

LEAVE BLANK

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DATE RECEIVED

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1 FROM (Agency or establishment)

National Archives and Records Administration (NARA)

2 MAJOR SUBDIVISION

Office of Management and Administration

3 MINOR SUBDIVISION

Program Policy and Evaluation Division

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT

DATE _____

ARCHIVIST OF THE UNITED STATES

523-3214

4/28/88

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 209 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence ☐ is attached, or ☒ is unnecessary

B DATE

C SIGNATURE OF AGENCY REPRESENTATIVE

ID TITLE

Director, Program Policy
and Evaluation Division

8/6/46

Stephen E Kanowitz

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
(NARS USE
ONLY)

NARA's Comprehensive Record Schedule

The proposed record schedule has been divided into 18 functional areas for inclusion into the NARA Files Maintenance and Disposition Manual (FILES 203).

I concur with the revisions to this schedule.

Agency representative

Date _____

15 April '88

NARA Appraiser

Date 7/5

15 Apr 88

APPENDIX 1

MISSION AND ORGANIZATION

These records relate to the overall mission, policies, procedures, organization, planning, and publication activities of the National Archives and Records Administration (NARA).

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
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POLICIES AND PROCEDURES

~~101 Organizational Files~~

~~Organizational charts and reorganization studies.
Graphic illustrations which provide a detailed
description of the arrangement and administrative
structure of the functional units of NARA.
Reorganization studies are conducted to design an
efficient organizational framework most suited to
carrying out NARA's programs and include materials
such as final recommendations, proposals, and staff
evaluations. These files also may contain
administrative maps that show regional boundaries
and the location of NARA Presidential Libraries,
Federal Records Centers, and National Archives Field
Branches. Annual acc.: less than 1 cu. ft.~~

~~PERMANENT. Offer to NARA in 5-year
blocks when 20 years old. (GRS 16,
item 13a)~~

102 NARA Regulations Case Files

Case files containing a copy of proposed or final
regulations; materials submitted for inclusion in
the Federal Register; internal NARA, other agency
and public comments; copy of published regulation,
and related records.

FILES 203

102-1	Official case file maintained by NAA. Arranged by regulation. Annual acc.: less than 1 cu. ft. Current vol.: 1 cu. ft.	PERMANENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.	11B25a
102-2	Unofficial case files maintained by other offices.	Destroy when superseded, obsolete, or no longer needed for reference.	9C2
103	<u>External Directives Case Files</u> Documents reflecting the preparation, review, clearance, and publication of external directives, such as records management handbooks and NARA Bulletins. Included are comments on the directive, memorandums reconciling or explaining comments, the original and a copy of the printed directive, and all records which document important aspects of the development of the directive.		
103-1	Official case files maintained by originating office. Arranged by directive number. Annual acc.: less than 1 cu. ft. Current vol.: 1 cu. ft.	PERMANENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.	11B25a
103-2	Unofficial case files maintained by other offices.	Destroy when superseded, obsolete, or no longer needed for reference.	9C2
104	<u>Internal Directives Case Files</u> Directives reflecting the preparation, review, clearance, and publication of internal NARA program and administrative directives. Included are comments on the directive, memorandums reconciling or explaining comments, the original and a copy of the printed directive, and all records which document important aspects of the development of the directive.		

104-1	Official case files maintained by NAA. Arranged by directive number. Annual acc.: 1 cu. ft. Current vol.: 5 cu. ft.	PERMANENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.	11B25a
104-2	Unofficial case files maintained by other offices.	Destroy when superseded, obsolete, or no longer needed for reference.	9C2
105	<u>Numbered Memos - INTERIM GUIDANCE</u> Interim directives, prepared in memo format by Central Office program and staff offices, containing information that will be incorporated into an internal directive. These interim directives are identified by an identification number following the subject and the words "INTERIM GUIDANCE." These numbered memos will be incorporated into the appropriate internal directive within 6 months after issuance.		New
105-1	NAA copy.	Place in official directives case file. See 104-1 for disposition of case file.	
105-2	Originating office copy and related background materials.	Destroy when superseded, obsolete, or no longer needed for reference.	
105-3	Other copies.	Destroy when superseded, obsolete, or no longer needed for reference.	
106	<u>Numbered Memo - NOTICES</u> <i>issued since October 1, 1987, ★</i> Numbered notices, prepared in memo format by Central Office program and staff offices and field units, containing administrative and program information of a transitory nature. These notices are identified by the word "NOTICE" following the memo number.		New

Aop. 1-3

★ Numbered Memos issued prior to Oct. 1, 1987, will be scheduled separately.

(For case files resulting from a Numbered Memo - NOTICE, see the appropriate program file for disposition instructions.)

106-1	Originating office copy and related background materials.	COFF annually. Destroy when 1 year old or when no longer needed.
106-2	Other copies.	Destroy when no longer needed for reference.

107 Policy and Precedent Reference Files

Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent reference files consist of extra copies of operating procedures, statements of policy or procedure, and other documents duplicated in official files. Original or record copies will not be placed in this file. This file consists of nonrecord copies maintained only for convenience of reference.

Destroy when documents become obsolete or are no longer needed for operating or reference purposes.

9C4

PROGRAM DIRECTION

108 Archivist and Deputy Archivist Program and Policy Records

Correspondence, memoranda, reports, forms, and other records accumulated by the Archivist and Deputy Archivist which pertain to the administration and operation of NARA programs. They document policymaking decisions or significant program management functions. Arranged by subject. Ann. acc.: 3 cu. ft. Current vol.: 14 cu. ft.

PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 15 years old.

9D1

109 Program Subject Files

Correspondence, memoranda, reports, forms, and other records accumulated by NARA officials in managing and carrying out assigned functions. They document policymaking decisions or significant program management functions. Excluded are files specifically described elsewhere in this manual.

109-1 Records accumulated by Office Heads, Staff Directors, and the Executive Director, National Historical Publications and Records Commission. Arranged by subject. Ann. acc.: 10 cu. ft. Current vol.: 20 cu. ft. PERMANENT. COFF annually, hold 3 years, and retire to FRC. Offer to NARA in 5-year blocks when 15 years old. 9D1

109-2 Records accumulated by Division Directors in the Washington, DC, area and Directors of field office activities. *a. Records relating to substantive programs not duplicated at a higher level.*

b. Other records.

COFF annually, hold 3 years, and retire 9D5 to FRC. Destroy when 7 years old.

a. PERMANENT COFF annually. Transfer to FRC when 3 years old. Transfer to the National Archives in 5 year blocks when 15 years old.

110 Routine Program Administration Files

Correspondence, memoranda, reports, forms, and other records relating to the general administration of a program, but not specific files described elsewhere in this manual. When any of the documents in this file results in the initiation of, or affects a specific program process, project, directive, or case, the record copy must be filed in the official file relating to that particular activity or action.

COFF annually. Destroy when 2 years old.

9D10

111 NARA Strategic Planning Files

Copies of the NARA Strategic Plan, correspondence, memoranda, working papers, and other records pertaining to developing, implementing, and monitoring the NARA Strategic Plan which contains major NARA goals, objectives, strategies, and tasks.

New

FILES 203

111-1	Record copy of the NARA Strategic Plan maintained by NAA. Annual acc.: less than 1 cu. ft.	PERMANENT. COFF after a new plan is issued. Offer to NARA when 10 years old.	
111-2	Background materials maintained by NAA.	COFF after new plan is issued. Destroy when 5 years old.	
111-3	Records maintained by other offices.	COFF after new plan is issued. Destroy when 2 years old.	
112	<u>Program Review Files</u>		
	Copies of program review documents used to formally brief the Archivist on major program activities.		New
112-1	Record set of program review documents maintained by NAA. Arranged chronologically. Ann. acc.: 1 cu. ft.	PERMANENT. COFF annually, hold 5 years and retire to a FRC. Offer to NARA in 10-year blocks when 10 years old.	
112-2	Other copies.	COFF annually. Destroy when 2 years old.	
113	<u>Quarterly Reports</u>		
	Quarterly reports of program activities sent by Office Heads and Staff Directors to the Archivist, and those prepared by division and branches.		New
113-1	Record copy sent to Archivist and maintained by NAA. Arranged chronologically. Ann. acc.: less than 1 cu. ft. Current vol.: 1.5 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 20 years old.	
113-2	Other copies.	COFF annually. Destroy when 2 years old.	

113-3 Quarterly reports (feeder reports) prepared by divisions and branches for Office Heads.

a. Reports prepared by NN and NL.

See item 1402-1a for disposition instructions.

b. Reports prepared by other offices.

COFF annually. Destroy when 3 years old.

COMMITTEES

114 Committee Management Officer Files

Documents accumulated in exercising control over the establishment, use, and dissolution of committees. Included are proposals, approvals, and disapprovals to establish, continue, or dissolve committees; copies of directives authorizing the establishment of committees, committee inventory data; and related papers. These files are maintained by NAA. (See item 115 for documents retained by committees.)

114-1 Interagency, advisory, or international committees.

COFF on disapproval or dissolution of the committee. Hold 1 year and retire to FRC. Destroy when 10 years old.
~~(GRS 16, item 12a(1))~~

12A5

~~114-2~~ Internal committees.

COFF after termination of committee. Destroy when 2 years old. (GRS 16, item 12a(2))

~~12A5~~

115 Committee Files

Records created by committees.

115-1 Agenda, minutes, final reports, and related records documenting the membership, policy, and accomplishments of official boards and committees.

a. Records of the sponsor or Secretariat. Arranged by committee. Ann. acc.: 3 cu. ft.

PERMANENT. Offer to NARA after termination of Committee. ~~GRS 16, item 12b(1)(a))~~

9C6a

b. All other copies.

Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (GRS 16, item 12b(1)(b))

9C6b

115-2 All other committee records.

Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (GRS 16, item 12b(2))

9C6b

116 Committee Liaison Files

Documents accumulated by NDX in serving as liaison between the Archivist and various internal and external committees. Included are proposed agenda topics, agreements, correspondence, reports, and related documents.

PERMANENT.
COFF after termination of committee.
~~Submit to 258.~~ *Transfer to the National Archives in 5 year blocks when 10 years old,*

SPECIAL STUDIES

117 Special Studies and Project Records

Records accumulated as a result of a special study or project conducted by an individual office, task force, or working group.

New

117-1 Final Report.

PERMANENT

COFF at end of study or project.

~~Submit SF-258:~~ *Transfer to the National Archives in 5 year blocks when 10 years old.*

117-2 Working Papers.

COFF at end of study or project, hold 3 years and retire to FRC. Destroy when 15 years old.

RESEARCH AND EVALUATION

118 Research and Evaluation Program Files

Program documents, schedules, correspondence, and related records relating to the general planning and supervision of the programs. Arranged by subject. Ann. Acc.: 1 cu. ft. Current vol.: 4 cu. ft.

COFF

PERMANENT. ~~Offer to NARA~~ when no longer needed for current operations. *New*

~~GRS 19, item 1~~ *Transfer to the National Archives in 10 year blocks when 20 years old.*

119 Research and Evaluation Technical Report Files

Technical reports or unpublished manuscript of report prepared in connection with a project, final narrative reports, statistical and graphic compilations, summarizations, and analyses.

New

119-1 Record copy maintained by NSZ. Arranged by project. Ann. Acc.: less than 1 cu. ft. Current vol.: 2 cu. ft..

PERMANENT. COFF at completion of project. Offer to NARA in 10-year blocks when 20 years old. ~~GRS 19, item 7)~~

119-2 Other copies.

Destroy when no longer needed for reference. ~~GRS 19, item 7)~~

120 Research and Evaluation Project Case Files

Records accumulated reflecting complete history of each project from initiation through research,

COFF at completion of project. ~~Submit SF-258~~ *New*

a. Projects having ^{App. 1-9} significant impact on NARA policies and programs,

PERMANENT, Transfer to the National Archives in 5 year blocks when 5 years old.

b. Other projects,

Destroy when 10 years old.

development, design, and testing, to completion. Included are procurement files, project authorization documents, technical characteristics, test and trial results, drawings, specifications, photographs, technical and progress reports, correspondence, and related project materials.

PUBLICATIONS

121 Annual Report to Congress

Documents accumulated in compiling NARA's Annual Report to Congress. Included are copies of the report, feeder reports on NARA activities and achievements, and related records.

121-1	Record copy of report.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 5 years old.	20A40
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121-2	Background records.	COFF annually. Destroy when 2 years old.	20A40
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122 NARA Publications

Documents accumulated in editing, printing, and publishing NARA publications, including books, microfilm publications, guides, special lists, handbooks, booklets, and serial publications such as Prologue. (Maintenance and disposition instructions for regulations, directives, speeches, and news releases are described elsewhere in this manual.)

122-1	Record copy of each publication maintained by NE. Arranged by type of publication. Annual acc.: 1 cu. ft. Current vol.: 1.5 cu. ft.	PERMANENT. COFF annually. Offer to NARA for accessioning into RG 64 in 5-year blocks when 5 years old.	72B1 a
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FILES 203

122-2	Copy of each publication maintained for reference use.	Immediately after publication, originating office must send ^{ies} a copy of the publication to NNIL (Library).	New
122-3	Printers' galleys, graphics, working papers, copies of publications, and related records.	Place in inactive file after publication has been printed. COFF inactive file annually. Destroy when 2 years old.	72B1b
122-4	Photographs, negatives and prints used in publications.	Destroy when superseded or obsolete.	New
123	<u>Freelance Editorial Vendors File</u>		
	Documents relating to freelance editorial vendor services.		New
123-1	Invoices, log of current budgetary balance, mailing lists, and related records.	COFF annually. Destroy when 2 years old.	
123-2	Resumes, examples of work, and evaluations.	Destroy when superseded or obsolete.	
124	<u>Employee Newsletters</u>		
	Documents accumulated in editing, publishing, and distributing NARA employee newsletters. Included are record copies of each publication, notes, editorial materials, and related records.		
124-1	Record copies of each newsletter maintained by the office originating the publication. Arranged by name of publication and chronologically thereunder. Annual acc.: 6 inches. Current vol.: less than 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 20 years old.	20A35a

124-2 Background materials.

COFF after publication of each newsletter. Destroy when 1 year old.

20435c

125 NARA Histories

NARA histories and selected background materials. Narrative agency histories including oral history projects prepared by agency personnel or by private historians under contract to NARA.

125-1 Narrative histories, oral histories, transcribed interviews with past and present personnel, copies of tapes and transcripts, and deeds of gift. Annual acc.: less than 1 cu. ft.

PERMANENT. Offer to NARA in 5-year blocks when 20 years old. (GRS 16, item 13c)

GAS
16/13c

125-2 Background materials, including electrostatic copies of agency documents made for convenient reference.

COFF at end of project. Destroy when 10 years old.

AUDIOVISUALS

126 Still Photography

Items offered for permanent retention must include the following record elements:

a. Black-and-white and color negative photography: the original negative, a captioned print, and, for color negative photography, a duplicate negative if one exists;

b. Color transparency and slide photography: the original and a duplicate; and

~~Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.~~

126-1

Photographs which depict significant events, personalities, and other subjects relating to the mission and activities of NARA in particular and American history in general. Included are photographs of dedication ceremonies and official events in the Rotunda, Presidential Libraries, and other facilities; visits from officials and significant citizens; and major program activities. Excluded are photographs filed in the Exhibit Case Files, item 1618. Arranged by subject. Ann. Acc.: less than 1 cu. ft.

PERMANENT. COFF annually. ^{Transfer} Offer to NARA in 5-year blocks when 10 years old.

~~126-2~~

~~Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.~~

~~Destroy when 1 year old or when no longer needed. (GRS 21, item 1)~~

GRS 21/

126-3

Official portraits of the Archivist, Deputy Archivist, and other senior NARA officials. Arranged by person's name. Annual Acc.: less than 1 cu. ft.

PERMANENT. ^{Transfer} Offer to NARA when no longer needed for current operations.

~~126-4~~

~~Passport photographs.~~

~~Destroy when 5 years old or when no longer needed. (GRS 21, item 2)~~

GRS 21/2

~~126-5~~

~~Internal personnel and administrative training filmstrips and slides of programs that do not reflect NARA's mission.~~

~~Destroy 1 year after completion of training program. (GRS 21, item 3)~~

GRS 21/3

~~126-6~~

~~Duplicate photographs and negatives.~~

~~Destroy when no longer needed. (GRS 21, item 4)~~

GRS 21/4

127

Motion Pictures

Items offered for permanent retention must include the following record elements:

a. NARA-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 a video recording;

b. Acquired films: two projection prints or one projection print and a video recording;

c. 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.

127-1

NARA-sponsored films intended for public distribution. (These include informational and educational films.)

Transfer
PERMANENT ~~offer~~ to NARA
~~Submit GE 115. (GRS 21, item 20)~~
when 5 years old, ~~or when~~

127-2

NARA-sponsored training films that explain agency functions or activities intended for internal or external distribution.

Transfer
PERMANENT ~~offer~~ to NARA
~~Submit GE 115. (GRS 21, item 23)~~
when 5 years old,

127-3

Stock footage, outtakes, and trims created during the course of a NARA-sponsored production.

Offer immediately for deposit in the *GRS 21/2*
stock film collection, Special Archives
Division, NARA. (GRS 21, item 27)
*Destroy when no longer needed
for stock film collection.*

~~127-4~~

~~Films acquired from outside sources for personnel and management training.~~

~~Destroy one year after completion of
training program. (GRS 21, item 15)~~

GRS 21

128 Video Recordings

Items offered for permanent retention must include the original or earliest generation of recording, and a dubbing if one exists.

128-1 NARA-sponsored video productions intended for public distribution. (These include informational and educational productions.)

Transfer
~~PERMANENT. Submit to~~
~~Submit SP 115. (GRS 21, item 36)~~
NARA when 5 years old.

128-2 NARA-sponsored training programs that explain agency functions or activities (other than those identified in item 129-3) intended for internal or external distribution.

Transfer
~~PERMANENT. Submit to~~
~~Submit SP 115. (GRS 21, item 39)~~
NARA when 5 years old.

128-3 Recordings of public meetings or speeches, NARA-sponsored conferences, guest speakers, and testimony of agency officials before the Congress and at other hearings.

Transfer
~~PERMANENT. Submit to~~
~~Submit SP 115. (GRS 21, item 41)~~
NARA when 5 years old.

~~128-4 Programs acquired from outside sources for personnel and management training.~~

~~Destroy 1 year after completion of training program. (GRS 21, item 22)~~

GRS 21/

~~128-5 Internal personnel and administrative training programs that do not reflect the mission of the agency. (These include "role-play" sessions, management and supervisory instruction, etc.)~~

~~Destroy 1 year after completion of training program. (GRS 21, item 31)~~

GRS 21/

~~128-6 Recordings that document routine meetings and award presentations.~~

~~Destroy when no longer needed. (GRS 21, item 34)~~

GRS 21/

~~128-7 Duplicate dubbings and pre-mix elements.~~

~~Destroy when no longer needed. (GRS 21, item 35)~~

GRS 21/

129

Related Documentation

- ~~129-1~~ Finding aids for identification, retrieval, or use. Dispose of according to instructions covering the related audiovisual records. *GRS 21/6.*
 (May include indexes, catalogs, shelf lists, log books, caption sheets, shotlists, continuities, etc., and may be in text, card, microform, or machine-readable format.)
- ~~129-2~~ Production files or similar files that document origin, development, acquisition, use, and ownership. (May include scripts, contracts, transcripts, releases, etc.) Dispose of according to instructions covering the related audiovisual records. *GRS 21/6.*
 (GRS 21, item 52)

~~129-3~~Posters

130

Posters created by NARA for distribution government-wide or to the public.

PERMANENT, Transfer 2 copies to the National Archives when 5 yrs old.

APPENDIX 2

GENERAL ADMINISTRATION

These records relate to the general administrative activities of NARA. Items 201 through 212 describe records that generally serve facilitative or informational purposes common to most offices. Items 213 through 260 describe records relating to employee training programs, studies and reports of archival and management programs, information management activities, and emergency planning.

OFFICE ADMINISTRATION

CROSS-OVER
FROM GSA HB

201 Files Plan

Files Plan (NA Form 2003) showing records maintained by an office.

201-1 Record copy of Files Plan maintained by the office responsible for the records. (Place Files Plan in first folder of file drawer or, in the case of nonstandard filing equipment, post the plan in a conspicuous location. See ch. 2-15.)

COFF with related files. Destroy when 9A1 all related files are destroyed or retired.

201-2 Copies maintained by NAA, Records Liaison Officers, and Administrative Officers.

COFF annually. Destroy on receipt of a 11C5 revised plan or discontinuance of the plan.

202 Reading Files

Copies of outgoing communications which are maintained for review by staff members.

202-1 Reading files of the Archivist and Deputy Archivist. Ann. acc.: less than 1 cu. ft.

PERMANENT. COFF in 6-month blocks. Offer to NARA in 5-year blocks when 10 years old.

9D1

FILES 203

202-2	Reading files of Office Heads and Staff Directors.	COFF in 6-month blocks. Destroy when 3 years old.	9B30
202-3	All other reading files.	COFF in 6-month blocks. Destroy when 6 months old. (GRS 23, item 1)	9B30

~~203 Suspense Files~~

~~Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply is expected and, if not received, should be traced on a given date.~~

203-1	A note or other reminder to take some other action.	Destroy after action is taken. (GRS 23, item 3a)	9A5a
203-2	The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.	Withdraw papers when reply is received. If suspense copy is an extra copy, destroy immediately. If the suspense copy is the file copy, incorporate it into the official files. (GRS 23, item 3b)	9A5b

~~204 Schedules of Daily Activities~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of NARA employees. (Calendars, schedules, and similar documents maintained on computers must be printed out daily and retained on paper.)~~

204-1	Records containing substantive information relating to the official activities of the Archivist, Deputy Archivist, Office Heads, Staff Directors, and	COFF upon the individual leaving the position. Submit SF 258. If the offer is not accepted, destroy the records	9B
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	Special Assistants to the Archivist and Deputy Archivist, the substance of which has not been incorporated into memoranda, reports, correspondence, or other records included in the official files.	when they are 6 years old. (GRS 23, item 2a)	
204-2	Records of other NARA employees containing substantive information relating to official activities, the substance of which has not been incorporate into official files.	COFF annually. Destroy when 2 years old. (GRS 23, item 2b)	
204-3	All other materials	Destroy when no longer needed. (GRS 23, item 2c)	
205	<u>Office Administration Files</u>		
	Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. Excluded are records soecifically described in Appendixes 1 through 12.	COFF annually. Destroy when 2 years old.	9B1
206	<u>Administrative Tracking Files</u>		
	Automated tracking systems established to monitor the current status, progress, or location of projects or administrative documents.	Transfer status report with relevant project case file or destroy when superseded or cancelled.	New
207	<u>Routine Control Files</u>		
	Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records chargeout, and other similar records used solely to control work flow and	Remove from related records and destroy when work is completed or when no longer needed for operating purposes. (GRS 23, item 5)	

to record routine and merely facilitative actions taken.

