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FPMR 101-11.4

GENERAL RECORDS SCHEDULES



**GENERAL
SERVICES
ADMINISTRATION**

**NATIONAL
ARCHIVES
AND RECORDS
SERVICE**

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Administrator, General Services Administration, to provide disposition standards for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, research and development, and other common or housekeeping functions; and certain non-textual records. These records comprise an estimated one third of the total volume of records created by Federal agencies.

A new feature of this edition is the inclusion of two indexes, an index of commonly used Standard and Optional Forms and an alphabetical Subject Index. The forms index is not necessarily all inclusive. It includes only the forms most often used by the various government agencies.

General Records Schedules are intended to cover only record copies. Extra copies of documents used solely for reference are non-record and may be destroyed at the discretion of the agency.

If copies of documents covered by these schedules are part of a subject or case file which documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

Records covered by the General Records Schedules may be destroyed without further concurrence from the National Archives and Records Service, GSA, with the exception that most records created before January 1, 1921, must be first offered to NARS for possible permanent retention. GRS 3, 16, 17, and 21 have other delimiting dates. Some items in the various schedules have no authorized disposition instruction. These are records which are common to many agencies, but due to agency needs and organizational structure will have differing retention periods. They may be permanent, but are not necessarily so. For these records, agencies are required to submit an SF-115, Request for Records Disposition Authority. This will allow an individual evaluation of the pertinent records in the context of office of origin, agency requirements, and possible archival value. Since disposition is not specified, such records should be included in the agency's comprehensive schedule.

The GRS at this time are permissive and not mandatory. The disposition authorizations may be used by an agency in their entirety or in part. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers are urged to make maximum use of the schedules either as an appendix to a printed agency schedule or tailored to their agency's own peculiar needs and incorporated into agency schedules. If an agency wishes to apply a different retention period for any series of records included in the GRS

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the records officer of that agency should submit an SF-115, Request for Records Disposition Authority, providing justification for the deviation.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel which cannot be reconciled within the agency may be referred to the Director, Records Disposition Division, NARS, from headquarters offices in the Washington, DC area, or the Director of the nearest Federal Records Center from field offices.

General Records Schedules also provide for the retirement of non-current records to Federal Archives and Records Centers (FARC). Individual items may specify retirement to a records center before destruction, but this is to be considered as a guideline only. Records should be retired from agency space to an FARC only if transfer costs do not exceed the expenses of retaining them in agency space. Federal Records Centers will not accept records immediately eligible for disposal. Records retired to the Centers should have a remaining retention period of three years or more before they will be accepted. Where special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate Records Center Director. Records designated for permanent retention should be retired when sufficient volume and decreased activity warrant. Procedures for transfer of records to Federal Archives and Records Centers are detailed in the GSA Handbook, Federal Archives and Records Centers.

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Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal Civilian Employees. This schedule covers the disposition of all official personnel folders of civilian employees and all other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the U. S. Civil Service Commission, Federal Health Programs Service, the Office of Workers' Compensation Programs. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service for possible permanent retention before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, and Service Record Cards, are maintained according to the U. S. Civil Service Commission's Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel offices.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Official Personnel Folders.</u> Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, Item 10 for disposal of papers on the left or "temporary" side of the OPF.)	
	a. Folders covering periods of employment terminated prior to January 1, 1921.	Submit SF 115, Request for Records Disposition Authority.
	b. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service for permanent retention.	
	(1) Transferred employees.	See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

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	(2) Separated employees.	Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.
2.	<u>Service Record Cards.</u> Service Record Card (Standard Form 7 or its equivalent). a. Cards for employees separated or transferred on or before December 31, 1947. b. Cards for employees separated or transferred on or after January 1, 1948.	 Transfer to NPRC (CPR) St. Louis, Missouri. Destroy 3 years after separation or transfer of employee.
3.	<u>Personnel Correspondence and Subject Files.</u> a. Files relating to the general administration and operation of personnel functions and including college programs, selective placement (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Inter-governmental Affairs Fellowship, Stay in School, etc.) programs, examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.	 Destroy when 3 years old.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Correspondence, reports, memoranda, and other records relating to employment programs and function, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.	Destroy when 5 years old.
4.	<u>Offers of Employment Files.</u> Correspondence, letters, and telegrams offering appointments to potential employees.	
	a. Accepted offers.	Destroy immediately.
	b. Declined offers.	
	(1) When name is received from certificate of eligibles.	Return to Civil Service Commission with reply and application.
	(2) Temporary or excepted appointment.	File inside application (see item 15 of this schedule).
	(3) All others.	Destroy immediately.
5.	<u>Certificates of Eligibles Files.</u> Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.	Destroy when 2 years old.
6.	<u>Employee Record Cards.</u> Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).	Destroy on separation or transfer employee.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Position Classification Files.</u>	
	a. Position Classification Standards Files.	
	(1) Standards. CSC standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	Destroy 5 years after position is abolished or description is superseded.
	(2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and CSC approval or disapproval.	
	(a) Case File.	Destroy 5 years after position is abolished or description is superseded.
	(b) Review File.	Destroy when 2 years old.
	b. Position Descriptions.	
	Files describing established positions including information on title, series, grade, duties and responsibilities.	
	(1) Record copy.	Destroy 5 years after position is abolished or description superseded.
	(2) All other copies.	Destroy when position is abolished or description superseded.

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c. Survey Files.

(1) Classification Survey Reports.
Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Annual Supergrade Position Report.

(a) Office of origin. Destroy when 3 years old or 2 years after regular inspection whichever is sooner.

(b) Inspection, Audit and Survey Files. Destroy when obsolete or superseded.
Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.

d. Appeals Files.

Case files relating to classification appeals. Destroy 3 years after case is closed.

8. Interview Records.

Correspondence, reports and other records relating to interviews with employees. Destroy 6 months after transfer or separation or employee.

9. Performance Rating Board Case Files.

Copies of case files forwarded to CSC relating to performance rating board reviews. Destroy 1 year after case is closed.

10. Temporary Individual Employee Records.

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31. Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.

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11.	<u>Position Identification Strips.</u> Strips such as Standard Form 70, used to provide summary data on each position occupied.	Destroy when position is cancelled or new strip is prepared.
12.	<u>Employee Awards Files.</u> a. General awards records. (1) Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. (2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Destroy 2 years after approval or disapproval. Destroy when 2 years old.
	b. Length of Service and Sick Leave Awards File. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	Destroy when 1 year old.
	c. Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.	Destroy when 2 years old.

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	d. Lists or Indexes to Agency Award Nominations. Lists of nominees and winners, and indexes of nominations.	Destroy when superseded or obsolete.
	e. Departmental Level Awards Files. Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.)	Submit SF 115, Request for Records Disposition Authority.
13.	<u>Incentive Awards Program Reports.</u> Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.
14.	<u>Notifications of Personnel Action.</u> Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.	
	a. Chronological file copies, including fact sheets, maintained in personnel offices.	Destroy when 2 years old.
	b. All other copies maintained in personnel offices.	Destroy when 1 year old.
15.	<u>Employment Applications.</u> Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule).	Destroy upon receipt of Civil Service Commission inspection report or when 2 years old, whichever is earlier, providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.

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16.	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms Files.</u> Operating personnel office records 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.	Destroy when action is completed.
	b. Retention Registers.	
	(1) Registers from which reduction-in-force actions have been taken.	Destroy when 2 years old.
	(2) Registers from which no reduction-in-force actions have been taken.	Destroy when superseded or obsolete.
	c. All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.</u>	
	a. Supervisor's Personnel Files. Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

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	b. <i>Duplicate Documentation.</i> Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	Destroy when 6 months old.
19.	<u>Individual Health Record Files.</u> Cards which contain such information as date of employee's visit, diagnosis and treatment.	Destroy 6 years after date of last entry.
20.	<u>Health Unit Control Files.</u> Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. a. If information is summarized on statistical reports. b. If information is not summarized.	Destroy 3 months after last entry. Destroy 2 years after last entry.
21.	<u>Individual Employee Health Case File.</u> Forms, correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit; <u>EXCLUDING</u> pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in the Official Personnel Folder (OPF) upon separation of employee (Ref: FPMS 293-31). Those records not required for filing in the OPF, if not retained by the agency, may be transferred to the local Federal Records Center. <u>Under no circumstances</u> should these files be sent to the National Personnel Records Center (CPR).	Destroy 6 years after latest entry.

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22.	<u>Statistical Summaries.</u> Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date of summary or report.
23.	<u>Performance Rating Records.</u> a. Certificates of performance rating. b. General or case files of forms, memoranda, and correspondence. c. Appeals Files. Memoranda, correspondence and other records relating to employee appeals of performance rating.	Destroy when 2 years old. Destroy when 3 years old. Destroy 3 years after final settlement of case.
24.	<u>Motor Vehicle Operation Files.</u> See GRS 10, Item 7.	
25.	<u>Conflict of Interest Case Files.</u> Statements of employment and financial interests and related records.	Destroy 2 years after separation of employee or 2 years after employee leaves the position for which the statement is required.
26.	<u>Equal Employment Opportunity Records.</u> a. Official Discrimination Complaint Case Files. Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 5 CFR 713.222.	

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| (1) Cases resolved within the agency. | Destroy 4 years after resolution of case. |
| (2) Cases resolved by the Civil Service Commission or a U. S. Court. | Files are controlled by United States Civil Service Commission records schedule. |
| b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File. | Destroy 1 year after resolution of case. |
| c. Background Files.

Background records not filed in the Official Discrimination Complaint Case Files. | Destroy 2 years after final resolution of case. |
| d. Compliance Records.

(1) Compliance Review Files.

Reviews, background papers and correspondence relating to contractor employment practices. | Destroy when 7 years old. |
| (2) EEO Compliance Reports. | Destroy when 3 years old. |
| e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase. | Destroy when 1 year old. |
| f. Employment Statistics Files.

Employment statistics relating to race and sex. | Destroy when 5 years old. |

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	g. EEO General Files. General Correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
	h. EEO Affirmative Action Plans (AAP). (1) Agency copy of consolidated AAP(s). (2) Agency feeder plan to consolidated AAP(s).	Destroy 5 years from date of plan. Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
27.	<u>Personnel Counseling Records</u> a. Counseling files. Reports of interviews, analyses and related records. b. Alcohol and Drug Abuse Program. Records created in planning, coordinating and directing an alcohol and drug abuse program.	Destroy 3 years after termination of counseling. Destroy when 3 years old.
28.	<u>Standards of Conduct Files.</u> Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.

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29.	<u>Labor Management Relations Records.</u> a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups: (1) Office negotiating agreement. (2) Other offices.	Destroy when 5 years old. Destroy when superseded or obsolete.
	b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.
30.	<u>Training Records.</u> a. <u>Training Aids.</u> (1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency. (2) Training aids from other agencies or private institutions.	Submit SF 115, Request for Records Disposition Authority. Destroy when obsolete or superseded.
	b. General file of agency-sponsored training. (1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program.

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(2) Background and workpapers.

Destroy when 3 years old.

c. Employee training.

Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

d. Course Announcement Files.

Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.

Destroy when superseded or obsolete.

31. Grievance, Disciplinary and Adverse
Action Files.

a. Grievance, Appeals Files (5 CFR 771).

Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy 3 years after case is closed.

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b. Adverse Action Files (5 CFR 752).

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

Destroy 4 years after case is closed.

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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 that are common to all agencies, but it excludes (a) retirement records (Form 2806 or equivalent) that are maintained during employee duty and then transferred to the Bureau of Retirement, Insurance, and Occupational Health 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; (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 Office of Management and Budget files reflecting agency personnel needs and problems. Any record created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

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 are segments of accountable officer's accounts. 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 82 Stat. 1301 (44 U.S.C. 3309). Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6--Pay, Leave, and Allowances and incorporated in the GAO Manual for Guidance of Federal agencies.

