

# Request for Records Disposition Authority

(See Instructions on reverse)

## Leave Blank (NARA Use Only)

To: National Archives and Records Administration (NIR)  
Washington, DC 20408

Job Number  
**NI-525-13-1**

1. From: (Agency or establishment)  
**National Reconnaissance Office**

Date Received  
**6-21-13**

2. Major Subdivision  
**(b)(3)**

### Notification to Agency

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

3. Minor Subdivision

4. Name of Person with whom to confer  
**(b)(3)**

5. Telephone (include area code)  
**(b)(3)**

Date  
**5 June 2013**

Archivist of the United States  
*[Signature]*

### 6. Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:

is not required  is attached  has been requested

Signature of Agency Representative  
**(b)(3)**

**(b)(3)**

Title

**(b)(3)**

Date (mm/dd/yyyy)

**05/29/2013**

7. Item Number

8. Description of Item and Proposed Disposition

9. GRS or Superseded Job Citation

10. Action taken (NARA Use Only)

This schedule is intended to apply to records for NRO, NSA, and NGA at the **(b)(3)** **(b)(3)** only, and will supersede National Reconnaissance Office (NRO), National Security Agency (NSA), and National Geospatial-Intelligence Agency (NGA) schedules at **(b)(3)** as specified in the attached crosswalk.

In addition to the NRO, agencies requesting disposition authority include NSA and NGA, additional signatures:

**(b)(3)**  
Dr. David Sherman, **(b)(3)**  
Senior Records Officer  
National Security Agency  
Chief, Central Security Service

**(b)(3)**  
National Geospatial-Intelligence Agency

See attached schedule and crosswalk.

The items in this schedule apply to records regardless of medium. Information covered by permanent items may be converted to microform or to electronic format, including optical disk, without further NARA approval. Permanent microform records will be created and maintained in accordance with the standards for archival film contained in the Code of Federal Regulations. Permanent records maintained in an electronic format (whether imaged or other records material) will be created and maintained in accordance with the standards for electronic records contained in the Code of Federal Regulations and will be transferred to the National Archives in a format that meets the standards for archival records in effect at the time of transfer.

Unless otherwise specified, the transfer instructions for permanent series apply only to paper or hard copy files. When NRO establishes an electronic recordkeeping system, NARA and NRO will develop appropriate transfer instructions to cover the electronic records.

See attached for description of records that pertain to overall program management, policy, and office administrative records.

Multi Agency Records Schedule

Budget, Finance, Contracts, and Procurement (M400) Crosswalk to NRO, NSA, and NGA schedules

Item Number	Description	Authorized Disposition	Source Document		
			NRO	NGA	NSA
M400-01	<b>BUDGET FILES</b>				
M400-01-A	BUDGET ESTIMATES AND JUSTIFICATION (Site level) - Correspondences and subject files pertaining to policies and procedures governing budget formulation and administration as well as budgetary aspects of site level programs and operations. Records reflecting Congressional Budget Justification files, Five year Defense Program files, budget estimates, justifications, and execution by fiscal year and by appropriation. Included are budget estimates, minutes of budget estimates, copies of appropriate language sheets, narrative statements, related data in support of Directorate activities, approvals, Office of Secretary of Defense mark ups (subject/issues).	TEMPORARY - Destroy when 10 years old. Early disposition is authorized if superseded, obsolete, or no longer needed.	301-2-a-2 301-2-b-2 N1-525-12-2	301-03-b-1301-04-c-1 301-08-a 301-09-a (N1-537-00-03)	310-01-b 310-03-b 310-07 N1-457-07-001
M400-01-B	BUDGET REPORTS AND BACKGROUND RECORDS - Budget Reports and Background Records." The description should be revised to "Files contains program and budget information used for planning annual corporate reviews for the Director and periodic reports on the status of appropriation accounts and appropriation. This includes manpower budget formulation files, personnel/manpower statistical budget reports. Included also are budget background records, budget apportionment files, summaries and descriptive data sheets, other data submitted by components for review and consolidation, program change requests, subject issues, manpower memorandums, minute of meetings of review committees, coordinating actions approvals, summary tables and related program documents, justification and review papers, force lists, shopping lists for materiel items, and related papers.	TEMPORARY - Destroy when 5 years old.	302-1-a 302-1-b N1-525-12-2	301-01-a 301-01-b (N1-537-00-03)	310-06 (GRS 5-2)