208 Designation Files

208-1	Correspondence, memoranda, and forms designating certain employees the authority to sign time and attendance cards, property passes, printing requisitions; to certify invoices; to control personal property; and other duties and responsibilities as assigned.	COFF when superseded or obsolete. Destroy 2 years after COFF.	9B1, 19A1
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209 Employee Publication Review Files

Reviews by Office Heads or Staff Directors of publications authored by NARA employees. Included are requests for reviews, responses, and copies of the publications.	COFF annually. Destroy when 2 years old.	New
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210 National Archives Assembly Files

Correspondence, memoranda, and other records accumulated by NARA offices relating to employee participation in National Archives Assembly activities.	Destroy when superseded, obsolete, or no longer needed for reference.	New
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211 Reference Publication Files

Copies of NARA internal and/or external directives; NARA publications, and publications issued by other Government agencies and non-Governmental organizations maintained for reference within an office. These files are normally kept in binders and filed in bookcase units.	Destroy when superseded, obsolete, or no longer needed for reference purposes.	9B31
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212 Unscheduled Records

Files not described in this manual which document the performance of a specific function, process, or transaction, and for which no disposition has been approved.

Submit SF 115.

9C5

TRAINING

213 Training Records

Files accumulated in developing training programs for NARA employees. Included are files pertaining to the Career Intern Development System (CIDS) program and other employee training sponsored by the Personnel Services Division (NAP) and/or other NARA offices. Program records relating to NARA-sponsored training for employees of other agencies and/or the general public are described in other appendixes to this manual: i.e., item 1305, Records Management Workshop, Conference, and Training Course Files.

213-1 NARA Training Aids. One copy of each manual, syllabus, textbook, and other training aid developed by NARA.

Destroy when superseded or obsolete.
~~(GRS 1, item 30a(1))~~

10A35

~~213-2 Other Training Aids. Training aids from other agencies or private institutions.~~

~~Destroy when obsolete or superseded.
(GRS 1, item 30a(2))~~

213-3 General files of NARA-sponsored training. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses, and conferences.

COFF annually after completion of a specific program. Destroy when 5 years old. (GRS 1, item 30b(1))

213-4 Background and workpapers.

COFF annually. Destroy when 5 years old. (GRS 1, item 30b(2)).

213-5 External training. Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions. Destroy when 5 years old or when superseded or obsolete, whichever is sooner. (GRS 1, item 30c)

213-6 Course announcement files. Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government organizations. Destroy when superseded or obsolete. (GRS 1, item 30c)

PROGRAM CONTROL

214 NARA Fee Schedule

Correspondence, memoranda, studies, reports, working papers, and other records relating to preparing the NARA fee schedule.

New

214-1 Case file maintained by NAA. COFF upon issuance of the fee schedule, hold 7 years, and retire to FRC. Destroy when 15 years old.

214-2 Copies of the fee schedule maintained by all offices. Destroy when superseded or obsolete.

214-3 Other records maintained by other offices. Destroy when no longer needed for reference.

215 Special Fee Projects

Cost analyses, correspondence, and reports relating to establishing fees for special reproduction projects.

COFF upon completion or termination of project. Destroy when 10 years old.

New

216 A-76 Policy and Procedures Files

Correspondence, memoranda, and other records relating to policies and procedures for acquiring commercial or industrial type products and services needed by NARA.

New

- | | | |
|-------|--|---|
| 216-1 | Correspondence, memoranda, and other records relating to NARA policies and procedures for implementing OMB Circular A-76. Files are maintained by NAA. | COFF when superseded or obsolete.
Destroy 1 year after COFF. |
| 216-2 | Inventory submissions to OMB, inventory notices for the Federal Register, and related material. | COFF annually. Destroy when 2 years old. |
| 216-3 | Copies of OMB Circular A-76, implementing instructions, and related materials issued outside of NARA. | Destroy when superseded, obsolete, or no longer needed for reference. |

217 A-76 Studies

Correspondence memoranda, working papers, tabulations, and other records relating to individual reviews of NARA commercial or industrial type activities and to productivity reviews required under OMB Circular A-76. Procurement files related to A-76 solicitations are filed under Appendix 5 or in the designated program procurement file.

New

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|-------|--|--|
| 217-1 | Case files maintained by office conducting the study. | COFF upon completion of study, hold 1 year, and retire to FRC. Destroy when 7 years old. |
| 217-2 | Records maintained by NSA as part of independent review process. | COFF upon completion of study, hold 1 year, and retire to FRC. Destroy when 6 years old. |

FILES 203

217-3	Records maintained by NAA.	COFF upon completion of the study. Destroy when 7 years old.	
218	<u>Internal Control Policies and Procedures Files</u>		
218-1	Correspondence, memoranda, and other records relating to internal control policies and procedures under OMB Circular A-123, Internal Control Guidelines.	Destroy when superseded, obsolete, or no longer needed for reference.	New
219	<u>Vulnerability Assessment Files</u>		
219-1	Correspondence, memoranda, reports, studies, and other records relating to assessing the susceptibility of NARA and its programs to loss or unauthorized use of resources, errors in reports and information, illegal or unethical acts, and/or adverse or unfavorable public opinion.	COFF after assessment report. Destroy 3 years after COFF.	New
220	<u>Internal Control Review Files</u>		
	Correspondence, memoranda, reports, and similar records relating to studies or reviews of internal controls.		New
220-1	Records maintained by NAA.	COFF annually, hold 2 years and retire to FRC. Destroy when 5 years old.	
220-2	Records maintained by other offices.	COFF annually. Destroy when 1 year old.	

221 A-123 Annual Report

221-1	Annual report to Congress and the President concerning agency implementation of A-123. Arranged by year. Ann. acc.: less than 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 10 years old.	New
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221-2	Documents accumulated in preparing the annual report.	COFF annually. Destroy when 1 year old.	New
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222 Management Improvement Study Files

Documents accumulated by NAA in conducting studies which result in initiation of changes in the manner or method of planning, directing, controlling, or doing work which results in increased effectiveness, efficiency, and economy.

~~12A10~~

222-1	Case files containing studies, charts, coordination papers, recommendations, statistical data, and related records. Arranged by study. Ann. acc.: 2 cu. ft. Current vol.: 1 cu. ft.	PERMANENT. COFF annually upon completion of study, hold 5 years, and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.
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222-2	Documents used as background material in developing and completing management improvement studies. Included are analysis, notes, drafts, interim reports, and data used but not included in the official case file.	COFF after completion of the related study. Destroy when 3 years old.
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INFORMATION MANAGEMENT

223 Clearance Comments Files

Comments on directives, plans, and similar publications prepared by another office.

FILES 203

223-1	Office requesting comments.	Place comments in appropriate functional file; i.e., directives case file.	11B25
223-2	Office submitting comments.	COFF annually. Destroy when 2 years old.	9C1e
224	<u>Federal Register Liaison Records</u>		
224-1	Designation of liaison officer and certifying officer.	Destroy when superseded.	11B15
224-2	Other correspondence with the Federal Register relating to liaison activities, including requests for emergency publication of documents and corrections to previously published documents. (NOTE: Place published copy of correction document in case file of corrected regulation or notice.)	COFF annually. Destroy when 1 year old.	11B15
225	<u>Routine Federal Register Notices</u>		
	Federal Register notices of a routine nature (i.e., closing of search rooms), not filed elsewhere in this appendix.		
225-1	Files maintained by NAA.	COFF annually. Destroy when 3 years old.	11B25
225-2	Files maintained by other offices.	COFF annually. Destroy when 1 year old.	9C2

226	<u>Unified Agenda</u>		
226-1	NARA regulatory agenda materials developed for publication in the Unified Agenda of Federal Regulations.	COFF annually. Destroy when 2 years old.	11B15
227	<u>External Directory Updates</u>		
	Correspondence, forms, and other records accumulated in providing information on the NARA organization, facilities, and services for publication in external documents such as the U.S. Government Manual, the Congressional Directory, the Catalog of Federal Domestic Assistance, and similar publications.	COFF annually. Destroy when 1 year old.	New
228	<u>Questionnaire Files</u>		
	Correspondence, memoranda, and copies of questionnaires relating to NARA-wide policies, procedures, functions, organization, and activities received and answered by NARA for archival institutions, historical organizations, Federal entities not identified elsewhere in the schedule, and similar organizations and institutions.		New
228-1	Records maintained by NAA.	COFF annually. Destroy when 4 years old.	
228-2	Records maintained by other offices.	COFF annually. Destroy when 1 year old.	
229	<u>Reports Control</u>		
	Documents accumulated by NAA in controlling internal and external reports.		

229-1	NARA-Generated Reports. Case files maintained for each agency report created or proposed including public use reports. Included are clearance forms, such as the Request for OMB Review (SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	Place in inactive file after the report is discontinued. Destroy when 2 years old. (GRS 16, item 8)	
229-2	Interagency and Congressional Reports. Files maintained by NAA for purposes of tracking reporting requirements placed on NARA by other agencies, the Office of Management and Budget, and Congress.		New
	a. Case files containing correspondence; copies of authorizing directives and regulations, including OMB Circulars; copies of pertinent forms or descriptions of format, preparation instructions, and documents relating to continuation, revision, and discontinuance of reporting requirements.	Place in inactive file after the report is discontinued. Destroy when 2 years old.	
	b. Working papers including notices sent to offices as a reminder that reports are due, copies of reports, and general correspondence.	COFF annually. Destroy when 2 years old.	
229-3	Registers. Computer-generated registers and similar registers used to track reports.	Destroy when superseded or obsolete.	New
230	<u>Forms Requirements Files</u>		
	Documents accumulated in the preparation, review, printing, and maintenance of requirements for forms. Included are requests for and changes to forms requirements, printing requisitions, printouts of form listings, inventory of forms requirements, and related records.		11A35

FILES 203

230-1	Printouts.	COFF annually. Destroy when 1 year old.	
230-2	Other records.	COFF annually. Destroy when 2 years old or when no longer needed.	
231	<u>Forms Registers</u>		
	Registers used to record and control the numbers and other identifying data assigned to each form.	Destroy when no longer needed.	11A1
232	<u>Forms Case Files</u>		
	Numerical case files consisting of the record copy of each NARA-originated form with related instructions and documentation showing inception, scope, and purpose of the form.		
232-1	Official case files maintained by NAA.	Destroy 5 years after related form is discontinued, superseded, or cancelled. (GRS 16, item 4a)	
232-2	Working papers, background materials, requisitions, specifications, and processing data maintained by NAA and NCP.	Destroy when related form is discontinued, superseded, or cancelled. (GRS 16, item 4b)	
232-3	Files maintained by other offices.	COFF annually. Destroy when 2 years old.	11A5
233	<u>Stationery Files</u>		
	Reports, correspondence, memoranda, lists, printing specifications, master copies of stationery, and other records pertaining to NARA stationery.	Destroy when superseded, obsolete, or no longer needed for reference.	New

234 Printing Requisition Files

Requisitions, and related background material sent to the Government Printing Office, or to other approved printing sources.

234-1	Records maintained by NAA.	Destroy 3 years after completion or cancellation of requisition.	17A35
234-2	Records maintained by other offices.	COFF monthly. Destroy when 6 months old.	9B40a

EMERGENCY PLANNING

235 Emergency Planning Administrative Correspondence Files

Correspondence files relating to administration and operation of the NARA emergency planning program, not covered elsewhere in this schedule.

COFF annually. Destroy when 2 years old. (GRS 18, item 27)

236 Emergency Planning Case Files

236-1	Case files containing a copy of each plan or directive issued, with related background papers.	Destroy 3 years after issuance of a new plan or directive. (GRS 18, item 28b)
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237 Emergency Directives Reference Files

Copies of directives and plans issued by NARA, as well as those issued by the Federal Emergency Management Agency (FEMA), other Federal agencies, State and local governments, and the private sector.

Destroy when obsolete or superseded. (GRS 18, item 29)

~~238 Emergency Planning Reports~~~~NARA reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency wide results of tests conducted under emergency plans. Ann. acc.: less than 1 cu. ft.~~~~PERMANENT. COFF when related plan or directive becomes obsolete or is superseded. Offer to NARA when 15 years old in 10-year blocks. (GRS 18, item 30)~~~~239 Emergency Operations Test Files~~~~239-1 Files accumulating from tests conducted under NARA emergency plans, such as instructions to members participating in test, staffing assignments, messages, test reports (excluding consolidated and comprehensive reports under 237.~~~~COFF annually. Destroy when 3 years old. (GRS 18, item 31)~~

RECORDS MANAGEMENT

240 Records Management Survey Files

Documents relating to ^{NARA} surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of surveys, reports of corrective action taken, and related documents.

240-1 Records maintained by NAA, Records Liaison Officers, and Administrative Officers.

COFF annually. Destroy when 3 years old.

11C35a

240-2 Records maintained by other offices.

COFF annually. Destroy when 2 years old.

11C35b

241 Records Maintenance and Disposition Files

Correspondence and basic records management documentation pertaining to NARA's program and administrative records.

- | | | | |
|------------------|--|--|-----|
| 241-1 | Routine correspondence and memoranda. | Destroy when no longer needed. (GRS 16, item 3b) | |
| 241-2 | Correspondence and notices concerning freezes on the disposal of certain records series. | Place in inactive file after freeze has been lifted. COFF annually. Destroy when 2 years old. | New |
| 241-3 | Copies of SF 115, Request for Records Disposition Authority, and related documentation. (Note: Record copy of approved SF 115 is maintained by NOD as part of the Directives Case File, FILES 203). | Destroy when no longer needed for administrative or reference purposes. (GRS 16, item 3b) | |
| 241-4 | SF's 135, Records Transmittal and Receipt, copies of approved Notices of Intent to Destroy Records (NA Form 1301), and related documentation. | Destroy when related records are destroyed, or transferred to NARA, or when no longer needed for administrative or reference purposes. (GRS 16, 3a) | |
| 241-5 | SF's 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States, and related documentation. | Destroy when related records are destroyed, or transferred to NARA, or when no longer needed for administrative or reference purposes. (GRS 16, 3a) | |
| 242 | <u>Information Management System Feasibility Studies</u> | | |
| | Studies conducted before the installation of any technology or equipment associated with information | COFF when study is completed. Destroy when 5 years old. (GRS 16, item 15) | |

management systems, excluding ADP and word processing (See Appendix B), such as micrographics and copiers.

243 File Equipment and Supplies Files

Documents created in the records management review of requests for file equipment and nonstandard supplies. Included are requests for equipment or supplies; approvals, disapprovals, and clearance actions, and other papers about specific items of equipment or supply.

COFF annually. Destroy when 2 years old.

11C40

244 Vital Records Policy and Procedures Files

Correspondence, memoranda, inventories, and other records relating to the NARA Vital Records Program.

Destroy when superseded, obsolete, or no longer needed for reference.

New

245 Vital Records Evaluation Files

Correspondence, memoranda, reports, and other records relating to evaluations of the NARA Vital Records Program.

New

245-1 Records maintained by NASS and NAA.

COFF annually. Destroy when 3 years old.

245-2 Records maintained by other offices.

COFF annually. Destroy when 1 year old.

MAIL AND MESSENGER

246 Distribution Lists

- | | | | |
|-------|---|---|-----|
| 246-1 | Documents accumulated in establishing and maintaining automatic and specific purpose mailing lists for distribution of documents such as the U.S. Government Manual, Congressional Directory, Code of Federal Regulations, Federal Register, etc. | Destroy when superseded or obsolete, or no longer needed for reference. | New |
| 246-2 | All other distribution or mailing lists. | Destroy when superseded or obsolete, or no longer needed for reference. | New |

~~247 Postal Records~~

~~United States Postal Service (USPS) forms and supporting papers, exclusive of records held by the USPS.~~

- | | | |
|------------------|---|---|
| 247-1 | Records relating to incoming or outgoing registered, certified, insured, and special delivery mail including receipts and return receipts. | COFF annually. Destroy when 1 year old. (GRS 12, item 5) |
| 247-2 | Application for postal registration and certificates of declared value of matter subject to postal surcharge. | COFF annually. Destroy when 1 year old. (GRS 12, item 5) |
| 247-3 | Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail. | COFF annually. Destroy when 1 year old. (GRS 12, item 5) |

~~248 Mail and Delivery Service Control Files~~

248-1	General files, including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	COFF annually. Destroy when 1 year old or when superseded or obsolete, whichever is applicable. (GRS 12, item 6)
248-2	Statistical reports and data relating to handling of mail and volume of work performed.	COFF annually. Destroy when 1 year old. (GRS 12, item 6)
248-3	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old. (GRS 12, item 6)
248-4	Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	Destroy when 6 months old. (GRS 12, item 6)
248-5	Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.	COFF annually. Destroy when 1 year old. (GRS 12, item 6)
248-6	Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding those used as indexes to correspondence files.	COFF annually. Destroy when 1 year old. (GRS 12, item 6)
248-7	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable. (GRS 12, item 6)

~~249 Penalty Mail Report Files~~

~~Official penalty mail reports and all related papers~~

~~COFF annually. Destroy when 6 years old. (GRS 12, item 7)~~

~~250 Postal Irregularities Files~~

~~Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postal stamps or money orders, or loss or destruction of mail.~~

~~COFF annually after completion of investigation. Destroy when 3 years old. (GRS 12, item 8)~~

~~251 Messenger Service Files~~

~~Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.~~

~~Destroy when 2 months old. (GRS 12, item 1)~~

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL

~~252 Classified Documents Administrative Correspondence Files~~

~~Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this manual.~~

~~COFF annually. Destroy when 2 years old. (GRS 18, item 2)~~

~~253 Classified Document Receipt Files~~

~~Records documenting the receipt and issuance of classified documents.~~

~~COFF annually. Destroy when 2 years old. (GRS 18, item 3)~~

254	<u>Classified Documents Destruction Certificates Files</u>	Certificates relating to the destruction of classified documents.	COFF annually. Destroy when 2 years old. (GRS 18, item 4)
255	<u>Classified Documents Inventory Files</u>	Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents. Not included are classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	COFF annually. Destroy when 2 years old. (GRS 18, item 5)
256	<u>Top Secret Document Accounting Files</u>	Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. (GRS 18, item 6a)
257	<u>Top Secret Document Control Files</u>	Forms accompanying documents to ensuring continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	Destroy when related document is downgraded, transferred, or destroyed. (GRS 18, item 6b)
258	<u>Classified Documents Access Request Files</u>	Requests and authorizations for individuals to have access to classified administrative files.	Destroy 2 years after authorization expires. (GRS 18, item 7)

~~259~~

~~Classified Document Container Security Files~~

~~Forms or lists used to record safe combinations, names of individuals knowing combinations, and comparable data that are used to control access into classified document containers.~~

~~Destroy when superseded by a new form or list, or upon turn-in of container.
(GRS 18, item A)~~

260

Records Container Security Forms

Forms placed on safes, cabinets, or vaults containing security classified documents that record entries into the containers.

Destroy 3 months following the last entry on the form, except forms involved in investigations which will be retained until completion of the investigation.

9B35g

261-299

Reserved

APPENDIX 3

PERSONNEL

These records relate to the supervision and management of NARA employees. Included are files pertaining to the overall NARA personnel management program as well as personnel records common to all offices. Excluded are files pertaining to employee training programs which are contained in Appendix 2, General Administration.

ITEM
NUMBERS

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

PERSONNEL INFORMATION

301

Official Personnel Folders (OPF)

Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual specifies the documents required for inclusion in the OPF.

301-1

Records filed on the right side of folder:

a. Transferred employees.

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (GRS 1, item 1b(1))

b. Separated employees.

Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO 63118, 30 days after separation. NPRC will destroy 75 years after birth date of employee (60 years after the date of the earliest document in the folder if the date of birth cannot be

ascertained) or 5 years after latest separation, whichever is later. (GRS 1, item 1b(2))

301-2 Temporary individual employee records filed on the left side of folder. Destroy upon separation or transfer of employee. (GRS 1, item 10)

~~302 Service Control File~~

~~Documents created and maintained outside the OPF which provide an official summary of employment history for each employee and also provide summary data on each position occupied.~~

~~302-1 Service record card (SF 7 or equivalent) Destroy 3 years after separation or transfer of employee. (GRS 1, item 2a)~~

~~302-2 Position identification strip (SF 7D or equivalent) Destroy when position is canceled or new strip is prepared. (GRS 1, item 11)~~

~~302-3 Employee record cards used for informational purposes outside personnel offices (such as SF 7-B). Destroy on separation or transfer of employee. (GRS 1, item 6)~~

~~303 Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices~~

~~303-1 Supervisor's personnel files.~~

~~Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. These files may be arranged in any manner that~~

~~Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer. However, performance files and statements of employment and~~

OPF. These files may be arranged in any manner that suits the reference requirements of the office; i.e., chronological, alphabetical by subject or name.

and statements of employment and financial interest (See item 1103-2) of former employees who transfer within the agency must be transferred to the new supervisor. (GRS 1, item 18a)

303-2 Duplicate documentation.

Other copies of documents duplicated in OPF's not provided for elsewhere in this appendix.

COFF in 6-month blocks. Destroy when 6 months old. (GRS 1, item 18b)

304 Notification of Personnel Actions

Standard Form 50 documenting initial employment, promotions, details, transfers in or out, separations, and all other individual personnel actions, exclusive of those in OPF.

304-1 Copies filed in chronological journal and used to record for inspections, work measurement statistics, reference, preparation of reports, and other purposes.

COFF annually. Destroy when 2 years old. (GRS 1, item 14a)

304-2 All other copies maintained in personnel offices.

COFF annually. Destroy when 1 year old. (GRS 1, item 14b)

305 Employee Performance Files (Non-SES)

Documents maintained as the official record of a non-SES employee's performance. These records are subject to governmentwide regulations governing Employee Performance File System Records, 5 CFR 293, Subpart D. Included are annual performance ratings with their associated performance plans, critical elements, performance standards, and related documents. They may be filed in individual file

folders or if stored in the GPF, they must be filed in a separate envelope. However, when an employee separates or transfers to another agency, the records must be removed and retained under 305-3 below.

- | | | |
|-------|---|--|
| 305-1 | Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents. | Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. (GRS 1, item 23a(1)) |
| 305-2 | Performance records superseded through an administrative, judicial, or quasi-judicial procedure. | Destroy upon supersession. (GRS 1, item 23a(2)) |
| 305-3 | Performance-related records pertaining to a former employee. | Place in inactive file when employee leaves the agency. Destroy when 3 years old or when no longer needed, whichever is sooner. (GRS 1, item 23a(3)) |
| 305-4 | All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. | Destroy 3 years after date of appraisal. (GRS 1, item 23a(4)) |
| 305-5 | Supporting documents. | Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner. (GRS 1, item 23a(5)) |

306 Employee Performance Files (SES Appointees)

Documents maintained as the official record of an SES employee's performance. These records are subject to governmentwide regulations governing Employee Performance File System Records, 5 CFR 293, Subpart D. Included are performance plans:

performance ratings and related supporting documents. They may be filed in individual file folders or if stored in the OPF, they must be filed in a separate folder.

- | | | |
|-------|---|---|
| 306-1 | Performance records superseded through an administrative, judicial, or quasi-judicial procedure. | Destroy upon supersession. (GRS 1, item 23b(1)) |
| 306-2 | Performance-related records pertaining to a former SES appointee. | Disposition pending. (GRS 1, item 23b(2)) |
| 306-3 | All other performance appraisals, along with job elements and standards (job expectations) upon which they are based. | Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee. (GRS 1, item 23b(3)) |

307 Personnel Information System

Documents accumulated in the development and implementation of personnel and manpower information systems on a local, agencywide, or governmentwide basis. Included are correspondence, instructions, and other documents on the Personnel Information Resources System (PIRS). Specific reports generated by the system are filed in the appropriate subject file.

