

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-064-08-10	
TO NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 6/9/08	
1 FROM (Agency or establishment) National Archives & Records Administration		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Regional Records Services		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Regional Records Facilities			
4 NAME OF PERSON WITH WHOM TO CONFER Richard Marcus	5 TELEPHONE NUMBER 301-837-1942	DATE 9-16-09	ARCHIVIST OF THE UNITED STATES <i>Adrienne Sherman</i>
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 <u>7</u> page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE JUN - 6 2008	SIGNATURE OF AGENCY REPRESENTATIVE <i>Richard W Marcus</i> Richard W Marcus		TITLE NARA Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Office of Regional Records Services Regional Records Facilities Request to make previously approved Job No N1-064-07-005 (approved 11/13/07) media neutral See attached page(s)	N1-064-07-005	

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I. PROGRAM DIRECTION

Planning, managing, and evaluating all activities at NARA Regional Records Facilities

1 A. Region-Wide (Regional Administrator)

Directs and coordinates the performance of all NARA programs and activities assigned to regional records services facilities Sets overall goals and objectives in each region, assigning specific tasks and activities to operational units Evaluates program-wide activities to determine whether goals and objectives have been met

Disposition: PERMANENT Cut off at the close of the fiscal year Transfer to the National Archives in 5-year blocks when the newest records are 5 years old

2 B. Operational unit

Records related to planning, managing and evaluating activities and programs that are created in operational units

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy 5 years after cut off

3 ~~C. Transitory records~~

Disposition: ~~TEMPORARY Destroy when no longer needed, no later than when 180 days old (GRS23/7)~~

4 ~~D. Non-record material~~

Disposition: ~~TEMPORARY Destroy when no longer needed~~

II. ADMINISTRATIVE

The administrative functions include accounting and financial management, administrative support, personnel, and property and facilities management

5 A. Records of all administrative functions with the exception of those listed below.

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy when 3 years old

B. Records of administrative functions concerning the collection and expenditure of funds

- 6 1 Records that document the collection and expenditure of funds Examples include Property Management Officer/Accountable Officers' History Files, Time & Attendance, pre-1995 procurement transactions exceeding \$25,000 that used other than small purchase procedures, post-1995 procurement actions exceeding the simplified acquisition threshold, construction projects exceeding \$2000, and Travel

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy 7 years after cut off

- 7 2 Building records
Records documenting facilities, such as acquisition, major maintenance/renovation/improvements, quality of environment (For all other issues use II A)

Disposition: TEMPORARY Retain for life of asset
Transfer to purchaser or dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens

8 **C. Records tracking workload used as a source of billing data for the Federal Records Centers**

~~Records include customer service requests and internal NARA-generated operational data used to process RCP service requests, track work accomplished, and support billing information entry by the Centers into the Web Tally portion of RCPBS.~~

Disposition: TEMPORARY Cut off at the end of the fiscal year Destroy when 3 years old (N1-64-05-09)

~~Hardcopy supporting work documentation includes, but is not limited to Optional Form 11's, Trust Fund Requests, IRS batch sheets, TASK Daily Work Logs, and completed hardcopy Web Tally data entry sheets. Electronic data sources include extracts from various operational sources, including but not limited to Center-specific databases and barcode reader systems, CIPS request summaries, the NARS 5-34 Report and Daily Transactions, Web Tally.~~

D. Personnel records created and maintained by NR field units.

- 9 ~~1 Employee Name Files. Correspondence, forms, and other records relating to individual employees duplicated in or not appropriate for the OPE Also known as the UPF or supervisor's files Arranged alphabetically by name of employee.~~

Disposition: TEMPORARY Review annually and destroy superseded or obsolete documents, and destroy remaining file relating to an employee within 1 year after separation or transfer (GRS1/18)

~~NOTE For employees reassigned to another NARA unit, performance-related files and statements of employment and financial interest must be transferred to the new NARA supervisor.~~

- 10 2 All other records, including labor relations and occupational injuries

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/ transaction was completed or superseded
Destroy when 4 years old

Note This item includes GRS items that are administrative in function to NR for which a exception is being requested

11 **E. Transitory records**

Disposition: TEMPORARY Destroy when no longer needed, no later than when 180 days old (GRS23/7)

12 **F. Non-record material**

Disposition: TEMPORARY Destroy when no longer needed

III. PROGRAM OPERATION

Functions that directly fulfill NARA's mission

13 A. Regional Outreach

Includes promoting NARA and its programs to the government, researcher and educational communities, and the general public, within the region, development activities, public programs and exhibits. Comprises records that document outreach activities of the Office of the Regional Administrator, Records Management, Records Center, and Archives Programs. Examples include workshop presentations and records management training to Federal employees, workshops and educational materials for teachers and/or students, marketing materials, event planning and documentation materials, newsletters, sign in sheets, evaluations, customer surveys and similar information collections.

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded. Destroy 5 years after cut off.

