

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
DEPARTMENT OF THE INTERIOR

2. MAJOR SUBDIVISION
NATIONAL PARK SERVICE

3. MINOR SUBDIVISION
HABS/HAER DIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Georgette R. Wilson

5. TELEPHONE
202-343-9599

LEAVE BLANK (NARA use only)

JOB NUMBER
NI-515-95-1

DATE RECEIVED
6-5-95

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE
8-20-96

ARCHIVIST OF THE UNITED STATES
John W. Paul

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 39 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; or has been requested.

DATE
5-31-95

SIGNATURE OF AGENCY REPRESENTATIVE
Georgette R. Wilson

TITLE
Collections Management Administrator

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>Comprehensive records disposition schedule for RG 515, the records the the Historic American Buildings Survey/Historic American Engineering Record.</p> <p>Please see attached pages.</p> <p>All changes to this proposed schedule have been approved by:</p> <p><i>Larry Rueme</i> <u>7/25/96</u> NARA appraiser date</p> <p><i>Monica P. Murphy</i> <u>7-25-96</u> Agency representative date</p>		

COMMON RECORDS OF HABS/HAER

Chapter I

The following records may be created and maintained throughout the HABS/HAER Division, and may not fall under the auspices of any specific office. The authorized dispositions provided for the records apply throughout HABS/HAER, regardless of physical location or organization unit.

1.1 Audiovisual and Sound Recordings

All audio and motion picture records created by the HABS/HAER Division that are not included in either formal or informal documentation that is formally transmitted to the Library of Congress. These recordings include but are not limited to the following: recordings about the HABS/HAER program and projects, and special functions and activities of HABS/HAER.

- a. The original (master) recording and one copy.

Permanent. Transfer directly to the National Archives one year after the completion of the recording. Refer to the record elements listed below for media and formats required by the National Archives.

- b. Duplicate and reference copies.

Destroy when no longer needed.

- c. Production records such as scripts, releases, copyrights, and the like that document the ownership, origin, development, and use of the recordings.

Permanent. Transfer to the National Archives with the related audiovisual or sound recordings.

- d. Other records such as drafts, storyboards, bluelines, edits, and similar records.

Destroy 1 year after completion of the recording or when no longer needed.

The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing. All disposable or unaccessioned materials will be returned to HABS/HAER.

NOTE: For each type of audiovisual record designated as permanently valuable, the specific record components required by 36 CFR 1228 for preservation, reproduction, and reference are listed below.

Video recordings: The original or earliest generation of each video recording, and a dubbing, if one exists.

Sound recordings: The original or earliest generation of each audiotape recording, and a dubbing, if one exists.

Motion pictures:

Agency-sponsored films: The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

Acquired films: Two projection prints or one projection print and a video recording.

Unedited footage: The original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exists, appropriately arranged, labeled, and described.

1.2 Awards and Commendations

Awards and commendations received by HABS, HAER, and/or the HABS/HAER Division, and awards presented by HABS/HAER to individuals, organizations outside of the Division for special merit or distinguished service. These awards may include, but are not limited to, HABS Fellowship Awards, scholarships, service awards, and the like. These do NOT include personnel awards (see General Record Schedule for disposition).

a. Presented by HABS, HAER, and/or the HABS/HAER Division

Awards and commendations presented to individuals and organizations for distinguished service, special recognition, and special occasions, and the like. The original award or commendation is presented to recipient.

Permanent. Transfer duplicate certificates and all related documentation to the National Archives 3 years after presentation of the award.

b. Received by HABS, HAER and/or the HABS/HAER Division

Unit-wide or Division-wide awards and commendations received for distinguished or special service, commemorative anniversaries, other special occasions.

- (1) Original award or commendation and related correspondence and other documentation.

Permanent. Transfer to the National Archives 3 years after receipt of the award.

- (2) Reference or photo-duplication of the award or commendation.

Destroy when no longer needed.

1.3 E-Mail messages

E-mail systems are generally designed for convenient and efficient agency communication and not as a system for storing agency records for their entire life cycle. Daily security and/or systems back-up are not a sufficient means of recordkeeping, and are suitable for safeguarding against the loss of records only when the original copy is maintained elsewhere. Furthermore, on a large system records may be arbitrarily deleted during back-ups for lack of space.

The HABS/HAER E-mail system is managed and maintained by the National Park Service, and HABS/HAER is not responsible for any security and/or systems back-up. Maintaining messages on computer disk or in a file on the computer will be developed at a future time depending on the needs of HABS/HAER. **Until that time, all messages sent and/or received electronically that are necessary to conduct business, and that meet the definition of federal records (see *Glossary*) are to be printed by the user and maintained in the appropriate office files as a paper record.**

Transmission information, distribution mailing lists, and all receipt data need to be maintained with each message, whether sent or received. This is of vital importance because it identifies the sender, to whom the message was sent, who received it, on what day and at what time the message was sent or received, and notifies if it was read. Once all of this information is printed out onto paper with the message, it can be deleted from the computer file.