In the payrolling process different types of records are accumulated. In many cases the records will be a machine readable form, as the payrolling process has been almost universally converted to electronic data processing throughout the Federal government. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

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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 or variations of them 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 designated to be maintained in agencies in which the time-keeping 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 payrolling process are withholding tax and savings bond records, 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 payrolling office and the payrolling function.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Individual Accounts Files.</u> Individual earning and service cards, such as Standard Form 1127 or equivalent.	Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, Destroy with the OPF. (See GRS 1, Item 1.) (b) If not in or filed adjacent to the OPF, Destroy 56 years after the date of the last entry on the card.
2.	<u>Payroll Correspondence Files.</u> General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	Destroy when 2 years old.

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3.	<u>Time and Attendance Report Files.</u> Forms such as Standard Form 1130 or equivalent. a. Payroll preparation and processing copies. b. All other copies.	 Destroy after GAO audit or when 3 years old, whichever is sooner. Destroy 6 years after the end of the pay period.
4.	<u>Individual Authorized Allotments Files.</u> Forms such as Standard Form 1192, or other records relating to authorization, changes or cancellation of individual payroll allotments for bond deductions, charitable contributions, savings bonds, union dues, or others. a. If record is maintained on earning record card. b. If record is not maintained elsewhere.	 Destroy when superseded or after transfer or separation of employee. Destroy 3 years after supersession or 3 years after transfer or separation of employee.
5.	<u>Bond Registration Files.</u> Issuing agent's copies of bond registration stubs.	 Destroy when 2 years old.
6.	<u>Bond Receipt and Transmittal Files.</u> Receipts for and transmittals of U. S. Savings Bonds and checks.	 Destroy 3 months after date of receipt.
7.	<u>Bond Purchase Files.</u> Forms and reports with related papers pertaining to deposits and purchases of bonds.	 Destroy when 3 years old.

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8.	<u>Leave Application Files.</u> Application for Leave, SF 71, or equivalent, and supporting papers relating to requests for and approval of taking leave.	Destroy when 1 year old.
9.	<u>Leave Record Files.</u> Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record. a. Pay or fiscal copies. b. Other copies.	Destroy when 3 years old. Destroy 3 months after the end of the period covered.
10.	<u>Leave Data Files.</u> Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3. a. Original copy of SF 1150. b. Agency copy.	File on right side of official personnel folder. See GRS 1, item 1. Destroy when 3 years old.
11.	<u>Notification of Personnel Action Files.</u> Copies of SF 50 or equivalent, not filed in the Official Personnel Folder. a. Pay or fiscal copy. b. All other copies.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. See GRS 1, item 14.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
12.	<u>Budget Authorization Reference Files.</u> Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.	Destroy when superseded.
13.	<u>Payroll files.</u> Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents. a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers. b. All other copies. (1) If earning record card is maintained. (2) If earning record card is not maintained.	Destroy when Federal Records Center receives second subsequent payroll or check list covering the same payroll unit. Destroy after GAO audit or when 3 years old, whichever is earlier. Transfer to NPRC, St. Louis, Missouri when 3 years old.
14.	<u>Payroll Control Files.</u> Payroll control registers such as SF 1125A.	Destroy after GAO audit or when 3 years old, whichever is sooner.
15.	<u>Payroll Change Files.</u> Payroll change slips, exclusive of those of the OPF, such as SF 1126. a. Copy used in GAO audit.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.

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	b. Disbursing officer copy used in preparing checks.	Destroy after preparation of check.
	c. All other copies.	Destroy 1 month after the end of the pay period.
16.	<u>Fiscal Schedules Files.</u> Memorandum copies of fiscal schedules used in the payroll process.	
	a. Copy used in GAO audit.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	b. All other copies.	Destroy 1 month after the end of the pay period.
17.	<u>Administrative Payroll Report Files.</u> Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.	
	a. Reports and data used for workload and personnel management purposes.	Destroy when 2 years old.
	b. All other reports and data.	Destroy when 3 years old.
18.	<u>Tax Files.</u>	
	a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	Destroy 3 years after form is superseded or obsolete.
	b. Returns on income taxes such as IRS Form W-2.	Destroy when 3 years old.
	c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	Destroy when 3 years old.

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GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
19.	<u>Income Tax Return Files.</u> See Item 18b of this schedule.	
20.	<u>Tax Report Files.</u> See Item 18c of this schedule.	
21.	<u>Retirement Files.</u> a. Reports and registers. Reports, registers or other control documents, and other records relating to the retirement, such as SF 2807 or equivalent.	Destroy when 3 years old.
	b. Assistance Files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old.
	c. Deduction files. SF 2806 or equivalent and other records used to document retirement deductions of individual employees.	See GRS 1, Item 1.
22.	<u>Insurance Deduction Files.</u> Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.	Destroy when 3 years old.
23.	<u>Levy and Garnishment Files.</u> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back	Destroy when 3 years old.

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GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	income taxes or other debts of Federal employees.	
24.	<u>Wage Survey Files.</u> Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Destroy when completed.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of 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. The basic procurement files reflect a considerable range of procedure; from simple small purchase to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Service for possible permanent retention before applying the disposal instructions. 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.

The General Accounting Office no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

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 44 U.S.C. 3309.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. 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.

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 requisition, 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.

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GENERAL RECORDS SCHEDULE 3

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 size 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.

This schedule has been revised to include the most frequently found agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to procurement and supply records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Unique Procurement Files.</u> Procurement files (as in item 4, below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs, other than those covered by Item 13.	Submit SF 115, Request for Records Disposition Authority.

ITEM NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2.

Real Property Files.

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. Submit SF 115, Request for Records Disposition Authority.
- b. Papers for property acquired since January 1, 1921, other than abstract or certificate of title. Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.
- c. Abstract or certificate or title. Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

3.

General Correspondence Files.

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

Destroy when 2 years old.

4.

Routine Procurement Files.

Contract, 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, 13, and 15).

- a. Procurement or purchase organization copy, and related papers.

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GENERAL RECORDS SCHEDULE 3

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- | | | |
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| (1) | Transactions of more than \$10,000 and all construction contracts exceeding \$2,000, dated subsequent to July 26, 1974. | Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years.) |
| (2) | Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974. | Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therein.) |
| (3) | Transactions of more than \$2,500 dated prior to July 26, 1974. | Destroy 6 years after final payment. |
| b. | Obligation copy. | Destroy when funds are obligated. |
| c. | Other copies of records described above used by component elements of a procurement office for administrative purposes. | Destroy upon termination or completion. |
| 5. | <u>Supply Management Files.</u>

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). | |

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GENERAL RECORDS SCHEDULE 5
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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	Destroy when 2 years old.
	b. Copies in other reporting units, and related work papers.	Destroy when 1 year old.
6.	<u>Bid Files.</u>	
	a. Successful or unsuccessful bids.	Apply provisions of Item 4.
	b. Lists or cards of acceptable bidders.	Destroy when superseded or obsolete.
7.	<u>Public Printer Files.</u>	
	Records relating to requisitions on the Printer, and all supporting papers.	
	a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Destroy 3 years after completion or cancellation of requisition.
	b. Accounting copy of requisition.	Destroy 3 years after period covered by related account.
8.	<u>Nonpersonal Requisition File.</u>	
	Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6).	Destroy when 1 year old.
9.	<u>Inventory Requisition File.</u>	
	Requisitions for supplies and equipment for current inventory.	

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GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Stockroom copy.	Destroy 2 years after completion or cancellation of requisition.
	b. All other copies.	Destroy when 6 months old.
10.	<u>Inventory Files.</u>	
	a. Inventory lists.	Destroy 2 years from date of list.
	b. Inventory cards.	Destroy 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 GRS.	Destroy 2 years after date of survey action or date of posting medium.
11.	<u>Telephone Records.</u>	
	Telephone statements and toll slips.	Destroy 3 years after period covered by related account.
12.	<u>Contractors' Payroll Files.</u>	
	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
13.	<u>Tax Exemption Files.</u>	
	Tax exemption certificates and related papers.	Destroy 3 years after period covered by related account.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
14.	<u>Grant Application Files.</u> Applications, memoranda, correspondence and other records relating to the decision to accept or reject grant applications.	
	a. Rejected applications.	Destroy 5 years after rejection.
	b. Accepted applications.	See Item 15 of this schedule.
15.	<u>Grant Case Files.</u> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets.	Submit SF 115, Request for Records Disposition Authority.
16.	<u>Grant Control Files.</u> Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects, applications and grants.	Destroy when superseded or obsolete.
17.	<u>Grant Correspondence and Subject Files.</u>	
	a. Correspondence and/or subject files including memoranda, studies, reports, forms and other records relating to the legal establishment of the grant program, its policies and basic procedures, and the management and evaluation of grants.	Submit SF 115, Request for Records Disposition Authority.
	b. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 3
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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18.	<u>Final Product Files.</u> Published reports, books, studies, audiovisual materials, or any other final grant product and related records in textual or machine-readable form.	Submit SF 115, Request for Records Disposition Authority.

SUPERSEDED

FPMR 101-11.4
January 1, 1977

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 to the new agency the functions of the former War Assets Administration relating to property disposition. 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. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Service for possible permanent retention before applying these disposition instructions.

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 44 U.S.C. 3309.

Three forms are prescribed for use by any agency selling surplus personal property under GSA regulations:

a. Standard Form 114, Sale of Government Property, Invitation, and 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 consolidate the data.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Surplus Property Precedential Case Files.</u> Case files on sales of surplus personal property (as described in item 6 below) documenting the initiation	Submit SF 115, Request for Records Disposition Authority.

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	and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	
2.	<u>Property Disposal Case Files.</u> Case files on disposal of surplus real and related personal property.	Submit SF 115, Request for Records Disposition Authority.
3.	<u>Excess Real Property Reports.</u>	Submit SF 115, Request for Records Disposition Authority.
4.	<u>Property Disposal Correspondence Files.</u> Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 years old.
5.	<u>Excess Personal Property Reports.</u>	Destroy when 3 years old.
6.	<u>Surplus Property Case Files.</u> 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 items 1 and 2). a. Transactions subsequent to July 25, 1974, of more than \$10,000; and transactions prior to July 26, 1974, of more than \$2,500. b. Transactions subsequent to July 25, 1974, of \$10,000 or less; and transactions prior to July 26, 1974, of \$2,500 or less.	Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.) Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy except that files on

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GENERAL RECORDS SCHEDULE 4

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which actions are pending will be brought to the next fiscal year's files for disposal therewith.)

7. Real Property Files.

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, 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.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. (Also see GRS 22, Design and Construction Records.)

SUPERSEDED

FPMR 101-11.4
January 1, 1977

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 Office of Management and 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 Office of Management and Budget (OMB), usually in quarterly portions, and the agencies must indicate and justify regularly to OMB 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 contained in the accountable officers' account (Schedule 6).

This schedule applies to records of budget preparation, presentation and apportionment in all agencies, except that it does not apply to records of the OMB and the Treasury Department reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying the disposition instructions.

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 the OMB 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 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 OMB. 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

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appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payroll activities.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Budget Policy Files.</u> Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Budget Estimates and Justifications Files.</u> a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data. b. Working papers and background materials.	Submit SF 115, Request for Records Disposition Authority. See Item 4 of this schedule.
3.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Budget Background Records.</u> Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 2.	Destroy 1 year after the close of the fiscal year covered by the budget.

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5.

Budget Reports Files.

Periodic reports on the status of appropriation accounts and apportionment.

- a. Annual report (end of fiscal year). Destroy when 5 years old.
- b. All other reports. Destroy 3 years after the end of the fiscal year.

6.

Budget Apportionment Files.

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. Destroy 2 years after the close of the fiscal year.

