

Request for Records Disposition Authority

Records Schedule Number DAA-0515-2013-0001

Schedule Status Approved

Agency or Establishment National Park Service

Record Group / Scheduling Group Records of the Historic American Buildings Survey (HABS)/Historic American Engineering Record (HAER) Division

Records Schedule applies to Agency-wide

Schedule Subject SPECIAL NOTE: This schedule also covers the records of the Historic American Landscapes Survey (HALS)

Records on nearly 40,000 historic sites, consisting of large-format, black and white photographs, measured drawings, and written historical reports, are maintained in an affiliated archive, a special collection at the Library of Congress, available to the public copy-right free in both hard copy (in the Library of Congress) and electronic (via the Web) formats. HDP also develops and maintains the Secretary of the Interior's Standards and Guidelines for Architectural and Engineering Documentation. Documentation provides a permanent record of the nation's most important historic sites and large-scale objects. Policy and correspondence files are in the National Archives.

Internal agency concurrences will be provided Yes

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	4	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0515-2013-0001

Sequence Number	
1	A.1. Official Subject Files Disposition Authority Number: DAA-0515-2013-0001-0001
2	A.2. Audiovisual/Publications Disposition Authority Number: DAA-0515-2013-0001-0002
3	A.3.A. Project Materials (Library of Congress) Disposition Authority Number: DAA-0515-2013-0001-0003
4	A.3.B. Project Materials (NARA) Disposition Authority Number: DAA-0515-2013-0001-0004
5	B. Non-Permanent Records Disposition Authority Number: DAA-0515-2013-0001-0005
6	C. Routine Records Disposition Authority Number: DAA-0515-2013-0001-0006

Records Schedule Items

Sequence Number	
1	<p>A.1. Official Subject Files</p> <p>Disposition Authority Number DAA-0515-2013-0001-0001</p> <p>Permanent: Subject files of Chiefs, including schedules; cooperative agreements; policies and procedures; case files; prizes, awards, and commendations; LOC policy and correspondence; collection information system; mitigation program records; and other high-level correspondence.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Electronic Records</p> <p>Cutoff Instruction Cut off at end of fiscal year in which records are created, or at close of project, as appropriate.</p> <p>Transfer to Inactive Storage Transfer permanent special media electronic for accessioning records along with any finding aids or descriptive information (including linkage to the original file) and related documentation to the National Archives when 3 years old. Digital records will be transferred according to standards applicable at the time.</p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives immediately after 3 years from creation.</p> <p>Additional Information</p>

What will be the date span of the initial transfer of records to the National Archives? **From 1990 To 2010**

How frequently will your agency transfer these records to the National Archives? **Every 3 Years**

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Cut off at end of fiscal year when records are created, or at close of project, as appropriate.**

Transfer to Inactive Storage **Transfer to NARA 15 years after closure.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives immediately after 15 years.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1933 To 1997**

How frequently will your agency transfer these records to the National Archives? **Every 3 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	32 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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A.2. Audiovisual/Publications

Disposition Authority Number **DAA-0515-2013-0001-0002**

Permanent: Publications, articles, posters, photographs, audiovisual materials, social media, exhibits including production records, scripts, copyright releases, etc.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

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

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

Disposition Instruction

Cutoff Instruction **Cut off at end of fiscal year when records are created, or at close of project, as appropriate.**

Transfer to Inactive Storage **Transfer permanent special media and electronic records along with any finding aids or descriptive information (including linkage to the original file) and related documentation by calendar year to the National Archives when 3 years old. Digital records will be transferred according to standards applicable at the time. Transfer all other permanent records to NARA 15 years after closure.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives immediately after 3 years from creation.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2010**

How frequently will your agency transfer these records to the National Archives? **Every 3 Years**

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Cut off at end of fiscal year when records are created, or at close of project, as appropriate.**

Transfer to Inactive Storage	Transfer to NARA 15 years after closure.
Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after 3 years.
Transfer to the National Archives for Accessioning	Transfer to the National Archives immediately after 15 years.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	From 1933 To 1997
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How frequently will your agency transfer these records to the National Archives?	Every 3 Years
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A.3.A. Project Materials (Library of Congress)

Disposition Authority Number	DAA-0515-2013-0001-0003
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Project reports, photographs, drawings, histories, color transparencies, field reports, printouts, and related documentation.