The person responsible for sending or receiving a message is responsible for maintaining the transmission, distribution, and receipt data, as well as the message itself in the appropriate HABS/HAER file.

The disposition of e-mail messages is determined by the disposition of the files in which the messages are kept.

1.4 HABS and HAER Formal Documentation and Field Records (informal documentation)

Formal documentation consists of written historical and descriptive data; two types of drawings on mylar and reproducible vellum: traditional hand-measured and delineated, and photogrammetric and Computer-Aided Drafting (CAD); large format black-and-white photographs and negatives; and color transparencies. All formal documentation is produced through archival processes, on and/or with archival materials. Formal documentation is generated by projects based in the HABS/HAER Washington office, and from regional mitigation projects, Peterson Prize competitions, and through private donations.

Informal documentation, such as survey field notes and electronic CAD files, are a primary source which record and document a structure and/or site and often contain vital information which supplements the formal documentation. These records are included with the formal documentation at the time of transmittal to the Library of Congress, but are stored separately once accessioned by the Library of Congress.

NOTE: The final disposition of these records is governed by individual HABS and HAER agreements between NARA, the Library of Congress, and the National Park Service.

- a. HABS/HAER Regional Offices: Transfer formal documentation of all mitigation projects to the Washington office.
- b. Washington Office: Transfer all formal and informal documentation to the Library of Congress. (See *Project Leader Project Files* for related documentation.)

1.5 Photographic Print, Negative, and Slide Collections

All photographic prints, negatives, and slides that are not included in formal or informal documentation that will be transmitted to the Library of Congress. These photographs include but are not limited to the following: exhibit photographs; project photographs or slides; images of HABS/HAER teams on-site at recording projects; slide libraries in central collections or team leader offices; photographs of major HABS/HAER events and functions; portraits of the HABS and HAER Advisory Board members or Advisory Board meetings; photographs of major award presentation ceremonies; and the like.

Permanent. Close inactive files annually and transfer to the National Archives when 5 years old, or 5 years after the close of the project.

NOTE: To provide for the proper preservation of HABS/HAER's photographic images, color and black and white negatives should be maintained in separate files (see below) while in agency custody, and transferred separately to the National Archives in accordance with the disposition instructions. For each type of audiovisual record designated as permanently valuable, the specific components required by 36 CFR 1228.184 for preservation, reproduction, and reference are listed below.

Black and white photography: the original negative and a captioned print.

Color photography: the original negative, a captioned print, and a duplicate negative, if one exists.

Color transparency and slide photography: The original and one duplicate copy.

Slide sets or filmstrips and accompanying audio recordings or scripts: Two copies.

Finding aids: All indexes, log books, catalogs or similar materials that serve as a finding aid to negatives, prints, slides, or other photographic records.

The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing. All disposable and unaccessioned materials will be returned to HABS/HAER.

1.6 Posters

All posters generated by the HABS/HAER Division, including but not limited to the following: summer hire posters, exhibit posters, Peterson Prize posters, and special events posters. Two copies of the poster are sent to the Library of Congress Prints and Photographs Division within 6 months after completion of the poster.

a. Final posters.

Permanent. Transfer two copies of each completed poster to the National Archives at the end of each FY.

NOTE: If negatives, photographs, or slides of posters are created by HABS/HAER staff, they should be transferred to the National Archives with the posters.

- b. Duplicate and reference copies.

Retain one copy in HABS/HAER office. Destroy when no longer needed.

- c. Draft copies, edited versions, mock-ups, storyboards, bluelines, negatives, photographs, etc.

Destroy 1 year after publication or when no longer needed.

1.7 Publications

- a. HABS/HAER Division Publications

All publications generated by HABS/HAER, including but not limited to the following: books, brochures, pamphlets, exhibition materials, recording and transmittal guidelines, project documentation published in book form, the HABS/HAER Annual Review, and any publication in which HABS/HAER is associated.

- (1) Record Copy.

Permanent. Transfer one copy of each official HABS/HAER publication to the National Archives one year after final printing.

NOTE: Two copies of the publication are sent to the Library of Congress Prints and Photographs Division one year after final printing.

- (2) All other copies. Retain one copy of each publication in the HABS/HAER office as a reference copy.

Destroy when no longer needed, or donate to an eligible organization in accordance with the provisions in 36 CFR 1228.60.

- (3) Draft copies, edited versions, mock-ups, storyboards, bluelines, negatives, photographs, etc.

Destroy 1 year after publication or when no longer needed.

b. **Journal and Magazine Articles**

Journal and magazine articles written by HABS/HAER staff that document or pertain to the history and programs of HABS/HAER, and are incorporated into official HABS/HAER files and maintained separately from the reference files.

Permanent. Cut off file at the end of the FY. Transfer to the National Archives one year after cutoff.