Item Number	Description	Authorized Disposition	Source Document		
			NRO	NGA	NSA
<del>M400-01-C</del>	<del>BUDGET CORRESPONDENCE FILES- Correspondence files in formally organized budget office's pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.</del>	<del>TEMPORARY - Destroy when 2 years (GRS 5-1)</del>			
<del>M400-01-D</del>	<del>INPUT TO AUDIT RESPONSE- Responses to all GAO and DAS reports of audit on Agency fiscal and operational management activities, Includes comments from subordinate organization from which the Director's position was formulated, and related working papers and supporting documentation.</del>	<del>TEMPORARY - Destroy when 3 years old (GRS 6-5-b)</del>		301-10 301-11 (GRS 6-5-b)	312-52 (GRS 6-5-b)
M400-02	<b>FINANCE AND ACCOUNTING FILES</b>				
M400-02-A	Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting. Many records included in this item are maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit. Financial transaction records include those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity.				
<del>M400-02-A-1</del>	<del>Official record held in the office of record. Examples include contracts; requisitions; purchase orders; interagency agreements; Military Interdepartmental Purchase Requests (MIPRs); solicitations/requests for bids, quotations or proposals for contracts and competitive grants; proposals, quotations, bids (accepted, rejected, unopened) for contracts and competitive grants; contingent fee justifications; legal and financial instruments such as bond and surety records; credit card/purchase card/charge card statements and supporting documentation; vendor tax exemption records; and invoices.</del>	<del>Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. (GRS 1.1-010)</del>	<del>1301-1-a 1301-1-b 1301-1-c 1301-1-d 1301-1-e (GRS 1.1-010)  N1-525-12-2</del>	<del>101-06-a302-05 302-06 302-12 302-13 302-14 302-16 302-17 302-18 302-21 302-22 302-23 302-24</del>	<del>312-01 312-02-a 312-02-d 312-02-e 312-03-a 312-03-c 312-07 312-09 312-11-a-1-a 312-11-a-1-b 312-11-a-2-a 312-11-a-2-b 312-36-a</del>

Item Number	Description	Authorized Disposition	Source Document		
			NRO	NGA	NSA
				302-25 302-26 305-01 305-02 305-03 305-06 1201-04-a (GRS 1.1-010) <i>306-04</i> 302-07-a 302-09-a 302-15-a 302-20-a (N1-537-00-03)  1201-01-a (N1-537-01-01)	312-36-b 312-37 312-39 312-40 312-44 312-45 312-51 361-04-A 361-04-B 361-04-C 361-04-D 361-04-E (GRS 1.1-010)  314 368-06 N1-457-07-1
<del>M400-02-A-2</del>	<del>All other copies.</del>	<del>Temporary. Destroy when business use ceases. (GRS 1.1-011)</del>	<del>303-2-b 401-7-2-d 1301-3-b  (GRS 1.1-011)</del>		<del>312-02-c 312-11-c 361-06-b  (GRS 1.1-011)</del>
<del>M400-02-B</del>	<del>Records supporting compilation of agency financial statements and related audit, and all records of all other reports. Includes records such as: schedules and reconciliations prepared to support financial statements; documentation of decisions re accounting treatments and issue resolutions; audit reports, management letters, notifications of findings, and recommendations; documentation of legal and management representations and negotiations; correspondence and work papers; interim, quarterly and other reports</del>	<del>Temporary. Destroy 2 years after completion of audit or closure of financial statement/accounting treatment/issue, but longer retention is authorized if required for business use. (GRS 1.1-020)</del>			

Item Number	Description	Authorized Disposition	Source Document		
			NRO	NGA	NSA
<del>M400-02-C</del>	<del>COST ACCOUNTING FOR STORES, INVENTORY, AND MATERIALS. Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency; such as: invoices or equivalent papers used for inventory accounting purposes; inventory accounting returns and reports; working files used in accumulating inventory accounting data; plant account cards and ledgers, other than those pertaining to structures; cost accounting reports and data; depreciation lists/costs; contractor cost reports re contractor-held-government-owned materials and parts; receiving, inspection, and acceptance documentation</del>	<del>TEMPORARY - Destroy after 3 years.  (GRS 1.1-040)</del>		<del>306-01 306-02 306-03 306-05 306-06 306-07 (GRS 1.1-040)</del>	<del>312-02-b 312-03-b 312-03-d 312-46-a 312-46-b  (GRS 1.1-040)</del>
M400-03	<b>ADMINISTRATIVE CLAIM FILES</b>				
M400-03-A	<b>CLAIMS AGAINST THE UNITED STATES-</b> Records related to claims against the United States for moneys which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded. Excluding claims covered by M400-04-C.	TEMPORARY - Destroy when 6 years and 3 months old. (GRS 6-10-a)	303-10-a (GRS 6-10-a)  N1-525-12-2	303-08 (GRS 6-10-a)	312-41-A (GRS 6-10-a)
M400-03-B	<b>CLAIMS BY THE UNITED STATES SUBJECT TO THE FEDERAL CLAIMS COLLECTION STANDARDS AND 28 U.S.C. 2415 OR 31 U.S.C. 3716(C)(1)</b> -Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under M400-04-C.				
<del>M400-03-B-1</del>	<del>Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103</del>	<del>TEMPORARY - Destroy when 6 years and 3 months old (GRS 6-10-b-1)</del>	<del>303-10-b-1 (GRS 6-10-b-1) N1-525-12-2</del>	<del>303-08 (GRS 6-10-b-1)</del>	<del>312-41-B-1 (GRS 6-10-b-1)</del>
<del>M400-03-B-2-A</del>	<del>Claims for which collection action has been terminated under 4 CFR Part 104. Claims for which the Government's right to collect was not extended</del>	<del>TEMPORARY - Destroy 10 year and 3 months after the year which the Government's right to</del>	<del>303-10-b-2-a (GRS 6-10-b-2-a) N1-525-12-2</del>	<del>303-08 (GRS 6-10-b-2-a)</del>	<del>312-41-B-2-a (GRS 6-10-b-2-a)</del>