Final Disposition	Permanent
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Item Status	Active
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Is this item media neutral?	Yes
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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
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Do any of the records covered by this item exist as structured electronic data?	Yes
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Disposition Instruction

Cutoff Instruction	Cut off at end of fiscal year when records are created, or at close of project, as appropriate.
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Transfer to Inactive Storage	Transfer to Library of Congress one year after completion.
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Transfer to the National Archives for Accessioning	Transfer to Library of Congress one year after completion.
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If records are not transferred to NARA physical custody when legal custody is transferred,	ALOC
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specify institution that will maintain physical records

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
This information is not applicable.

How frequently will your agency transfer these records to the National Archives? **Unknown**
This information is not applicable.

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A.3.B. Project Materials (NARA)

Disposition Authority Number **DAA-0515-2013-0001-0004**

CADS and laserscans, including digital field measurements.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **All items are electronic.**

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

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

Disposition Instruction

Cutoff Instruction **Cut off at end of year when materials are created or at close of project.**

Transfer to Inactive Storage **Transfer along with any finding aids, descriptive information and related documentation to the National Archives when 3 years old, according to standards applicable at the time.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives immediately after 3 years of creation.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1990 To 2010**

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How frequently will your agency transfer these records to the National Archives? **Every 3 Years**

B. Non-Permanent Records

Disposition Authority Number **DAA-0515-2013-0001-0005**

Records that document ongoing support and background of HABS/HAER/HALS activities, including drafts, financial, budget, and contract records, and summer and student program records.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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

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

Disposition Instruction

Cutoff Instruction **Cut off at end of fiscal year when created.**

Transfer to Inactive Storage **Destroy/Delete records 7 years after closure.**

Retention Period **Destroy immediately after 7 years.**

Additional Information

GAO Approval **Not Required**

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C. Routine Records

Disposition Authority Number **DAA-0515-2013-0001-0006**

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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

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

Disposition Instruction

Cutoff Instruction	Cut off at end of fiscal year when created.
Transfer to Inactive Storage	Destroy/Delete records 3 years after closure.
Retention Period	Destroy immediately after 3 years.

Additional Information

GAO Approval	Not Required
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Agency Certification

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

Signatory Information

Date	Action	By	Title	Organization
09/27/2013	Certify	Jason Lautenbacher	National Agency Records Manager	Office of Information Resources - Portfolio Management and Strategic Planning
12/12/2013	Return for Revision	Marvin Kabakoff	Senior Records Analyst	National Archives and Records Administration - ACN
03/28/2014	Return for Revision	Marvin Kabakoff	Senior Records Analyst	National Archives and Records Administration - ACN
04/01/2014	Submit For Certification	Jason Lautenbacher	National Agency Records Manager	Office of Information Resources - Portfolio Management and Strategic Planning
04/01/2014	Certify	Jason Lautenbacher	National Agency Records Manager	Office of Information Resources - Portfolio Management and Strategic Planning
04/01/2014	Return for Revision	Marvin Kabakoff	Senior Records Analyst	National Archives and Records Administration - ACN
04/09/2014	Submit For Certification	Jason Lautenbacher	National Agency Records Manager	Office of Information Resources - Portfolio Management and Strategic Planning
04/09/2014	Certify	Jason Lautenbacher	National Agency Records Manager	Office of Information Resources - Portfolio Management and Strategic Planning
08/28/2014	Submit for Concurrence	Marvin Kabakoff	Senior Records Analyst	National Archives and Records Administration - ACN

09/04/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/04/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/04/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

HABS/HAER/HALS Crosswalk

Note: N1-515-95-1 separated out electronic versions and made them disposable once printed out. The new schedule is media neutral, so whichever format is designated as the record copy will have the relevant disposition.