OFFICE OF THE CHIEF OF HABS/HAER

Chapter 2

These files pertain to the policy, procedure, organization and management of the HABS/HAER Division, and are created and maintained by the Chief of the HABS/HAER Division. These files include schedules, calendars, meeting notes, reports, official correspondence, memoranda, project files, and other documents, as well as personnel and budget files.

2.1 Subject Files of the Chief

Subject files arranged alphabetically that relate to the overall policy, procedure, and operations of the HABS/HAER Division.

The files contain correspondence, memoranda, notes, annual and other periodic reports, project reports, directives, issuances, and other documents sent or received by the Division Chief. Topics include matters relating to overall management of HABS/HAER, projects or potential projects, HABS/HAER awards and award programs, scholarships, fellowships, and similar topics, and correspondence from individuals, organizations, institutions, universities, historical societies on a national, state, and/or local level. The files may also contain other general correspondence, memorandums, and notes that may not be incorporated into specific subject files.

a. Electronic word processing and spreadsheet files

Delete when the official record copy (printout) is placed in official HABS/HAER files, or when no longer needed for reference. [GRS 20, Item 13]

b. Division-wide Budget and Financial Planning records

Files pertain to the budget and financial planning operations of the HABS/HAER Division and its units. Files include but are not limited to the following: budget base program updates, briefing statements, project figures, memorandums, accompanying statistics and figures, cost models, reports, manuals, cross-charges, payroll, user fees, reconciliations, etc.

Cutoff at the end of the FY and destroy in office when 5 years old.

c. All other records not included in 2.1b.

Permanent. Cut off at the end of the FY, and transfer to the FRC when 5 years old. Transfer to the National Archives 10 years after closure.

2.2 Cooperative Agreements

Non-recording project cooperative agreements, memorandums of agreement, interagency agreements, and memorandums of understanding entered into by HABS/HAER with other agencies, institutions, and organizations. Typically these agreements include special non-project or employee contracts, HABS Foundation agreements, internships, and the like. Agreements may managed by the Chief of HABS/HAER, Deputy Chief of HABS/HAER, and the Collections Management Administrator.

Permanent. Cut off when agreement expires and transfer to the FRC 5 years after cutoff. Transfer to the National Archives 10 years after cutoff.

2.3 Schedules, Calendars, Personal Contact Lists, and Notes of Official Appointments and Meetings

Schedules, calendars, contact lists, and notes created and maintained by the Division Chief concerning the daily activities and general business of HABS/HAER.

a. Electronic records

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Printouts of electronic calendars, lists, schedules maintained in official files.

NOTE: Printouts of calendars, schedules, and notes should be maintained in Item 2.1c, Subject Files of the Chief, and transferred to the National Archives in accordance with the disposition for the Subject Files.

Permanent. Incorporate printouts into the Subject Files of the Chief, Item 1c above, and transfer to the National Archives with the Subject Files.

2.4 Unofficial or Supervisor's Personnel Files

a. Washington staff

Files generally consist of copies of housekeeping records, and are used for reference purposes only. Files include but are not limited to the following: position descriptions, personnel actions, performance standards and appraisals, various personnel forms, related memoranda and correspondence, travel vouchers, payroll statements, etc.

Cut off file when employee separates from HABS/HAER and/or the Government.
Destroy in office 5 years after cutoff. [exception to GRS 1, Item 18a.

b. Summer Project Staff

Files generally consist of copies of housekeeping records, and are used for reference purposes only. Files include but are not limited to the following: samples of students' work, resumes, letters of recommendations, position descriptions, personnel actions, related memoranda and correspondence, various personnel forms, travel vouchers, payroll statements, etc.

Cut off file when employee separates from HABS/HAER and/or the Government.
Destroy in office 5 years after cutoff.

2.5 Audiovisual and Sound Recordings

Permanent. See *Common Records of HABS/HAER, Audio and Visual Recordings* for disposition.

2.6 Awards and Commendations

Permanent. See *Common Records of HABS/HAER, Awards and Commendations* for disposition.

2.7 E-Mail

See *Common Records of HABS/HAER, E-Mail* for disposition.

2.8 Photographic Print, Negative, and Slide Collections

Permanent. See *Common Records of HABS/HAER, Photographs* for disposition

2.9 Posters

Permanent. See *Common Records of HABS/HAER, Posters* for disposition.

2.10 Publications

Permanent. See *Common Records of HABS/HAER, Publications* for disposition.

OFFICE OF THE DEPUTY CHIEF OF HABS/HAER

Chapter 3

These files pertain to the organization and management of the HABS/HAER Division, as well as the activities of the Collections Management Program, and are created and maintained by the Deputy Chief of the HABS/HAER Division. These files include schedules, calendars, meeting notes, reports, official correspondence, memoranda, project files, and other documents, as well as mitigation files and the administration of the Peterson Prize.