Hold until termination of study, supersession, or until documents are no longer needed for reference purposes, then destroy.

18E90

PERSONNEL ADMINISTRATION

308 Personnel Office Correspondence and Forms Files

Operating personnel office records relating to individual employees not maintained in GFEs and not provided for elsewhere in this appendix.

308-1	Correspondence and forms relating to pending personnel actions.	Destroy when action is completed. (GRS 1, item 17a)	
308-2	Retention registers.		
	a. Registers from which reduction-in-force actions have been taken.	Destroy when 2 years old. (GRS 1, item 17b(1))	
	b. Registers from which no reduction-in-force actions have been taken.	Destroy when superseded or obsolete. (GRS 1, item 17b(2))	
308-3	All other correspondence and forms.	COFF in 6-month blocks. Destroy when 6 months old. (GRS 1, item 17c)	
309	<u>Personnel Operations Statistical Reports</u>		
	Statistical reports in the operating personnel office and subordinate units relating to personnel.	COFF annually. Destroy when 2 years old. (GRS 1, item 16)	
310	<u>Pay Administration Files</u>		
	Documents created to provide assistance in interpreting and implementing pay administration programs. Included are pay plans, pay fixing rules, authorizations, reconsiderations, and related records.	COFF annually, hold 1 year, and retire to FRC. Destroy when 5 years old.	18B40
311	<u>Standards of Conduct Files</u>		
	Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded. (GRS 1, item 28)	

PERSONNEL SECURITY

~~312 Personnel Security Clearance Files~~

Personnel security clearance case files and related indexes maintained by the Personnel Services Division (NAP).

312-1 Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for NARA under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. (GRS 18, item 23a)

312-2 Investigative reports and related papers furnished to NARA by investigative organizations for use in making security/suitability determinations.

Destroy in accordance with the investigating agency instructions. (GRS 18, item 23b)

312-3 Index to the personnel security case files.

Destroy with related case file. (GRS 18, item 23c)

~~313 Personnel Security Clearance Status Files~~

Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete. (GRS 18, item 24)

~~314 Security Violations Files~~

Case files relating to investigations of alleged violations of Executive Orders, laws, or NARA regulations for the safeguarding of national security information.

314-1 Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations. Destroy 5 years after close of case. (GRS 18, item 25a)

314-2 All other files, exclusive of papers placed in official personnel folders. Destroy 2 years after completion of final action or when no longer needed, whichever is sooner. (GRS 18, item 25b)

~~315 Classified or Classifiable Information Nondisclosure Agreements~~

Copies of nondisclosure agreements such as SF 189, Classified Information Nondisclosure Agreement, signed by employees with access to information which is classified or classifiable under standards put forth by Executive Order 12356. These forms are maintained by the Safety and Security Staff (NASS). Destroy when 50 years old. (GRS 18, item 26)

CLASSIFICATION AND STAFFING~~316 Position Classification Standards Files~~

316-1 Standards and guidelines issued or reviewed by the Office of Personnel Management (OPM) and used to classify and evaluate positions within the agency. Destroy when superseded or obsolete. (GRS 1, item 7a(1))

316-2	Case files containing memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.	COFF annually after position is abolished or description is superseded, hold 1 year, and retire to FRC. Destroy when 5 years old. (GRS 1, item 7a(2)(a))
316-3	Documents maintained as the review file.	COFF annually. Destroy when 2 years old. (GRS 1, item 7a(2)(b))
317	<u>Position Descriptions</u> Files of official position descriptions including information on title, series, grade, duties, and responsibilities. Arranged by organization.	
317-1	Record copy maintained by NAP.	Destroy 5 years after position is abolished or description is superseded. (GRS 1, item 7a(1))
317-2	All other copies.	Destroy when position is abolished or description is superseded. (GRS 1, item 7b(2))
318	<u>Classification Appeals Files</u> Case files relating to classification appeals.	COFF when position is abolished. Destroy when 3 years old. (GRS 1, item 7d)

319 Classification Survey Files

- 319-1 Survey reports on various positions prepared by classification specialists, including periodic reports. COFF at end of year following completion of subsequent survey. Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. (GRS 1, item 7c(1))
- 319-2 Inspection, audit and survey files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits and evaluations. Destroy when obsolete or superseded. (GRS 1, item 7c(2))

320 Wage Survey Files

Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; and request for and authorization of specific rates (including authorized wage schedules and wage survey recapitulation sheets). Destroy after completion of second succeeding wage survey. (GRS 2, item 24)

321 Merit Promotion Case Files

- 321-1 Documents accumulated in administering and evaluating the NARA promotion plan, excluding any records that duplicate information in the promotion plan, OPM's, or in other personnel records. Included are temporary records of each promotion made under the plan, such as position identifications vacancy announcements, evaluations of candidates, listings of candidates as they appeared in the final ranking, certifications showing referrals and selections, and other documents required to allow reconstruction of the promotion action. COFF annually. Destroy 2 years after the personnel action or after the action has been audited by OPM, whichever is sooner. (GRS 1, item 33)

321-2	General reference files.	Destroy when no longer needed for current operations.
322	<u>Applicant Supply Files</u>	
322-1	Active applications for Federal employment, qualification rating sheets, control logs, registers, applicant referrals, and related records.	Hold until applicant is selected. Transfer the selected applicant's application to the OPF. Transfer the remainder of applications and related documents to the inactive applications file (322-2) for disposition.
322-2	Inactive application files established when decision is made that applicant is not qualified or will not be selected for appointment for other reasons. Included are applications for Federal employment and related records.	COFF annually, hold 2 years or until receipt of OPM report of inspection, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed, and then destroy. (GRS 1, item 15)
323	<u>Certificate of Eligibles Files</u>	
	Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.	COFF annually. Destroy when 2 years old. (GRS 1, item 5)
324	<u>Interview Records</u>	
	Correspondence, reports, and other records relating to interviews with employees.	Place in inactive file after transfer or separation of employee. Destroy when 6 months old. (GRS 1, item 8)

325 Offers of Employment Files

Correspondence, letters, and telegrams offering appointments to potential employees.

325-1 Accepted offers. Destroy immediately. (GRS 1, item 4a)

325-2 Declined offers:

a. When name is received from certificate of eligibles. Return to OPM with reply and application. (GRS 1, item 4b(1))

b. Temporary or excepted appointment. File inside application (See item 322-2). (GRS 1, item 4b(2))

c. All others. Destroy immediately. (GRS 1, item 4b(3))

EMPLOYEE AND LABOR RELATIONS

326 Incentive Awards Program Reports

Reports pertaining to the operation of the Incentive Awards Program. CGFF annually. Destroy when 3 years old. (GRS 1, item 13)

327 Employee Awards Files

327-1 General awards records.

a. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency-sponsored Place in inactive file after approval or disapproval. Cut off inactive files at the end of the fiscal year. Destroy

cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. when 2 years old. (GRS 1, item 12a(1))

b. Correspondence or memoranda pertaining to awards from other government agencies or private organizations. COFF annually. Destroy when 2 years old. (GRS 1, item 12a(2))

327-2 Length of service and sick leave awards files. COFF annually. Destroy when 1 year old. (GRS 1, item 12b)
Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.

327-3 Letters of commendation and appreciation. Copies of COFF annually. Destroy when 2 years old. (GRS 1, item 12c)
letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the COFF.

327-4 Lists or indexes to Agency Award Nominations. Lists of Destroy when superseded or obsolete.
nominees and winners and indexes of nominations. (GRS 1, item 12d)

327-5 Agency-level awards files. Documents created in COFF annually. Destroy when 3 years old. ~~(GRS 1, item 12e)~~ 18D16
granting awards for distinguished, meritorious and exceptional service, EEO impact, and cash awards (\$1,000-single and \$3,000 group). Included are suggestions, recommendations, acknowledgments, evaluations, notices of adoption or rejection, letters of refusal or return of awards, and related records.

328 Employee Assistance Program Files

328-1 Documents created in informing, counseling, and Place in inactive files after termina-
assisting employees and claimants regarding health, tion of counseling. COFF inactive
insurance, and retirement programs. files annually. Destroy when 3 years
old. (GRS 1, item 27a)

328-2	Documents created in counseling employees on financial services and acting as liaison between financial institutions, and employees. Included are complaints against credit unions and other creditors, emergency fund applications, notes, approvals, and related records.	Place in inactive files after termination of counseling. COFF inactive files annually. Destroy when 3 years old. (GRS 1, items 27a)	18C5
328-3	Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees, separating employees, or survivors claim insurance or retirement benefits.	COFF annually. Destroy when 1 year old.	
328-4	Records created in planning, coordinating and directing an alcohol and drug abuse program.	COFF annually. Destroy when 3 years old. (GRS 1, item 27b)	
329	<u>Grievance, Disciplinary and Adverse Action Files</u>		
329-1	Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Remove and place in inactive files after case is closed. Cut off inactive files annually. Destroy when 3 years old. (GRS 1, item 31a)	
329-2	Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employees reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.	Place in inactive file after case is closed. Cut off inactive files annually and retire to FRC. Destroy when 4 years old. (GRS 1, item 31b)	

330	Labor Management Relations Records		
330-1	Case files containing correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups which are maintained by the office negotiating the agreement.	COFF annually after decision on withdrawal or denial of recognition. Destroy when 5 years old. (GRS 1, item 29a(1))	
330-2	Documents maintained by other offices.	Destroy when superseded or obsolete. (GRS 1, item 29a(2))	
330-3	Case files containing correspondence, forms, and background papers relating to labor arbitration cases.	COFF annually after final resolution of case. Destroy when 5 years old. (GRS 1, item 29b)	
330-4	Copies of precedential decisions.	Destroy when superseded or obsolete.	
331	<u>Campaigns</u>		
331-1	Savings bond campaign. Copies of posters, flyers, and related records created in developing and disseminating material and otherwise promoting and reporting on participation in the U.S. Savings Bond Program. Excluded are background papers to NARA directives pertaining to such program.	COFF annually. Destroy when 1 year old.	18C40
331-2	Charitable contribution campaigns. Documents accumulated in managing and coordinating contribution drives such as the Combined Federal Campaign and others. Included are copies of notices of campaigns, communications concerning the campaigns, and related records.	COFF annually. Destroy when 2 years old.	18C35

EQUAL EMPLOYMENT OPPORTUNITY

~~332 Equal Employment Opportunity Records~~

- | | | |
|------------------|---|--|
| 332-1 | Official discrimination complaint case files. Agency file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court. | Remove and place in inactive files after resolution of case. Cut off inactive files annually and retire to FRC. Destroy when 4 years old. (GRS 1, item 26a) |
| 332-2 | Copies of complaint case files. Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files. | Remove and place in inactive files after resolution of case. Cut off inactive files annually. Destroy when 1 year old. (GRS 1, item 26b) |
| 332-3 | Background files. Background records not filed in the Official Discrimination Complaint Case Files. | Remove and place in inactive files after resolution of case. Cut off inactive files annually. Destroy when 2 years old. (GRS 1, item 26c) |
| 332-4 | Compliance records. | |
| | a. Compliance review files. Reviews, background papers and correspondence relating to contractor employment practices. | COFF annually. Destroy when 7 years old. (GRS 1, item 26d(1)) |
| | b. EEO compliance reports. | COFF annually. Destroy when 3 years old. (GRS 1, item 26d(2)) |
| 332-5 | Employee housing requests. Forms requesting agency assistance in housing matters, such as rental or purchase. | COFF annually. Destroy when 1 year old. (GRS 1, item 26e) |

332-6	Employment statistics files. Employment statistics relating to race and sex.	COFF annually. Destroy when 5 years old. (GRS 1, item 26f)
332-7	EEO general files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and agency EEO Committee meeting records including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. (GRS 1, item 26g)
332-8	EEO affirmative action plans (AAP).	
	a. Agency copy of consolidated AAP(s).	COFF annually. Destroy when 5 years old. (GRS 1, item 26h(1))
	b. Agency feeder plans to consolidated AAP(s).	COFF annually. Destroy when 5 years old or when administrative purposes have been served, whichever is sooner. (GRS 1, item 26h(2))
	c. Report of on-site reviews of Affirmative Actions Programs.	COFF annually. Destroy when 5 years old. (GRS 1, item 26h(3))
	d. Agency copy of annual report of Affirmative Action accomplishments.	COFF annually. Destroy when 5 years old. (GRS 1, item 26h(4))

HEALTH RECORDS

333 Individual Employee Health Case Files

Forms, correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING preemployment physical examinations and disability

COFF after last entry, not 1 year, and retire to FRC. Destroy when 6 years old. (Disposal authority suspended per GSA FPMR Bulletin B-112, August 5, 1981). (GRS 1, item 21)

retirement and fitness for duty examinations which are filed in the OPF upon separation of employee (Ref. FPMR 293-31). Those records not required for filing in the OPF, may be transferred to the FRC. Under no circumstances should these files be sent to the National Personnel Records Center (NPR).

334 Individual Health Record Files

Cards which contain such information as date of employee's visit, diagnosis and treatment.

COFF after date of last entry. Destroy when 6 years old. (GRS 1, item 19)

335 Personal Injury Files

Forms, reports, correspondence, and related medical investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the OPF and copies submitted to the Department of Labor.

COFF annually. Destroy when 5 years old. Disposal authority suspended per GSA FPMR Bulletin B-136, March 21, 1984. (GRS 1, item 32)

336 Health Unit Control Files

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.

a. If information is summarized on statistical report.

COFF after last entry. Destroy when 3 months old. (GRS 1, item 20a)

b. If information is not summarized.

COFF after last entry. Destroy when 2 years old. (GRS 1, item 20b)

~~337~~

Health Summaries

Copies of statistical summaries and reports with related papers pertaining to employee health which are maintained by the reporting unit.

COFF annually. Destroy when 2 years old. (GRS 1, item 22)

338-399

Reserved

APPENDIX 4

BUDGET, ACCOUNTING, AND FINANCIAL MANAGEMENT

These records relate to the formulation and execution of the NARA budget including administration of financial policies and procedures.

ITEM NUMBERS	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA HB
BUDGET FORMULATION			
401	<u>Budget and Finance Policy Files</u>	Correspondence and subject files accumulated in NAB which document agency policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for agency programs. Arranged by subject. Ann. acc.: less than 1 cu. ft.	PERMANENT. COFF at the end of the target budget year. Retire to FRC when 10 years old. Offer to NARA in 10-year blocks when 20 years old. (GRS 5, item 1)
402	<u>Budget Correspondence Files</u>	Correspondence files pertaining to routine budget administration, agencywide budget procedures, internal procedures, and other routine matters not described elsewhere in this appendix.	COFF annually. Destroy when 5 years old. (GRS 5, item 3)
403	<u>Budget Estimates and Justifications</u>		
403-1	Copies of budget estimates and justifications prepared or consolidated in NAB. Included are appropriation language sheets, narrative statements, transcripts of hearings, backup justifications for hearings, and related records. (All policy and procedure documents should be filed in item 401.)	COFF at the end of the target budget year. Destroy when 5 years old. (GRS 5, item 2a)	<i>GRS Deviation</i>

403-2	Working papers, cost statements, rough data, and duplicates of papers described in 403-1.	COFF after the close of the fiscal year covered by the budget. Destroy when 1 year old. (GRS 5, item 4)	
404	<u>Budget Background Records</u>		
404-1	Originating office copy of budget estimates submitted to NAB.	COFF after the close of the fiscal year covered by the budget. Destroy when 3 years old.	9C1j
404-2	Budget working papers, cost estimates, and rough data accumulated by originating offices in preparing annual budget estimates. (See item 403 for documents maintained by NAB in consolidating estimates.)	COFF after the close of the fiscal year covered by the budget. Destroy when 1 year old.	9C1j

OPERATING BUDGET

405	<u>Financing Authorizations/Appropriations</u>		
	Documents which provide appropriations or which provide interim financing authority when appropriations have not been made by the beginning of the new fiscal year. Included are copies of Congressional hearings, Congressional resolutions, Treasury warrants, and related records.	COFF annually. Destroy when 2 years old.	14A20
405	<u>Apportionments and Allotments</u>		
	Documents created or accumulated in obtaining apportionments from OMB and issuing allotments to the Archivist. Included are apportionment and reapportionment schedules, allotments, proposed	COFF annually. Destroy when 2 years old. (GRS 5, item 6)	

quarterly obligations under each authorized appropriation, and related records.

407 Allowances and Operating Budget Plans

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|-------|--|--|------|
| 407-1 | Documents created or accumulated by NAB in issuing calls for operating budget plans which provide the basis for allocation of resources, including office requests for operating budgets, staffing patterns, and other backup materials, analysis of funding requests, and allowance and operating budget documents. | COFF annually. Destroy when 2 years old. | New |
| 407-2 | Documents created or accumulated by individual NARA offices in preparing and submitting planning, programming, staffing, budgeting, program review and analysis data in support of their program activities. | COFF annually. Destroy when 2 years old. | 9C1j |

408 Budget Execution Controls and Reports

Documents accumulated in controlling the expenditure of funds within the limitations prescribed by the Congress and OMB. Included are correspondence providing limitation on employment or Full-Time Equivalent (FTE); end-of-year strength; travel; personnel expenditures; reports of budget status; FTE, on-board employment and funding projections, restrictions and limitation documents; and related records.

- | | | |
|-------|-----------------------------------|---|
| 408-1 | Annual budget execution report. | COFF annually. Destroy when 5 years old. (GRS 5, item 5a) |
| 408-2 | Interim budget execution reports. | COFF annually. Destroy when 3 years old. (GRS 5, item 5a) |

408-3	Correspondence and working papers.	COFF annually. Destroy when 2 years old.	New
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ACCOUNTING

(Note: Under various reimbursable agreements, the General Services Administration (GSA) provides accounting and financial services to NARA. All NARA financial and accounting records accumulated by GSA as a result of these agreements are maintained and disposed of in accordance with the HB, GSA Records Maintenance and Disposition System (OAD P 1820.2).

409	<u>NEAR Accounting Reports</u>
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Copies of monthly accounting reports from the National Electronic Accounting Reporting (NEAR) system for all funds showing status of obligations and allotments under each authorized appropriation.

409-1	Copies maintained by NAB.	COFF annually after the close of the fiscal year involved. Destroy when 6 years and 3 months old. (GRS 7, item 3)
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409-2	Copies maintained by other offices.	Destroy when no longer needed for reference.	New
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410	<u>Centrally Managed/Budgeted Items</u>
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Correspondence related to space and payments to the Public Buildings Service's Federal Buildings Fund, space charges, billings, budget estimates, payment of operation and maintenance costs of NARA building and Presidential Libraries, and recurring

COFF annually. Destroy when 3 years old.	New
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reimbursable services above SLUC charges. Includes common distributable items such as worker's compensation, unemployment postage, UPS, and health rooms.

411 Reimbursable Agreements

Copies of agreements with other agencies or within NARA, reports of billings of other agencies, and correspondence with Finance to transfer obligations. Also included are procedural memos for field activities, reimbursable workload data, and information on billing other agencies. (GSA Financial Office maintains NARA's record copy of each agreement.)

on termination of agreement,
COFF ~~annually~~ Destroy when 3 years New
old.

~~412 Reimbursable Billing~~

~~Copies of billing documents to other agencies and related backup for services rendered by NARA.~~

~~COFF after the period covered by the
account. Destroy when 3 years old.
(GRS 6, item 1b)~~

413 Cash Management

413-1 Guidance from OMB, GAO, and Treasury on effective cash management, including the Financial Managers Financial Integrity Act (FMFIA) as implemented in OMB Circular A-127.

Destroy when superseded or obsolete. New

413-2 Cash management reports on late payment charges and interest paid out, unpaid invoices and problems, and reviews of financial management systems.

COFF annually. Destroy when **6** years New
~~or 2nd 3 months old,~~

414	<u>Accounting System Guidance Files</u>	Correspondence with GSA concerning the NEAR System, NEAR coding manuals, the Personnel Information Resources System (PIRS), payroll block numbers, and information on other agency accounting systems and payroll systems.	COFF annually. Destroy when 5 years old.	New
415	<u>Obligation Files</u>	Copies of documents sent to GSA Finance for obligation and payment.	COFF annually. Destroy when 5 years old.	New
416	<u>Office Accounting Files</u>	Documents accumulated by individual offices in monitoring and accounting for appropriated and revolving funds used to finance program operations. Included are cost reports and statements, tabulations, and related records. Excluded are files accumulated by offices responsible for budget and financial programs and files of imprest fund cashiers.	COFF annually. Destroy when 2 years old.	9C1b
417	<u>Office Financial Files</u>	Documents accumulated by individual offices concerning the expenditure of funds incidental to the performance of program functions of the office. Included are travel cost estimates, notifications of availability of funds, receipts, and other documents regarding the distribution of checks and savings bonds, and related records.	COFF annually. Destroy when 1 year old.	9B10

418

Time and Attendance Records

These files are accumulated by time and attendance clerks and consist of: (1) GSA Form 873, Annual Attendance Record; NA Form 304, Intermittent Employees Attendance Records; or comparable documents used for verifying payroll printouts and in managing employee leave; (2) retained copies of overtime reports; (3) Standard Form 71, Application for Leave, or equivalent and supporting records; and (4) related records.

~~418-1~~~~Leave application files described in (3) above.~~

a. If the timecard has been initialed by the employee.

Destroy at the end of the applicable pay period. (GRS 2, item 8a)

b. If the timecard has not been initialed by the employee.

Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2, item 8b)

418-2

All other records.

COFF annually. Destroy when **3** years old.

9B25i(2)

IMPREST FUND

419

Cashier and Collection Officer Designations

Documents concerning the designation of individuals as imprest fund cashiers and collection officers.

COFF at the end of the fiscal year following cancellation. Destroy when 2 years old.

16G1

420

Collection Receipts

Documents maintained by designated collection officers to provide a record of the receipt and disposition of remittances. Included are receipts for cash (subvouchers), copies of remittance register sheets, and similar records.

COFF annually. Destroy when 3 years old. (GRS 6, item 1b)

421

Imprest Fund Files

Documents reflecting the receipt of, and accounting for, petty cash, traveler's checks, or imprest funds used in connection with travel and small purchases. Included are receipts for funds, reimbursement vouchers, similar documents, and related records.

COFF annually. Destroy when 3 years old. (GRS 6, item 1b)

422-499

Reserved

APPENDIX 5

PROPERTY AND PROCUREMENT

These records relate to programs engaged in the acquisition and disposal of real and personal property, and supply matters which are a part of daily procurement operations. Documents relating to the acquisition of facilities for Presidential Libraries are contained in Appendix 14.

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
REAL PROPERTY			
501	<u>Real Property Title Papers</u>		
	Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding papers relating to the acquisition of facilities for Presidential libraries which are described in Appendix 14.		
501-1	Papers for property acquired other than abstract or certificate of title.	Place in inactive file following acquisition. COFF inactive file annually, hold 2 years and transfer to FRC. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. (GRS 3, item 2b)	
501-2	Abstract or certificate of title.	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GRS 3, item 2c)	

~~502 Property Disposal Case Files~~~~Case files on disposal of surplus real and related personal property.~~~~Submit SF 115. (GRS 4, item 2)~~

GENERAL SERVICE AND SUPPLY

503 Office General Service and Supply Files

Documents relating to acquisition, maintenance, utilization, and control of office equipment; supplies, utilities and space; and documents relating to telecommunications, transportation, printing, publication, custodial, and other services. Included are requisitions for equipment, supplies and services; communications about the requisitions or services; and related records. Excluded are official purchase order and contract files described in other categories of this appendix.