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FPMR 101-11.4
April 8, 1977

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office. This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Accountable officers' accounts include record copies of all records 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 is responsible for providing documentation to the General Accounting Office since he accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies 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 Form 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule has been revised to include records held for on-site audit by the General Accounting Office, as described in Item 1a below. Under on-site audit, vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents are 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 audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. The General Accounting Office has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than

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one full fiscal year old to Federal Records Centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Office of Administrative Services, GAO. Because the records heretofore transferred to the General Accounting Office are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in Item 1b of this schedule.

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 in separate schedules.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Accountable Officers' Files.</u>	
a.	Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited, in the course of operation of the agency. All copies <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.	Destroy 6 years and 3 months after the period of the account.

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Site audit records include, but are not limited to, the Standard Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.

- SF 224, Statement of Transactions
- SF 1034, Public Voucher for Purchases and Services Other Than Personal
- SF 1036, Statement of Certificate and Award
- SF 1047, Public Voucher for Refunds
- SF 1069, Voucher for Allowance at Foreign Posts of Duty
- SF 1080, Voucher for Transfer Between Appropriations and/or Funds
- SF 1081, Voucher and Schedule of Withdrawals and Credits
- SF 1096, Schedule of Voucher Deductions
- SF 1097, Voucher and Schedule to Effect Correction of Errors
- SF 1098, Schedule of Cancelled Checks
- SF 1113, Public Voucher for Transportation Charges
- SF 1114, Bill of Collection
- SF 1114A, Official Receipt
- SF 1114B, Collection Voucher
- SF 1129, Reimbursement Voucher
- SF 1143, Advertising Order
- SF 1145, Voucher for Payment Under Federal Tort Claims Act
- SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
- SF 1156, Public Voucher for Fees and Mileage of Witness
- SF 1166, Voucher and Schedule of Payments
- SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies
- SF 1218, Statement of Accountability (Foreign Service Account)
- SF 1219, Statement of Accountability
- SF 1220, Statement of Transactions According to Appropriation, Funds and Receipt Accounts
- SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)

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GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by Schedule 9 and payroll records covered by Schedule 2.	Destroy 3 years after the period of the account.
2.	<u>GAO Exceptions Files.</u> General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.	Destroy 1 year after exception has been reported as cleared by GAO.
3.	<u>Certificates Settlement Files.</u> Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.	
	a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Destroy 2 years after date of settlement.
	b. Certificates covering periodic settlements.	Destroy when subsequent certificate of settlement is received.
4.	<u>General Fund Files.</u> Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit (SF 201, 209, and 219), other than those records covered by Item 1 of this schedule.	Destroy when 3 years old.

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GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Accounting Administrative Files.</u> 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.	Destroy when 2 years old.
	b. All other files.	Destroy when 3 years old.
6.	<u>Federal Personnel Surety Bond Files.</u>	
	a. Official copies of the bond and attached powers of attorney.	
	(1) Bonds purchased prior to January 1, 1956.	Destroy 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955.	Destroy 15 years after the end of the bond premium period.
	b. Other bond files, including other copies of bonds and related papers.	Destroy when bond becomes inactive or after the end of the bond premium period.
7.	<u>Gasoline Sales Tickets.</u> Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.
8.	<u>Telephone Toll Tickets.</u> Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.
9.	<u>Telegrams.</u> Originals and copies of telegrams filed in support of telegraph bills.	Destroy after GAO audit or when 3 years old, whichever is sooner.

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FPMR 101-11.4
January 1, 1977

GENERAL RECORDS SCHEDULE 7

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 Office of Management and Budget (OMB), 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 a primary source of data for top management concerned with agency solvency, with expenditures 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 OMB and the Treasury Department, and over-all reports of agency fiscal condition which may be required by the General Accounting Officer (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting

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GENERAL RECORDS SCHEDULE 7

Office auditors to be indicative of the suitability of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Treasury Department and the OMB, or to those formerly maintained by the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

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. 372).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Expenditures Accounting General Correspondence and Subject Files.</u> Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old.
2.	<u>General Accounting Ledgers.</u> General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 10 years after the close of the fiscal year involved.
3.	<u>Appropriation Allotment Files.</u> Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 10 years after the close of the fiscal year involved.
4.	<u>Expenditure Accounting Posting and Control Files.</u> Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.	
	a. Original records.	Destroy when 3 years old.
	b. Copies	Destroy when 2 years old.

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FPMR 101-11.4
January 1, 1977

GENERAL RECORDS SCHEDULE 8

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. 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 are not procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

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 data are normally reviewed and consolidated by means of records 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 data on plant value is also available in 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 store 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 costs 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.

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GENERAL RECORDS SCHEDULE 8

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Plant Accounting Files.</u> Plant account cards and ledgers pertaining to structures.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Plant, Cost and Stores General Correspondence Files.</u> Correspondence files of units responsible for plant, cost and stores accounting operations.	Destroy when 3 years old.
3.	<u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes.	Destroy when 3 years old.
4.	<u>Stores Accounting Files.</u> Stores accounting returns and reports.	Destroy when 3 years old.
5.	<u>Stores Accounting Work Papers.</u> Work papers used in accumulating stores accounting data.	Destroy when 2 years old.
6.	<u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those described in item 1.	Destroy 3 years after item is withdrawn from plant account.
7.	<u>Cost Accounting Reports.</u> a. Copies in units receiving reports. b. Copies in reporting units, and related work papers.	Destroy when 3 years old. Destroy when 3 years old.
8.	<u>Cost Report Data Files.</u> Ledgers, forms, and machine-records used to accumulate data for use in cost reports.	

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GENERAL RECORDS SCHEDULE 8

ITEM
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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Ledgers and forms.

Destroy when 3 years old.

b. Machine-records.

(1) Detail cards.

Destroy when 6 months old.

(2) Summary cards.

Destroy when 6 months old.

(3) Tabulations.

Destroy when 1 year old.

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FPMR 101-11.4
January 1, 1977

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records pertaining 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, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain vouchers 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.

b. Movement of persons. The movement of persons is documented essentially by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The 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>AUTHORIZED DISPOSITION</u>
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1.	<u>Freight Files.</u>	
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Records relating to freight 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 records relating to the shipment of household goods.

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GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Issuing office memorandum copies.	Destroy when 3 years old.
	b. All other copies.	Destroy when 1 year old.
	c. Registers and control records.	Destroy when 3 years old.
2.	<u>Lost or Damaged Shipments Files.</u> Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Destroy when 3 years old.
3.	<u>Passenger Transportation Files.</u> Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.	
	a. Issuing office memorandum copy.	Destroy when 3 years old.
	b. Obligation copy.	Destroy when funds are obligated.
	c. Unused ticked redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use.
4.	<u>Passenger Reimbursement Files.</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.	

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GENERAL RECORDS SCHEDULE 9

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NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- a. Travel administrative office files. Destroy when 3 years old.
- b. Obligation copies. Destroy when funds are obligated.

5. General Travel and Transportation
Files.

- a. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. Destroy when 2 years old.
- b. Accountability records. Destroy 1 year after all entries are cleared.

SUPERSEDED

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

Personal Property Management Regulation No. 24 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 covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a 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.

ITEM NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| 1. | <u>Motor Vehicle Correspondence Files.</u>

Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule. | Destroy when 2 years old. |
| 2. | <u>Motor Vehicle Operating and Maintenance Files.</u>

a. Operating records including those relating to gas and oil consumption, dispatching and scheduling.

b. Maintenance records, including those relating to service and repair. | Destroy when 3 months old.

Destroy when 1 year old. |
| 3. | <u>Motor Vehicle Cost Files.</u>

Motor vehicle ledger and work sheets providing cost and expense data. | Destroy 3 years after discontinuance of ledger or date of work sheet. |

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles (other than accident, operating and maintenance reports).	Destroy 3 years after date of report.
5.	<u>Motor Vehicle Accidents Files.</u> Records relating to motor vehicle accidents, maintained by transportation offices.	Destroy 6 years after case is closed.
6.	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation or exchange of vehicles.	Destroy 4 years after vehicle leaves agency custody.
7.	<u>Motor Vehicle Operation.</u> Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

SUPERSEDED

FPMR 101-11.4
January 1, 1977

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 officer's 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). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Space and Maintenance General Correspondence Files.</u> Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Destroy when 2 years old.
2.	<u>Agency Space Files.</u> Records relating to the allocation, utilization, and release of space under agency control, and related reports to General Services Administration.	

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GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Building plan files and related agency records utilized in space planning, assignment, and adjustment.	Destroy 2 years after termination of assignment, or when lease is 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 records to General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the "District of Columbia", and related papers.	Destroy when 2 years old.
	(2) Copies in subordinate reporting units and related work papers.	Destroy when 1 year old.
3.	<u>Directory Service Files.</u>	
	Correspondence, forms and other records relating to the compilation of directory service listings.	Destroy 2 months after issuance of listing.
4.	<u>Credentials Files.</u>	
	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.	Destroy credentials 3 months after return to issuing office.
	b. Receipts, indices, listings and accountable records.	Destroy after all listed credentials are accounted for.

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GENERAL RECORDS SCHEDULE 11

NO
ITEM

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

5.

Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work performed or requisition cancelled.

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FPMR 101.11-4
March 14, 1977

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data, telecommunications 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; agency copies of penalty mail reports; and records relating to private delivery services (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency, but does not cover records which reflect Government-wide programs, such as records held by the U. S. Postal Service and the Automated Data Telecommunications Service of the General Services Administration, rather than administrative management functions. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Messenger Service Files.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old.
2.	<u>Communication Correspondence, Reports, and Reference Files.</u>	
	a. Correspondence and related records pertaining to internal administration and operation.	Destroy when 2 years old.
	b. Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	Destroy when 3 years old.
	c. Telecommunications statistical reports including cost and volume data.	Destroy when 1 year old.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	d. Telecommunications reference voucher files.	
	(1) Reference copies of vouchers, bills, invoices, and related records.	Destroy when 1 fiscal year old.
	(2) Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner.
	e. Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement.
3.	<u>Telecommunications Operational Files.</u>	
	a. Message registers, logs, performance reports, daily load reports, and related and similar records.	Destroy when 6 months old.
	b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.	Destroy when 2 months old.
	c. Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
4.	<u>Telephone Summaries.</u>	
	Summaries of long distance telephone report used to indicate authorized use of telephone service as well as to audit expense vouchers.	Destroy after the close of the fiscal year in which audited.
5.	<u>Postal Records.</u>	
	Post Office forms and supporting papers, exclusive of records held by the United States Postal Service.	

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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|----|---|----------------------------|
| a. | Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts. | Destroy when 1 year old. |
| b. | Application for postal registration and certificates of declared value of matter subject to postal surcharge. | Destroy when 1 year old. |
| c. | Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter. | Destroy when 1 year old. |
| 6. | <u>Mail and Delivery Service Control Files.</u> | |
| a. | Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item 5 and those used as indexes to correspondence files. | Destroy when 1 year old. |
| b. | Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds). | Destroy when 6 months old. |
| c. | Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). | Destroy when 6 months old. |
| d. | Statistical reports and data relating to handling of mail and volume of work performed. | Destroy when 1 year old. |
| e. | Records relating to checks, cash, stamps, money orders or any other valuables remitted to the agency by mail. | Destroy when 1 year old. |

SUPERSEDED

GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	Destroy when 6 months old.
	g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
	h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.
7.	<u>Penalty Mail Report Files.</u> Official penalty mail reports and all related papers.	Destroy when 6 years old.
8.	<u>Postal Irregularities File.</u> Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Destroy 3 years after completion of investigation.

SUPERSEDED

FPMR 101-11.4
January 1, 1977

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 relating 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, printing, binding, and duplication and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

This schedule does not cover (a) records retained by agencies for on-site audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (b) 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>AUTHORIZED DISPOSITION</u>
1.	<u>Publications Files.</u>	
a.	Record copy if maintained 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.)	Submit SF 115, Request for Records Disposition Authority.
b.	All other copies.	Destroy when superseded, obsolete or no longer needed.

