10.	Project control files, consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be of sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.	By project number or title, as appropriate.	Dispose upon completion or cancellation of project, or earlier, as they serve their purpose.
11.	Summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.		
	a. Copies of reports retained by reporting offices.	Conform to agency practice.	Dispose 1 year after completion or cancellation of related projects.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Feeder reports used for compilation of consolidated reports, except as indicated in c below.	Conform to agency practice.	Dispose upon submission of consolidated report.
	c. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.	Conform to agency practice.	Disposal not authorized by this schedule.
12.	Investigative files pertaining to exploration of the feasibility of unsolicited proposals for projects received from individuals.		
	a. Proposals resulting in authorized projects.	With related project files.	Same as for Item 3.
	b. Rejected proposals.	Conform to agency practice.	Dispose 5 years after completion of investigation.
13.	Procurement files, consisting of formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the terms of the contracts or agreements and copies of contractual documents filed in project case files defined in Item 3 of this schedule.	See Item 4, General Records Schedule 3.	See Item 4, General Records Schedule 3.
14.	Technical reference files, consisting of copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents.	Conform to agency practice.	Dispose when superseded or obsolete.

Item 1. These are papers created and accumulated in offices of program directors or comparable offices reflecting staff administration of the research and development function, which due to their evidential and other values are retained as permanent records.

Item 2. Most agencies having research and development programs have established committees or boards to study technical problems relating to such matters as authorization of projects, scheduling and planning operations, and the internal coordination and control of the research and development program. They also generally maintain liaison with other government agencies and non-governmental research and development activities for the purpose of exchanging ideas and concepts and administering inter-agency projects. In addition, technical or scientific personnel may become members of committees sponsored by other agencies or commercial concerns. Insofar as their records reflect the official position of the agency on problems discussed, they may be considered as official records of the agency.

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Records accumulated by boards and committees are considered to have retention values comparable to those stated for Item 1 above. Copies distributed to committee members are for their reference use and can be disposed of when no longer useful to them.

Item 3. Case files maintained at the laboratory or comparable level reflecting a history of the activity connected with a specific project. They contain the basic technical and scientific data developed during the course of the project. The retention value of these files for future research studies is contingent upon such factors as the field of research involved, the importance of the specific project involved, and the nature of findings and conclusions reached. It is recognized that certain project files will have little future scientific or other research utility. However, the files as a general class contain sufficient scientific data not duplicated elsewhere to warrant continued preservation. Exact standards for selection of those case files which do not warrant continued preservation cannot logically be disseminated through the media of a general records schedule. This can best be accomplished by each agency in the development of its records control schedule.

Item 4. Normally, agencies maintain lists of current projects for administrative purposes. In other instances, card files may be maintained reflecting brief synopses of research projects. These or comparable files may be of considerable use to future researchers in determining the existence of data in specific fields of research, and in determining the scope of an agency's participation in research functions.

Item 5. Certain research projects require the conduct of long-range experimental and observational work, with frequent recordings of resulting data. Also, data may be collected from many points by means of questionnaires and recurring reports. The data is often maintained on punch cards, electronic tape, or comparable media. It serves a basic research purpose in arriving at conclusions and determinations during the course of a project. Often the data is collated and published in a condensed but comprehensive manner in technical reports or pamphlets. In such cases, it may be determined by scientific personnel that the source material from which the data is extracted, sometimes constituting a large volume of papers, may be disposed of as having no further research values. Also, in the absence of condensed versions of the data, scientific personnel may determine that the source data adds little of importance to the information contained in other papers retained in connection with a project, and may approve its disposal when it has served immediate research purposes.

Item 6. These notebooks are maintained by research personnel as a means of recording and retaining data necessary for reference during the course of a project. Since they are maintained on an individual basis and each research specialist records the data he considers necessary for reference, the notebooks vary as to content and completeness of information. Certain of the books contain notes of a fragmentary nature, or notes that will be difficult or impossible to interpret except by the specialist who wrote them. In other instances, the books contain basic scientific data shown in sufficient detail that, if not documented in technical reports or other condensed form, are needed for continued research purposes. Notebooks containing data essential in establishing patent or invention rights are retained.

Item 7. These reports document in summary form the findings and conclusions reached relative to specific projects. As such, they clarify and supplement the information contained in laboratory notebooks and other source data. Since they present a condensed and concise summary accounting of accomplished projects, a complete set of the reports of each agency is retained permanently.

Item 8. Drawings and specifications are useful adjuncts to the files defined in Items 3, 6, and 7 of this schedule. The drawings show in visual form the mechanical and other physical characteristics of the items developed, and the specifications explain these characteristics in detail. They are essential for production and servicing of the items developed, and for modification, redesign, or continuing research on the items or related items.

Item 9. These files are maintained at the laboratory or comparable level, and at offices having subordinate responsibility for administration of the research and development program. They do not document basic missions or functions, and serve only a temporary administrative purpose.

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Item 10. These files are generally maintained as a means of keeping administrative personnel informed on the status and progress of projects. The essential information contained in these files is duplicated in the actual project case files maintained at the operating level and in technical committee and board files. They serve only a temporary purpose during the life of the project.

Item 11. Consolidated agency summary progress reports have continuing evidential value, since they show in summary fashion how the agency accomplished the research and development function, problems encountered in accomplishing various projects, and comparable information. Since the consolidated reports contain basic data reflected in operating unit reports, these latter reports are authorized for disposal after they have served administrative purposes.

Item 12. Unsolicited proposals submitted to agencies by individuals are generally found to be unacceptable for extensive research investigation. When a proposal is accepted for formal research, the resulting files are comparable to those created in the conduct of other research projects, and are subject to the same disposition. Rejected proposals are maintained only for the period required for investigation and to answer any inquiries that may arise thereafter.

Item 13. These files reflect the normal buyer-seller relationship as do other procurement files, and are therefore subject to the same disposition.

Item 14. The investigative and exploratory nature of the research and development function requires that scientific and professional personnel be informed of current concepts, ideas, and principles in this field. Voluminous files of reference materials are often maintained by research and development offices to accomplish that objective. Technical reports and other reference documents generally are superseded or the informational content becomes obsolete after a period of time. To insure that current and authentic scientific data is immediately available, superseded and obsolete material should be periodically withdrawn for disposal.

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