COFF annually. Destroy when 1 year old.

9B40a

PERSONAL PROPERTY

504 Annual Plan Files

NA Form 5004, Summary Annual Plan for Administrative Equipment; NA Form 5004A, Detailed Annual Plan for Administrative Equipment; and related records accumulated in developing, controlling, and approving annual and supplemental plans for administrative equipment.

COFF annually. Destroy when 3 years old.

19A25

505	<u>Supply Catalogs</u>		
	Copies of Federal Supply Schedules, brochures, catalogs, and other information received from sellers, distributors, and manufacturers for reference purposes.	Destroy when superseded, obsolete, or when no longer needed for reference.	New
506	<u>Registers and Master Files</u>		
	Registers of source documents, master files of purchase orders, FEDSTRIP requisitions, reports of property for survey, and similar records used for controlling personal property.	COFF annually. Destroy when 3 years old.	19A5b
507	<u>PMO/AO History Files</u>		
	Files maintained by the NARA Property Management Officer (PMO) and the Accountable Officers (AO), within their area of jurisdiction, which reflect additions to, changes in, and status of personal property accounts. Included are copies of source documents such as GSA Form 300, Purchase Order; GSA Form 49, Requisition for Equipment, Supplies, or Services; GSA Form 525, Property Transfer Authorization; GSA Form 526, Report of Property for Survey; GSA Form 528, Physical Inventory Report; GSA Forms 2479 and 2479A, ADP Coding/Property Transfer Document; SF 120, Report of Excess Personal Property; SF 122, Transfer Order Excess Personal Property; property listings, and similar records.		
507-1	Suspense file of source documents on which action has not been completed.	Transfer documents to PMO/AO case file, item 507-2 , after action is completed, and information has been added to and verified on the property listing.	19A10a

FILES 203

507-2	PMD/AD case files containing source documents on which action has been completed.	COFF annually. Destroy when 5 years old.	19A10b
507-3	Property listings showing items of personal property on NARA inventory by class, value, serial number, and accountable officer account.	Place in inactive file after actions directed in item 507-1 have been verified on listing. COFF inactive file annually. Destroy when 5 years old.	19A10b
508	<u>Office Equipment Control Files</u>		
	Documents maintained by offices for controlling equipment used within their area of accountability.		
508-1	GSA Form 1025, Receipt for Property, hand receipts, or comparable documents.	Destroy when property has been returned or transferred to someone else's custody.	9B40b
508-2	Property listings.	Destroy after verification and receipt of next listing.	19A15
509	<u>Office Equipment Maintenance Files</u>		
509-1	Guarantees and warranties (including records relating to them) obtained with, and applicable to office materials and equipment.	Destroy on expiration of guaranty or warranty.	44C40
509-2	Cards used to record a history of the maintenance and repair of selected items of equipment.	Transfer with the equipment or destroy on final disposition of the equipment.	44C45

510 Excess Property Screening Files

Documents accumulated in screening reports of excess personal and real property for possible use. Included are reports of excess and related records.

Destroy when no longer needed for reference.

19A20

~~511 Excess Personal Property Reports~~

~~SF 120, Report of Excess Personal Property; SF 122, Transfer Order Excess Personal Property.~~

~~COFF annually. Destroy when 3 years old. (GAS 4, item 5)~~

PROCUREMENT

512 Procurement Policy Information Files

Correspondence and related instructions providing guidance and direction for all aspects of the procurement activity within NARA.

Destroy when no longer needed for reference.

New

513 Contracting Officer General Files

Records relating to contracting officers concerning training, regulations, limitations on procurement authority, status reports, and related matters.

Destroy when superseded or obsolete.

New

514 Contracting Officer Designation Files

Appointment justifications, copies of training certificates, appointment letters, individual limitations on procurement authority, and related records pertaining to the designation of contracting officers.

COFF when designation is cancelled.
Destroy when 2 years old.

New

~~515 General Procurement Correspondence Files~~

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

~~COFF annually. Destroy when 2 years
old. (GRS 3, item 3)~~

516 Procurement Number Assignment Control

Documents used in recording and controlling the
assignment of numbers to purchase case files and to
contracts, invitations to bid, and similar
documents. Included are registers, logs, and
similar control records.

COFF annually. Destroy when 2 years
old.

New

~~517 Unique Procurement Files~~

~~Procurement files (as in item 518) documenting the
initiation and development of transactions that
deviate from established precedents with respect to
general agency procurement programs.~~

~~Submit SF 115. (GRS 3, item 1)~~

Withdrawn

~~518 Acceptable Bidders' Lists~~

~~Lists or card files of acceptable bidders.~~

~~Destroy when superseded or obsolete.
(GRS 3, item 6d)~~

~~519 Routine Procurement Files~~

~~Contract, requisition, purchase order, lease, and
bond and surety records, including correspondence
and related papers pertaining to award,
administration, receipt, inspection and payment
(other than those covered in unique procurement
files, real property files, or grant files). For
specific guidance on documents to be included in~~

these files, see Ch. 7, NARA Administrative Procedures Manual (ADMIN 201).

519-1

Procurement or purchase organization copy, and related papers.

a. Transactions of more than \$10,000 and all construction contracts exceeding \$2,000.

Place in inactive files on final payment. COFF inactive files annually and transfer to FRC 2 years thereafter. Destroy 6 years and 3 months after final payment. (GRS 3, item 4a(1))

b. Transactions of \$10,000 or less and construction contracts under \$2,000.

Place in inactive files on final payment. COFF inactive files annually. Destroy when 3 years old. (Files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.) (GRS 3, item 4a(2))

519-2

Obligation copy.

Destroy when funds are obligated. (GRS 3, item 4b)

519-3

Other copies of records described above used by component elements of procurement office for administrative purposes.

Destroy upon termination or completion. (GRS 3, item 4c)

520

Solicited and Unsolicited Bids and Proposals Files

520-1

Successful bids and proposals.

Destroy with related contract case files. (See item 517.) (GRS 3, item 6a)

520-2

Solicited and unsolicited unsuccessful bids and proposals.

a. When filed separately from contract case files. Destroy when related contract is completed. (GRS 3, item 6b(1))

b. When filed with contract case files. Destroy with related contract case files. (See item 517, above.) (GRS 3, item 6b(2))

520-3

Cancelled solicitations files

a. Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation. Destroy 5 years after date of cancellation. (GRS 3, item 6c(1))

b. Unopened bids. Return to bidder. (GRS 3, item 6c(2))

521

Competition in Contracting Act Program Files

Correspondence, reports, and other files of the designated NARA Competition Advocate for procurement matters challenging barriers to and promoting full and open competition in the acquisition of supplies and services.

New

521-1

Annual reports.

COFF annually. Destroy when 3 years old.

521-2

Other records.

COFF annually. Destroy when 2 years old.

522 Procurement Preference Program Files

Correspondence, reports, and other documents relating to goals developed under the Procurement Preference Program.

COFF annually. Destroy when 3 years old.

New

523 Contract Action Reports

SF 279, FPDS-Individual Contract Action Report over \$10,000; SF 281, FPDS-Summary of Contract Actions of \$10,000 or Less; and related correspondence.

COFF annually. Destroy when 3 years old.

New

524 Contract Appeals Case Files

Contract appeals case files consisting of notices 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 all other related papers.

Place in inactive file following final action, COFF annually and retire to FRC 2 years later. Destroy 10 years after final action or decision. (GRS 3, item 19)

525 Contractors' Payroll Files

Contractors' payroll (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, antikickback affidavits, and other related papers.

Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date. (GRS 3, item 12)

526 Contractor's Statement of Contingent or Other Fees

Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract

Destroy when superseded, obsolete, or no longer needed, whichever is sooner. (GRS 3, item 20)

enforcement case file and maintained for enforcement
or report purposes.

527-599

Reserved

APPENDIX 6

FACILITIES

These records relate to administrative services involving space, telecommunications, physical security, and buildings management.

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
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FACILITIES MANAGEMENT

601	<u>Data Books</u>		
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Data books composed of documents prescribed by GSA's HB, Operation and Maintenance of Real Property (PBS P 5800.18A). These documents are used as reference files.

Destroy when superseded or obsolete.

44A5

602	<u>Agency Space Files</u>		
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~~Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.~~

602-1	Building plan files and related agency records utilized in space planning, assignment, and adjustment.		
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Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete. (GRS 11, item 2a)

602-2	Correspondence and reports relating to agency space holdings and requirements.		
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a. Agency reports to the General Services Administration regarding space occupied in

COFF annually. Destroy when 2 years old. (GRS 11, item 2a(1))

"Metropolitan Washington" and "outside the District of Columbia," and related papers.

b. Copies in subordinate reporting units and related work papers.

COFF annually. Destroy when 1 year old. (GRS 11, item 25(2))

603 Permit, License, and Easement Files

Documents relating to, and used in controlling the issue of, licenses, permits, easements, and similar instruments. This file category is limited to instruments that do not relate to, and which consequently cannot be filed with, specific case files described elsewhere in this section.

603-1	Files relating to documents issued by NA, or other senior officials.	COFF annually. Destroy when 2 years old.	44A70b
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603-2	Files relating to documents issued by the buildings manager.	COFF annually following denial, revocation, or expiration, destroy when 3 years old.	44A70a
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604 Posting File

Documents related to posting or displaying of printed, graphic, or other material on building premises, and bulletin boards.

COFF annually. Destroy when 1 year old. 44A85

605 Community Activities File

Documents created in approving, controlling, and ensuring removal of community exhibits, and advertisements in Government-owned and -occupied buildings, but not documents relating to Federally recognized charitable campaigns.

COFF annually. Destroy when 1 year old. 44A80

606 Health Unit Files

Documents relating to the establishment and operation of health units. Included are occupant requests for establishments, interagency agreements, justifications, communications regarding operation, and related records.

606-1	Agreements.	Destroy when superseded or obsolete.	44A75a
606-2	Other records.	COFF annually. Destroy when 2 years old.	44A75b

607 Management Information Reports

Reports containing quantitative data received by buildings manager's offices. These reports are used to determine current program performance and historical trends.

COFF annually. Destroy when 2 years old.	44A100
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608 Office Requirements Files

Documents from offices reflecting requirements for, and information about, services, particularly those of a continuing or nonstandard nature.

Destroy when superseded or obsolete.	44A35
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609 Facilities Management Requisition Control Files

609-1	Incoming requisitions. Documents accounting for all requisitions received by NASF, including date received, date completed, action taken, inspection reports, facilities staff project assignments, and
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COFF annually. Destroy when 2 years old.	New
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the original copy of the GSA Form 49, Requisition for Equipment, Supplies and Services.

609-2	NASF initiated requisitions. Documents accounting for all requisitions for supplies and services, including cost data sent to NASP, a copy of the original GSA Form 49, Requisition for Equipment, Supplies and Services, and the date of completion.	COFF annually. Destroy when 2 years old.	New old.
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BUILDING DESIGN AND CONSTRUCTION

~~610 Federal Structures Design Files~~

~~Preliminary and presentation drawings and models of Federal structures and engineering projects.~~

~~610-1 Files selected for architectural, historical, and technological significance~~

~~a. Drawings.~~

~~PERMANENT. Offer to NARA within 5 years after completion of project. (GRS 22, item 1a(1))~~

~~b. Models.~~

~~Submit SF 115, Request for Records Disposition Authority. (GRS 22, item 1a(2))~~

~~610-2 All other files.~~

~~Dispose of when no longer needed for administrative purposes. (GRS 22, item 1b)~~

~~611~~ Federal Structures Construction Files

Intermediate and prefinal, final working, "as built," shop, repair and alteration, contract, and standard drawings; project specifications, with documents relating to their preparation; and space assignment plans and engineering projects.

611-1 Files selected for architectural, historical, and technological significance. Ann. acc.: less than 1 cu. ft.

PERMANENT. Offer to NARA when file is inactive. (GRS 22, item 2b)

611-2 Files not included under 611-1.

Dispose of when no longer needed for administrative purposes. (GRS 22, item 2b)

~~612~~ Other Architectural and Engineering Files

Original manuscript and duplicate drawings submitted to NARA by private firms or other Federal agencies for planning and research purposes.

612-1 Drawings interfiled with related materials.

Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. (GRS 22, item 3a)

612-2 Drawings filed separately from related records.

Submit SF 115, Request for Records Disposition Authority. (GRS 22, item 3b)

~~613~~ Measured Drawings

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

PERMANENT. Offer to NARA when administrative use ceases unless

withdrawn

Engineering Records.

another depository is specified by law.
(GRS 22, item 4)

614

Finding Aids

Indexes and other finding aids for design and construction files.

Dispose of in accordance with instructions covering the related design and construction records. (GRS 22, item 5)

BUILDING SERVICES

615

Grounds Improvement Project Files

Documents accumulated in coordinating the operation, maintenance, and improvement of grounds, sidewalks, onstreet parking areas, approaches, and roads with local officials, civic groups, and community organizations. This file category is limited to documents that are not identifiable with a specific repair and improvement project.

COPY annually. Destroy when 2 years old.

44B10

616

Painting Program Files

Documents created to continuously plan and schedule interior and exterior painting, identifying painting requirements, and report progress. Included are painting program documents, coded drawings, card files identifying paintable units, work accomplishment schedules, approvals, progress reports, and related records.

616-1

Progress reports.

COPY annually. Destroy when 2 years old.

44C110a

FILES 203

616-2	Other records.	Destroy when superseded or obsolete.	44C110b
617	<u>Snow Removal Records</u>		
	Documents accumulated in preparing snow removal plans, assigning employees to snow removal teams, and controlling and reporting on snow removal operations. Included are communications with local road officials, snow removal plans, assignment letters, operation reports, weather reports, and related records.		
617-1	Plans and related records.	Destroy when superseded or obsolete.	44B20a
617-2	Other records.	COFF annually. Destroy when 1 year old.	44B20b
618	<u>Cleaning and Sanitation Files</u>		
618-1	Routine records relating to cleaning and sanitation, exclusive of files described elsewhere in this section.	COFF annually. Destroy when 2 years old.	44B15a
618-2	Surveys. Copies of coded floor plans, cleaning survey summary sheets, completed building cleaning survey forms, and related records accumulated in surveying of building space to identify cleaning categories, the frequency of cleaning for each category, and for determining manpower and fund requirements.	Destroy when superseded or obsolete.	44B15b
618-3	Cleaning staff organization. Charts and related records depicting the organization, functions, and responsibilities of the cleaning force.	Destroy when superseded or obsolete.	44B15c

FILES 203

618-4	Schedules. Schedules, layouts, and related records showing areas and items to be cleaned and the dates thereof.	Destroy when superseded or obsolete.	44B15d
618-5	Assignment, report, and inspection files. Assignment and work accomplishment forms, various inspection reports, complaints, notices of cleaning work required, and related records used to assign cleaners, report work accomplished, and verify and evaluate work accomplishment.		44B15e
	a. Permanent work assignments.	Destroy when superseded or obsolete.	44B15e(1)
	b. Periodic work assignments and inspections.	COFF annually. Destroy when 1 year old.	44B15e(2)
	c. Other records.	COFF every 2 months. Destroy when 2 months old.	44B15e(3)
619	<u>Carpet Program Files</u> Documents created to plan and schedule carpet cleaning and replacement. Included are carpet program documents, code drawings, work accomplishment reports, approvals, progress reports, and replacement and cleaning schedules.		
619-1	Progress reports.	COFF annually. Destroy when 2 years old.	New
619-2	Other records.	Destroy when superseded or obsolete.	New

620	<u>Uniform Allowance Controls</u>	Documents established to make sure that requests are submitted when employee uniform allowances are due. This file category does not apply to Standard Form 78, Employee Records, when it is used as a uniform allowance control in addition to its prescribed use.	Transfer with employee when he/she transfers to another office. Destroy on transfer of employee to a job within NARA that does not require a uniform, separation of employee from NARA, or when the record is superseded or obsolete.	44D65
621	<u>General Storeroom Files</u>	Documents relating to the general administration of storerooms, warehouses, and similar supply activities.	CUFF annually. Destroy when 3 years old.	44D15
622	<u>Parking Space Controls</u>	Parking space controls. Correspondence, cards, and other documents related to assigning and controlling individual parking spaces.	CUFF annually. Destroy when 3 years old.	44B5c
623	<u>Concession Files</u>			
623-1		Documents relating to the establishment, operation, modification, or discontinuance of concessions, including vending machines and pay telephone stations. Included are requests for concessions; copies of contracts, agreements, licenses, and other authorization documents, including modifications thereto; concession records cards; floor plans; inspection reports; space assignments; photographs; communications about sale items or services; utility surveys; reports; agreements; and related records.	Place in inactive file on expiration or termination of the contract, license, agreement, or authorization documents, or on disapproval of establishment; CUFF the inactive file annually. Destroy when 1 year old.	44E5

623-2	Concession operation files. Documents accumulated in evaluating concession services, surveying existing concession facilities, monitoring and coordinating interior decorations, arranging for procurement of furnishings and equipment, authorizing social functions, and similar concession activities not directly related to contract administration. Included are survey reports, service requests, copies of work orders, questionnaires, correspondence, and related records.	COFF annually. Destroy when 3 years old, except the service questionnaires may be destroyed when they have served their purpose.	44E10
623-3	Concession operation reports. Documents accumulated in recording and reporting fees ex paid to the Government as a result of concession operations, vending machine commissions, and related collection activities. Included are GSA Form 2817, Monthly (or 4-week) Profit/Loss Performance Operating Statement, and related records.	COFF annually. Destroy when 3 years old.	44E15
623-4	Concession equipment cards. Data cards used to control the installation and removal of concession equipment, such as vending machines.	Destroy when superseded or obsolete, or 2 years after removal of the related item of equipment.	44E20

MECHANICAL OPERATION AND MAINTENANCE

~~664 Building and Equipment Service Files~~

~~GSA Form 283, Notice of Work Required, and other documents requesting building and equipment maintenance services, excluding fiscal copies.~~

~~COFF after work performed or requisition cancelled. Destroy when 3 months old. (GSA 11, item 5)~~

625 Service Call Work Authorizations

GSA Form 1897, Maintenance Authorizations, and other documents used to record calls for nonreimbursable services and to authorize and report completion of work thereon.

625-1	Suspense copies.	Destroy on return of original reflecting completion of work.	44C30a
625-2	Originals.	Place in inactive file at end of each month. COFF annually. Destroy when 1 year old.	44C30b
626	<u>Work Authorization Files</u>		
626-1	Orders. Documents used to authorize, control, and account for work required in managing buildings. Included are requests, justifications, approvals, job orders, work orders, and related records.	COFF annually. Destroy when 2 years old.	44C35a
626-2	Registers. Registers used to record information on the receipt of, work called for by, number assigned to, and other data about, job and work orders.	Destroy 2 years after register sheet or book is filled.	44C35b
626-3	Controls. Forms, normally maintained by shop supervisors, showing job order estimates by shop and labor and material expended to date.	Destroy on completion of job.	44C35c
627	<u>Preventive Maintenance Control Cards</u>		
	Preventive maintenance control cards used to notify supervisors when preventive maintenance is due on a particular item and to record date of, and staff-hours devoted to, accomplishment of preventive maintenance.	Destroy when card is filled and identifying information is brought forward to new card or on disposition of the item or building.	44C20

628 Building Equipment History Files

628-1	Guaranty and warranty files. Guarantees and warranties (including records relating to them) obtained with, and applicable to materials and equipment.	Destroy on expiration of the guaranty or warranty.	44C40
628-2	Building Equipment history cards. Cards used to record a history of the maintenance and repair of selected items of equipment.	Transfer with the equipment or destroy on final disposition of the equipment.	44C45
628-3	Mechanical equipment data forms. Documents that provide identification data on building mechanical equipment and which are used as an aid in inspection.	Destroy when superseded or obsolete.	44C50

629 Operating Equipment Inspection Files

629-1	Documents used to record maintenance inspection of storage batteries.	COFF annually. Destroy when 3 years old.	44C60
629-2	Other records. Documents created in reporting and certifying inspection of mechanical equipment other than elevators and storage batteries. Included are boiler and unfired vessel inspection reports, chemical inspection reports on boilers, inspection certificates, reports on shutdowns, lubrication schedules and inspection records, sprinkler test reports, fire extinguisher test reports, and related records.	COFF annually. Destroy when 3 years old.	44C55

630 Repair Cards and Notices

630-1	Cards used by shop employees to identify, account for, and control equipment received for repair.	Destroy on pickup or return of equipment.	44C65
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630-2	Tags used as notification of the conduct of maintenance and repair operations, such as completed danger tags, open valve tags and followup forms, and comparable documents.	Destroy on completion of work.	44C70
631 <u>Craft Records</u>			
631-1	Craft requirement books. Documents accumulated in developing and submitting workforce account staff-hour requirements for tour and watch assignment, maintenance and operation, preventive maintenance, repair and improvement, and service calls. These documents are maintained in looseleaf notebooks.	Destroy when superseded or obsolete.	44C5
631-2	Tour and watch assignments. Documents reflecting tours of duty and watch assignments for craft personnel, along with descriptions of the work required and the time it is to be done.	Destroy when superseded or obsolete.	44C10
631-3	Craft productive staff-hour summaries. Daily, monthly, or other periodic summaries of productive staff-hours programed and expended.	COFF annually. Destroy when 2 years old.	44C15
632 <u>Environmental Condition Operating Records</u>			
	Documents used to record daily operating data relative to heating, air conditioning and refrigeration systems, such as Hydrothermic Data Sheets.	COFF annually. Destroy when 1 year old. Selected reference copies may be retained for as long as needed to provide a record of operating conditions.	44C85

633 Plant Operation Logs

Logs used to record equipment operation and condition, action taken, and occurrences during the shift.

Destroy 5 years after log book or sheet is filled, or on disposition of the equipment. 44C75

634 Heating and Air-conditioning Schedules

Schedules and other records relating to operating heating and air-conditioning plants.

Destroy when superseded or obsolete. 44C80

635 Water Treatment Files

Documents accumulated in arranging for or conducting tests and treatment of water used for boilers and other mechanical equipment, exclusive of official contract files created as a result of the commercial procurement of such services. Included are questionnaire forms, testing instructions, test results and records, and related records.

635-1 Testing instructions.

Destroy when superseded or obsolete. 44C115a

635-2 Other records.

COFF annually. Destroy when 5 years old. 44C115b

636 Vertical Transportation Files

Documents related to the operation of elevators, escalators, and dumbwaiters.

636-1 Authorizations to operate elevators.

Destroy when superseded or obsolete. 44B1a

636-2	Traffic survey data, schedules, and related records created in developing, maintaining, and revising schedules for the operation of elevators and escalators.		
	a. Schedules.	Destroy when superseded or obsolete.	44B1b(1)
	b. Other records.	COFF annually. Destroy when 2 years old.	44B1b(2)
636-3	Inspection and maintenance files.		
	a. Certificates of inspection.	Destroy when spaces thereon are filled or when a new form is required due to wear.	44B1c(1)
	b. Acknowledgment of inspection.	Destroy on receipt of next inspection acknowledgment.	44B1c(2)
	c. Schedules, reports, and other records.	COFF annually. Destroy when 2 years old.	44B1c(3)
636-4	Data cards used to record identification, location, operation, repair, and alteration data pertinent to each elevator.	Destroy on replacement or removal of the elevator.	44B1d
637	<u>Lighting Files</u>		
	Reports of lighting surveys that did not result in preparation of an order for, or installation of, new or altered lighting; logs recording burnouts and replacements; and related records.	COFF annually. Destroy when 1 year old.	44C95
638	<u>Utility Consumption Records</u>		

Documents accumulated in recording, analyzing, certifying bills for, and otherwise taking action on matters concerned with, the consumption of utility services. Included are copies of bills and certifications; records of utility consumption; submeter readings; demand and cost figures; communications about consumption, service, and meters; and related records; but not payment copies of bills.