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GENERAL RECORDS SCHEDULE T3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Administrative Correspondence Files.</u> Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication and distribution matters, and related papers.	Destroy when 2 years old.
3.	<u>Project Files.</u> 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.	Destroy 1 year after completion of job.
	b. Files pertaining to planning and other technical matters.	Destroy when 3 years old.
4.	<u>Control Files.</u> Control registers pertaining to requisitions and work orders.	Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.
5.	<u>Mailing Lists.</u>	
	a. Correspondence, request forms and other records relating to changes in mailing lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier.
	b. Card lists.	Destroy individual cards when cancelled or revised.
	c. Plate or stencil mailing lists.	Destroy plates or stencils when cancelled or revised.

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GENERAL RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>JCP Reports Files.</u> Reports to Congress and related records.	
	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.	Destroy when 3 years old.
	b. Copies in subordinate reporting units and related work papers.	Destroy 1 year after date of report.
7.	<u>Internal Management Files.</u> Records relating to internal management and operation of the unit.	Destroy when 2 years old.

SUPERSEDED

FPMR 101-11.4
January 10, 1977

GENERAL RECORDS SCHEDULE 14

Informational Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day to day affairs and in their relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6 apply only to files maintained in the office responsible for the operation of the informational activities of the agency or subdivision thereof. Items 16 through 20 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 25 through 30 describe the files created in administering the provisions of the Privacy Act.

These records consist of inquiries, replies, and related correspondence; and in the case of FOIA and Privacy Act files, reports and appeal case files; and administrative background material for formal informational releases. Closely related records such as certain records relating to budget presentation, and printing, duplicating and distribution are covered by other general records schedules. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Information Files.</u> Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, and indexes thereto.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Information Subject Files.</u> Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Submit SF 115, Request for Records Disposition Authority.

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GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Information Requests Files.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs and other informational literature.	Destroy 3 months after transmittal or reply.
4.	<u>Acknowledgement Files.</u> Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgement and referral.
5.	<u>Press Service Files.</u> Press service teletype news and similar materials.	Destroy when 3 months old.
6.	<u>Information Project Files.</u> Informational services project case files maintained in formally designated informational offices.	Destroy 1 year after close of file or 1 year after completion of project.
7.	<u>Commendation/complaint correspondence files.</u> 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 into individual personnel records.	Destroy when 3 months old.
8.	<u>Indexes and Check Lists.</u> Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Destroy when superseded or obsolete.

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GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9 through 15	<u>Reserved.</u>	
16.	<u>Freedom of Information Act (FOIA) Requests Files.</u> Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof. a. Correspondence and supporting documents (EXCLUDING) the official file copy of the records requested if filed herein). (1) Granting access to all the requested records. (2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. (a) Request <u>not</u> appealed. (b) Request appealed. (3) Denying access to all or part of the records requested. (a) Request <u>not</u> appealed. (b) Request appealed.	 Destroy 2 years after date of reply. Destroy 2 years after date of reply. Destroy as authorized under item 17. Destroy 5 years after date of reply. Destroy as authorized under item 17.

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GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Official file copy of requested records.	Dispose of in accordance with approved agency disposition instruction for the related records, or with the related FOIA request, whichever is later.
17.	<u>FOIA Appeals Files.</u> Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein). Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later. b. Official file copy of records under appeal. Dispose of in accordance with approved agency disposition instructions for the related record, or with the related FOIA requests, whichever is later.
18.	<u>FOIA Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requestor.	a. Registers or listing. Destroy 5 years after date of last entry.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other files.	Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later.
19.	<u>FOIA Reports Files.</u> Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.	
	a. Annual reports at departmental or agency level.	Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.
	b. Other reports.	Destroy when 2 years old or sooner if no longer needed for administrative use.
20.	<u>FOIA Administrative Files.</u> Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old or sooner if no longer needed for administrative use.
21 through 24.	<u>Reserved.</u>	
25.	<u>Privacy Act Requests Files.</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files	

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contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records. Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Requests not appealed. Destroy 2 years after date of reply.

(b) Requests appealed. Destroy as authorized under item 26.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed. Destroy 5 years after date of reply.

(b) Requests appealed. Destroy as authorized under item 26.

b. Official file copy of requested records. Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

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26.

Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the Individual against the refusing agency as provided under 5 U.S.C. 552a(g).

- | | |
|---|--|
| a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. | Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. |
| b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. | Dispose of in accordance with the approved disposition instructions for the related subject individual's record; 4 years after final determination by agency; or 3 years after final adjudication by courts, whichever is later. |
| c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. | Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. |

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
27.	<u>Privacy Act Accounting of Disclosure Files.</u> Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.
28.	<u>Privacy Act Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor. a. Registers or listings. b. Other files.	Destroy 5 years after date of last entry. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.
29.	<u>Privacy Act Reports Files.</u> Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. a. Annual reports at departmental or agency level.	Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.

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b. Other reports.

Destroy when 2 years old.

30.

Privacy Act General Administrative
Files.

Records relating to the general agency *implementation of the* Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

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FPMR 101-11.4
January 1, 1977

GENERAL RECORDS SCHEDULE 15

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 HUD, 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>AUTHORIZED DISPOSITION</u>
1.	<u>Housing General Correspondence Files.</u> Correspondence files pertaining to the maintenance and management of housing projects.	Destroy when 2 years old.
2.	<u>Housing Maintenance and Repair Files.</u> Maintenance and repair records for individual units.	
	a. Summary card or ledger record.	Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Work orders, requisitions, and related papers involved repair and maintenance work.	Destroy 3 fiscal years following close of fiscal year in which work is done.
3.	<u>Housing Management Files.</u> Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	Destroy when 2 years old.
4.	<u>Housing Lease Files.</u> Copies of leases, renewals, termination notices, and related papers.	Destroy 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.	<u>Housing Assignment and Vacancy Card Files.</u> a. Individual tenant cards. b. Individual housing unit cards.	Destroy when tenant vacates unit. Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6.	<u>Housing Inventory Files.</u> Furnishing inventory files, pertaining to items included in furnished units.	Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.
7.	<u>Housing Application Files (other than copies in lease files).</u> a. Rejected application files. b. All others	Destroy 1 year from date of rejection. Destroy when 2 years old.

SUPERSEDED

FPMR 101-11.4
April 4, 1977

GENERAL RECORDS SCHEDULE 16

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. 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 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives before applying these disposition instructions.

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 and 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.

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

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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.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Directive Case Files.</u> Internal directives issued at the agency, bureau or division level. a. Record copy with supporting case file, if any, documenting important aspects of the development of the issuance. b. Working papers and background material.	 Submit SF 115, Request for Records Disposition Authority. See item 10 of this schedule.
2.	<u>Publications.</u> Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects. a. Record copy with the supporting papers which document the inception, scope and purpose of the project. b. Working papers and background materials.	 Submit SF 115, Request for Records Disposition Authority. See item 10.
3.	<u>Records Disposition Files.</u> Descriptive inventories, disposal authorizations, schedules and reports. a. Basic documentation of records description and disposition programs, including Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Records Transmittal and Receipt and related documentation.	 Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Extra copies and routine correspondence and memoranda.	Destroy when no longer needed for reference.
	c. Working papers and background material.	See item 10 of this schedule.
4.	<u>Forms Files.</u>	
	a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Submit SF 115, Request for Records Disposition Authority.
	b. Working papers, background materials, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or cancelled.
5.	<u>Management Improvement Reports.</u>	
	Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.	Submit SF 115, Request for Records Disposition Authority.
6.	<u>Records Holdings Files.</u>	
	Statistical reports of agency records holdings required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	Destroy when 3 years old.
7.	<u>Project Control Files.</u>	
	Memoranda, reports and other records documenting assignments, progress and completion of projects.	Destroy 1 year after the year in which the project is closed.
8.	<u>Reports Control Files.</u>	
	Case files maintained for each agency report created, cancelled or superseded.	Destroy 2 years after the report is discontinued.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9.	Superseded by item 4b of this schedule.	
10.	<u>Working Papers.</u> Project background records such as studies, analyses, notes, drafts, and interim reports.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
11.	<u>Records Management Files.</u> Reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the management of records in the agency. Includes the management of files, forms, correspondence, mail, reports, microfilm, automatic data processing, vital records, and related records not covered elsewhere in this schedule.	Destroy when 6 years old.
12.	<u>Committee and Conference Records.</u> a. Records relating to establishment, organization, membership and policy. (1) Interagency, advisory or international committees. (2) Internal committees. b. Records created by committees. (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees.	Submit SF 115, Request for Records Disposition Authority. Destroy 2 years after termination of committee.

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(a) Records of the sponsor
or Secretariat.

Submit SF 115, Request
for Records Disposition
Authority.

(b) All other copies.

Destroy when 3 years old
or when no longer needed
for reference.

(2) All other committee records.

Destroy when 3 years old
or when no longer needed
for reference.

13. Organizational Records.

Official organization charts, narrative
histories, and related records which
document the organization and functions
of the agency.

a. Record copy.

Submit SF 115, Request
for Records Disposition
Authority.

b. All other copies.

Destroy when superseded
or obsolete.

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FPMR 101-11.4
March 18, 1977

GENERAL RECORDS SCHEDULE 17

Cartographic, RemoteSensing Imagery, and Related Records

This schedule covers cartographic, remote sensing imagery, and related records that have been created by or for agencies of the Federal Government and those acquired by Federal agencies in the course of business. Records created prior to January 1, 1950, must be offered to the National Archives and Records Service before applying disposition instructions set forth in this schedule.

Cartographic records are graphic representations at reduced scale of selected cultural and physical features of the surface of the earth and other planetary bodies. They include maps, charts (hydrographic, nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, and relief models. Related records are those records that form an integral part of the map-making process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids. Records of the map-making process in automated storage and retrieval system are covered by General Records Schedule 20.

Remote sensing imagery covers aerial photographs and other forms of visual images of the surface of the earth or other planetary bodies taken from airborne or spaceborne vehicles for the purpose of evaluation, measuring, or mapping the cultural and/or physical features of the landscape, and related tabular and graphic indexes necessary for the proper identification and retrieval of these records. Conventional aerial photographs taken from aircraft produce direct film images from cameras; other forms or imagery such as those from orbiting satellites sometimes require a conversion or alteration of sensor data for digital, electronic, or computerized forms to photographic or videographic images before they can be considered imagery. This schedule is limited to visual imagery. Digitized or computerized data are covered by General Records Schedule 20.