14 B. Records Management Services

The Records Management Services function is responsible for appraising records to determine their long term evidentiary and informational value, providing guidance on records management regulations and their implementation, reviewing and developing schedules for the retention and disposition of Federal records, and, evaluating the effectiveness of records management programs in place in Federal agencies. Also included are conducting Targeted and technical assistance projects, commenting on policy guidance and professional matters, and participation or leadership in National Project Teams. **Please note that training, agency and professional outreach activities are covered under A. Regional Outreach.**

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded. Destroy 5 years after cut off.

C. Records Center Services

The Records Center Services function is responsible for maintaining and operating records centers, storing, processing, and servicing records in records centers, and negotiating local memoranda of agreement with Federal agencies for special services/projects. **Please note that training, agency and professional outreach activities are covered under A. Regional Outreach.**

15 1. Transfer
Records that document the process of transferring agency records to a Federal records center. Examples include tracking data, data input forms, deficiency and other correspondence. Does NOT include SF 135s for specific transfers or associated documentation related directly to a specific transfer such as e-mails, memoranda and box lists

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy when 3 years old

16 2. Reference/Records Services/Internal Operations
Records that document providing access to records, (also referred to as "reference,") and other records services provided by the RCP. Examples of records include OF 11's, tracking databases, and correspondence, examples of services include data entry, document digitization, "FastPack," access authorization, records pick-up and delivery etc. This disposition does not cover records documenting the handling of security classified records

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy when 3 years old

NOTE. Any records required for billing audit should be migrated to II C at the close of the fiscal year

3. Disposition

Records that document the disposition of records in the Federal records center

a All records of the Disposition function with the exception of those listed in b below. Included are disposal notices and related SF 135s

17 1 Records related to permanent transfers

Disposition: Forward to custodial unit assuming physical and legal custody of records

18 2 Records related to all other transfers

Disposition: TEMPORARY Cut off at the end of the fiscal year in which the project/activity/transaction was completed or superseded Destroy when 75 years old

19 b. SF115
Reference copies of agency schedules used by Records Center staff to verify the disposition authority on records

Disposition: TEMPORARY Destroy when superseded/obsolete

D. Archives Services

The Archives Services function is responsible for accessioning those records of Federal agencies determined by the Archivist to have sufficient historical value to warrant their continued preservation and making them available for reference. Activities include accessioning records from agencies and other sources, preparing and publishing finding aids, providing reference service, recommending to

the Archivist the disposal of records in the custody of NR, and providing assistance to agencies for preparing exhibits and displays
Please note that training, agency and professional outreach activities are covered under A. Regional Outreach.

1. Accessioning

Records that document the accessioning of agency records to the National Archives
Examples include SF 258s, tracking databases, correspondence etc

- 21 a All records of the Accessioning function with the exception of those listed in b below

Disposition: TEMPORARY Retain for life of asset
Transfer along with asset when de-accessioned OR
destroy 5 years after related asset is destroyed

- 22 b Location Register
Records that document the location of archival records held at the National Archives

Disposition: TEMPORARY Destroy when superseded

2. Processing/Preservation

Records that document the processing and preservation of permanent records held at the National Archives Examples include correspondence etc

- 23 a All records of the Processing/Preservation function with the exception of those listed in b below

Disposition: TEMPORARY Retain for life of asset
Transfer along with asset when de-accessioned OR
destroy when related asset is destroyed

- 24 b Surveys of Records Needing Treatment
Records that document the survey of records needing treatment

Disposition: TEMPORARY Destroy when superseded

3. Reference

Records that document the reference process for the National Archives Examples include tracking databases, and correspondence etc

- 25 a All records of the Reference function with the exception of those listed below

Disposition: TEMPORARY Destroy when 5 years old

- 26 b Agency Reference Files
Reference files used for research into functions and recordkeeping practices of Federal agencies or offices whose records are accessioned by NARA Included are records management surveys, copies of SF 115s, manuals, directives, and other issuances relating to the management and filing of agency records, copies of agency directories, and related records

Disposition: TEMPORARY Destroy when no longer needed

- 27 c User Registration/Retrieval Documentation
Records accumulated in issuing researcher identification cards, acquainting researchers

Disposition: TEMPORARY Destroy when 25 years old

with research room regulations, authorizing access to restricted or security-classified materials, and tracking movement of researchers, records pull slips, and documentation on loans to agencies or other entities

- 28 d Special Access Issues Files
Records created and/or accumulated by the FOIA request process and the mandatory review request process for accessioned records

Disposition: TEMPORARY Cut off files relating to an individual request when the request is fully resolved
Destroy 6 years after cut off

- 29 **4. Appraisal/Internal Disposal**
Records that document appraisals and disposals performed by Archives staff after accessioning agency records into the National Archives

Disposition: TEMPORARY Destroy when 10 years old

- 30 **~~E. Transitory records~~**

Disposition: TEMPORARY ~~Destroy when no longer needed, no later than when 180 days old- (GRS23/7)~~

- 31 **~~F. Non-record material~~**

Disposition: TEMPORARY ~~Destroy when no longer needed-~~