COFF annually. Destroy when 3 years old.

44C100

~~639~~ Key Accountability Files

Files relating to accountability for keys issued.

639-1 For areas under maximum security.

Destroy 3 years after turn-in of key.
(GRS 18, item 17a)

639-2 For other areas.

Destroy 6 months after turn-in of key.
(GRS 18, item 17b)

COMMUNICATIONS

~~640~~ Directory Service Files

Correspondence, forms, and other records relating to the compilation of directory listings.

COFF after issuance of listing.
Destroy when 2 months old. (GRS 11,
item 3)

641 Communication Correspondence, Reports, and Reference Files

641-1 Correspondence and related records pertaining to internal administration and operation.

COFF annually. Destroy when 2 years old. (GRS 12, item 2a)

641-2	Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	COFF annually. Destroy when 3 year old. (GRS 12, item 2b)
641-3	Telecommunications statistical reports including cost and volume data.	COFF annually. Destroy when 1 year old. (GRS 12, item 2c)
641-4	Telecommunications reference voucher files.	
	a. Reference copies of vouchers, bills, invoices, and related records.	COFF annually. Destroy when 1 year old. (GRS 12, item 2d(1))
	b. Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner. (GRS 12, item 2d(2))
641-5	Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement. (GRS 12 item 2e)
642	<u>Telecommunications Operational Files</u>	
642-1	Message registers, logs, performance reports, daily load reports, and similar records.	COFF semiannually. Destroy when 6 months old. (GRS 12, item 3a)
642-2	Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.	COFF every 2 months. Destroy when 2 months old. (GRS 12, item 3b)
642-3	Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission. (GRS 12, item 3c)

643 Telephone Summaries

~~643-1~~ Summaries of long distance telephone report used to indicate authorized use of telephone service as well as to audit expense vouchers. Destroy after the close of the fiscal year in which audited. (GRS 12, item 4)

643-2 Telephone call data maintained by individual offices to document prior approval for official long distance telephone calls. Destroy after verification of calls approved or made. 9B40c

SECURITY AND PROTECTIVE SERVICES

~~644 Security and Protective Services Administrative Correspondence Files~~

~~Correspondence files relating to administration and operation of the facilities security and protective services programs not covered elsewhere in this section. COFF annually. Destroy when 2 years old. (GRS 18, item 9)~~

645 Accident and Fire Prevention Promotion Files

645-1 Documents accumulated as a result of conducting or participating in contests or other incentive-type activities designed to promote accident and fire prevention programs. Included are notices; activity reports; award notices and reports; and related records. COFF annually. Destroy when 2 years old. 44G25

~~646 Survey and Inspection Files~~

~~646-1 Government-owned facilities. Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, COFF annually. Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner. (GRS 18, item 10)~~

and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

646-2 Privately-owned facilities. Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers. COFF annually. Destroy when 4 years old or when security cognizance is terminated, whichever is sooner. (GRS 18, item 11)

647 Investigative Files

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. COFF annually. Destroy when 2 years old. (GRS 18, item 12)

648 Physical Security Devices Files

Documents developed or received pertaining to tangible physical devices in use, planned or proposed for the protection of Federal real and personal property. EXCLUDED are documents relating to special storage systems for important accessioned and historical records. (See item 1442-1.)

Destroy when superseded or obsolete.

New

~~649~~ Credentials Files

649-1 Identification credentials including cards, badges, photographs, and property, visitors passes, and other identification credentials. Destroy credentials 3 months after return to issuing office. (GRS 11, item 4a)

649-2	Receipts, indices, listings, and accountable records.	Destroy after all listed credentials are accounted for. (GRS 11, item 4b)
650	<u>Visitor Control Files</u>	
	Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	
650-1	For areas under maximum security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, item 18a)
650-2	For other areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, item 18b)
651	<u>Property Pass Files</u>	
	Property pass files, authorizing removal of property or materials.	Destroy 3 months after expiration or revocation. (GRS 18, item 13)
652	<u>Police Functions Files</u>	
	Files relating to exercising of police functions.	
652-1	Ledger records of arrest, cars ticketed, and outside police contacts.	Destroy 3 years after final entry. (GRS 18, item 15a)
652-2	Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.	COFF annually. Destroy when 2 years old. (GRS 18, item 15b)

~~652-3 Reports on contact of outside police with building occupants. COFF annually. Destroy when 1 year old. (GRS 18, item 15c)~~

~~653 Lost and Found Files~~

~~Files relating to accountability for personal property lost or stolen.~~

~~653-1 Ledger files. Destroy 3 years after final entry. (GRS 18, item 16a)~~

~~653-2 Reports, loss statements, receipts and other papers relating to lost and found articles. COFF annually. Destroy when 1 year old. (GRS 18, item 16b)~~

GUARD SERVICE

654 Special Orders

Documents created in issuing special instructions and guidance governing guard action. Included are special orders, standing operating procedures, and related papers.

Destroy when superseded or obsolete.

44F5

655 Emergency Action Files

Copies of drawings, layouts, and similar documents depicting switches, valves, or points that require attention in case of, and other documents prescribing or controlling action to be taken in emergencies.

Destroy when superseded, obsolete, or no longer needed.

44F20

~~655~~ Guard Assignment Files

Files relating to guard assignments and strength.

- ~~656-1 Ledger records. Destroy 3 years after final entry.
(GRS 18, item 14a)~~
- ~~656-2 Requests, analyses, reports, change notices, and
other papers relating to post assignments and
strength requirements. COFF annually. Destroy when 2 years
old. (GRS 18, item 14b)~~

~~657~~ Guard Service Control Files

- ~~657-1 Control center key or code records, emergency call
cards, building records, and employee identification
cards. Destroy when superseded or obsolete.
(GRS 18, item 20a)~~
- ~~657-2 Round reports, service reports on interruptions and
tests, and punch clock dial sheets. COFF annually. Destroy when 1 year
old. (GRS 18, item 20b)~~
- ~~657-3 Automatic machine patrol charts and registers of
patrol and alarm services. COFF annually. Destroy when 1 year
old. (GRS 18, item 20c)~~
- ~~657-4 Arms distribution sheets, change records, and
receipts. Destroy 3 months after return of arms.
(GRS 18, item 20c)~~

~~658~~ Guard Logs and Registers

Guards logs and registers not covered elsewhere in
this schedule.

- ~~658-1 Central guard office master logs. Destroy 2 years after final entry.
(GRS 18, item 21a)~~

~~658-2 Individual guard post logs of occurrences entered in master logs. Destroy 1 year after final entry. (GRS 18, item 21b)~~

~~659 Facilities Check Files~~

~~Files relating to periodic guard force facility checks.~~

~~659-1 Data sheets, door strip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices. COFF annually. Destroy when 1 year old. (GRS 18, item 19a)~~

~~659-2 Reports of routine after-hours security checks which do not reflect security violations or for which the information contained therein is documented in the files in item 314 of this schedule. Destroy when 1 month old. (GRS 18, item 19b)~~

~~660-699 Reserved~~

APPENDIX 7

TRAVEL AND TRANSPORTATION

These records relate to the movement of goods and persons under Government orders, and to the management, maintenance, and operation of motor vehicles used by NARA.

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
TRAVEL			
701	<u>General Travel and Transportation Files</u>		
701-1	Correspondence and related records maintained by NAB pertaining to agency travel and transportation functions. Includes agencywide policy and guidance concerning travel, relocation, passports, Citicorp Diners Club Program, Government Travel Requests (GTR's), Government Travel System (GTS), travel plans, and travel reports.	COFF annually. Destroy when 5 years old.	New
701-2	Documents maintained by individual offices concerning travel of employees but not papers concerning arrangements, reservations, etc. that are normally filed in the suspense file. Establish case files for travelers if volume warrants.	COFF annually. Destroy when 2 years old. (GRS 23, item 1)	
702	<u>Passport Controls</u>		
	Documents accumulated by the officially designated custodian in obtaining and controlling official passports and visas for NARA employees. Included are requests for passports, receipts, master register, and related records.		

702-1	Master register.	CDFD annually. Destroy when 10 years old.	19D15a
702-2	Other documents.	Destroy when related passport is returned to the Department of State.	19D15b
703	<u>Passenger Transportation Files</u>		
	Memorandum copies of SF 1113A, Public Voucher for Transportation Charges, memorandum copies of SF 1169, U.S. Government Transportation Request Memorandum, travel authorizations, transportation request registers, and all supporting papers.		
703-1	Issuing office memorandum copy.	CDFD annually. Destroy when 3 years old. (GDS 9, item 3a)	
703-2	Obligation copy.	See item 415, Obligation Files, for disposition instructions.	New
703-3	Unused ticket redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use. (GDS 9, item 3c)	
704	<u>Passenger Reimbursement Files</u>		
	Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by offices, employees, dependents, or others authorized by law to travel.		
704-1	Travel administrative office files.	CDFD annually. Destroy when 3 years old. (GDS 9, item 4a)	

704-2	Obligation copies.	See item 415, Obligation Files, for disposition instructions.	New
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SHIPPING

~~705~~ Freight Files

Records relating to freight consisting of export certificates, transit certificates, demurrage care record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.

705-1	Issuing office memorandum copies other than those identified in 705-4	Destroy 3 years after the period of the account. (GRS 9, item 1a)
705-2	All other copies.	COFF annually. Destroy when 1 year old. (GRS 9, item 1b)
705-3	Registers and control records other than those identified in 705-4	COFF annually. Destroy when 3 years old. (GRS 9, item 1c)
705-4	Records, including registers and control records, on international shipments of household goods moved by freight forwarders.	Destroy 6 years after the period of the account. (GRS 9, item 1d)
705-5	Lost or damaged shipments files that include schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.	COFF annually. Destroy when 3 years old. (GRS 9, item 2)

MOTOR VEHICLE

~~706 Motor Vehicle Correspondence Files~~~~Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this appendix.~~~~COFF annually. Destroy when 2 years old. (GRS 10, item 1)~~~~707 Motor Vehicle Operating and Maintenance Files~~~~707-1 Operating records including those relating to gas and oil consumption, dispatching, and scheduling.~~~~COFF every 3 months. Destroy when 3 months old. (GRS 10, item 2a)~~~~707-2 Maintenance records, including those relating to service and repair.~~~~COFF annually. Destroy when 1 year old. (GRS 10, item 2b)~~~~708 Motor Vehicle Cost Files~~~~Motor vehicle ledger and work sheets providing cost and expense data.~~~~Destroy 3 years after discontinuance of ledger or date of work sheet. (GRS 10, item 3)~~~~709 Motor Vehicle Report Files~~~~Reports on motor vehicles (other than accident, operating and maintenance reports).~~~~Destroy 3 years after date of report. (GRS 10, item 4)~~~~710 Motor Vehicle Accidents Files~~~~Records relating to motor vehicle accidents, maintained by transportation offices.~~~~Place in inactive file after case is closed. COFF inactive files annually. Destroy when 6 years old. (GRS 10, item 5)~~

~~711 Motor Vehicle Release Files~~

~~Records relating to transfer, sale, donation or
exchange of vehicles.~~

~~Destroy 4 years after vehicle leaves
agency custody. (GRS 10, item 6)~~

~~712 Motor Vehicle Operation Files~~

~~Records relating to individual employee operations
of Government-owned vehicles, including driver
tests, authorization to use, safe driving awards,
and related correspondence.~~

~~Destroy 3 years after separation of
employees or 3 years after rescission of
authorization to operate Government-
owned vehicles, whichever is sooner.
(GRS 10, item 7)~~

713-799 Reserved

APPENDIX 800

ADP AND WORD PROCESSING

These files relate to the study, selection, use, and management control of automated data processing (ADP) and office automation (OA) systems, equipment and operations, including files relating to the management and control of computer facility operations.

Excluded from Appendix 800 are documentation, source documents, processing files, and output products (i.e., reports, printouts, microforms, and similar hard copy output) for automated systems. These records are described with the related functional files. For example, the NARS-5 System is described in Appendix 1300.

<u>CATEGORY NUMBER</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
801	<u>ADP/OA GENERAL CORRESPONDENCE</u>		All items are new.
	Correspondence and memoranda relating to the routine administration of ADP and/or OA activities.	COFF annually. Destroy when 2 years old.	
802	<u>ADP INFORMATION MANAGEMENT SYSTEMS FEASIBILITY STUDIES</u>		
	Records accumulated as a result of studies conducted to determine the feasibility of installing ADP and word processing technology or equipment associated with information management systems. Included are preliminary studies, cost and benefit analysis, and efficiency projections of the proposed system.		
802-1	When study results in an acquisition.	COFF upon completion of study and maintain with related acquisition file, item 804.	

802-2 When study does not result in an acquisition. Place in inactive file upon completion of the study. COFF inactive files annually. Destroy when 5 years old.

803 PLANNING AND SYSTEM DEVELOPMENT FILES

Documents relating to the development of plans, policies, and procedures for agency and office automated data processing systems (ADPS) and office automation systems (OAS) and programs; conversion to ADPS/OAS; and supervision thereof. Included are strategic plans (e.g. 5 year ADP/OA Plan), feasibility studies, requirement analyses, cost and benefit studies, coordinating documents, approvals, disapprovals, charts, diagrams, and similar documents.

803-1 Files maintained by Program Policy and Evaluation Division (NAA). Arranged by subject. Ann. acc.: 1 cu. ft. Current vol.: less than 1 cu. ft. PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 5 years old.

803-2 Records maintained by other offices.

a. 5-year plan submission. COFF annually. Destroy when 2 years old.

b. Other records relating to studies. COFF at end of study. Destroy when 2 years old.

804 ADP/OA EQUIPMENT ACQUISITION CASE FILES

Documents related to the initial planning, selection, evaluation, procurement, and installation of ADP/OA equipment, and other necessary equipment. Included are feasibility studies, requirement analyses, initial system designs, specifications

and reviews of system, vendor's proposals and evaluations, implementation reviews and performance evaluations, benchmark outputs and related papers.

~~804-1 Case files maintained by NAA for transactions of more than \$10,000. COFF annually following final payment, hold 1 year, and retire to FRC. Destroy 6 years and 3 months after final payment. (GRS 3, item 4(a)(1))~~

~~804-2 Case files maintained by NAA for transactions of \$10,000 or less. COFF annually after final payment. Destroy 3 years after final payment. (GRS 3, item 4(a)(1))~~

804-3 Copies of requisitions and supporting documentation maintained by other offices. COFF annually. Destroy when 2 years old.

805 ADP TEST FILES

Documents relating to testing ADP equipment, data processing methods and procedures, and trial application of current or proposed data processing systems. Included are test requests, approval or disapprovals, test reports, and test related communications.

805-1 Records accumulated by final approving office. COFF annually. Destroy when 3 years old.

805-2 Other offices. COFF annually. Destroy when 2 years old.

806 ADP MANAGEMENT REPORTING FILES

Documents containing management data costs, equipment, staffing, workload capacities, ADP efficiency rates, and documents used to evaluate rental, purchases, operation, and maintenance costs. Included are reports, briefs, and related information.

806-1 Final report maintained by NAA. COFF annually, hold 5 years, and retire to FRC. Destroy when 10 years old.

806-2 Feeder reports maintained by NAA. COFF annually. Destroy when 2 years old.

806-3 Documents maintained by other offices. COFF annually. Destroy when 2 years old.

807 ADP SOFTWARE CENTRAL REFERENCE FILES

Documents accumulated as a result of the acquisition of ADP software for non-business types of applications which are maintained by NARA as a reference source. Included are copies of feasibility and applications studies, system specifications, procurement proposals, and related information.

Destroy when superseded, obsolete, or no longer needed for reference.

808 ADP EQUIPMENT AND QA INVENTORY FILES

Reports or inventory listings of NARA's ADP and office automation equipment.

Destroy when superseded, obsolete, or no longer needed for reference.

809 AUTOMATED INFORMATION SYSTEM SECURITY FILES

Documents relating to the identification and assessments of risks, provision for contingencies and survivability, and certification of sensitive information systems. Included are correspondence, reports, memoranda and other related documents.

Destroy when superseded, obsolete, or when no longer needed for reference.

810 DATA PROCESSING REGISTER AND SCHEDULES FILES

Documents used to record approved jobs, including job numbers, requesting office, job description, date received, and date due. Also included are documents that indicate available machine and personnel time, job requirements, priorities, and time-phasing information on individual approved jobs. Included are registers, schedules, and directly related documents.

COFF after completion of related job.
Destroy one year after COFF.

811 ADP TRAINING FILES

Documents created in the coordination and development of training programs in ADP subject areas. Included are training texts, training agreements with other Federal agencies, and related records, excluding files relating to the development of films.

Destroy when superseded, cancelled, or when no longer needed for reference.

APPENDIX 9

LEGISLATIVE AND CONGRESSIONAL RELATIONS

These records relate to developing and presenting NARA's legislative program to Congress, screening and researching bills of interest to NARA, and oral and written communications with Members of Congress and congressional committees.

ITEM NUMBERS	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA HB
LEGISLATION			
901	<u>Annual Legislation Program Files</u>		
	Documents created in submitting to the Office of Management and Budget, NARA's proposed legislative program. These files are maintained by the office responsible for tracking NARA's legislative program. Files are arranged chronologically. Annual acc.: less than 1 cu. ft.	PERMANENT. COFF annually, hold 4 years, and retire to FRC. Offer to NARA in 5-year blocks when 15 years old.	20C15 ✓
902	<u>Legislation Case Files</u>		
	Case files created in the preparation, processing, and tracking of legislation proposed by or of interest to NARA. Included are drafts of bills, correspondence with OMB and the relevant committees, testimony, committee reports, transcripts of hearings, materials relating to the preparation of hearings, and periodic status reports. These files are maintained by the office responsible for tracking NARA's legislative program.		
902-1	Case files relating to legislation proposed by NARA. Files are arranged alphabetically by subject and	PERMANENT. COFF at the end of each Congress, hold 4 years, and retire to	20C5

thereunder numerically by bill number. Annual
acc.: less than 1 cu. ft.

FRC. Offer to NARA when 15 years old
in ~~4~~-year blocks.

902-2	Case files relating to legislation proposed by other agencies.	COFF at the end of each Congress. Destroy when 2 years old.	20C10a
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903 Legislation Tracking Files

Tracking sheets and reports on the content and status of proposed legislation. Documents are arranged by bill number; i.e., Senate Bill, House Bill, Draft Bill.

COFF at end of each session. Destroy
when 1 year old.

New

904 Office Legislative Files

Files accumulated by individual offices in drafting or commenting on proposed legislation.

COFF at the end of each Congress.
Destroy when 2 years old.

9C1h

CONGRESSIONAL COMMUNICATIONS

905 Testimony

Chronological file of testimonies before congressional committees relating to oversight activities, investigations, and confirmation hearings. Included are testimonies, transcripts, and papers on the selection of witnesses to testify before congressional committees. (Excluded are testimonies relating to specific legislation which are filed under item 904-1.) These files are maintained by the office responsible for monitoring NARA's congressional activities. Files are arranged by date of testimony. Annual acc.: less than 1 cu. ft.

PERMANENT. COFF at the end of each Congress, hold 4 years, and retire to FRC. Offer to NARA in ~~4~~-year blocks when 15 years old.

New

906 Congressional Correspondence

906-1	<p>Copies of incoming and outgoing congressional correspondence of a substantive nature. Inquiries are originated by Members of Congress and pertain to substantive policy issues and program functions; i.e., plans, objectives, or responsibilities. These files are maintained by the office with primary responsibility for controlling this type of congressional correspondence. Files are arranged chronologically. Annual acc.: less than 1 cu. ft.</p>	<p>PERMANENT. COFF annually. Offer to NARA in 4⁵ year blocks when 15 years old.</p>	9D1
906-2	<p>Copies of incoming and outgoing congressional correspondence of a routine nature. Inquiries are originated by congressmen or constituents concerning requests for reference services, general information about NARA exhibits, etc. These files are maintained by the office with primary responsibility for controlling this type of congressional correspondence.</p>	<p>COFF annually. Destroy when 2 years old.</p>	New
906-3	<p>Record copy of incoming and outgoing correspondence^{omit} and related background materials maintained by the office responsible for preparing and coordinating the response.</p>	<p>File with related functional file.</p>	
907	<p><u>Congressional Contacts Files</u></p> <p>Reports and memoranda documenting conversations with Members of Congress and their staffs.</p>		<p>COFF annually. Destroy when 3 years old.</p> <p>New</p>
908-999	<p><u>Reserved</u></p>		

APPENDIX 10

PUBLIC INFORMATION

These records relate to developing, coordinating, and disseminating information to the media and the public about NARA programs and policies. Also included are records relating to the administration of the Freedom of Information Act (FOIA) and the Privacy Act. Instructions for maintaining FOIA requests for administrative records are contained in this appendix. Requests relating to accessioned records are maintained according to instructions contained in Appendix 14.

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
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PUBLIC RELATIONS

1001	<u>Speech Files</u>		
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Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by the Archivist and Deputy Archivist, or by persons officially designated to represent them, concerning NARA programs. The speeches and addresses may be presented to executives of other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. The format selected may be paper, audio or video tape, or motion picture film.

1001-1	Record copy maintained by the Office of the Archivist.	For disposition instructions, see item 100.	20A10
1001-2	Other copies.	Destroy when no longer needed for reference.	New

1002

News Releases

Records created by the releasing offices coordinating with and disseminating information to any public communications media. Included are drafts, clearance actions, copies of the formal news releases or radio spots, and related records.

1002-1

Record copies of news releases or radio spots.

a. Textual records arranged chronologically by date of event. Ann. acc.: 1 cu. ft. Current vol.: 4 cu. ft.

PERMANENT. COFF annually. Hold 5 years and retire to FRC. Offer to NARA in 5-year blocks when 20 years old.
~~(GRS 14, 1b)~~

20A1a(1)

b. Audiovisual records.

Original and one dubbing of each audio tape used for radio or TV spots.

PERMANENT. Transfer to the National Archives when 5 years old.
~~Submit SF 115. (See GRS 21)~~

~~20A1a(1)~~

1002-2

Other copies.

Destroy when no longer needed for reference purposes.

New

1002-3

Other records.

COFF annually. Destroy when 3 years old.

20A1a(2)

1003

Press Clippings

Press clippings from magazines and newspapers pertaining to the Archives and its holdings. Included are copies and originals of press clippings and related records. Arranged chronologically. Ann. acc.: less than 1 cu. ft.

PERMANENT. COFF annually. Hold 2 years and retire to FRC. Offer to NARA in 5-year blocks when 20 years old.

72C30

1004 Biographies

Biographical sketches, photographs, and related documents concerning leading NARA personalities and non-NARA personalities of significance to NARA.

1004-1 Record set maintained by NSI. Arranged by person's name. Current vol.: less than 1 cu. ft.