Cartographic and remote sensing imagery records that may have continuing legal, administrative, and research value are generally those that have been created or acquired in conjunction with the transaction of agency business or resulting from agency program responsibilities which constitute evidence of the organization, functions, decisions, and operations of the Federal Government. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

The General Records Schedule for cartographic, remote sensing imagery, and related records is broad in scope and meant to complement approved agency record schedules and other general records schedules. If an item in this schedule is at variance or is inconsistent with an approved agency records schedule, such discrepancies should be brought to the attention of the

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National Archives and Records Service (NARS). In such cases, disposition should be made in accordance with specific instructions provided by the National Archives and Records Service.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Manuscript and Annotated Maps.</u> Hand-drawn maps (generally in pencil, ink, or colors on paper or tracing cloth), maps made with stickup and similar adhesives, and maps that bear significant manuscript annotations, changes, or additions. Included are maps compiled in the office for administrative use, for research, or for exhibits and wall displays; map enclosures to reports or correspondence; original topographic planetable sheets, terrain sketches, and nautical depth-sounding sheets derived from field observations and surveys; final manuscript "smooth sheets" and "fair sheets" showing the results of surveys; maps or aerial photographic prints annotated with field survey information, initial hand-drawn photogrammetric stereoplottings from aerial photographs; and proof sheets or overlays that bear annotations resulting from field checking or verification of survey data or that are annotated to show source of information used on the map.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Cartographic Records Prepared During Intermediate Stages of Publication.</u> Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose information content is duplicated by the final published map.	Destroy 1 year after publication of resultant map or 1 year after no longer needed for revision.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Published Maps.</u> One copy of each published map, atlas, portfolio, and photomap produced by an agency, including each edition and variant, and all related indexes (in map or other form).	Permanent. Break file at regular intervals (1 to 5 years) and offer to NARS.
4.	<u>Map History Case Files and Source Material.</u> Map history and chart history case files documenting the chronological events in planning, surveying, field work, and production and revision of specific maps, and files containing or describing the sources of information for specific maps, including map specifications, location diagrams, notes kept by the cartographers when making maps, maps or photographs from which information was abstracted, correspondence, reports, bibliographies, lists of sources, and papers showing information about the origin and spelling of place names.	Submit SF 115, Request for Records Disposition Authority.
5.	<u>Maps on Microfilm.</u> a. If both original hardcopy maps and microfilm copies exist.	Submit SF 115, Request for Records Disposition Authority.
	b. If only the microfilm copies exist.	Dispose of in accordance with instructions for related hardcopy records.
6.	<u>Computer Related Maps.</u> a. One copy of each published, manuscript, or computer produced map produced by the agency that show such administrative information as the general geographic coverage of a computer system or the geographic location of all input stations used in the system.	Permanent. Offer to NARS within 10 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Hardcopy maps acquired as sources of data for a computer system.	Submit SF 115, Request for Records Disposition Authority.
	c. Computer-plotted maps (hardcopy printouts or microfilm output).	Submit SF 115, Request for Records Disposition Authority.
7.	<u>Globes, Terrain Models, and Raised Relief Maps.</u> Three-dimensional terrain models and raised relief maps (made of plaster, wood, plastic, or other material).	
	a. One representative sample of each type.	Permanent. Offer to NARS within one year of production or when no longer needed.
	b. Remaining items.	Dispose of when no longer needed for agency use.
8.	<u>Finding Aids.</u> Graphic or written indexes and other finding aids relating to maps.	Dispose of in accordance with instructions for related maps.
9.	<u>Survey Field Notes, Geodetic Controls, and Computations.</u> (Hardcopy or Microfilm). Field notes from surveys, observations, and explorations, consisting of a running account of the terrain, geological notes, a record of water depths, a daily log or journal, often in the form of pocket-size notebooks carried by the observer in the field, triangulation diagrams, aerial photographs annotated with geodetic control data, and survey computations.	Permanent. Offer to NARS within 10 years after completion of resultant map.
10-15.	Reserved.	

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
16.	<u>Vertical and Oblique Aerial Film, Conventional Aircraft.</u> Vertical and oblique film in black and white, color, or "false color," including photo indexes (controlled or uncontrolled mosaics), flight line indexes or coordinate grid systems used as finding aids.	
	a. Original or master negative.	Submit SF 115, Request for Records Disposition Authority.
	b. Copy negatives, internegatives, rectified negatives, and glass plate negatives.	
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
	c. Prints	
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
17.	<u>Infrared, Ultraviolet, Multispectral (multi-band), Video, Imagery Radar, and Related Data Tapes, Converted to a Film Base.</u>	
	a. Original or master negative	Submit SF 115, Request for Records Disposition Authority.
	b. Prints	

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
18.	<u>Finding Aids.</u> Photo mosaics flight line indexes, coded grids, coordinate grids and other finding aids relating to remote sensing imagery.	Dispose of in accordance with instructions for related remote sensing imagery records.

EXPLANATORY NOTES

Items 1 thru 9

The term "map" is used as a generic term for maps, charts, cartograms, and atlases. The word "published" as used in this schedule means maps or charts reproduced by printing, photograph, or similar processes in multiple copies whether for limited or general distribution. These may be in single sheet or bound format. If the agency has systematically filed hand-corrected editions with other published maps in a central or master files, it is not desirable to break up the file by the removal of hand-corrected copies; the file should be maintained in its original order.

Item 6b

These are published or manuscript maps acquired, from whatever source, by an agency for the purpose of abstracting geographic information for input into a computer system. They may be of enduring value because they explain the unique information used in the system and they may be necessary to verify the original source of information. They also may contain unique geographic information, beyond what has been abstracted for computer use, not available elsewhere. If the maps are arranged in a numbered or alphabetized file, retain the original and complete order. Finding aids should be retained in conjunction with the maps.

Item 6c

These maps must be evaluated by NARS on a agency-by-agency basis. The evaluation of the maps must take into account the reproducibility, repetitive nature, access, and legibility of the maps.

Item 7

Globes are often unique and valuable items of cartographic expression and as such they may have enduring value (except multiple copies). One sample of each globe produced or accumulated by an agency in the course of its official business should be preserved permanently.

Item 8

Graphic indexes are maps containing lines, symbols, or colors designed to show the geographic coverage, limits of state or completion of each item in a series or multiple set of map records. Other finding aids may include written map lists, box lists, card file indexes, or magnetic tape or other machine-readable finding aids.

Item 9

Survey notes in the form of automated data may be permanently valuable in machine-readable form. Guidelines for the disposition of automated records are found in General Records Schedule 20.

Item 16

Vertical aerial film consists of film images that are exposed with the optical axis of the camera approximately perpendicular to the earth's surface and with the film image as nearly horizontal as practicable.

Oblique aerial film consists of film images that are made with the camera axis directed between the horizontal and the vertical. Oblique photography is generally used for reconnaissance purposes. Because oblique reconnaissance photography may be repetitive, it is often possible to select representative sample coverage rather than retaining full coverage of particular conditions, events or phenomena. Representative samples may be selected by agreement with NARS.

Item 17

These sensor systems provide photographic imagery, sometimes after conversion or transferral of information from raw data. The film is considered to be the primary record. The raw data, if machine-readable is covered by General Records Schedule 20. (Non-photographic sensor records such as microwave, radiometer, thermal infrared, thermal ultraviolet, and non-imagery radar are not covered by this schedule.)

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 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 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 medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

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>AUTHORIZED DISPOSITION</u>
1.	<u>Security Policy Files.</u> Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs.	Submit SF 115, Request for Records Disposition Authority.

SUPERSEDED
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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.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Classified Documents Administrative Correspondence Files.</u> 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.	Destroy when 2 years old.
3.	<u>Document Receipt Files.</u> Classified documents receipts, relating to the receipt and issue of classified documents.	Destroy when 2 years old.
4.	<u>Destruction Certificates.</u> Classified documents destruction certificates relating to the destruction of classified documents.	Destroy when 2 years old.
5.	<u>Classified Document Inventory Files.</u> 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.	Destroy when 2 years old.

SUPERSEDED
GENERAL RECORDS SCHEDULE 18

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>Top Secret Accounting and Control Files.</u> 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.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. Destroy when related document is downgraded, transferred, or destroyed.
7.	<u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files.	Destroy 2 years after authorization expires.
8.	<u>Classified Document Container Security Files.</u> 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. <u>Facilities Security and Protective Services Records</u> 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.	Destroy when superseded by a new form or list, or upon turn-in of containers.
9.	<u>Security and Protective Services Administrative Correspondence Files</u> 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.	Destroy when 2 years old.

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GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10.	<u>Survey and Inspection Files.</u> (Government-owned facilities) 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 information and facilities against sabotage and unauthorized entry.	Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.
11.	<u>Survey and Inspection Files.</u> (privately owned facilities) Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers.	Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.
12.	<u>Investigative Files.</u> 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.	Destroy when 2 years old.
13.	<u>Property Pass Files.</u> Property pass files, authorizing removal of property or materials.	Destroy 3 months after expiration or revocation.
14.	<u>Guard Assignment Files.</u> Files relating to guard assignments and strength. a. Ledger records.	Destroy 3 years after final entry.

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GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	Destroy when 2 years old.
15.	<u>Police Functions Files.</u> Files relating to exercise of police functions.	
	a. Ledger records of arrest, cars ticketed, and outside police contracts.	Destroy 3 years after final entry.
	b. Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.	Destroy when 2 years old.
	c. Reports on contact of outside police with building occupants.	Destroy when 1 year old.
16.	<u>Personal Property Accountability Files.</u> Files relating to accountability for personal property lost or stolen.	
	a. Ledger files.	Destroy 3 years after final entry.
	b. Reports, loss statements, receipts and other papers relating to lost and found articles.	Destroy when 1 year old.
17.	<u>Key Accountability Files.</u> Files relating to accountability for keys issued.	For areas under maximum security, destroy 3 years after turn-in of key. For other areas, destroy 6 months after turn-in of key.

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GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18.	<u>Visitor Control Records.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	For areas under maximum security, destroy 5 years after final entry or 5 years after date of document, as appropriate, for other areas, destroy 2 years after final entry or 2 years after date of document, as appropriate.
19.	<u>Facilities Checks Files.</u> 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 of agency security offices covered by Item 25 of this schedule). b. Reports of routine 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.	Destroy when 1 year old. Destroy when 1 month old.
20.	<u>Guard Service Control Files.</u> 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.	Destroy when superseded or obsolete. Destroy when 1 year old.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Automatic machine patrol charts and registers of patrol and alarm services.	Destroy when 1 year old.
	d. Arms distribution sheets, charge records, and receipts.	Destroy 3 months after return of arms.
21.	<u>Logs and Registers.</u> Guard logs and registers not covered elsewhere in this schedule.	
	a. Central guard office master logs.	Destroy 2 years after final entry.
	b. Individual guard post logs of occurrences entered in master logs.	Destroy 1 year after final entry.

Personnel Security Clearance Records

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

22.	<u>Security Clearance Administration Correspondence Files.</u> Correspondence files relating to administration and operation of the personnel security clearance program, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
23.	<u>Personnel Security Clearance Case Files.</u> Records 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 736 of the Federal Personnel Manual.	Transfer to Federal Records Center 5 years after date of last action. Destroy 20 years after date of last action.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24.	<u>Personnel Security Clearance Status Files.</u> Records showing 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.	Destroy lists or rosters when superseded or obsolete; destroy case files upon transfer or separation of related individual.
25.	<u>Non-Felonious Security Violation Files.</u> Case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.	Destroy 2 years after completion of final corrective or disciplinary action.
26.	<u>Felonious Security Violation Files.</u> Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies.	Submit SF 115, Request for Records Disposition Authority.

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.	<u>Emergency Planning Administrative Correspondence Files.</u> Correspondence files relating to administration and operation of the emergency planning program, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
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GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
28.	<u>Emergency Planning Case Files.</u> 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.	Submit SF 115, Request for Records Disposition Authority.
29.	<u>Emergency Directives Reference Files.</u> Copies of plans and directives, other than those maintained in case files described in Item 28 above.	Destroy when superseded or obsolete.
30.	<u>Emergency Planning Reports.</u> Agency reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.	Submit SF 115, Request for Records Disposition Authority.
31.	<u>Emergency Operations Tests Files.</u> Papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests by communications and facilities, and retained copies of reports.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 19

Research and Development Records

These are records created by agencies which conduct technical and scientific research and development activities in order to develop new concepts, techniques, equipment, and materials, or modify those 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. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

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 agency personnel and by private commercial or research organizations whose services are contracted for by the agency. When the latter 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 project case files defined under Item 3 of this schedule.

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GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>R&D Program Files.</u> 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.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>R&D Technical Committee and Board Files.</u> Agendas, directives, minutes of meetings, and reports covering general operations of the committee or board, and 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. b. Copies of committee or board files distributed to members.	Submit SF 115, Request for Records Disposition Authority. Destroy when superseded or obsolete or upon termination of membership, whichever is sooner.
3.	<u>R&D Project Case Files.</u> Records 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 addenda; 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;	Submit SF 115, Request for Records Disposition Authority.

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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.

4. R&D Project Lists.

Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by an agency.

Submit SF 115, Request for Records Disposition Authority.

5. R&D 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.

Dispose of when determined by competent agency research personnel that the files have served all research purposes. GRS 20, Machine-Readable Records, provides disposition guidelines.

6. R&D Laboratory Notebooks Files.

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 aid significantly to the project file.