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		collect first accrued. (GRS 6-10-b-2-a)			
<del>M400-03-B-2-B</del>	<del>Claims for which collection action has been terminated under 4 CFR Part 104. Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal actions</del>	<del>TEMPORARY - Destroy 3 months after the end of the extended period (GRS 6-10-b-2-b)</del>	<del>303-10-b-2-b (GRS 6-10-b-2-b) N1-525-12-2</del>	<del>303-08 (GRS 6-10-b-2-b)</del>	<del>312-41-B-2-b (GRS 6-10-b-2-b)</del>
M400-03-B-3	Claims that the agency administratively determines are not owed to the United States after collection action was initiated.	TEMPORARY - Destroy when 6 years and 3 months old. (GRS 6-10-b-3)	303-10-b-3 (GRS 6-10-b-3) N1-525-12-2		312-41-B-3 (GRS 6-10-b-3)
M400-03-C	<b>CLAIMS FILES THAT ARE AFFECTED BY A COURT ORDER</b> or that are subject to litigation proceedings.	TEMPORARY - Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later (GRS 6-10-c)	303-10-c (GRS 6-10-c) N1-525-12-2		312-41-C (GRS 6-10-c)
M400-03-D	<b>WAIVER OF CLAIM FILES</b> -Records relating to waiver of claims of the U.S. against a person arising out of an erroneous payment of pay allowances, travel expense, or relocation expense to an employee of an agency or a member or former member of the uniformed services or National Guard, including bills of collection, request for waiver of claim, investigative reports, decisions by agency and/or GAO approved or denying the waiver, and related records				
M400-03-D-1	<b>APPROVED WAIVERS</b> -agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount	TEMPORARY - Destroy 6 years and 3 months after the close of the fiscal year in which the waiver was approved. (GRS 6-11-a)	303-11-a (GRS 6-11-a) N1-525-12-2		312-42 (GRS 6-11-a)
M400-03-D-2	<b>DENIED WAIVERS</b>	TEMPORARY - Destroy with related claim files in accordance with M400-03-B and it's sub-items and M400-03-C. (GRS 6-11-b)	303-11-b N1-525-12-2		312-42-b (GRS 6-11-b)

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M400-04	<b>PROPERTY</b>				
<del>M400-04-A</del>	<del>REAL PROPERTY FILES Title papers documenting the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise. Includes correspondence relating to the overall management and use of real property owned by the U.S. Government, but exclusive of specific files described in this category. Excludes leased property. Reference M400-05-C</del>	<del>TEMPORARY - Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens (GRS 3-1-a)</del>	<del>401-13 N1-525-12-2</del>	<del>1401-06-a (GRS 3-1-a)</del>	<del>366-02-a (GRS 3-1-a)</del>
M400-04-B	<b>GOVERNMENT FURNISHED EQUIPMENT AND PROPERTY ACCOUNTING FILES-</b> Audit and accounting records for government equipment, property, and supplies furnished to contractors	TEMPORARY - Destroy 6 years after related contract is terminated or final settlement of claims and final audit action on the related contract.	402-1-a 402-1-b N1-525-12-2	304-01-a (N1-537-00-03)  1205-09-a (N1-537-01-01)	
<del>M400-04-C</del>	<del>Property, plant and equipment (PP&amp;E) and other asset accounting. Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&amp;E, such as: purchase orders and contracts; invoices; appraisals; costing and pricing data; transactional schedules; titles; transfer, acceptance and inspection records; asset retirement, excess and disposal records; plant account cards and ledgers pertaining to structures; correspondence and work papers</del>	<del>Temporary. Destroy 2 years after asset is disposed of and/or removed from agency's financial statement, but longer retention is authorized if required for business use. (GRS 1.1-030)</del>		<del>304-01-a (N1-537-00-03)  1205-10-a 1205-10-b 1205-11-a 1205-13-a 1205-15-a (N1-537-01-01)</del>	<del>366-01 N1-457-07-001</del>
M400-05	<b>CONTRACTING AND PROCUREMENT</b>				
M400-05-A	<b>FILES OF CONTRACTING OFFICERS AND TECHNICAL REPRESENTATIVES -</b> Copies of records maintained for the purpose of determining a contractor's responsibility as defined in Part 4 Subpart 4.7 and 4.8 of the FAR includes,	TEMPORARY - Destroy 3 years after termination of appointment or when no longer needed for business	401-2-a N1-525-12-2	1201-05-a 1201-06-a (N1-537-09-01, Items 1 & 2)	