PERMANENT. Place in inactive file when superseded or obsolete. Offer to NARA in 5-year blocks when 20 years old.

20A25a

1004-2 All other copies.

Destroy when no longer needed.

20A25b

INFORMATION SERVICES

~~1005 Information Project Files~~

~~Information service project case files maintained in formally designated information offices.~~

~~Place in inactive file upon completion of project. COFF annually. Destroy when 1 year old. (GRS 14, item 6)~~

~~1006 Commendation/Complaint Correspondence~~

~~Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.~~

~~COFF every 3 months. Destroy when 3 months old. (GRS 14, item 7)~~

~~1007 Information Request Files~~

~~Requests for information and copies of replies thereto, involving no administrative actions, no~~

~~Destroy when 3 months old or when no longer needed, whichever is sooner.~~

policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other informational literature.

(GRS 14, item 3)

1008

Acknowledgement File

Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy 3 months after acknowledgement and referral. (GRS 14, item 4)

FREEDOM OF INFORMATION ACT (FOIA)

1009

FOIA Request Files

Files created in response to requests for information under the Freedom of Information Act (FOIA) consisting of the original request, a copy of the reply, and all related supporting files which may include official file copy of requested record or copy thereof. For FOIA requests for accessioned records see item 1422, FOIA and Mandatory Review Request Files.

1009-1

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

a. Granting access to all the requested records.

Destroy 2 years after date of reply.
(GRS 14, item 16a(1))

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

(1) Request not appealed.

Destroy 2 years after date of reply.
(GRS 14, item 16a(2)(a))

(2) Request appealed.

Destroy as authorized under Item 1010,
FOIA Appeals Files. GRS 14, item
16a(2)(b))

c. Denying access to all or part of the records
requested.

(1) Request not appealed.

Destroy 5 years after date of reply.
(GRS 14, item 16a(3)(a))

(2) Request appealed.

Destroy as authorized Item 1034, FOIA
Appeals Files. (GRS 14, item
16a(3)(b))

1009-2

Official file copy of requested records.

Dispose of in accordance with approved
disposition instruction for the related
records, or with the related FOIA
request, whichever is later. (GRS 14,
item 16b)

1010

FOIA Appeals Files

Files created in responding to administrative
appeals under the FOIA for release of information
denied by the agency, consisting of the appellant's
letter, a copy of the reply thereto, and related
supporting documents, which may include the official
file copy of records under appeal or copy thereof.

1010-1	Correspondence and supporting documents (<u>Excluding</u> the file copy of the records under appeal if filed herein).	Destroy 4 years after final determination by agency or 3 years after final adjudication by courts whichever is later. (GRS 14, item 17a)
1010-2	Official file copy of records under appeal.	Dispose of in accordance with approved disposition instructions for the related record, or with the related FOIA requests, whichever is later. (GRS 14, item 17b)
1011	<u>FOIA Control Files</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.	
1011-1	Registers or listing.	COFF annually. Destroy 5 years after date of last entry. (GRS 14, item 18a)
1011-2	Other files.	Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later. (GRS 14, item 18b)
1012	<u>FOIA Reports Files</u> Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act (FOIA), including annual reports to the Congress.	
1012-1	NARA's annual report.	PERMANENT. COFF annually. Offer to NARA when 15 years old. (GRS 14, item 19a)

1012-2 Feeder and other reports. Destroy when 2 years old or sooner if no longer needed for administrative use. (GRS 14, item 19b)

1013 FOIA Administrative Files

Records relating to the general NARA implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. COFF annually. Destroy when 2 years old or sooner if no longer needed for administrative use. (GRS 14, item 20)

PRIVACY ACT

1014 Privacy Act Requests Files

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of the records requested or copy thereof.

1014-1 Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

a. Granting access to all the requested records. COFF annually. Destroy when 2 years old. (GRS 14, item 25a(1))

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

(1) Requests not appealed.

COFF annually. Destroy when 2 years old. (GRS 14, item 25a(2)(a))

(2) Requests appealed.

Destroy as authorized under Item 1015, Privacy Act Amendment Case Files. (GRS 14, item 25a(2)(b))

c. Denying access to all or part of the records requested.

(1) Requests not appealed.

COFF annually. Destroy when 5 years old. (GRS 14, item 25(3)(a))

(2) Requests appealed.

Destroy as authorized under Item 1015, Privacy Act Amendment Case Files. (GRS 14, item 25(3)(b))

1014-2

Official file copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records, or with the related Privacy Act request, whichever is later. (GRS 14, item 25b)

1015

Privacy Act Amendment Case Files

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

1015-1	Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend copies of agency's replies thereto, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. (GRS 14, item 26a)
1015-2	Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. (GRS 14, item 26b)
1015-3	Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.	Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. (GRS 14, item 26c)
1016	<u>Privacy Act Accounting of Disclosure Files</u> Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later. (GRS 14, item 27)
1017	<u>Privacy Act Control Files</u> Files maintained for control purposes in responding to requests, including registers and similar records	

listing date, nature of request, and name and address of requestor.

1017-1	Register or listings.	COFF annually. Destroy when 5 years old. (GRS 14, item 28a)
1017-2	Other files.	Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later. (GRS 14, item 28b)
1018	<u>Privacy Act Reports Files</u> Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.	
1018-1	NARA's annual report.	PERMANENT. COFF annually. Offer to NARA when 15 years old. (GRS 14, item 29a)
1018-2	Other reports.	COFF annually. Destroy when 2 years old. (GRS 14, item 29b)
1019	<u>Privacy Act General Administrative Files</u> Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.	
1020-1099	<u>Reserved</u>	

APPENDIX 11

LEGAL

These records relate to advice, assistance, and representation provided by the legal staff on legal matters affecting NARA's mission and program responsibilities.

ITEM NUMBERS	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA HB
LEGAL SERVICES			
1101	<u>General Legal Files</u>		
	Correspondence, memoranda, and documents maintained by NSL relating to general legal services not otherwise covered in this appendix.	COFF annually, hold 3 years, and retire to FRC. Destroy when 6 years old.	21A1
1102	<u>Personnel Action Legal Assistance Files</u>		
	Documents accumulated in rendering legal assistance to NARA officials on personnel actions, advising employees seeking redress of grievances or appealing alleged adverse personnel actions, representing NARA in hearings on contested personnel actions, and similar matters. Excluded are documents relating to legal proceedings in courts of law which are filed with item 1105, Litigation Files.	COFF annually. Destroy when 5 years old.	21A70
1103	<u>Financial Disclosure Reports</u>		
1103-1	Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521)		

a. Records including Information Sheet-Financial Disclosure Report (SF 278A), for individuals filing according to Section 2016 of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation. (GRS 1, item 25a(1))

b. All other records including Financial Disclosure Report (SF 278).

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 1, item 25a(2))

1103-2

All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

a. Official record copy.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 1, item 25b)

b. Copy maintained by the supervisor. (When an employee transfers to a new position within NARA, the statement(s) will be transferred to the new supervisor.)

Destroy when 6 years old EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 1, item 25b)

1104

FOIA Legal Advice Files

Documents accumulated in providing legal advice and assistance on implementing the "Freedom of Information Act" (FOIA), 5 U.S.C. 552. Included are requests for information, interpretations, copies of letters denying access to requested information, and similar information. Excluded are documents relating to court actions filed to gain access to

COFF annually, hold 3 years, and retire to FRC. Destroy when 6 years old.

21A45

NARA information; these are filed with item 1105, Litigation Files.

1105

Litigation Files

Documents relating to litigation by or against the Government resulting from sales, claims, torts, contracts, foreclosures, actions against NARA officials (personal judgements), criminal actions, titles to real property, and similar matters. Included are statements of claims, documentary evidence, copies of condemnation or foreclosure proceedings and decisions, lists of witnesses, supporting documents, correspondence, and related records.

*questions concerning records status
authority of the Archivist in records
matters,*

1105-1

Significant litigation cases selected by the Director of Legal Services because the cases established legal precedent, received widespread attention from the news media, Congress, the White House, or pertain to significant events or prominent individuals. Ann. acc.: less than 1 cu. ft.

PERMANENT. COFF annually following close of case. Offer to NARA in 5-years blocks when 20 years old.

21A55a

1105-2

Other case files.

COFF annually following close of case. Hold 5 years and retire to FRC. Destroy when 10 years old.

21A55b

1106

Protests to the Comptroller General

Documents relating to bidder and contractor protests to the Comptroller General on solicitations issued or contracts entered into by NARA. Included are GAO requests for reports on the protests, administrative reports, and related records.

1106-1

Litigation pending.

Place in inactive file when litigation is terminated. COFF annually, hold 3

21A36a

FILES 203

years and retire to FRC. Destroy when
6 years ~~old~~ and 3 months old,

1106-2 No litigation pending.

COFF annually. Hold 3 years and retire
 to FRC. Destroy when 8 years old.

21A36b

1107 Precedent and Legal Documents

Model copies of contracts, leases, easements,
 letters of intent, contract clauses, mortgages,
 deeds; background material and citations noted in
 preparation of such documents, and similar records
 accumulated for reference purposes.

Destroy when no longer needed for
 reference purposes.

21A30

1108-1199 Reserved

APPENDIX 12

AUDITS AND INVESTIGATIONS

These records relate to audits of NARA programs and contractors, progress reports of actions taken to resolve audit findings, and investigations of possible unlawful activity.

<u>ITEM NUMBERS</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
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AUDIT ADMINISTRATION

1201 Audit Administrative Subject Files

Documents relating to the routine operation and administration of the audit function, but not routine program administration files described in app. 1. Included are pertinent laws, copies of contracts or other authoritative documents relating to specific audit functional areas, organizational charts and functional statements, surveys of procedures and controls, statistical tabulations, contractor's financial statements, analyses of cost trends, and significant findings of prior audits in each functional area.

Destroy when superseded or obsolete.

22A45

1202 Audit Guidance

Documents created in preparing, clearing, and issuing special instructions and guides for use by auditors in NARA internal and contract audits. Included are record copies of audit guides and instructions, clearance actions, and related records.

Destroy when superseded, canceled, or discontinued.

22A1

1203 Audit Schedules

Schedules of audits and background materials accumulated in the process of identifying areas for audit.

COFF annually. Destroy when 5 years old.

22A15

1204 Audit Report Chronological File

Records accumulated for reference and referral to contract audits, internal audits, clearances, and related information. Included are copies of final contract and internal audit reports.

COFF annually. Destroy when 5 years old.

22A20

1205 Audit Summaries

Periodic audit digest and summaries, reports of actions taken as a result of the summaries, and related records created in preparing and circulating summarized information on the status of audit activities, selected audit findings and recommendations, and other audit matters.

COFF annually. Destroy when 3 years old.

22A10

AUDITS AND INVESTIGATIONS

~~1206 Audit Case Files~~

~~Case files of internal audits on NARA programs, operations and procedures, and audits conducted on contractors. Records consist of audit reports and supporting work papers. Files are maintained by NSA.~~

~~COFF annually after completion of final report. Hold 3 years and retire to FRC. Destroy when 8 years old. (GRS 25, item 4)~~

1207 Audit Resolution Case Files

Case files used for tracking progress on internal audits, audits on contractors, and GAO audits. Included are notices of intent to audit, copies of documents furnished to auditors, copies of tentative findings and recommendations, advance notice of major findings, reports of major findings, copies of draft and final reports, follow up progress reports, comments, and related documents.

New

1207-1 Files maintained by NARA Audit Resolution Official.

COFF at the end of the fiscal year in which followup actions on report recommendations are completed. Hold 3 years and retire to FRC. Destroy when 8 years old.

1207-2 Files maintained by designated central point of contact for a major office.

COFF at the end of the fiscal year in which followup actions on report recommendations are completed. Destroy when 3 years old.

1207-3 Files maintained by individual offices for tracking purposes.

COFF annually. Destroy when 2 years old.

~~1208 Investigative Case Files~~

~~Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and~~

other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

1208-1	Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in investigations conducted by the NARA Ethics Counsel.	CDDF annually. Destroy when 5 years old. (GRS 25, item 3a)
1208-2	All other investigative case files.	Place in inactive file when case is closed. Cut off inactive file annually. Destroy when 10 years old. (GRS 25, item 3b)
1209	<u>Indexes to Case Files</u> Indexes and registers used as references to investigative and audit case files.	Destroy when superseded. (GRS 25, item 5)
1210-1299	<u>Reserved</u>	

APPENDIX 13

FEDERAL AGENCIES AND RECORDS

These records relate to NARA programs engaged in promoting efficient management of agency records administration programs; appraising and scheduling for disposition records of Federal agencies; and transferring, storing, and servicing agency records stored in Federal Records Centers (FRC's).

ITEM NUMBERS	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA HB
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AGENCY RECORDS MANAGEMENT

1301	<u>Records Administration Program Subject Files</u>		New item
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~~Program~~ Correspondence and related records documenting policies, procedures, and standards *of office programs, including* regarding adequacy of documentation, agency program evaluations, audiovisual records, electronic records, files maintenance, records disposition, and vital records. Arranged by subject.

1301-1	Records maintained by the Agency Services Division and Records Appraisal and Disposition Division. Ann. acc.: 2 cu. ft. Current vol.: 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 10 years old.	
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1301-2	Other program subject files.	COFF annually, hold 2 years, and retire to FRC. Destroy when 10 years old.	<i>Withdrawn</i>
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1301-3	Records maintained by other offices.	Destroy when no longer needed for current operations.	
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1302 Agency Evaluation Files

Correspondence, reports, agency action plans, and other records relating to NARA evaluations, or inspections, of Federal records management programs.

1302-1	Final draft reports, agency comments, final reports, agency action plans, and final correspondence on implementation of NARA recommendations. Maintained by the office of Records Administration. Arranged alphabetically by name of agency. Current vol.: 3 cu. ft. Annual accum.: 3 inches	PERMANENT. COFF at the end of the fiscal year in which case file is closed. Offer to NARA in 5-year blocks when 10 years old.	76A16 <i>a</i>
1302-2	Other records maintained by the Office of Records Administration.	Destroy when related records are offered to NARA or when no longer needed, whichever is sooner.	76A16 <i>b</i>
1302-3	Records maintained by the Office of Federal Records Centers.	Destroy when 5 years old.	New item
1302-4	Records maintained by records centers.	Destroy when 3 years old.	New item
1303	<u>Agency Records Center Case Files</u>		New item
	Correspondence, memoranda, reports, and other records pertaining to records centers operated by or for a Federal agency.	COFF when the record center is no longer in operation and place in inactive file. Destroy when 3 years old.	
1304	<u>Agency Correspondence Files</u>		New item
	Correspondence, memoranda, and other records sent to and received from Federal agencies including deficiency letters (Deficiencies in Records Transfer Paperwork, NA Form 13057, and Deficiencies in Record Shipments, NA Form 13028) and other routine	COFF annually. Place documents of continuing value in the next year's file. Destroy when 3 years old.	

correspondence relating to Federal Records Center programs.

1305 Records Management Workshop, Conference, and Training Course Files

1305-1	Correspondence, memoranda, notices, applications, attendance records, and administrative forms pertaining to records management workshops, conferences, and training courses. (See item 424 for billing documents.)	COFF annually. Destroy when 3 years old.	76A35
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1305-2	Training materials, including course outlines, handouts, vugraphs, and reference files.	Destroy when superseded or obsolete.	76A40
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~~1306 Case Files on Archival Records in Agency Custody~~

Records maintained by the Agency Services Division to monitor the status of archival record series not yet accessioned by the Office of the National Archives. Arranged alphabetically by name of agency and thereunder by record series. Annual acc.: 2 cu. ft. Current vol.: 2 cu. ft.

Offer to custodial unit when first portion of the record series is accessioned by the Office of the National Archives.

~~New item~~
withdrawn

APPRAISAL AND DISPOSITION

1307 Appraisal Job Control Register

Registers maintained by the Appraisal and Disposition Division to record and identify requests for internal and external disposition authorities and offers of unscheduled records. Each entry includes the name of the agency, the job number, number of items, date received, date signed by the Archivist, and date closed. Arranged by record group number. Ann. acc.: 3 in. Current vol.: 2 cu. ft.

PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.

~~New item~~
75A15

1308 Appraisal Job Control Tracking System Files New item

Flexible magnetic disks containing information used in tracking the status of records disposition requests (SF 115) and offers of records to NARA (SF 258) from date of registration to date of completion of the job. Files include date of registration, job number, number of items, appraiser's name, date of last action, action code, NARA units sent for action, and controlling Branch (Civilian or Military). Files are updated monthly and data on closed jobs are transferred to an annual history file.

1308-1	Forms used to furnish input data.	COFF monthly. Destroy after verification of input data.
1308-2	Annual history file.	COFF annually. Destroy when 2 years old or sooner if no longer needed for reference.

1309 Records Disposition Case Files

Requests for Records Disposition Authority (SF 115) appraisal reports, endorsement sheets, public comments, and other records relating to internal and external dispositions.

1309-1	External disposition records maintained in Records Appraisal and Disposition Division (NIR). Arranged by record group number. Ann. acc.: 4 cu. ft. Current vol.: 14 cu. ft.	PERMANENT. COFF when 2 years old or 75A15 when volume warrants and microfilm Offer to NARA after file is verified. <i>Transfer to FRC after microfilming</i> <i>Transfer to the National Archives</i> <i>when 10 years old in 2 year blocks.</i>
1309-2	Internal disposition records maintained in NIR. Arranged by record group number. Ann. acc.: less than 1 cu. ft.	PERMANENT. COFF every 5 years. Offer 75A15 to NARA in 5-year blocks when 5 years old.

1309-3	Other copies, including those in custodial units and FRC's.	Destroy when no longer needed for reference.	New item
1310	<u>Rejected or Canceled Offers of Records</u>		New item
1310-1	Requests to Transfer Records to the National Archives (SF 258), appraisal reports, endorsement sheets, and related correspondence accumulated by the Records Appraisal and Disposition Division in the process of rejecting offers of Federal records to the Office of the National Archives or canceled offers of records. Arranged by year and thereunder by record group number. Ann. acc.: 2 in. Current vol.: 2 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	
1310-2	Files maintained by the Federal Records Centers.	COFF annually. Destroy when 5 years old.	
1311	<u>Federal Register Disposition Documentation Case Files</u>		New item
	Correspondence, memoranda, copies of notice, copies of SF 115, and other records accumulated in publishing notices of records dispositions in the Federal Register.	COFF after commenting period stated in the Federal Register. Destroy when 1 year old.	
1312	<u>Appraisal and Disposition Division Time Reports</u>	COFF annually. Destroy when 2 years old or when no longer needed, whichever is sooner.	75AF <i>Withdrawn</i>
	Reports containing time spent on division activities that include type of activity, hours worked on activity and name of individuals.		

ADMINISTRATION OF FEDERAL RECORDS CENTERS

1313	<u>Federal Records Centers Program Subject Files</u>	75A1
	Correspondence, memoranda, reports, and other related records maintained by the Office of Federal Records Centers relating to the policies, procedures, and general administration of the Federal Records Centers program. Arranged alphabetically by subject.	COFF annually. Place documents of continuing value in the next year's file. Destroy when 10 years old.
1314	<u>Agency/FRC Agreement Files</u>	New item
	Correspondence, memoranda copies of agreements, and related records pertaining to reimbursable and non-reimbursable agreements between NARA and Federal agencies. Included are agreements for early retirement of records and/or special reference services, agreements relating to military and civilian personnel, and health records and similar agreements.	
1314-1	Documents relating to national agreements.	COFF after agreement is terminated. Destroy when 3 years old.
1314-2	Documents relating to FRC negotiated agreements.	COFF after agreement is terminated. Destroy when 3 years old.
1315	<u>FRC Reports and Correspondence</u>	
	Major activities and accomplishment reports, monthly narrative reports, unscheduled records project reports, performance analysis reports, statistical summaries, space and equipment reports, similar reports and related correspondence. (See items 1316, 1317, and 1326 for automated output reports.)	

FILES 203

1315-1	Reports maintained by the Office of Federal Records Centers.	Destroy when 7 years old, or when no longer needed whichever is sooner.	75A1
1315-2	Reports maintained by records centers.	Destroy when 3 years old, or when no longer needed, whichever is sooner.	75B1
1315-3	Reports pertaining to precious metals.	CODD annually. Destroy when 3 years old.	New item
1316	<u>TASK System</u>		New item
	Automated data base and related records created for administrative purposes to show individual, unit, and center productivity measurements. The TASK system also serves as a feeder system to the Automated Statistical Summary. (See item 1317.)		
1316-1	Input forms.		
	a. Short-term: Organization Master Entries, Master Transaction Entries, Batch Cards, and Employee Master Transaction Entry.	Destroy after information has been keyed onto disk file and verification is complete.	
	b. Long-term: Productivity Record and Batch Card and TASK Daily Work Log.	Destroy when 6 months old or when no longer needed for administrative purposes whichever is shorter.	
1316-2	Output reports.		
	a. Employee performance measurements including General Performance Appraisal System (GPAS) reports supporting employee performance appraisal files; and individual monthly and yearly reports. (See also item 3__.)	Destroy 3 years after the date of appraisal or when no longer needed.	
	b. Individual Weekly Summary Report.	Destroy when Individual Monthly Summary Report has been verified.	

c. Feeder reports used to prepare summary reports including Microfilm Job Summary, Weekly Summary, Monthly Summary, and Center Statistical Summary.	Destroy when no longer needed to prepare the summary report, or 3 months after close of fiscal year.
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d. Weekly Productivity Reconciliation Validation Edit Report.	Destroy after corrections have been made to the transaction file.
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1316-3 Automated files.

a. Program and documentation files containing machine instructions designed to add or retrieve information to or from specific data systems and related written documentation files.

(1) Files maintained at records centers.	Overwrite when modified or destroy when system is no longer in use.
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(2) Files maintained by NCC.	Destroy when modified or 5 years after program is no longer in use.
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b. Intermediate input-output files consisting of data that is manipulated, sorted, or moved from one computer run to a subsequent run and is used in the process of updating a master file.	Destroy after verification of master file. (See GRS 20, Part II, item 11.)
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c. TASK system master file.

(1) Files maintained at records centers.	Destroy when system is modified or no longer in use.
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(2) Files maintained at NCC.	Destroy 2 years after close of fiscal year.
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1317

Automated Statistical Summary System

New item

Automated management information system which provides statistics on a monthly basis on major functional areas, staff time expended, and workload. Information is used for budgeting and planning purposes.

1317-1

Input keyed by the individual records centers.

Destroy after information has been keyed onto disk file and verification is complete.

1317-2

Statistical Summary Report

a. Record copy maintained in Office of Federal Records Centers. Arranged chronologically. Ann. acc.: 1 in. Current vol.: 1 cu. ft.

COFF annually
PERMANENT. ²⁰ Offer to NARA when 20 years old *in 5 year blocks*

b. Copies in records centers.

Destroy when no longer needed for administrative purposes.

1317-3

Automated files

a. Program and documentation files consisting of machine instructions designed to add or retrieve information to or from specific data systems and attendant written documentation files.

(1) Files maintained at records centers.

Overwrite when modified or destroy when system is no longer in use.

(2) Files maintained by NCC.

Destroy when modified or 5 years after program is no longer in use.

~~b. Intermediate input-output files containing data that is manipulated, sorted or moved from one computer run to a subsequent run and is used in the process of updating a master file.~~ Destroy after verification of master file. (See GRS 20, Part II, item 11.)

c. Master files

(1) Files maintained at records centers:
Employee Master File.