Destroy 6 months after completion or termination of the related project or projects.

b. Other notebooks.

Submit SF 115, Request for Records Disposition Authority.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>R&D Technical Report Files.</u> 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.	Submit SF 115, Request for Records Disposition Authority.
8.	<u>R&D Drawing and Specification Files.</u> An official file copy of each drawing and specification showing final design and technical characteristics of items developed.	See GRS 22, Design and Construction Records for disposition instructions.
9.	<u>R&D General Correspondence Files.</u> Correspondence of general administrative or housekeeping nature (exclusive of papers containing scientific or technical data), maintained by offices other than those referred to in Item 1.	Destroy when 2 years old.
10.	<u>R&D Project Control Files.</u> 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 into project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.	Destroy upon completion or cancellation of project, or earlier, as they serve their purpose.
11.	<u>R&D Summary Progress Reports Files.</u> Reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.	

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| a. | Copies of reports retained by reporting offices. | Destroy 1 year after completion or cancellation of related projects. |
| b. | Feeder reports used for compilation of consolidated reports, except as indicated in <u>ijc</u> below. | Destroy 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. | Submit SF 115, Request for Records Disposition Authority. |

12. R&D Investigative Files.

Records pertaining to exploration of the feasibility of unsolicited proposal for projects received from individuals.

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| a. | Proposals resulting in authorized projects. | Same as for Item 3. |
| b. | Rejected proposals. | Destroy 5 years after completion of investigation. |

13. R&D Procurement Files.

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.
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SUPERSEDED

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GENERAL RECORDS SCHEDULE 19

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14.

R&D Technical Reference Files.

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.

Destroy when superseded or obsolete.

SUPERSEDED

GENERAL RECORDS SCHEDULE 20

Machine-Readable Records

This schedule covers machine-readable records and the related documentation required to service them. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which make them easy to modify and update. This contributes to the mistaken notion that such records are ephemeral or non-record material, especially as opposed to their hard copy informational equivalents. Federal statutes and regulations define Federal records as the products of government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms including computer output microform (COM), various factors bear on the decision of which medium should be retained for archival purposes. Among these are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which most hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

Data on media other than computer magnetic tape (such as punch cards, paper tape, disc packs, or drums) may be scheduled by this schedule, but in most cases must be converted to magnetic tape before transfer to NARS.

Machine-readable records differ from records on other media in four important ways:

- 1) The machine-readable media on which they are most often recorded are erasable and reusable, thus creating a cost effectiveness factor in their management which is not present with more permanent media;
- 2) The magnetic media on which most machine-readable records are recorded are not designed to be permanent storage media for records. Thus the fragility of most information in machine-readable form makes it mandatory that such records be brought under control as early as possible in their life cycle. Ideally this control should be exercised at the time a system is created, even before it has generated records. If this is done, disposition standards can be written on the medium as an integral part of the internal file label. Such timely scheduling leads to identification of files of archival value and can ensure that they are stored under optimum conditions as soon as the agency no longer needs them;

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- 3) Due to the ease with which machine-readable records may be updated or revised and the media reused, their life cycle is briefer and more complex than that of other records. While the master file stage is most often the form in which machine-readable records should be subject to archival appraisal, sometimes other versions should be retained because their informational content is more complete than related master files or especially relevant to agency policy, decisions, or special reports;
- 4) Because machine-readable records must be subjected to both mechanical and electronic processing and decoding to be converted to human-readable information, the records revealing such processes (documentation) must be scheduled with the machine-readable records.

The qualities which separate machine-readable records from those on other media also make it difficult to produce a subject-oriented general schedule for machine-readable records which is analogous to the other general schedules. Thus this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are common to most ADP systems. They are divided into three classes:

Documentation (Part I) covers those records required for servicing machine-readable records -- for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. As might be expected, the disposition of documentation is linked to the disposition of the related machine-readable files.

Processing files (Part II) are those machine-readable files, aside from master files, which comprise the life cycle of most computerized records. Processing files -- from work files and raw data input files to publication files and security backup files -- are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they generally do not qualify for long term retention. Those for which disposal is not authorized are so treated because they may contain more complete information than the related master file or be especially relevant to agency policy, decisions, or special reports -- adequate reasons for initiating archival appraisal. The proper scheduling of processing files can increase the availability of space on machine-readable media and reduce agency expenditures for stocks of magnetic media.

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GENERAL RECORDS SCHEDULE 20

Master files (Part III) constitute the definitive state of a data file in a system at a given time. Such files are categorized herein only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

"Data automation planning and operational records," which are included in a previous version of this general records schedule, are not included here. They are textual records and relate to an agency's planning, procurement, and operational processes. Thus they may be scheduled by reference to other appropriate general records schedules.

It should be emphasized that machine-readable records which do not fit categories listed in this schedule are not thus automatically authorized for disposal. Disposition of such records should be authorized by submission to the National Archives and Records Service of a completed SF 115, Request for Records Disposition Authority.

The decision table format, rather than the columnar format, is used herein for two reasons: 1) it reduces requirements for explanatory footnotes, and 2) assists the user in conceptualizing the many categories and subcategories of records involved.

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
1	Data systems specifications	documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives	for a disapproved proposed system	dispose of one year after final action.
2			for an approved system for which all related magnetic data files are authorized for disposal	dispose of one year after discontinuance of the system.
3			for an approved system for which any related magnetic data file is not authorized for disposal	retain with related data file.
4	System tests documentation	descriptive material including test plans and test analysis reports	for an approved systems	dispose of one year after completion of testing.
5			for a disapproved proposed system	dispose of when no longer needed.

PART I - DOCUMENTATION

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
6 7	File specifica- tions	definitions of the logical and physical characteristics of each record, element or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross reference code manual; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume	for a system for which all related magnetic data files are authorized for disposal	dispose of with related data file.
			for a system for which any related magnetic data file is not authorized for disposal	retain with related data file.
8	User guides	information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	handbooks, guides to data availability, and procedures for querying files	retain with data systems specifications.
9	Output specifications	detailed descriptions of products of the system that are to be used outside the computer center	listings of each type of output by title and tag, format specifications, selection criteria, volume and frequency, media, graphic displays and	retain with related data file.

PART I - DOCUMENTATION

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
			symbols, security and privacy conditions and disposition of output	
	10 Reports	printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related data	retain one copy with related file specifications.
3 and 4	11 Information retrieval routine		general purpose programs	dispose of when no longer needed
			special purpose programs for data files for which disposal is authorized	dispose of with related data file.
			special purpose programs for data files for which disposal is not authorized	retain with related data file.

PART I DOCUMENTATION

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
1	Work	temporary machine-readable media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges	new media, or media not included in a library control system, or files whose retention dates have expired	available for immediate use or reuse.
2	Test data	machine-readable media used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing	dispose of when no longer needed.
3	Initial data	machine-readable media containing data abstracted from source documents or other media and entered into the system for the first time per update cycle	used for updating and required to support reconstruction of master file	dispose of after third cycle. 1
4			not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment	dispose of after raw data is satisfactorily processed into final or reduced data.
5			officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document	dispose of in accordance with instructions applicable to the

PART II PROCESSING FILES

SUPERSEDED

SUPERSEDED

	File/function designation	Consisting of	Which are	Then
5				hard copy or other files documenting the same process, transaction, or case.
6			not used as input to a master file or processed into analyzed or reduced data and not required to reconstruct a master file	Submit SF 115, Request for Records Disposition Authority.
7		machine-readable media files created by another agency	not a record of the receiving agency 2	dispose of as reference material.
8		punched cards or paper tape created after January 1, 1970, containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment	electric accounting machine output	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same

PART II PROCESSING FILES

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SUPERSEDED

SUPERSEDED

	File/function designation	Consisting of	Which are	Then
8			ss	process, transaction, or case.
9			retained by ADP operational elements as back-up to magnetic media	dispose of when no longer needed
10			converted to magnetic media	dispose of after verification of data on related magnetic media.
11		punched cards that contain original entry data with film or written inserts	source documents	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.

PART II PROCESSING FILES

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SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
12	Intermediate data input/output	machine-readable media containing output within or from one run to a subsequent run that manipulates, sorts, and/or moves data through the system; includes checkpoint, edit, correction, reject list, unmatched data eliminating error, rerun files, etc.	used in an updated system	dispose of after subsequent data files that contain detail data have been created and proven satisfactory.
13			used in a one-time study or survey	dispose of after master data file has been proven satisfactory.
14	Valid transaction	machine-readable media containing items used with an input master file for creation of an output master file	updates of items liquidated from current status files	dispose of after third update cycle. 1
15			valid transaction after cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis	dispose of after third update cycle. 1

PART II PROCESSING FILES

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SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
16			used in additional analysis	Submit SF 115, Request for Records Disposition Authority.
17	Information retrieval system master reference	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file	a cumulative index to scientific and technical publications, and bibliographic and other non-record material	dispose of after third update cycle. 1
18			an index to record material such as correspondence legal hearings, patents, and trademarks, and record copy of publications	Submit SF 115, Request for Records Disposition Authority
19			an "audit trail" of a file not disposable under this schedule	dispose of as provided for related master data file.

PART II PROCESSING FILES

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	File function/ designation	Consisting of	Which are	Then
20	Publication	machine-readable media containing source output data extracted from the system (without destroying the source file)	reproduced and disseminated as a publication or used for producing a printed publication	(a) Offer to National Archives for possible retention when active agency use ceases; (b) if the offer is not accepted, the records may be destroyed immediately.
21	Print		used for producing required printouts of tabulations, ledger, tables registers, and reports	(a) Offer to National Archives for possible retention when active agency use ceases; (b) if the offer is not accepted, the records may be destroyed immediately.

PART II PROCESSING FILES

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SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
22	Security backup	machine-readable media that is identical in format to master file and retained as security in case master file is damaged or inadvertently erased	updated	dispose of third update cycle. 1
23			a one-time study or survey	dispose of as provided for related master file.

11 and 12

PART II PROCESSING FILES

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
1	Housekeeping system master file	machine-readable media contain- ing data for such "housekeeping systems" as fiscal accountabil- ity, supply management, and payroll administration	not required for GAO site audit	dispose of in accord- ance with instruct- ions appli- cable to the hard copy or other files documenting the same process, trans- action or case.
2			required for GAO site audit	dispose of in accord- ance with guidelines provided by GAO.
3	Federal loan and grant program master file	machine-readable media contain- ing data created by the merg- ing of prior master file with valid transaction data to create a new master file (initial data includes excerptst from forms placed in case files)	cumulative data of funds made available through federally supported loan and grant programs	dispose of after third update cycle. 1
4			noncumulative periodic files of status of federal loan and grant activity	Submit SF 115, Request

PART III MASTER FILES

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
4				for Records Disposition Authority.
5	Statistical master file	machine-readable media contain- ing data created by the merg- ing of prior master file with valid transaction data to create a new master file	observations such as data used to generate economic indicators, social indicators, and data on characteristics use, and ownership of natural resources	Submit SF 115 Request for Records Disposition Authority.
6			used to prepare reports cover- ing a limited period of time; recurring periodic surveys and censuses	Submit SF 115 Request for Records Disposition Authority.
7	Scientific master file	machine-readable media contain- ing data created either from analog tape or recorded on magnetic digital media for scientific measurements	held in national data centers	Submit SF 115 Request for Records Disposition Authority.
8			not duplicated in national data centers	Submit SF 115 Request for Records Disposition Authority.
9			duplicated in national data centers	dispose of after deter- mination is

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PART III MASTER FILES

SUPERSEDED

SUPERSEDED

15

	File function/ designation	Consisting of	Which are s	Then
9				made that data is not required outside the data centers.
10			not calibrated or validated	dispose of after subsequent magnetic media containing the accepted data have been created and proven satisfactory.
11	Summary file	machine-readable media containing aggregates of individual observations from valid transaction or master data files	substantially unpublished, or contain data in greater detail than published versions	Submit SF 115, Request for Records Disposition Authority.
12	Re-formatted file	machine-readable media containing essentially duplicate data from the master data file but which is created for use with other computer hardware	created for the specific purpose of information interchange	dispose of as provided for related master data file.