3.1 Subject Files of the Deputy Chief

Subject files arranged alphabetically containing correspondence, directives, memoranda, notes, reports, and other documents that concern the policy, procedures, and operations of the organization and management of the HABS/HAER Division that are the responsibility of the Deputy Chief. The files include correspondence, memoranda, notes, reports, and other documents between the Deputy Chief, HABS/HAER management and staff, and individuals, organizations, institutions, universities, historical societies, and the like related to the development and progress of recording projects or other special projects in which HABS/HAER is involved.

a. Electronic word processing and spreadsheet files

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Textual (hardcopy) files.

Permanent. Cut off at the end of the FY, and transfer to the FRC when 5 years old. Transfer to the National Archives 10 years after closure.

3.2 Mitigation Program Records

Under the provisions of Sections 106 and 110b of the National Historic Preservation Act of 1966 as amended, Federal agencies are required to produce documentation to HABS/HAER standards on buildings, structures, sites, and objects that are listed in or eligible for listing in the National Register of Historic Places and that are threatened with demolition or substantial alteration. Mitigation projects generally document cases of national or nationwide historical, cultural, or architectural significance. The HABS/HAER mitigative program is administered by NPS regional offices or service centers with overall program coordination from the HABS/HAER Washington Office. While mitigation projects are coordinated in the regional offices, the actual project work is usually conducted by contractors under the supervision of the responsible Federal agency.

Documentation produced is forwarded to Washington and included in the HABS/HAER collection at the Library of Congress. The management of the program is the responsibility of the Deputy Chief of HABS/HAER.

a. Correspondence and Memoranda (Washington ~~and regional~~ offices)

Correspondence, memoranda, notes, reports, and other documents that concern the Government's efforts to document endangered structures in compliance with the Section 106/110b review procedures of the National Historic Preservation Act as amended.

(1) Electronic records

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

(2) Hard copies and printouts

Permanent. Cut off at the end of the FY, and transfer to the FRC when 5 years old. Transfer to the National Archives 10 years after closure.

b. Case Files (Washington ~~and regional~~ offices)

Files generally pertain to cases of national/nationwide significance, and include but are not limited to the following: correspondence, memoranda, notes, reports, related publications and brochures, and other documents that chronicle HABS/HAER liaison activities and advice with other Federal agencies to comply with Section 106 and 110b review of the National Historic Preservation Act.

Permanent. Cut off when case is closed, and transfer to the FRC 5 years after cut off. Transfer to the National Archives 10 years after cut off.

~~NOTE: Mitigation Case Files in regional offices should be transferred to the nearest regional federal record center or the nearest regional archives~~

c. Policy and Procedure (Washington office only)

Correspondence, memoranda, notes, reports, and other documentation that concern the management and administration of policies and procedures related to the administrative and liaison activities, and advice with other Federal agencies to

comply with Section 106 and 110b review of the National Historic Preservation Act of 1966 as amended.

Permanent. Cut off file when superseded by approved new and/or updated policies and procedures, and transfer to the FRC when 5 years old, transfer to the National Archives when 10 years old.

3.3 Project Note Books -- "Black Binders"

Looseleaf binders maintained by FY and organized by project containing administrative records documenting the development of agreements HABS/HAER makes with outside sources to conduct a project. Project notebooks include but are not limited to the following: the original signed Memorandum of Agreement or Cooperative Agreement, budgets summaries and reviews, correspondence, memorandums, and notes regarding the administrative aspects of the projects. One project binder is maintained by FY for HABS and HAER projects. Salary notebooks are arranged by FY and contain a record of administrative and salary expenses, housekeeping and administrative records, and payroll or other employee expenses for every project.

a. Project notebooks.

Permanent. Cut off at the end of the project, and transfer to the FRC 5 years after cutoff. Transfer to the National Archives 10 years after cutoff.

b. Salary notebooks.

Destroy 3 years after the close of the project.

3.4 Peterson Prize Records

A file is maintained for each year of the Peterson Prize competition. These administrative files include but are not limited to the following: information sent to schools announcing the competition, applications, list of submissions, list of winners, press releases, duplicate certificates of awards presented, posters, and related correspondence.

NOTE: Submissions for the competition from each school, including full size drawings and field records constitute formal and informal documentation, are maintained as individual project files and are NOT included here. See *Common Records of HABS/HAER, HABS/HAER Formal Documentation* for disposition of competition submissions as formal documentation.

Permanent. Cut off after prize has been awarded for the competition year. Transfer to the National Archives 3 years after award presentation.

3.5 Schedules, Calendars, and Notes of Official Appointments and Meetings

Schedules, calendars, and notes created and maintained by the Deputy Chief concerning the daily activities and general business of HABS/HAER.

a. Electronic records

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Printouts of electronic schedules and calendars

NOTE: Printouts of calendars, schedules, and notes should be maintained in Item 5, Subject Files of the Deputy Chief, and transferred to the National Archives in accordance with the disposition for the Subject Files.

Permanent. Incorporate printouts into the Subject Files of the Deputy Chief, Item 3.1b above, and transfer to the National Archives with the Subject Files.

c. Other textual records (calendars, schedules, etc.)