Destroy when system is modified or no longer in use.

(2) Files maintained at NCC.

Destroy 13 months after close of fiscal year in which they were created.

1318 FRC Inspection Files

New item

Correspondence, memoranda, reports and other records relating to Office of Federal Records Centers' inspection of Federal Records Centers.

1318-1 Records maintained by the Office of Federal Records Centers.

COFF annually. Destroy when 10 years old.

1318-2 Records maintained by records centers.

COFF annually. Destroy when 5 years old.

1319 FRC Quality Control Files

New item

Memoranda, reports, statistical summaries, charts, working papers, and other records documenting quality control in Federal Records Centers. (See item 3__ for individual performance documentation files.)

COFF annually. Destroy when 3 years old.

ACCESSIONING IN FEDERAL RECORDS CENTERS

1320	<u>Records Transmittal and Receipt File (SF 135)</u>		75B55
1320-1	Standard Forms (SF) 135, 135A, and related records for holdings transferred to the National Archives for permanent retention.	Transfer original to the Office of the National Archives with related holdings. Place copy in inactive file after records are transferred. COFF inactive file annually. Destroy when 10 years old.	
1320-2	Standard Forms (SF) 135, 135A, and related records for holdings that are not permanent.		
	a. Those SF 135's and related records received after the implementation of the NARS-5 system.	Place in inactive file after records have been destroyed, COFF annually. Destroy when 10 years old.	
	b. Those SF 135's and related records received prior to the implementation of the NARS-5 system.	Place in inactive file after records have been destroyed. COFF annually. Destroy when 10 years old, unless required for continuing reference purposes.	
1321	<u>Accession Register</u>		
	Documents prepared by Federal Records Centers to log incoming shipments of records retired by Federal agencies containing the following entries: accession number, agency, agency address, date accession number assigned, date records received (pending), date records shelved and Records Transmittal and Receipt (SF 135) signed and returned (completed), anticipated volume, actual volume received, and records center location.	COFF annually. Destroy when 5 years old provided necessary information has been converted to NARS-5 system.	75B50

1322 Accession and Disposal Exception Files

New item

Documents pertaining to the authorization and implementation of exceptions to normal accessioning and disposition practices in the FRC's.

1322-1 Office of Federal Records Centers Case Files

a. Freeze files (arranged alphabetically by freeze code).

Destroy 10 years after freeze has been lifted.

b. Contingent Appraisal Pending (CAP) files and Contingent Reappraisal Pending (CCRP) files.

Destroy 2 years after the exception is lifted.

c. Other contingent exceptions.

Destroy 10 years after exception has been lifted.

d. Unscheduled exceptions.

Destroy 1 year after the exception is terminated.

e. All other exceptions.

Destroy 1 year after the exception is terminated.

1322-2 Federal Records Centers action files.

a. Freeze files (arranged alphabetically by freeze code).

Destroy 2 years after exception is terminated.

b. All other exceptions.

Destroy 1 year after exception is terminated.

1323 FRC Unscheduled Records Tracking System Files

New item

Files created to track progress on appraising and scheduling unscheduled records in the Federal Records Centers.

Destroy when information is no longer needed.

1324	<u>FRC Unscheduled and Permanent Records Report</u>		
	Report monitoring the status of unscheduled and permanent records in the Federal Records Centers.	COFF annually. Destroy when 2 years old.	New item
1325	<u>Pending Schedules Implementation Files</u>		New item
	Correspondence, memoranda, printouts, and other records pertaining to pending implementation of agency records schedules.	Destroy 1 year after implementation of the schedule or when no longer needed for reference, whichever is later.	
1326	<u>NARS-5 System</u>		New item
	Automated accession control system used for administrative tracking and control of accessions into, movement within, and disposal or transfer of records from a Federal Records Center. The system also provides statistical information and "space available" information through the "Space Information System" (SIS) subsystem (See item 1326, 2(d)).		
1326-1	Reports and forms documenting input actions to NARS-5 such as the FRC Holdings Control Input (NA Form 13116); the Mass Data Change Worksheet (NA Form 13117); the Disposal Accomplished Report (Report 88); and, the Disposal Change Report (Report 89).	COFF annually. Destroy when 1 year old or when no longer needed for administrative purposes, whichever is sooner.	
1326-2	NARS-5 output reports.		
	a. Feeder reports used to prepare summary reports including One Time/Special Inquiry Reports: Reports 04, 05, 08, 09, 10, 15, 16, 17, 18, 35, 36, 44, and 45.	Destroy when no longer needed to prepare the summary report, or 3 months after close of fiscal year.	

b. Edit reports of input errors including Transaction Validity Error Report (Report 19), Transaction Logical Error Report (Report 20), and SIS Error Cycles 2 and 3 reports.

Destroy after corrections have been made to the transaction file.

c. NARS-5 periodic reports.

(1) Monthly reports: Accession Number Master List (Report 01); Record Group Profile (Summary) Listing (Report 02); Federal Record Center Profile (Summary) Listing (Report 03).

Destroy when superseded.

(2) Semiannual and annual (FY) reports: Record Group Profile (Summary) Listing (Report 02); Federal Record Center Profile (Summary) Listing (Report 03); Stack Sequence Report (Report 06); Location Report (Report 07); Annual Report of Holdings and Disposals by Record Group (Report 24); Retention Report (Report 37); Auditors Report (report 43).

COFF annually and destroy when 1 year old or when no longer needed for administrative purposes, whichever is longer.

(3) NARS-5 history reports: Withdrawal Report (Report 11); Withdrawal Report 2 (Report 21).

Destroy when no longer needed for reference purposes.

(4) NARS-5 edit files: IVF Update Report (Report 28) and Disposal Authority Master List.

Destroy when superseded.

(5) Disposal pull list: Copy of Disposal Approved Report (Report 22) annotated with signed certification indicating that disposal records were removed from the shelves and, where required, that the destruction of the records was witnessed; Disposal Concurrence Report (Report 23).

COFF at the end of fiscal year in which the disposal is accomplished. Destroy when 10 years old.

(d) Space Information System (SIS): Reserve Master Listings, Available Space by Location Report, and Available Space by Volume Report.

Destroy when superseded.

1326-3 Automated files

a. Program and documentation files consisting of machine instructions designed to add or retrieve information to or from specific data systems and related written documentation files.

(1) Files maintained at records centers.

Overwrite when modified or destroy when no longer in use.

(2) Files maintained by the St. Louis Data Systems Center (NCC).

Destroy when modified or 5 years after program is no longer in use.

~~b. Intermediate input-output files consisting of data that is manipulated, sorted or moved from one computer run to a subsequent run and is used in the process of updating a master file.~~

Destroy after verification of master file. (See GRS 20, Part II, item 11.)

c. Master Files maintained at NCC: Report 21 and Withdrawal Report 2.

Destroy when 25 years old.

REFERENCE IN FEDERAL RECORDS CENTERS

1327 Optional Form 11 Files

New item

Optional Form 11, Reference Request - Federal Records Centers, used to document the loan or permanent withdrawal of records from a Federal Records Center.

1327-1 Optional Forms 11 (chargeout copy) used to document the loan of records.

Destroy when file(s) are returned.

1327-2 Optional Forms 11 (chargeout copy) use to document the permanent withdrawal of entire boxes.

Place in file with corresponding SF 135 after NARS-5 has been updated and the

SF 135 annotated. Dispose of in accordance with the disposition instructions for the related SF 135. (See item 1320.)

1328 Reference Service Correspondence File

Documents created in filling requests for information and reproductions of Federal Records Center holdings or authentication of reproductions. Included are correspondence requesting reproduction or authentication service, price quotations, reproduction or authentication service orders, and related records. (Documentation for reproduction or authentication involving a Privacy Act system of records should be retained in accordance with applicable agency procedures.)

Retain for 90 days or until no longer needed, whichever is sooner. 75B5

1329 Research Application and Authorization Files

Documents accumulated in authorizing private citizens and Federal employees access to records in the custody of the center. Included are applications, letters authorizing or denying access, documents demonstrating the security clearance of personnel involved in the Declassification program, and related correspondence. (Documentation for access to a Privacy Act system of records should be retained in accordance with applicable agency procedures.)

COFF annually, bringing forward documents still in effect. Destroy remaining file when 3 years old. 75B10

6. Other records,

a. Researcher Application Cards.

COFF Annually, Transfer to FAL when 1 year old, Destroy when 25 years old.

1330 Register of Visitors

Forms, logs, and related records recording date of visit and name of visitor.

Transfer to FAL when
COFF annually, ~~and destroy when 2 years~~ 75B20
~~old.~~ *1 year old. Destroy when 25 years old.*

DISPOSITION AT FEDERAL RECORDS CENTERS

1331	<u>Permanent Records Transfer Files</u>		
	Record Center documentation including correspondence, memoranda, NARS-5 printouts, and other records used in facilitating the transfer of permanent records from Federal Records Centers to the Office of the National Archives.	Place in inactive file after permanent records have been transferred to the Office of the National Archives. COFF inactive file annually. Destroy when 10 years old.	75B80
1332	<u>Notices of Intent to Destroy Records Files</u>		
	Returned Notices of Intent to Destroy Records (NA Form 13001) and related correspondence requesting that an accession or part of an accession not be destroyed.		
1332-1	Documents relating to requests which were approved by the FRC.	Place in file with corresponding SF 135 after NARS-5 has been updated and the SF 135 annotated. Dispose of in accordance with disposition instructions for the related SF 135. (See item 1320.)	75B55
1332-2	Documents relating to requests which were not approved by the FRC.	Place in file with corresponding SF 135 after the records have been destroyed or returned to the agency, NARS-5 updated, and the SF 135 annotated. Dispose of in accordance with disposition instructions for the related SF 135. (See item 1320.)	75B55
1333	<u>Contingent Disposal Notices Files</u>		
	Returned Notices of Contingent Disposal (NA Form 13000), and related correspondence.		

1333-1	Notices indicating that a complete accession can be destroyed.	Place in file with corresponding SF 135 after NARS-5 has been updated and the SF 135 annotated. Dispose of in accordance with the disposition instructions for the related SF 135. (See item 1320.)	75B55
1333-2	Notices indicating that an accession or part of an accession cannot be destroyed.	Place in file with corresponding SF 135 after NARS-5 has been updated and the SF 135 annotated. Dispose of in accordance with the disposition instructions for the related SF 135. (See item 1320.)	75B55
1334	<u>Records Disposal Authorization Correspondence</u>		
	Correspondence received from agencies, which was not part of the regular quarterly disposal cycle, authorizing the disposal of records.	Place in file with corresponding SF 135 after all necessary action has been taken. Dispose of in accordance with the disposition instructions for the related SF 135. (see item 1315)	75B60

PROJECTS IN FEDERAL RECORDS CENTERS

1335	<u>NC/FRC Project Control Files</u>		
	Correspondence, memoranda, and other records relating to projects undertaken by the Office of Federal Records Centers and individual records centers. (See item 1336 for Micrographic project files.)	COFF following completion of the project. Destroy when 2 years old.	75B115

1336	<u>Micrographic Project/Agreement Files</u>	New item
1336-1	Agency job files. Documentation for small, short-term jobs including Microfilm Project Reports (NA Form 13090) agreements and/or copies of purchasing documents filed by agency or agency subdivision.	COFF after project is completed. Destroy when 3 years old.
1336-2	Official project files including pre-project negotiation files and working project files, formal agreements and/or copies of purchasing documents.	COFF after project is completed. Destroy when 3 years old.
1337	<u>Micrographics Program Files</u>	New item
1337-1	Micrographics equipment inventories, equipment production rate records, histories of repairs, and related records.	Destroy 1 year after disposal of equipment.
1337-2	Fiscal year work program files.	COFF annually. Destroy when 3 years old.
1337-3	Micrographics reference files.	Destroy when superseded or obsolete.

APPENDIX 14

ARCHIVES, PRESIDENTIAL RECORDS, AND DONATED MATERIALS

These records relate to the acquisition, accession, arrangement, description, preservation, declassification, and reference of archival records and historical materials donated to the Office of National Archives and the Office of Presidential Libraries.

ITEM NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA MANUAL
ARCHIVAL REPORTING FILES			
1401	<u>Statistical Program Report Files</u>		New item
	Statistical summaries of archival programs. Included are Statistical Summary - Archival Programs (NA Form 14037), and related documents.		
1401-1	Individual and unit summary Time and Production Reports created and maintained in the custodial units.	COFF annually. Destroy when 1 year old.	
1401-2	Feeder reports received monthly by the <i>quarterly from</i> Administrative Staff (NN-B) and the Office of Presidential Libraries (NL). Included are copies of GSA forms 3154 and 3406 and special lists.	COFF annually. Destroy when 10 years old.	
1401-3	Consolidated FY Report maintained by NN-B. Arranged by year. Ann. Acc.: less than 1 cu. ft. Current Vol.: less than 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	

1401-4	Statistical data base maintained by NNPA.	COFF annually. Destroy when 3 years old.	
1402	<u>Narrative Program Report Files</u>		New item
1402-1	Quarterly narrative reports summarizing project work, reference service, training and professional activities, administrative and personnel matters, and other activities.		
	<i>Reports prepared by Branches and Divisions</i>		
	a. Copies maintained in NN or NL. Ann. Acc.: 2 cu. ft. (NN); less than 1 cu. ft. (NL). Current vol.: 4 cu. ft. (NN).	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	
	b. Copies maintained by custodial units and Presidential libraries.	COFF annually. Destroy when 3 years old.	
1402-2	Periodic analytical surveys or studies maintained in NN or NL on reference services and reference use, including reports on reference inquiries and responses, reproduction orders, and other use of holdings. Arranged chronologically. Ann. Acc.: less than 1 cu. ft. (NN) Current vol.: 5 cu. ft. (NN; 1940's to present).	PERMANENT. COFF as of 9/30/80. Offer to NARA in 1991. Thereafter COFF every 10 years. Offer to NARA in 10 year-blocks when 10 years old.	
1402-3	Project analyses, progress reports, and related records and forms. These files may include the Archival Project Control Sheet (NA Form 14049) and the Archival Project Summary (NA Form 14038).	COFF annually. Destroy when 3 years old.	
1402-4	Narrative reports summarizing declassification activities.	COFF annually. Destroy when 3 years old.	<i>Withdrawn</i>

1403 Work Plan Files

New item

Annual work plans and related documents concerning reference service, archival projects, preservation, and declassification.

1403-1 Annual work plan instructions (call) formulated by NN.

a. Copies maintained in NN. Arranged by fiscal year. Ann. acc.: less than 1 inch. Current vol.: 1 cu. ft.

PERMANENT. COFF every 10 years. Offer to NARA in 10-year blocks when 10 years old.

b. Copies in custodial units.

Destroy when no longer needed for current operations.

1403-2 *work plans*
~~Copies~~ submitted to NN.

COFF annually. Destroy when 10 years old.

1403-3 Copies maintained by custodial units.

Destroy when no longer needed for current operations.

APPRAISAL AND ACCESSIONING FILES

1404 Record Group Registration Files

Case files relating to the establishment and allocation of record groups.

1404-1 Record set maintained by NN. Arranged by record group number. Ann. Acc.: 1 cu. ft. Current vol.: 3 cu. ft.

PERMANENT. Offer to NARA when no longer needed for current operations.

73C30

1404-2	Other records.	Destroy when no longer needed for current operations.	New item
1405	<u>Records Accession Files</u>		
	Documents accumulated in accessioning permanent records into NARA.		
1405-1	Accession case files ordinarily maintained in the unit of physical custody, typically consisting of a SF 258 or equivalent with or without additional descriptive lists and documents (e.g., SF 135), appraisal reports with descriptive documents for direct offers, correspondence and other documents relating to the physical transfer of records, and a copy of the change of holdings report on the accession. (See 1308 for records relating to internal disposals.) Arranged by record group. Ann. Acc.: 1 cu. ft. Current vol.: 50 cu. ft.	PERMANENT. Offer to NARA when no longer needed for current operations.	73C5
1405-2	Working papers and copies in other offices.	Destroy when no longer needed for reference.	New item
1406	<u>Change of Status Files</u>		
	Documents created to record changes in the volume and custody of accessioned records holdings, as well as descriptive information on records series.		
1406-1	Change of status reports at the record group level which include the Change of Status Record (NA Form 14044, formerly GSA 6710), and related records maintained in the ADP Branch (NNPA).		

	a. Record set held in NN-E. Arranged numerically by record group. Ann. Acc.: less than 1 ft. Current vol.: 36 cu. ft.	PERMANENT. Offer to NARA when no longer needed for current operations.	73C20,74C5
	b. Copies in custodial units and Presidential libraries.	Destroy when no longer needed for current operations.	New item
1406-2	Change of Status Record below the record group level (NA Form 14044, formerly GSA 6710A).		
	a. Submitted for NARS A-1 input.	Destroy three years after complete verification of input into NARS A-1.	New item
	b. Copies in custodial units and Presidential libraries.	Destroy when no longer needed for reference.	New item
1406-3	Registers of change of status such as the Register of Changes in Holdings (GSA Form 6740). Arranged chronologically, maintained either at the division or branch level depending on organization of work in the division. Ann. Acc.: less than 1 cu. ft. Current vol.: 5 cu. ft. (1940's to present)	Destroy when no longer needed for current operations.	New item
1406-4	Periodic statistical or narrative reports or summaries of change of status or holdings.		
	a. NN-B copy. Arranged chronologically. Ann. Acc.: less than 1 cu. ft. Current vol.: less than 5 cu. ft. (1940's to present)	PERMANENT. COFF as of 9/30/80. Offer to NARA in 2001. Thereafter, COFF every 10 years. Offer to NARA in 10-year blocks when 20 years old.	73C20,74C5
	b. Other offices.	COFF annually. Destroy when 2 years old.	New item

1406-5	NARS A-1 System containing the automated Change of Status - below Record Group Level and other machine-readable descriptions of NARA holdings.		
	<i>with related documentation</i>		
	a. Master file, Arranged by record group and subgroup. Ann. Acc.: less than 1 reel. Current vol.: 2 reels.	PERMANENT. Offer to NARA when no longer needed for current operations.	73C20
	b. Microfiche of A-1.	Destroy when superseded.	New item
1406-6	Record Group Statistics and Analysis (NARS A-1 1/2 or A-a-C Lists). Statistics and other analyses of holdings by record group, custodial unit, and type of record.		
	<i>with related documentation</i>		
	a. Master file, Arranged by record group and subgroup, custodial unit, or type of record. Ann. Acc.: less than 1 reel. Current vol. :1 reel.	PERMANENT. Offer to NARA when no longer needed for current operations	73C20
	b. FY End Report. Arranged by record group and subgroup, custodial unit, or type of record. Ann. Acc.: less than 1 cu. ft.	PERMANENT. Offer to NARA in 10 year-blocks when 10 years old.	73C20
	c. Quarterly Report.	Destroy when superseded.	New item
1407	<u>Agency Background Files</u>		
	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.	Destroy when superseded or obsolete.	73C35

ACQUISITION AND DISPOSITION OF DONATED MATERIALS

1408 Presidential Acquisition and Facility Files

1408-1 Basic acquisition documents for Presidential papers and facilities maintained in the Office of Presidential Libraries - Central Office. Included are correspondence, letters of intent, deeds of gift, and other legal documents, including original legal documents concerning Presidential papers and facilities. Arranged by President and thereunder chronologically. Current vol.: 15 inches (Hoover to Reagan).

COFF on completion.
 PERMANENT. ~~Offer to NARA when no longer needed for current operations.~~ 74C1
Transfer to the National Archives in 5 year blocks when 25 years old.

1408-2 Background papers including correspondence with the White House, Congress, and other interested agencies, persons, and foundations; building drawings; blueprints; and related records. Files are maintained in the Office of Presidential Libraries - Central Office. Arranged by President. Estimated accumulation: 2 cubic feet per President.

COFF
 PERMANENT. ~~Offer to NARA when no longer needed for current operations.~~ 74C1
Transfer to National Archives when 30 years old.

1409 Acquisition Case Files

Documents accumulated in soliciting and acquiring donated historical material and oral history interviews by Presidential libraries and the Office of National Archives.

1409-1 Acquisition case file maintained in unit of custody. Included are deeds of gift, donor information, correspondence, and related records. Arranged alphabetically by last name of donor or by record group. Ann. Acc.: varies by library. Current vol.: 150 cu. ft.

PERMANENT. Offer to NARA when no longer needed for current operations. 74C1

1409-2	Working papers and copies in other offices.	Destroy when no longer needed.	New item
1409-3	Acquisition logs or registers.	PERMANENT. Offer to NARA when no longer needed for current operations.	74C1
1410	<u>Museum Item Case Files</u>	<i>or when 30 years old, whichever is sooner,</i>	
	Documents accumulated in acquiring, describing, maintaining, servicing, documenting, and preserving museum objects. Included are correspondence, exhibit reports, condition reports, photographs, and related records. Arranged by accession number. Ann. Acc.: less than 1 cu. ft. per library. Current vol.: varies by library.	PERMANENT. Offer to NARA when no longer needed for current operations.	<u>New item</u>
		<i>or when 30 years old, whichever is sooner,</i>	74B5a 74C1
1411	<u>Donated Historical Materials Disposal Case Files</u>		
	Documents created in the disposal of donated (or purchased) materials in the holdings of presidential libraries and museums. Included are requests for disposal authority, endorsement sheets, forms used, and related records.		
1411-1	Record copies maintained in the Presidential Libraries. Arranged alphabetically by last name. Ann. Acc.: less than 1 cu. ft. Current acc.: less than 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	74C1
1411-2	Other copies.	COFF annually. Destroy when no longer needed for current reference and operations.	New item

ARRANGEMENT, DESCRIPTION, AND PUBLICATION PROJECT FILES

1412 Project Administration Files

Documents accumulated in the overall administration of project work, including memoranda, instructions, procedures, policy statements, guidelines, general program plans, reference materials, and related records.

Destroy when superseded or obsolete or no longer needed for current operations.

New item

1413 Project Case Files

Files created to document individual archival or museum projects of arrangement, description, access, automation, and publication. Included are project descriptions, plans, authorizations, background and reference materials, any completed publication or other final product, as well as SF 135's, registration and restriction materials used to make the various statements, and other records related to that record group.

1413-1 Record copy of unpublished project product. (For published products, see ____, Publication File.) Arranged numerically by record group number. Ann. Acc.: less than 1 cu. ft. Current vol.: 15 cu. ft. (1940's to present).

PERMANENT. ~~Submit Request to Transfer~~ 73B1, 74B1
~~Approval, and Receipt of Records to~~
~~National Archives (SF 258).~~ *COFF on*
Completion of project. Transfer
to the National Archives, in 5 year
blocks when 10 years old.

1413-2 Other records.

COFF following completion of project.
Destroy when 2 years old if no longer
needed for reference or current
operations.

73B1⁶, 74B1

1414 Project Control and Assignment Files

Documents created within a custodial unit for administrative control of archival and museum

COFF following completion of project.
Destroy when 2 years old.

73B5

project assignments and work. Included are work assignment registers, project control sheets, and related forms and records.

RECORDS RESTRICTION FILES

1415 Records Restriction Files

1415-1 Documents accumulated in establishing limitations on access to records accessioned by NARA. Included are general information, regulations, directives, and statements on access restrictions, case files, and related records. Arranged by record group number. Ann. Acc.: less than 1 cu. ft. Current vol.: 13 cu. ft. (1940's to present).