N1-515-95-1	Title	Old Retention (N1-515-95-0001)	DAA-0515-2013-0001	New Retention
Common Records of HABS/HAER/HALS				
1.1a	AV Recordings – master	Perm	2	Perm
1.1b	AV Recordings – duplicate and reference	Dest when NLN	Non-record	Dest when NLN
1.1c	AV Production records (scripts, releases, copyrights, etc.)	Perm	2	Perm
1.1d	AV – Other records such as drafts, storyboards, edits, etc.	1 year	6	3 years
1.2a	Awards & Commendations presented by HABS Division	Perm – 3 years	1	Perm
1.2b	Awards & Commendations received by Division	Perm – 3 years	1	Perm
1.2c	Reference copy of award or commendation	Dest when NLN	Non-record	Dest when NLN
1.3	E-Mail messages – based on content			
1.4a	HABS/HAER/HALS Formal & informal documentation and field records – regional	Transfer to Washington Office	If not transferred to Washington: Hardcopy: 3 Electronic: 4	Perm to LOC Perm to NARA
1.4b	HABS/HAER/HALS Formal & informal documentation and field records – Washington	Perm to LOC	Hardcopy: 3 Electronic: 4	Perm to LOC Perm to NARA
1.5	Photographic prints, negatives, slides (with finding aids)	Perm – 5 years	2	Perm
1.6a	Posters – final	Perm	2	Perm

1.6b	Duplicate and reference copies of posters	Dest when NLN	Non-record	Dest when NLN
1.6c	Posters – draft copies, edited versions, mock-ups, etc.	1 year	6	3 years
1.7a1	HABS/HAER/HALS Publications – record copy	Perm	2	Perm
1.7a2	Publications – reference copies	Dest when NLN	Non-record	Dest when NLN
1.7a3	Posters – draft copies, edited versions, mock-ups, etc.	1 year	6	3 years
1.7b	Journal and magazine articles by staff incorporated into official fields	Perm – 1 year	2	Perm
	Office of Chief			
2.1a	Subject Files of Chief – electronic	Dest when NLN	See 2.1c (1)	If designated record copy: 7 years. If not, destroy when NLN.
2.1b	Budget & Financial planning files	5 years	5	If designated record copy: 7 years. If not, destroy when NLN.
2.1c	All other subject files of chief	Perm – 10 years	1	Perm
2.2	Cooperative Agreements	Perm – 10 years	1	Perm
2.3a	Schedules, Calendars, Meeting Notes of Chief – electronic	Dest when NLN	See 2.3b (1)	
2.3b	Schedules, Calendars, Meeting Notes of Chief – print copies (include with 2.1c)	Perm – 10 years	1	Perm
2.4a	Unofficial Personnel Files – Washington Staff	5 years	5	7 years
2.4b	Unofficial Personnel Files – Summer Staff	5 years	5	7 years
	Office of Deputy Chief			
3.1a	Subject Files of Chief – electronic	Dest when NLN	See 3.1b (1)	If designated record copy: Perm. If not, destroy when NLN.
3.1b	Subject Files of Chief – hardcopy	Perm – 10 years	1	If designated