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	but not limited to brochures; replies to questionnaires; financial data, such as balance sheets, profit and loss statements, cash forecasts, financial history of contractors and affiliation concerns; current and past production records; personnel data; list of tools, equipment and facilities; analyses of operational control procedures; and similar records. Copies of requests for designation or termination; statement of qualifications; and designation or termination and acknowledgement of receipt thereof.	use, whichever is later			
<del>M400-05-B</del>	<del>CONTRACT &amp; GENERAL CORRESPONDENCE FILES- Contract documentation such as that described in Federal Acquisition Regulation (FAR) part 4.803 except where otherwise specifically addressed herein, the disposition of these records is specified by FAR part 4.805 and GRS. Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.</del>	<del>TEMPORARY - Destroy when 2 years old. (GRS 3-2)</del>	<del>401-7-1 N1-525-12-2</del>	<del>1201-01-a (N1-537-01-01)</del>	<del>N1-525-12-2</del>
<del>M400-05-C</del>	<del>CONTRACT APPEAL CASE FILES- Contract appeals case files arising under the Contract Dispute Act, consisting of notice of appeal and acknowledgements thereof; correspondence between parties; copies of contracts, plans specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and other related papers. Records created after 30 September 1979</del>	<del>TEMPORARY - Destroy 1 year after the final action on decision. (GRS 3-15-b)</del>	<del>401-9 N1-525-12-2</del>	<del>1201-05-b (GRS 3-15-b)</del>	<del>312-08-B (GRS 3-15-b)</del>
<del>M400-05-D</del>	<del>CONSTRUCTION CONTRACTOR'S PAYROLL FILES- Agency copy of contractors' payrolls for construction contracts submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback and other affidavits, and other related papers.</del>	<del>Temporary. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but longer retention is authorized if required for business use. (GRS 1.1-50)</del>	<del>401-10 N1-525-12-2</del>	<del>1201-01-a (N1-537-01-01)</del>	
<del>M400-05-E</del>	<del>INVENTORY FILES- Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS..</del>	<del>TEMPORARY - Destroy 2 years after date of survey or the date of posting</del>	<del>402-2-c (GRS 3-9-c)</del>	<del>304-02-a (N1-537-00-03)</del>	<del>364-02-c (GRS 3-9-c)</del>

Item Number	Description	Authorized Disposition	Source Document		
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		medium. (GRS 3-9-c)			
M400-05-F	PROCUREMENT INSPECTION- Records relating to the inspection and audit of procurement matters and contracts. Included are copies or extracts of reports made by the inspector general, audit personnel, supervisory offices, and the government Accountability Office; records indicating corrective action taken; and related correspondence.	TEMPORARY - Destroy when 6 years old.	N1-525-12-2	1202-11-a (NI-537-01-01)	
<del>M400-05-G</del>	<del>BIDDER LIST- List or card used to determine which contractors are eligible to receive invitations for bids for specific items</del>	<del>TEMPORARY - Destroy when superseded or obsolete. (GRS 3-5-d)</del>	<del>401-8-d N1-525-12-2</del>	<del>1214-03-a (N1-537-01-01)</del>	
M400-05-H	SMALL AND DISADVANTAGED BUSINESS UTILIZATION FILES- Correspondence, report, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507.	TEMPORARY - Destroy when 3 years old. (GRS 3-17)	401-12 N1-525-12-2	1214-01-a 1214-02-a 1214-03-a <del>1214-04-a</del> (N1-537-01-01)	

Redactions have been made to this record control schedule pursuant to 5 U.S.C. 552(b)(3) with the corresponding statute 10 U.S.C. 424, which protects from disclosure the "organization or any function of, and certain information pertaining to, employees of the National Reconnaissance Office ." You will need to submit a Freedom of Information Act (FOIA) request to the Office of the General Counsel for the withheld information.

<http://www.archives.gov/foia/>