PART III MASTER FILES

SUPERSEDED

SUPERSEDED

	File function/ designation	Consisting of	Which are	Then
13			of specific application for agency computer hardware systems	dispose of when determination is made that such format is unnecessary.
14	Samples, subsamples, and special studies	machine-readable media containing data selected from a larger census or survey file	disclosure free or useful in statistical analysis or policy formulation models and simulation studies	Submit SF 115, Request for Records Disposition Authority.

PART III MASTER FILES

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 20

Explanatory Notes

1. "Dispose of after third update cycle" indicates that first generation data may be disposed of after the fourth successful update.
2. Records received from another agency become the records of the receiving agency under either of two conditions:
 - a) when the data is merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; and
 - b) when the data is provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.

SUPERSEDED

SUPERSEDED

FPMR 101-11.4
January 18, 1977

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records that have been created by or for agencies of the Federal Government and those acquired by Federal agencies in the course of business. Audiovisual records created prior to January 1, 1946, must be offered to the National Archives and Records Service before applying disposition instructions set forth in this schedule.

Audiovisual records include still pictures, motion pictures, sound recordings, video recordings, and related documentation used for or necessary to the proper identification and retrieval, or bearing on the origin, acquisition, use, and ownership of these records.

Audiovisual records that may have continuing legal, administrative, and research value are of two kinds: (1) those created, acquired, used, or distributed by Federal agencies for informational purposes and (2) those generated in conjunction with the transaction of agency business or resulting from agency program responsibilities which constitute evidence of the organization, functions, policy development, decisions, procedures, operations, or other activities of the Federal Government. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

The General Records Schedule for Audiovisual Records is broad in scope and meant to complement approved agency record schedules and the other General Records Schedules. If an item in this schedule is at variance or is inconsistent with an approved agency record schedule, such discrepancies should be brought to the attention of the National Archives and Records Service (NARS). In such cases, disposition should be made in accordance with specific instructions provided by the National Archives and Records Service.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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1.	<u>Still Pictures Files.</u> Still photographs, slide sets, film-strips, posters, original artwork, and other pictorial records that:	
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SUPERSEDED

SUPERSEDED
GENERAL RECORDS SCHEDULE 21

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.
- (1) Still photographs
- (a) Black and white photography - the original negative and a captioned print.
- (b) Color photography - the original color transparency or color negative, a captioned print, and an inter-negative if one is available.
- (2) Other still pictorial records - the original and a reference print of each.
- b. Are included as part of a project file, case file, report, or a similar type of record.
- c. Are not permanent records as described under item 1a of this schedule.
- d. Are faulty or technically poor photography.
- Permanent. Break file every 5 years. Offer to National Archives and Records Service (NARS) when no longer needed for administrative use or when 10 years old.
- Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
- Destroy when no longer needed for administrative use in accordance with FPMR 101-42.303-1.
- Destroy immediately in accordance with FPMR 101-42.303-1.

SUPERSEDED

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Motion Pictures Files.</u> Motion picture films including negatives, masters, and prints of productions and unedited outtakes and trims that: a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old.
	(1) Agency sponsored films intended for distribution - the original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print.	
	(2) Films produced by or for an agency that is intended for internal staff use - the original negative or color original plus sound and a projection print.	
	(3) Films acquired by an agency - two projection prints.	
	(4) Unedited outtakes and trims, the discards of film productions, which have been appropriately arranged, labeled, and described - the original negative or color original and a work print.	
	(5) Films resulting from a visual or electronic transfer of video recordings.	

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Are included as part of a project file, case file, report or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
	c. Are not permanent records as described under item 2a of this schedule.	Destroy when no longer needed for administrative use in accordance with FPMR 101-42.303-1.
	d. Are faulty or technically poor photography.	Destroy immediately in accordance with FPMR 101-42.303-1.
3.	<u>Sound Recordings Files.</u> Sound recordings on tapes or discs that:	
	a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old.
	(1) Conventional mass-produced, multiple copy disc recordings - the master tape, matrix or stamper, and one disc pressing.	
	(2) Magnetic audio tape recordings (reel-to-reel, cassette, or cartridge) - the original tape or the earliest generation of each recording and a "dubbing" if one exists.	

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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|---|---|
| b. Are included as part of a project file, case file, report or a similar type of record. | Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. |
| c. Are not permanent records as described under item 3a of this schedule. | Dispose of when no longer needed for administrative use. |
| d. Are faulty or technically poor recordings. | Dispose of immediately. |

4. Video Recordings Files.

Video recordings that:

- | | |
|---|---|
| a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. Included are the original or earliest generation of the recording. | Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old. |
| b. Are included as part of a project file, case file, report or a similar type of record. | Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. |
| c. Have been transferred by visual or electronic processes to motion picture film. | Dispose of after verifying the adequacy of the film copy. |
| d. Are not permanent records as described under item 4a of this schedule. | Dispose of when no longer needed for administrative use. |

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	e. Are faulty or technically poor recordings.	Dispose of immediately.
5.	<u>Audiovisual Documentation files.</u> Finding aids and documentation files relating to audiovisual records, including:	
	a. Finding aids consisting of any of the following: shelf lists, visual aid cards, data sheets, shot lists, continuities, review sheets, indexes, caption lists, catalogs, or other documentation in a textual, microform, or machine-readable form that is necessary or helpful for the proper identification, retrieval, and use of the audiovisual records described in GRS 21, Items 1, 2, 3 and 4.	Dispose of in accordance with instructions covering the related audiovisual records.
	b. Production files or similar files which include production contracts, scripts, transcripts, and other documentation bearing on the origin, acquisition, release, and ownership of the production.	Dispose of in accordance with instructions covering the related audiovisual records.

Explanatory Notes

Item 1a(1)

Included are photographs of significant agency activities, personalities, procedures, programmatic responsibilities and developments which are made available to the public and those which are made and utilized in the course of agency business but which are intended for internal staff use and not normally available to the public.

Item 1a(2)

Included are records that explain, instruct, advertise, or illustrate agency programs and functions. A representative sampling of these records should be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to the items to be selected as permanent records should be based upon the significance of their content and the uniqueness and quality of its presentation. Disposition of audio recordings that relate to filmstrips or slide sets should be in accord with instructions governing the associated filmstrip or slide set.

Item 1c

Included are still photographs that have limited administrative use or interest such as photographs whose subject matter is transitory in nature or is of purely local interest. Such photographs might depict athletic events, social gatherings, or other activities not directly related to agency operations or responsibilities. Included also are photographs of low-level administrative staff functions and ceremonial activities showing award presentations and commendations.

Item 2a

Included are edited motion picture productions as well as unedited footage (outtakes and trims) that depict significant agency activities, personalities, procedures, programmatic responsibilities and developments. This item includes motion films made for distribution and intended to inform, teach, or entertain, and films made and utilized in the course of agency business for internal staff use and not necessarily available to the public. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement, or they are of such a general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for an agency is not a permanent record. A representative sampling of TV spots needs to be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of its presentation. Those spots not selected as permanent records by an agency are disposable in accordance with the disposition instructions for item 2c.

Item 2c

Included are motion picture productions as well as unedited footage (outtakes and trims) that have limited administrative use or interest such as motion picture films whose subject matter is transitory in nature or is of purely local interest. Such motion picture films might depict athletic events, social gatherings, or other activities not directly related to agency operations for responsibilities. Included also is motion picture footage of low level administrative staff functions and ceremonial activities showing award presentations and commendations. This item also includes motion pictures that present standard, well-known, widely available technical instruction or managerial training programs which were acquired from Government agencies having established Government-wide training functions and responsibilities such as the Civil Service Commission or the armed services.

Item 3a

Included are completed audio productions which are distributed on discs and intended to inform, teach, or entertain. Also included are "radio spot masters" of radio announcements which describe and explain significant agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement. In such cases only a sampling of representative radio spots pertaining to a specific agency activity or program need be considered permanent records. This item also includes sound recordings of significant speeches, conferences, committee meetings, and other recordings which may be made in the course of business but which are intended for internal staff use and not normally made available to the public. Those not selected as permanent records should be disposed of in accordance with the disposition instructions for item 3c.

Item 3c

Included are sound recordings which have limited administrative use or interest such as recordings which were produced for and utilized in some other audiovisual production such as a motion picture or a slide show. Sound recordings whose subject matter is transitory or of a local interest nature are also included.

Item 4a

Included are video recordings which are distributed and intended to inform, teach, or entertain as well as video recordings of significant programmatic events, procedures, conferences, meetings, operations, and techniques, and other recordings made in the course of business but which are intended for internal staff use and not normally available to the public. This item also includes television advertisements and announcements, commonly referred

to as "TV spots," which describe, explain, or promote agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement or they are of such general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for an agency should not be considered a permanent record. A representative sampling of TV spots needs to be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and quality of their presentation. Those spots not selected as permanent records by an agency are disposable in accordance with the disposition instructions for item 4d. Agency originated video recordings and recordings acquired by an agency from non-Government sources that contain unique training and instruction material are included if such recordings provide documentation of or for agency programs and show their relationship to and impact on the public or present an historical account of some aspect of the agency's development.

Item 4c

Instructions governing the disposition of motion picture films that contain material that was originally in a video recording format will be found in item 2 of this schedule.

Item 4d

Included are video recordings which are purely transitory in nature and those which depict routine activities and functions having only marginal importance. Video recordings that present standard, well known, widely available technical instruction or managerial training programs which were acquired from Government agencies having established Government-wide functions or responsibilities such as the Civil Service Commission or the armed services, are included.

SUPERSEDED

FPMR 101-11.4
May 19, 1977

GENERAL RECORDS SCHEDULE 22

Design and Construction Drawings and Related Records

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by agencies of the Federal government in connection with their official activities. Drawings refer to those graphic and engineering records that depict conceptual as well as precise measured information essential for the planning and construction of static structures such as buildings, bridges, canals, and other public works projects, as well as miscellaneous engineering projects such as machinery, weapons, and equipment. Related records are comprised chiefly of indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness to the agency after specific periods of time. Generally speaking, drawings pertaining to the design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used during the construction process have a continuing value during the life of the structure, especially for repair and maintenance projects. The original construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained or owned by the Federal government.

After the design and construction files are no longer useful to the agency, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection *must* take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by agency personnel with appropriate historical training, subject to the approval of NARS. However, any records created prior to January 1, 1921, must be offered to NARS before applying the disposition instructions in this schedule.

This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects.

SUPERSEDED

Those records which pertain to the design process generally consist of:

Preliminary Drawings. Drawings and sketches that are conceptual in nature. These drawings, which are usually freehand studies that show the basic design of the structure, include the arrangement of rooms, general appearance of elevations and floor plans as well as other details under consideration.

Presentation Drawings. Pictorial and unmeasured drawings prepared by the architect to present his ideas. They include color renderings or perspective views of the outside elevations, as well as general floor plans.

Models. Three dimensional, reduced-scale models which are prepared for illustrative or presentation purposes.

The records which pertain to the construction process usually consist of:

Intermediate and Prefinal Drawings. Intermediate stages of drawings which are created and reviewed in preparation of the final working drawings.

Final Working Drawings. Architectural and engineering drawings which consist of the master tracings and acceptable reproducibles. These drawings provide information about various aspects of the construction of the building including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, and air-conditioning details, as well as site and landscaping plans. This is probably the most important class of records since they provide not only detailed instructions for the erection of the building but also present a comprehensive and detailed picture of its design.

"As Built" Drawings. Annotated copies of final working drawings or additional drawings which show changes in the initial construction from the original design.

Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be assembled in their shops. These drawings which include plans for architectural embellishments and interior design such as tile and marble work, special cabinet work, elevators, or heating systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future repair and preservation projects.

Repair and Alteration Drawings. Original drawings which depict repairs and alterations to the building as it was originally constructed.

SUPERSEDED

GENERAL RECORDS SCHEDULE 22

Contract Drawings. Copies of the original working drawings on which contract negotiations are based.

Standard Drawings. Final drawings for standard details and other documents created in their preparation.

Project Specifications. Guides for individual construction projects which outline material requirements and explain the materials and manufactured items depicted on related drawings.

Space Assignment Plan. Drawings which depict outline floor plans used for space assignments.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Federal Structures Design Files.</u> Preliminary and presentation drawings and models of Federal structures and engineering projects. a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria). (1) Drawings. (2) Models. b. Files not included under Item 1a of this schedule.	 Permanent. Offer to NARS within 5 years after completion of project. Submit SF 115, Request for Records Disposition Authority. Dispose of when no longer needed for administrative purposes.
2.	<u>Federal Structures Construction Files.</u> Intermediate and prefinal, final working, "as built", shop, repair and alteration, contract, and standard drawings; project specifications, with documents relating to their preparation; and space assignment plans of Federal structures and engineering projects.	

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).
- (1) Final Working Drawings.
- (2) "As Built" Drawings.
- (3) Shop Drawings.
- (4) Repair and Alteration Drawings.
- (5) Standard Drawings.
- (6) Specifications and related records.
- b. Files not included under Item 2a of this schedule.
- Permanent. Offer to NARS when file is inactive (see introduction to this schedule).
- Dispose of when no longer needed for administrative purposes.

3. Other Architectural and Engineering Drawings.

Original manuscript and duplicate drawings submitted to Federal agencies by private firms or other Federal agencies to meet Federal minimum standards.

- a. Drawings interfiled with related case files.
- Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
- b. Drawings filed separately from related case files.
- Submit SF 115, Request for Records Disposition Authority.

4. Measured Drawings.

Drawings produced by such agencies as the Historic American Buildings Survey and Historic American Engineering Record.

Permanent. Offer to NARS when administrative use ceases unless another depository is specified by law.

SUPERSEDED

GENERAL RECORDS SCHEDULE 22

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| 5. | <u>Finding Aids.</u>

Indexes and other finding aids to design and construction files. | Dispose of in accordance with instructions covering the related design and construction records. |
| 6. | <u>Microform Files.</u>

Microform copies of design and construction files. | Submit SF 115, Request for Records Disposition Authority. |

EXPLANATORY NOTES

Items 1a and 2a.

Criteria for the selection of architecturally, historically, and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to those buildings which are essentially original in design. Although it may incorporate standard features, a uniquely designed building is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. In cases where buildings use a standard or repetitive design, it is not necessary to retain permanently a file for each building. However, a file should be retained for the building most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings which include architectural or engineering innovations.

SUPERSEDED

GENERAL RECORDS SCHEDULE 22

Historical Significance

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies (post office, customs houses court houses, forts, hospitals).

National Events or Personalities. Buildings which are associated with events or persons who represent the broad history of the country.

Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings.

Controversial. Buildings which were involved in controversy in regards to their design, construction, or utilization.

Technological Significance

This category includes files for such objects as ships, airplanes, spacecraft, weapons, machinery, equipment, and furniture. Since this is a broad category which covers many different types of technical structures, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive plans for projects such as river and harbor improvements, landscape plans, plans of systems related to a complex of buildings like military or educational institutions, or master plans for urban or regional parks, are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see General Records Schedule 17), while individual structures within the system can be evaluated on the basis of this schedule.

SUPERSEDED

GENERAL RECORDS SCHEDULE 22

Item 2a(3)

"As Built" drawings that are the same as or very similar to the final working drawing should not be retained permanently and are included for disposal under Item 2b.

Item 6

The National Archives and Records Service generally does not recognize microfilm as an adequate substitute for design and construction drawings unless film, processing, and storage meet the standards as prescribed in FPMR 101-11.5, and unless the microimage meets certain minimum standards developed by NARS for legibility and mathematical accuracy. Only under these conditions and with the approval of NARS may original drawings or specifications be disposed of. However, microfilm should not be substituted for color renderings or drawings, or for final working drawings of buildings with major historical or architectural significance, such as those listed (or potentially listed) by the National Register of Historic Places and similar organizations. In this case microfilm should be used for reference purposes, but it should not be considered the permanent record copy. Microfilm is advised for those files which are extensive and repetitive, and for those buildings of lesser importance, particularly those with similar or repetitive designs or those which are not likely to be renowned historically or architecturally.

SUPERSEDED

GENERAL RECORDS SCHEDULES

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GENERAL RECORDS SCHEDULES Forms Index

The following is a numerical list of the most commonly used Standard and Optional Forms. Under the GRS citation column, the Schedule number is followed by the item number in parentheses.

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1014A	General Ledger	7(2)
1014M	Disbursing Office Ledger	7(2)
1015	Allotment Ledger	7(3)
1016	Distribution Ledger	7(4)
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1034	Public Voucher for Purchases and Services Other Than Personal	6(1)
1034A	Public Voucher for Purchases and Services Other Than Personal	6(1)
1035	Public Voucher for Purchases and Service Other than Personal	6(1)
1035A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6(1)
1036	Statement and Certificate of Award	6(1); 3(4)
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1047	Public Voucher for Refunds	6(1)
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1049	Public Voucher for Refunds	6(1)
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1069	Voucher for Allowances at Foreign Posts of Duty	6(1)
1069A	Voucher for Allowances at Foreign Posts of Duty - Memo	6(1)
1072A	Payroll for Personal Services	2(13)
1074A	Payroll for Personal Services-- Miscellaneous	2(13)
1074C	Payroll for Personal Services-- Miscellaneous	2(13)
1074E	Payroll Certification and Summary-Memorandum	2(13)
1075	Pay Receipt for Cash Payment	2(13)
1080	Voucher for Transfer Between Appropriations and/or Funds	6(1)
1081	Voucher and Schedule for Withdrawals and Credits	6(1)

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1097	Voucher and Schedule to Effect Correction of Errors	6(1)
1098	Schedule of Canceled Checks	6(1)
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1101	Miscellaneous Obligation Record	7(3)
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1104	U.S. Government Bill of Lading - Shipping Order	9(1)
1105	U. S. Government Freight Waybill - Original	9(1)
1109A	U.S. Government Bill of Lading - Continuation Sheet (Memo)	9(1)
1111	U.S. Government Freight Waybill - Original (Continuation Sheet)	9(1)
1113	Public Voucher for Transportation Charges	6(1)
1113A	Public Voucher for Transportation Charges (Memorandum)	6(1); 9(1, 3)
1114	Bill for Collection	6(1)
1114A	Official Receipt	6(1)
1114B	Collection Voucher	6(1); 4(6)
1120	Transportation Request Accountability Record	9(5)
1121	Bill of Lading Accountability Record	9(5)
1125A	Payroll Control Register	2(14)
1126	Payroll Change Slip	1(1); 2(15)
1127	Individual Pay Card	2(1)
1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2(13)
1129	Reimbursement Voucher	6(1)
1129A	Reimbursement Voucher (Memorandum)	6(1)
1130	Time and Attendance Report	2(3, 9)
1130A	Time and Attendance Report (For Use Abroad)	2(3, 9)
1131A	U.S. Government Transit Bill of Lading Memorandum Copy	9(1)
1132	U.S. Government Transit Bill of Lading Shipping Order	9(1)
1133	U.S. Government Transit Freight Waybill Original	9(1)
1135	Time and Attendance Report	2(3)
1136	Time and Attendance Report	2(3)
1137	Leave Record	2(9)
1143	Advertising Order	6(1)
1145	Voucher for Payment Under Federal Tort Claims Act	6(1)

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1147	Request for Issuance of Replacement Check Due to Error in Name and/or Designation of Payee	6(6)
1149	Statement of Designated Depository Account	6(5)
1150	Record of Leave Data	2(10)
1151	Nonexpenditure Transfer Authorization	6(1)
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1(1)
1153	Claim for Unpaid Compensation of Deceased Civilian Employee	6(1)
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	6(1)
1154A	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee - Memo	6(1)
1156	Public Voucher for Fees and Mileage of Witnesses	6(1)
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	6(1); 9(4)
1157A	Claim for Fees and Mileage of Witness Memorandum	9(4)
1164	Claim for Reimbursement for Expenditures on Official Business	9(4)
1165	Receipt for Cash - Subvoucher	6(1)
1166	Voucher and Schedule of Payments	6(1)
1166A	Voucher and Schedule of Payments - Memo	6(1)
1167	Voucher and Schedule of Payments (Continuation Sheet)	6(1)
1167A	Voucher and Schedule of Payments - Memo (Continuation Sheet)	6(1)
1169	Transportation Request	9(3)
1170	Redemption of Unused Tickets	9(3)
1172	Certificate in Lieu of Lost U.S.A. Transportation Request	9(3)
1177	U.S. Savings Bond Issue File Action Request	2(6)
1180	Request for Stop Payment	2(13, 23)
1180A	Request for Stop Payment	2(13, 23)
1180B, C	Advice of Request for Stop Payment	2(13, 23)
1180D	Record of Request for Stop Payment and Request to Remove Stop Payment	2(13, 23)
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1181	Request for Removal of Stop Payment	2(13, 23)
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1183	Subscriber List for Issuance of U.S. Savings Bonds	2(5)
1184	Unavailable Check Cancellation	2(13)
a-g 1185	Schedule of Undeliverable Checks for Credit to Government Accounts	6(1)
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1187	Request and Authorization for Voluntary Allotment of Compensation for Payment of Labor Organization Dues	2(4)
1188	Revocation of Voluntary Authorization for Allotment of Compensation for Payment of Labor Organization Dues	2(4)
1189	Request for Employee for Payment of Salaries or Wages by Credit to Account at a Financial Organization	2(4)
1192	U.S. Savings Bonds Authorization	2(4)
1198	Request by Employee for Allotment of Pay for Credit to Savings Account with a Financial Organization	2(4)
1218	Statement of Accountability (Account Current) U.S. Dollar Account	6(1)
1219	Statement of Accountability	6(1)
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts	6(1, 5)
1221	Statement of Transactions According to Appropriation, Funds and Receipt Accounts (Foreign Service Account)	6(1, 5)
2800	Application for Death Benefits - Civil Service Retirement System	1(1)
2801	Application for Retirement - Civil Service Retirement System	1(1)
2801-1	Information in Support of Civil Service Retirement Application	1(1)
2801A	Superior Officer's Statement in Connection with Disability Retirement	1(1)
2801B	Physician's Retirement Purposes	1(1)
2801C	Transmittal of Medical and Related Documents for Employee Disability Retirement	1(1)
2801D	Request for Medical Records (To Hospital or Institution) in Connection with Disability Retirement	1(1)

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2803	Application To Make Deposit or Redeposit Civil Service Retirement System	1(1)
2804	Application to Make Voluntary Contributions - Civil Service Retirement System	1(1)
2805	Request for Recovery of Debt Due the United States (Civil Service Retirement System)	2(23)
2807	Register of Separations and Transfers - Civil Service Retirement System	2(21)
2807-1	Register of Adjustments - Civil Service Retirement System	2(21)
2807-2	Annual Summary Retirement Fund Transactions	2(21)
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2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1(1)
2810	Notice of Change in Health Benefits Enrollment	1(1)
2811	Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program	2(17)
2812	Report of Withholdings and Contributions, Health Benefits, Group Life Insurance, and Civil Service Retirement	2(17)
2812A	Report of Withholding and Contributions (Continuation)	2(17)

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160	Request for Records (Freedom of Informa- tion Act)	14(16)
170	Request, Authorization, Agreement and Certification of Training	1(30)
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