Permanent. Cut off at the end of the FY. Transfer to the FRC when 3 years old, transfer to the National Archives when 10 years old.

3.6 Summer Program Administrator

In cooperation with the NPS Personnel office, this position is responsible for the administrative coordination and management of temporary employees hired for summer projects, as well as tracking project budgets, for the duration of the project. Files include but are not limited to the following: applications, resumes, and work samples; personnel actions; receipts, DI-1's, and Third Party Drafts; payroll; and other housekeeping records.

Cut off at the end of the FY. Transfer to the FRC when 5 years old, and destroy when 7 years old.

3.7 Agreements

Permanent. See *Agreements*, Item 2.2, under Office of the Chief of HABS/HAER for disposition.

3.8 Audio and Visual Recordings

Permanent. See *Common Records of HABS/HAER, Audio and Visual Recordings* for disposition.

3.9 Awards and Commendations

Permanent. See *Common Records of HABS/HAER, Awards and Commendations* for disposition.

3.10 Budget

See *Budget* records, Item 2.1b, under Office of the Chief of HABS/HAER for disposition.

3.11 E-Mail

See *Common Records of HABS/HAER, E-Mail* for disposition.

3.12 Photographic Print, Negative, and Slide Collections

Permanent. See *Common Records of HABS/HAER, Photographs* for disposition.

3.13 Posters

Permanent. See *Common Records of HABS/HAER, Posters* for disposition.

3.14 Publications

Permanent. See *Common Records of HABS/HAER, Publications* for disposition.

OFFICE OF THE COLLECTIONS MANAGEMENT ADMINISTRATOR

Chapter 4

These records pertain to the management and administration of the Collections Management (CM) program. Files are created and maintained by the CM Administrator, CM Architect, CM Historian, interns, and summer employees. These files include policies and procedures for CM operations, liaison files between the Library of Congress and the National Archives, official correspondence, memoranda, reports, meeting notes, administrative files concerning the management and administration of other non-recording projects entered into by HABS/HAER, the maintenance of the HABS/HAER Collections Information System, and other documents. Some files are cross-referenced to the Chief and/or the Deputy Chief of the HABS/HAER Division.

4.1 General Correspondence and Reports Subject Files

Correspondence, memoranda, notes, periodic CM statistical and activity reports, and other documents that concern the management and administration of the CM Program. Documentation includes internal HABS/HAER and CM policies, office and unit procedures, and periodic activity reports which summarize CM activity and operations.

a. Electronic records

Delete when printed copy has been placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Hard copies/printouts

Cut off at the end of the FY. Transfer to the FRC when 3 years old, and destroy when 10 years old.

4.2 Responses to Inquiries

Original inquiries and CM responses pertaining to the Collection, HABS/HAER projects, and general policies and procedures. Inquiries are received by either telephone, mail, or fax from the public.

Cut off at end of FY. Destroy 1 year after cut off, or when no longer needed.

4.3 HABS/HAER Collection Information System

The HABS/HAER Collection Information System functions as the CM database for such purposes as indexing materials and creating statistical reports. Through the Computer Control Number, electronic records are created for each documented site, and includes but is not limited to the following information: documentation project name(s); HABS or HAER survey number; state, county and city; amount and type of formal and informal documentation; location of documentation; and LC shelf list code. Computer documentation and system reports explaining the database format, how many records, length of the tapes, etc., are generated by the Information and Telecommunications Division (ITD) and are transferred with the tape(s).

a. Master database files.

Permanent. Transfer to the National Archives at the end of each FY in accordance with 36 CFR 1228.

b. Transmittal and Statistical Reports

Transmittal and statistical reports which are used to track the formal documentation that has been transmitted to the Library of Congress, and to provide periodic program statistics and reports. Transmittals usually take place once every FY quarter. Files include but are not limited to: worksheets, data entry sheets, transmittal checklists, and computer generated reports. One copy of each report is maintained as reference material.

Destroy when 5 years old or when no longer needed.

c. System Documentation

Correspondence, agreements, operating procedures, codebooks, data dictionaries, and other records concerning the use of and continued functioning of the database. Files also include any changes, additions, and/or deletions made to any of the screens of the database, as well as general procedures concerning the functioning of the database. Files also include but are not limited to the following: database operation instructions and data conversion; database structure and field descriptions; instructions for interpreting data; list of current and past computer reports, and previous names of reports of the name has changed.

Permanent. Update as needed when superseded or obsolete. Transfer all required system documentation to the National Archives with the master files in accordance with 36 CFR 1228.

4.4 HABS/HAER Survey Numbers and Computer Control Number Ledgers

Official ledger used to assign HABS and HAER survey numbers and computer control numbers for all states, Puerto Rico, the Virgin Islands, Guam, and the U.S. Minor Islands. The ledger also notes the date the number was assigned, to which region, and the record name.

Permanent. Cut off at the end of the FY, and transfer to FRC when 7 years old. Transfer to the National Archives 10 after cut off.