				record copy: Perm. If not, destroy when NLN.
3.2a	Mitigation Program Records – Correspondence & Memoranda - hardcopy	Perm – 10 years & LOC	1 3	Perm
3.2b	Mitigation Program Project Case files	Perm – 10 years & LOC	1 3	Perm
3.2c	Mitigation Program Policy & Procedure	Perm – 10 years	1	Perm
3.3a	Project Notebooks – Black Binders	Perm – 10 years	1	Perm
3.3b	Salary Notebooks	3 years	6	3 years
3.4	Petersen Prize Records	Perm 3 years	1	Perm
3.5a	Electronic copies of calendars, schedules, meeting notes	Dest when NLN	See 3.5b (1)	If designated record copy: Perm. If not, destroy when NLN.
3.5b	Printouts of electronic schedules and calendars (place with 3.1b)	Perm – 10 years	1	If designated record copy: Perm. If not, destroy when NLN.
3.5c	Textual records – schedules, calendars, meeting notes	Perm – 10 years	1	Perm
3.6	Summer Program Administrator records	7 years	5	7 years
	Office of Collections Management Administrator			
4.1a	General Correspondence & Reports Subject Files - electronic	Dest when NLN	See 4.1b (5)	If designated record copy: 7 years. If not, destroy when NLN.
4.1b	General Correspondence & Reports Subject Files – hardcopy	10 years	5	If designated record copy: 7 years. If not, destroy when NLN.
4.2	Responses to Inquiries	1 year	6	3 years

4.3a	HABS/HAER/HALS Collection Information System – Master Files	Perm – each FY	1	Perm
4.3b	Transmittal & Statistical Reports	5 years	5	7 years
4.3c	System Documentation	Perm – each FY with master files	1	Perm
4.4	HABS/HAER/HALS Survey Numbers & Computer Control Number Ledgers	Perm – 10 years	1 (if still created)	Perm
4.5	Copies of formal documentation – nonrecord	Dest when NLN	Non-record	Dest when NLN
4.6	HABS/HAER/HALS Reference Section	Dest when NLN	Non-record	Dest when NLN
4.7a1	LOC Correspondence & Memoranda - electronic	Dest when NLN	See 4.7a2 (1)	If designated record copy: Perm. If not, destroy when NLN.
4.7a2	LOC Correspondence & Memoranda – hardcopy	Perm – 10 years	1	If designated record copy: Perm. If not, destroy when NLN.
4.7b	LOC Policy & Procedure	Perm – 10 years	1	Perm
4.8a	Mitigation Program Records - Acquisitions	Dest when NLN	6	3 years
4.8b	Mitigation Program – Correspondence & Memoranda	10 years	5	7 years
4.8c	Mitigation Program – Numbers requested	1 year	6	3 years
4.9	Collections Management Project Files	10 years	5	7 years
4.10a1	Vendor contracts under FAR	3 years	6	3 years
4.10a2	Vendor contracts over FAR	6 yr 3 months	5	7 years
4.10b	Reproduction request files	3 years	6	3 years
4.11a1	Records Management Correspondence & Memoranda – electronic	Dest when NLN	See 4.11a2 (5)	If designated record copy: 7 years. If not, destroy when NLN.
4.11a2	Records Management Correspondence & Memoranda – hardcopy	10 years	5	If designated record copy: 7

				years. If not, destroy when NLN.
4.11b	Approved records schedules	Dest when superseded	6	Destroy 3 years after supersession
	Office of Chief of HABS			
5.1a	Correspondence Subject Files – electronic	Dest when NLN	See 5.1b (1)	If designated record copy: Perm. If not, destroy when NLN.
5.1b	Correspondence Subject Files – hardcopy	Perm 10 years	1	If designated record copy: Perm. If not, destroy when NLN.
5.2	HABS Project Leader Files	5 years	5	7 years
5.3a	Photographer's Project Files – log books, field notes, exposure notes	LOC, or destroy 5 years after project	3	Perm
5.3b	Photographer's Project Files – all other	5 years	5	7 years
	Office of Chief of HAER			
6.1a	Correspondence Subject Files – electronic	Dest when NLN	See 6.1b (1)	If designated record copy: Perm. If not, destroy when NLN.
6.1b	Correspondence Subject Files – hardcopy	Perm 10 years	1	If designated record copy: Perm. If not, destroy when NLN.
6.2	HAER Project Leader Files	5 years	5	7 years
6.3a	Photographer's Project Files – log books, field notes, exposure notes	LOC, or destroy 5 years after project	3	Perm
6.3b	Photographer's Project Files – all other	5 years	5	7 years