4.5 Copies of HABS/HAER Formal Documentation - c. 1933 to Present

Separated by HABS and HAER, and organized by state, county, city, and record name, these files contain photocopies of formal documentation and addenda documentation of all formal documentation which are housed, maintained, and serviced at the Library of Congress. Some files may also contain the following: duplicate photographs and duplicate negatives of various sizes; some duplicate photographs glued to card stock; xeroxes of informal documentation (field records); multiple xerox copies of documentation, including the cover card. These file do not represent the entire Collection at the LC, and some records themselves are not complete. These files are nonrecord copies used for reference only by the HABS/HAER staff and other NPS division personnel, and are not available to the general public.

Destroy when no longer needed. {Non-record}

4.6 HABS/HAER Reference Section

The HABS/HAER Reference Section consists of nonrecord books, magazines, professional journals, government publications, maps, pamphlets, brochures, and other reference materials that relate to architecture, engineering, and other such subjects that pertain to the work of HABS and HAER.

Nonrecord reference materials used by the HABS/HAER staff. Destroy when no longer needed or donate to an eligible organization in accordance with the provisions in 36 CFR 1228.60.

4.7 Library of Congress Subject Files

a. Correspondence and Memoranda

Correspondence, memoranda, notes, reports, and other documents between the CM Administrator, CM staff, and the Library of Congress Prints and Photographs management and staff.

(1) Electronic word processing and spreadsheet files

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

(2) Hard copies/printouts

Permanent. Cut off at the end of the FY, and transfer to the FRC when 5 years old. Transfer to the National Archives 10 years after cut off.

b. Policy and Procedure

Correspondence, memoranda, notes, reports, and other documentation that concern the management and administration of policies and procedures related to the management and administrative operations between the Library of Congress and HABS/HAER in the management, maintenance, and continued addition of formal and informal documentation to the HABS/HAER Collection at the Library of Congress.

Permanent. Cut off file when superseded by approved new and/or updated policies and procedures. Transfer to FRC when 5 years old, transfer to National Archives when 10 years old.

4.8 Mitigation Program Records

These files supplement the mitigation program records in the Office of the Deputy Chief, but pertain more specifically to the collection management operations of reviewing and transmitting mitigation documentation to the Library of Congress.

a. Acquisitions

Memos from NPS regions listing what documentation has been sent to the HABS/HAER office for acquisition, processing, and transmittal to the Library of Congress.

Cut off at the end of the FY. Destroy when 1 year old or no longer needed.

b. Correspondence and Memoranda

See also *Mitigation Program Records* under Office of the Deputy Chief of HABS/HAER for disposition of related files.

Correspondence, memoranda, notes, reports, and other documents between the CM Administrator, CM staff, and NPS regional coordinators concerning the management and administration of policies, procedures, and organization of mitigation documentation. These records in large part supplement mitigation records maintained the Office of the Deputy Chief.

Cutoff files at the end of the FY and transfer to the FRC 5 years after cutoff. Destroy 10 years after cutoff.

c. Numbers Requested

Requests via E-Mail or fax from NPS regional coordinators for HABS and/or HAER numbers for mitigation projects.

Cut off at the end of the FY. Destroy when 1 year old or no longer needed.

4.9 Collections Management Project Files

Correspondence, memoranda, notes, reports, and other documentation between the CM Administrator, CM staff, HABS/HAER management and staff, and individuals, organizations, universities, historical societies, and other institutions related to the development and progress of any type of non-recording (i.e., formal documentation) project in which HABS/HAER is involved.

Cut off at the end of the project, and transfer to the FRC when 5 years old. Destroy 10 years after cut off.

4.10 Vendor Contracts

a. Contract Files

Contracts, correspondence, memoranda, notes, reports and other documentation concerning legal agreements and establishment of contracts with various vendors for photographic and reprographic work or supplies necessary to complete HABS/HAER documentation projects.

- (1) Contracts under \$25,000: Cut off file at the end of the FY when superseded by new and/or updated contracts. Destroy 3 years after close of contract. {GRS 3, Item 3b}
- (2) Contracts over \$25,000: Cut off file at the end of the FY when superseded by new and/or updated contracts. Destroy 6 years and 3 months after close of contract. {GRS 3, Item 3a}

b. Reproduction Request Files

Files include but are not limited to the following: office copies of order forms, invoices from vendors, memos notifying payment of invoices, worksheets, copies of D-1 forms, and the like.

Destroy when 3 years old.

4.11 Records Management Files

a. Correspondence and Memoranda

Correspondence, memoranda, office directives, notes, reports, and other records that pertain to records management, record schedules, the policies and procedures related to the National Archives and Records Administration and HABS/HAER in the management, maintenance, and continued addition of HABS/HAER administrative records to Record Group 515 at the National Archives.

- (1) Electronic word processing and spreadsheet files

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

(2) Hard copies and printouts

Cut off at the end of the FY, and transfer to the FRC when 5 years old.
Destroy 10 years after cut off.

b. Approved Record Schedules

Cut off file when superseded by approved new and/or updated schedules. Destroy when no longer needed for reference.

4.12 Peterson Prize Records

See *Peterson Prize*, Item 3.4, under Office of the Deputy Chief of HABS/HAER for disposition.

Collections Management functions in a liaison capacity for the Peterson Prize under the direct supervision of the Deputy Chief of HABS/HAER. Files generated and maintained by CM for the Peterson Prize are combined with those of the Deputy Chief. The official files are authorized for disposition in the Deputy Chief's office.

4.13 Agreements

Permanent. See *Agreements*, Item 2.2, the Office of the Chief of HABS/HAER for disposition.

4.14 Audio and Visual Recordings

Permanent. See *Common Records of HABS/HAER, Audio and Visual Recordings* for disposition.

4.15 Awards and Commendations

Permanent. See *Common Records of HABS/HAER, Awards and Commendations* for disposition.

4.16 Budget

See *Budget*, Item 2.1b, under the Office of the Chief of HABS/HAER for disposition.

4.17 E-Mail

See *Common Records of HABS/HAER, E-Mail* for disposition.

4.18 Photographic Print, Negative, and Slide Collections

Permanent. See *Common Records of HABS/HAER, Photographs* for disposition.

4.19 Posters

Permanent. See *Common Records of HABS/HAER, Posters* for disposition.

4.20 Publications

Permanent. See *Common Records of HABS/HAER, Publications* for disposition.

OFFICE OF THE CHIEF OF HABS

Chapter 5

These records pertain to the management, administrative actions, and documentation projects of the Historic American Buildings Survey. Files are created and maintained by the Chief of HABS, as well as architects, historians, and photographers on the staff of HABS. These files include project leader files, correspondence, memorandums, reports, and other documents.

5.1 Correspondence Subject Files

Correspondence, memoranda, notes, reports, and other documents between the Chief of HABS, the staff and management of HABS/HAER, and individuals, organizations, institutions, universities, historical societies, etc., on the national, state, and local levels, that relate to the development or funding of HABS projects, HABS relationships with other organizations, and to the internal business and operations of the HABS unit..

a. Electronic word processing and spreadsheet files

Delete after the official record copy (printout) is placed in HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Hard copies and printouts

Permanent. Cut off at the end of the FY, and transfer to FRC when 5 years old. Transfer to the National Archives 10 years after cut off.

5.2 HABS Project Leader Files

Case files maintained by HABS project leaders that document the ongoing progress of a recording or documentation project until completion. If the project was developed by the project leader, then files may include correspondence, memorandums and related documentation between the project leader and sponsors pertaining to the establishment and funding of a project. Files may also include but are not limited to the following: general correspondence and memoranda at project management level, copy of the signed MOA, memorandums, budget information, lists of employees, basic personnel records/information, lists of contacts/sources/people connected with the project, and background information for the project including photographs and/or slides of initial visit to the structure or site, historical research notes, initial project plans, descriptive data, photographs of the structure or site that are not included in formal documentation transmitted to the Library of Congress, maps, drawings, plans and other architectural or project information.

Close files after formal documentation has been transmitted to the Library of Congress and transfer to the FRC 2 years after cutoff. Destroy 5 years after cutoff.

- * Note - See *Common Records of HABS/HAER, Photographic Prints, Negatives, and Slides*, for disposition of project photographs and slides.
- * Note - See *Common Records of HABS/HAER, E-Mail* for related documentation dispositions.
- * Note - See *Common Records of HABS/HAER, HABS and HAER Formal Documentation* for related documentation dispositions.
- * Note - See *Common Records of HABS/HAER, Publications (Newspaper Articles)* for related documentation dispositions.

5.3 Photographer's Project Files

Correspondence, memoranda, and log books that compliment the Project Leader Project Files (see *Office of the Chief of HABS, Project Files*) and pertain only to the photographic documentation of a project.

- a. Photographer's log books, photograph field notes, and exposure notes.

Offer to the Library of Congress with formal documentation or destroy 5 years after the project is closed

- b. All other records.

Destroy 5 years after the project is closed.

5.4 Audio and Visual Recordings

Permanent. See *Common Records of HABS/HAER, Audio and Visual Records* for disposition.

5.5 Awards and Commendations

Permanent. See *Common Records of HABS/HAER, Awards and Commendations* for disposition.

5.6 E-Mail

See *Common Records of HABS/HAER, E-Mail* for disposition.

5.7 Photographic Print, Negative, and Slide Collections

Permanent. See *Common Records of HABS/HAER, Photographs* for disposition.

5.8 Posters

Permanent. See *Common Records of HABS/HAER, Posters* for disposition.

5.9 Publications

Permanent. See *Common Records of HABS/HAER, Publications* for disposition.

OFFICE OF THE CHIEF OF HAER

Chapter 6

These records pertain to the management, administrative actions and documentation projects of the Historic American Engineering Record. Files are created and maintained by the Chief of HAER, as well as architects, historians, and photographers on the staff of HAER. These files include project leader files, correspondence, memorandums, reports, and other documentation.

6.1 Correspondence Subject Files

Correspondence, memoranda, notes, reports, and other documents between the Chief of HAER, the staff and management of HABS/HAER, and individuals, organizations, institutions, universities, historical societies, etc., on the national, state, and local levels, that relate to the business and operations of HAER.

a. Electronic word processing and spreadsheet files

Delete after the official record copy (printout) is placed in official HABS/HAER files, and when no longer needed for reference. [GRS 20, Item 13]

b. Hard copies and printouts

Permanent. Cut off at the end of the FY, and transfer to FRC 5 years after cut off. Transfer to the National Archives 10 years after cut off.

6.2 HAER Project Leader Files

Case files maintained by HAER project leaders that document the ongoing progress of a recording or documentation project until completion. If the project was developed by the project leader, then files may include correspondence, memorandums and related documentation between the project leader and sponsors pertaining to the establishment and funding of a project. Files may also include but are not limited to the following: general correspondence and memoranda at project management level, copy of the signed MOA, memorandums, budget information, lists of employees, basic personnel records/information, lists of contacts/sources/people connected with the project, and background information for the project: photographs and/or slides of initial visit to the structure or site, historical research notes, descriptive data, photographs of the structure or site that are not included in formal documentation transmitted to the Library of Congress, maps, drawings, plans and other architectural and project information.

Close files after formal documentation has been transmitted to the Library of Congress and transfer to the FRC 2 years after close. Destroy 5 years after closure.

- * Note - See *Common Records of HABS/HAER, Photographic Prints, Negatives, and Slides*, for disposition of project photographs and slides.
- * Note - See *Common Records of HABS/HAER, E-Mail* for related documentation dispositions.
- * Note - See *Common Records of HABS/HAER, HABS and HAER Formal Documentation* for related documentation dispositions.
- * Note - See *Common Records of HABS/HAER, Publications (Newspaper Articles)* for related documentation dispositions.

6.3 Photographer's Project Files

Correspondence, memoranda, and log books that compliment the Project Leader Project Files (see *Office of the Chief of HAER, Project Files*) and pertain only to the photographic documentation of a project.

- a. Photographer's log books, photograph field notes, and exposure notes.

Offer to the Library of Congress with formal documentation or destroy 5 years after the project is closed
- b. All other records.

Destroy 5 years after the project is closed.

6.4 E-Mail

See *Common Records of HABS/HAER, E-Mail* for disposition.

6.4 Audio and Visual Recordings

Permanent. See *Common Records of HABS/HAER, Audio and Visual Records* for disposition.

6.6 Awards and Commendations

Permanent. See *Common Records of HABS/HAER, Awards and Commendations* for disposition.

6.7 Photographic Print, Negative, and Slide Collections

Permanent. See *Common Records of HABS/HAER, Photographs* for disposition.

6.8 Posters

Permanent. See *Common Records of HABS/HAER, Posters* for disposition.

6.9 Publications

Permanent. See *Common Records of HABS/HAER, Publications* for disposition.

**U.S. Department of the Interior
National Park Service**

**Historic American Buildings Survey/
Historic American Engineering Record
(HABS/HAER)**

Records Disposition Schedule for Record Group 515

GLOSSARY

- **Cut off** - Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer to a FRC or the National Archives, and to permit the establishment of new files.
- **Destroy when no longer needed** - Applies to temporary records **only**. Records should be reviewed by the records manager to determine the proper means of destruction; some records may be disposed of in another means as HABS/HAER management see fit; e.g., HABS/HAER Office Copies of Formal Documentation, as maintained by Collections Management, may be sent to another repository rather than being physically destroyed.
- **End of project** - The formal end of a recording project is determined to be when all formal and informal documentation has been transmitted to the Library of Congress. The formal end of non-recording projects is determined to be when all actions are completed and the file is closed.
- **Federal records** - See "Records" below
- **Formal documentation** - All materials processed to archival standards and transmitted to the Library of Congress as a part of the HABS and HAER collections: written historical descriptive data, large format black-and-white photographs, hand-measured and delineated drawings, and photogrammetric images and CAD drawings.
- **FRC** - Federal Records Center, operated by NARA.
- **Informal documentation** - All materials that are not archival but are transmitted to the Library of Congress to compliment the formal documentation: field notes.
- **NARA** - National Archives and Records Administration.
- **Nonrecord** - Informational materials excluded from the legal definition of records, or that do not meet the requirements of that definition (See "Record" below). Nonrecords

include extra copies of documents kept only for the convenience of reference, stocks of publications, library or museum materials, supply and vendor catalogs, distribution copies of directives or manuals outside of the originating office, and the like.

- **Record** - as defined by the in 44 U.S.C. 3301, the Federal Records Act, federal records include “all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired or preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications and of processed documents are not included.”