PERMANENT. Offer to NARA when no longer needed for current operations, *or when 30 years old, whichever is sooner.*

73C25

1415-2 Documents accumulated in interpreting deeds of gift, restriction statements, and other limitations on access to materials donated to or acquired by Presidential Libraries. Included are general information on restrictions, access precedent files, and related records. Arranged alphabetically. Ann. Acc.: less than 1 cu. ft.

PERMANENT. COFF following expiration or removal of restrictions. Offer to NARA when no longer needed for current operations *or when 30 years old, whichever is sooner.*

74A15

1415-3 Other records.

1415-4 See attachment - next sheet.

Destroy when no longer needed for reference.

New item

1416 Nixon Presidential Materials Special Access Files

Documents created in granting restricted access to the Nixon papers, which are neither accessioned records nor donated historical materials as described in this appendix. Access is limited to the former president, his designated agents, and government agencies if needed for ongoing government business. Access is also obtained when NARA becomes a third party in litigation involving these materials. Otherwise, there is no public access to the papers.

1415-4. Interagency Agreement on Access. Documents accumulated in establishing and interpreting the "Interagency Agreement on Access for Official Agency Historians." Included are signed acceptances of agreement, correspondence with agencies interested in acceding to the agreement, general information, instructions to NARA staff on implementation, requests for access under the agreement, case files, and related records. Arranged chronologically. Annual Acc: less than 1 cu. ft.

PERMANENT. Cutoff when superseded. Transfer to the National Archives in 5 year blocks when 5 years old.

1416-1	Special Access Case Files. Included are requests for legal considerations or requirements, correspondence and subpoenas or court orders. Arranged by assigned number. Annual acc.: less than 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA when no longer needed for legal considerations, or requirements, or for current operations.
1416-2	Other copies and working papers.	Destroy when 10 years old or when no longer needed for legal requirements or current reference.
1416-3	Completed Presidential Historical Materials Receipts.	Place in inactive file after material is returned. COFF annually. Destroy when 10 years old or when no longer needed for legal requirements or current reference.

REFERENCE AND REPRODUCTION SERVICE FILES

1417 Reference and Reproduction Administration Files

Documents accumulated in the general operation of reference and reproduction services, including procedures, instructions, guidelines, policy statements, form letter responses to inquiries, reference materials, price lists, reproduction and authentication information, information on office copying, duplication and photo labs, and related records.

Destroy when superseded or obsolete.

73A25

1418 Researcher Application and Authorization Files

Documents accumulated in issuing researcher identification cards, acquainting researchers with research room regulations, and in authorizing access to restricted or security-classified materials. Included are researcher applications, letters of introduction, access requests, official documents authorizing or denying individual access to

restricted material, researcher-signed research room regulations, related forms such as the Researcher Application (NA Form 14003) and Research Application - Presidential Libraries (NA Form 14003A) and other related records.

1418-1 Researcher application forms.

a. Issuing office.

Transfer to FAC when 1 yr. old.
COFF annually, ~~hold 1 year, and retire~~ 73A5, 74A5
~~to FAC.~~ Destroy when ~~10~~ ²⁵ years old.

b. Other offices.

COFF annually. Destroy when 1 year old. 73A5

1418-2 Other records related to researcher applications.

a. Custodial unit research room regulations signed and acknowledged by researchers.

COFF annually. Destroy when 1 year old. New item

b. Correspondence and other records.

COFF annually. Destroy when 2 years old. New item

1418-3 Application for access to classified and restricted materials, including documentation of the researcher's clearance for such access, and related records.

Destroy 2 years after declassification of requested materials. 74A5

1418-4 Records relating to requests for access to donor-restricted materials.

Destroy 2 years after opening of requested materials. 74A5

1419 Research Room Use Files

Documents created in recording researcher use of central, custodial unit, and library research rooms.

Included are research room registers such as Register of Researchers (NA Form 14004), Control Reference Staff (NA Form 14004A), Register of Microfilm Researchers (NA Form 14004B), and related records.

1419-1	Research room use for which researcher identification cards are needed.	<i>Transfer to FAC when 1 yr. old.</i> COFF annually, hold 1 year, and retire to FAC. Destroy when 10 ²⁵ years old.	73A10, 74A10
1419-2	Research room use for which no research card is needed.	COFF annually. Destroy when 2 years old.	New item
<div style="display: flex; justify-content: space-between;"> <div style="width: 40%;"> 1420 <u>Research Room Reference Service Files</u> </div> <div style="width: 60%;"> <p>Documents created in providing records to researchers in central, custodial, and library research rooms. Included are Reference Service Slips (NA Form 14001) and other forms that identify the records being used by a researcher, and related records.</p> </div> </div>			
1420-1	Copies of reference service slips that record dates and times of researcher use, and what materials were furnished. (pink copy) (Note: Reference service slip for records serviced only in separate custodial unit research rooms also fall under this section.)	<i>Transfer to FAC when 1 yr. old.</i> COFF annually, hold 1 year, and retire to FAC. Destroy when 10 ²⁵ years old.	73A15, 74A20
1420-2	Duplicate copies of reference service slips retained in custodial units, for materials sent to a central research room. (white copy)	COFF annually. Destroy when 2 years old.	New item
1420-3	Other records.	COFF annually. Destroy when 2 years old.	73A15, 74A20

1421 Reference Service Communication Files

Documents created or accumulated in providing reference service to mail, telephone, or electronically transmitted inquiries from Federal agencies, researchers, the general public, and NARA offices, for general and specific requests for information on or copies from NARA holdings. Included are original incoming correspondence or records of non-written inquiries, copies of replies, and related supporting materials. The files may include copies of reproduction service forms. (See item 1423, Reproduction Service Files.)

1421-1	Communications control files, which include registers and logs (including automated logs), that list incoming reference requests and replies, with related information.	COFF annually. Destroy when 2 years old.	73A1, 74A1
1421-2	Routine inquiries and replies, and related records.	COFF annually. Destroy when 2 years old.	New item
1421-3	Correspondence and supporting documents, maintained at the branch or library level, relating to significant persons, subjects or events, noted researchers or research projects, or replies involving repetitive, difficult or complex research.	Destroy when no longer needed for current operations.	73A1, 74A1
1421-4	Reading files of reference correspondence, including extra copies of outgoing letters.	Destroy when no longer needed for reference.	New item
1422	<u>FOIA and Mandatory Review Requests Files</u>		New items

Files created in response to Freedom of Information Act (FOIA) and mandatory review requests for information from accessioned records in the custody of NARA. Included are original requests, copies of

replies, and related supporting materials. (For other types of FOIA requests files, see 1033.)

1422-1 Communications control files, which include registers and logs (including automated logs), that list incoming requests and replies, and related information.

a. Log maintained in Office of National Archives (NN)

COFF annually. Destroy when no longer needed for reference.

b. Other files maintained at the branch level.

COFF annually. Destroy when 2 years old.

1422-2 Documents maintained at the branch level relating to those records where originating agency authority is needed or NN has denied access to all or part of the requested records. Included in these authority case files are the original request, a copy of the reply, agency authorization or denial, and supporting materials. Arranged by FOIA number. Ann. acc.: less than 1 cu. ft.

COFF annually/X.
PERMANENT. Offer to NARA in 10-year blocks when 10 years old.

1422-3 Routine FOIA inquiries and replies, and related records, granting complete access to all the requested records or responding to requests for nonexistent records.

COFF annually. Destroy when 2 years old.

1422-4 FOIA inquiries and replies, and related records, denying access to all or part of the requested records maintained in NN.

COFF annually. Destroy when 4 years old.

1422-5 Files created in responding to appeals under the FOIA for release of information denied by NARA, consisting of the original letter, a copy of the reply, and related supporting documents.

a. Files created prior to April 1, 1985, and maintained by the Office of the National Archives (NN-B). Arranged chronologically.

PERMANENT. Offer to NARA in 1995.

b. Files created after April 1, 1985, and maintained by the Deputy Archivist (ND). Arranged chronologically. Ann. Acc.: less than 1 cu. ft.

PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.

c. Files maintained in other offices.

COFF annually. Destroy when 4 years old.

1423

Reproduction Service Files

Documents created in filling requests for photographic, photostatic, electrostatic, electronic, printed, recorded, or other reproductions of accessioned records and donated materials; requests for authentication of such reproductions; and requests for authorization to reproduce restricted material; and related records. Included are correspondence requesting reproduction or authentication services, price quotations, reproduction or authentication service orders, forms used such as the Order for Reproduction Services (NATF Form 72). (Note: Copies of extensive reproduction service order that relate to significant use of NARA holdings, such as for a book, exhibit, film, or relating to a significant researcher or research topic, should be retained in the custodial unit finding aids.)

1423-1

Register or log of reproduction requests and service orders.

COFF annually. Destroy when 2 years old.

73A25, 74A30

1423-2

Reproduction requests, requests for authentication, related correspondence, service orders, invoices from contractors, and related records.

COFF annually. Destroy when 2 years old.

73A25, 74A30

1423-3	Documents authorizing or not authorizing the reproduction of agency or donor restricted, or copyrighted materials. Included are requests for authorization, replies, letters from copyright and proprietary rights owners granting or denying permission for NARA to furnish reproductions, letters of indemnification, and related records.	COFF annually. Destroy when 5 years old.	73A26
1424	<u>Agency Loan Files</u>		
1424-1	Documents created in making accessioned records available to the originating federal agency for temporary loan. Included are requests for loans, external loan receipts, loan registers, forms such as the Loan Receipt for the National Archives (NA Form 14014), and related records.	COFF annually following return and inspection of loaned items. Destroy when 1 year old.	73A20
1424-2	Documents relating to unrecoverable loans and permanent withdraws.	<i>PERMANENT.</i> Destroy when no longer needed for current operations. <i>COFF annually</i> <i>Transfer to the National Archives</i> <i>in 5 year blocks when 10 years old.</i>	New item
1424-3	Registers or logs of agency loans; external loan receipts, and related records.	COFF annually following return and inspection of loaned items. Destroy when 1 year old.	New item
1425	<u>Finding Aid Files</u>		
	Documents accumulated to assist researchers and NARA staff in accessing and finding accessioned records and donated materials. These documents are usually created by NARA or by the originating agency or individual. Included are copies of published and unpublished finding aids, lists, reference reports, copies of reference replies, indexes, inventories, series descriptions, descriptions of NARA holdings, copies of published articles, books, pamphlets, and other publications.	Retain for current reference. Destroy when superseded or obsolete.	73A30

DECLASSIFICATION FILES

1426 Declassification Policy Files

Documents created or accumulated in requesting, establishing, interpreting, implementing, authorizing, and providing guidance in the use of declassification instructions and policies. Included are correspondence, memoranda, authorizations, directives, revisions, corrections, interpretations, and related records. Arranged alphabetically. Ann. Acc.: 1 cu. ft. Current vol.: 3 cu. ft.

1426-1 Documents created in obtaining authorization and guidance for declassifying security-classified information or material originated by the U.S. Government or organizations concerned, or within their area of security interest.

COFF when superseded,
 PERMANENT, ~~Offer to NARA when no longer needed for current reference and operations.~~ 73D1, 73D5
Transfer to the National Archives in 5 year blocks when 5 years old,

1426-2 Documents created in obtaining authorization and guidance for declassifying security-classified information or material originated by foreign governments or international organizations concerned, or within their area of security interest.

COFF when superseded,
 PERMANENT, ~~Offer to NARA when no longer needed for current reference and operations.~~ 73D30
Transfer to the National Archives in 5 year blocks when 5 years old,

1427 Declassification Information Files

Documents created in providing general information to the public and to members of Congress about NARA declassification program. Included are requests for information, replies, and related records.

1427-1 Routine inquiries, replies, and related records.

COFF annually. Destroy when 2 years old. 73D35

1427-2	Replies involving unusually difficult or complex research, noted researchers or research projects, or significant persons, events, or subjects likely to have further inquiries.	Destroy when no longer needed for current operations.	73D35
1428	<u>Declassification Project Files</u> Declassification review case files created in conducting FOIA, mandatory, special, and systematic reviews of security-classified materials in Federal and non-Federal repositories, Presidential Libraries, and NARA custodial units.		
1428-1	Record copy of final declassification report for each project. Arranged by type of review and thereunder by project number. Ann. Accum.: 2 cu. ft. Current vol.: 30 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 15 years old.	73D 50
1428-2	Researcher and agency requests for FOIA, mandatory reviews, repository and custodial unit requests for systematic reviews; agency coordination correspondence; Declassification Review Worksheets (GSA Form 7130) showing items withdrawn, worksheets showing agency review determinations; copies of Classified Accountability Records (GSA Form 1237); Loan Receipts for the National Archives (NA Form 14014); other loan records; recommendations for bulk declassification; and related records.	COFF annually on completion of project. Destroy when 15 years old or when no longer needed for current operations.	73D45
1428-3	Transmittal memoranda and declassification worksheets which do not reflect items withdrawn or agency determinations.	COFF annually on completion of project. Destroy when 1 year old.	New item
1429	<u>Inventory of Withdrawn Documents</u> Automated inventory containing the project number, date, classification level, agency, re-review date,		New items

reason for withdrawal, and location for each document withdrawn during declassification review.

1429-1	Master file. Arranged by record group and project number. Ann. Acc.: less than 1 reel. Current Vol.:less than 1 reel.	PERMANENT. Offer to NARA when no longer needed for current operations. <i>Destroy</i>	
1429-2	Top Secret inventory.	Destroy when superseded or cancelled.	
1429-3	Project report.	File with record copy of final declassification report. (See 1428-1 for disposition instructions.)	
1429-4	Statistical Report of Items Withdrawn.	COFF annually. Destroy when no longer needed for current operations.	
1429-5	Special reports.	Destroy when superseded or cancelled or when no longer needed for current operations.	
1430	<u>Declassification Log System</u>		
	Automated log containing statistics and brief narrative information on the status of declassification projects including begin and end dates, and project statistics.	Destroy when superseded or obsolete.	New item
1431	<u>Declassification Planning Files</u>		
	Documents accumulated from review project work and used for planning, and replying to inquiries from custodial units. Included are copies of reports, inventories and finding aids, and project summaries.	Destroy when no longer needed for current reference and operations.	73D10

1432 Declassification Report Files

Documents created in preparing the annual report to the Information Security Oversight Office (ISOO), and its predecessor, the Interagency Classification Review Committee (ICRC), on NARA declassification programs, and any special reports for the Information Security Oversight Office (ISOO).

1432-1	Record copy of annual and special reports.	COFF annually and destroy when no longer needed for reference.	73D40
1432-2	Other records and non-record material, such as working papers and extra copies of reports.	Destroy 1 year after report is submitted and approved.	73D40

1433 Security Clearance Certification Files

Documents accumulated in ascertaining the security clearance of military or other non-NARA personnel involved in the NARA declassification program. Included are requests for security clearance, copies of replies, and related records.

COFF annually. Destroy 2 years after clearance has been approved.

New item

PRESERVATION FILES

1434 Preservation Administration Files

Documents accumulated in the general operation of preservation activities, including technical data and studies, reference materials, plans, instructions, procedures, guidelines, policy, specifications, and related records. Included are subject files of general information on preservation methods, materials, conditions, controls, problems, solutions, treatments, and types of records.

Destroy when superseded or obsolete.

1435 Preservation Project Control and Assignment Files

79A5

Documents accumulated in recording the activities of NARA preservation labs. Included are preservation logs, schedules, laboratory work books, assignment registers, program plans, proposals, and related records.

1435-1 Preservation Master Log.

COFF annually. Microfilm when 2 years old. Destroy after microfilm is verified.

1435-2 Preservation Master Log - Microfilm Copy. Arranged chronologically.

PERMANENT. Offer to NARA after film is verified. This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101.11.506.

79A5

1435-3 Logs and Registers.

COFF following completion or other termination of work. Destroy when 2 years old.

1435-4 Other records.

COFF following completion or other termination of work. Destroy when 3 years old.

1436 Preservation Project Case Files

Case files that document preservation projects undertaken for individual items, selected groupings, or whole collections of accessioned records or donated materials. Included are preservation or conservation proposals and plans, conservators' condition reports, treatment reports, photographs, forms used to document work completed, contracts, and related records. Forms used include Request for

Conservation Treatment (NATF Form 72-H); Film Inspection Record (NA Form 14043); and Document Preservation History (GSA Form 7276).

1436-1	Case files relating to preservation projects for individual items, selected groups of records, or whole collections. Arranged by record group number. Ann. Acc.: less than 1 cubic foot. Current Vol.: 2 cubic feet, NNP.	PERMANENT. COFF annually. Offer to NARA when no longer needed for reference.	73B10
1436-2	Other records in custodial units.	COFF after completion of work, hold for 5 years, and retire to FRC. Destroy when 10 years old.	New item
1436-3	Other offices.	COFF after completion of work. Destroy when 2 years old.	New item
1436-4	Documents relating to preservation of museum holdings (if kept separate from 1410, Museum Item Case Files). Arranged by project title. Ann. Acc.: less than 1 cu. ft. Current Vol.: varies for libraries.	PERMANENT. COFF annually, hold for 5 years, and retire to FRC. Offer to NARA in 5-year blocks when 10 years old.	74B5
1437	<p><u>Preservation Research and Testing Files</u></p> <p>Documents created by NARA Research and Testing Laboratory in researching the causes of records deterioration, methods and materials for arresting deterioration, and for rehabilitating, reproducing, and preserving records and other archival materials; and in testing of archival and conservation materials.</p>		
1437-1	Research Case Files. Case files on research relating to paper, paper chemistry, non-paper materials, and related subjects; and watermark files. Included are test results, test reports, and	PERMANENT. Offer to NARA when no longer needed for reference or current operations.	New item

logs. Arranged by subject. Ann. Acc.: 6 inches.
Current Vol.: 8 cubic feet.

1437-2	Testing files. Records concerning specific ongoing quality assurance testing of archival and conservation supplies. Included are residual thiosulfate tests of processed microfilm, tests of other paper and non-paper materials, and related records.	Destroy when superseded or obsolete.	73B15
1438	<u>Environmental Condition Reports</u> Documents created to monitor environmental conditions in NARA records holding areas. (See item 689 for Environmental Condition Operating Records.)		New items
1438-1	a. Weekly summary reports maintained by Chemistry Laboratory. b. Other copies.	COFF annually. Destroy when 15 years old. Destroy when 2 years old.	
1438-2	Weekly hydrothermograph charts, and other records.	COFF annually. Destroy when 2 years old.	
1439	<u>Preservation Monthly Report to Archivist</u> Narrative and statistical report on preservation activities submitted monthly to the Archivist by the Preservation Officer.		
1439-1	<i>official</i> 1 Copy maintained by Preservation Officer. Arranged chronologically. Ann. Acc.: less than 1 cubic foot.	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	New item

1439-2	Other copies.	Destroy when no longer needed for reference.	New item
1440	<u>Preservation Survey Files</u>		New items
	Records concerning periodic preservation surveys completed to monitor the condition of NARA records, including textual records, microfilm holdings, motion pictures, photographs, and magnetic tapes.		
1440-1	Correspondence, survey forms, survey reports, and supporting statistical data maintained by Preservation Officer. Arranged by survey. Ann. Acc.: 2 cu. ft. Current Vol.: 4 cu. ft.	<p><i>COFF</i></p> <p>PERMANENT. Offer to NARA 2 years after completion of survey. <i>Transfer to the National Archives in 5 yrs blocks when 10 yrs. old.</i></p>	
1440-2	Working papers and other copies.	Destroy after completion of survey.	
1441	<u>Precious Metals Report</u>		
	Annual report and background materials on NARA activities regarding precious metals recovery.	COFF annually. Destroy when 3 years old.	New item

RECORDS STORAGE FILES

1442	<u>Records Storage Files</u>		
1442-1	Documents accumulated in creating and maintaining special storage systems for important accessioned records and historical materials in NARA. Included are records relating to the display systems for the Charters of Freedom in the National Archives building and the Halon protection system. Arranged by name of case file. Ann. Acc.: less than 1 cu. ft. Current vol.: less than 1 cu. ft.	PERMANENT. Offer to NARA when no longer needed for current operations.	79A15

1442-2	Documents created in controlling the physical location of accessioned records and donated materials in NARA. Included are shelf lists, location registers, and related forms and records.	Destroy when superseded or obsolete.	73B15, 74B10
1442-3	Automated Microfilm Location Registers.		New items
	a. Register of NARA microfilm held as record copy by field archives branches.		
	(1) Master File. Arranged by record group and subgroup. Ann. Acc.: less than 1 reel. Current vol.: 1 reel.	PERMANENT. Offer to NARA when no longer needed for current operations. <i>Destroy</i>	
	(2) Published inventory of any descriptive material (if produced). Arranged by record group. Ann. Acc.: less than 1 cu. ft.	PERMANENT. Offer record copy to NARA when published.	
	(3) Periodic microfiche or paper copies of information.	Destroy when superseded.	
	b. Register of accessioned and NARA created microfilm stored in off-site location.		
	(1) Master file. Arranged by record group. Ann. Acc.: less than 1 reel. Cur. Vol.: 1 reel.	PERMANENT. Offer to NARA when no longer needed for current operations. <i>Destroy</i>	
	(2) Periodic microfiche or paper copies of information.	Destroy when superseded.	

REFERENCE LIBRARY FILES

1443

Library Administrative Files

New items

Library administrative files relating to the development, maintenance, and use of library collections. Files are maintained in the Office of National Archives and the Presidential libraries. Included are records of acquisitions of books, serials, and other library materials by accession, gift, exchange, purchase or loan; reference requests; interlibrary loans; and also shelf lists, catalog cards, and other finding aids, bibliographies, reports, book reviews, and related records.

1443-1

Acquisition records of library materials for the library collections or for other NARA units.

a. Exchange agreements.

Destroy when superseded or obsolete.

b. Records of purchased materials.

COFF annually. Destroy when 3 years old.

c. Gift records.

COFF annually. Destroy when 5 years old.

1443-2

Loan Records.

a. Inter-library loan records.

Place in inactive file after return of loaned materials. COFF annually. Destroy when 2 years old.

b. Circulation Records.

Destroy when superseded or obsolete.

1443-3 Shelf lists, catalog cards, and other finding aids.

Destroy when superseded, obsolete, or when item has been deaccessioned.

1443-4 Records relating to bibliographic or reference reports prepared by staff.

a. Bibliographic or reference reports prepared by staff.

~~Submit Request to Transfer, Approval, and Receipt of Records to National Archives of the United States (SF 2507)~~
Destroy when no longer needed for reference.

b. Other records.

COFF annually. Destroy when 2 years old.

1450 Field Branch Inspection Files

Correspondence, memoranda, reports and other records relating to the inspection of NARA field branches.

1450-1 Records maintained by the Field Archives Division.

COFF annually. Destroy when 10 years old.

1450-2 Records maintained by field branches.

COFF annually. Destroy when 5 years old.

APPENDIX 1500

FEDERAL REGISTER

These records relate to publishing the Federal Register, Code of Federal Regulations, Weekly Compilation of Presidential Documents, Public Papers of the Presidents of the United States, U.S. Government Manual, U.S. Statutes at Large, slip laws enacted by Congress, and other publications of the Office of the Federal Register. There are also records concerning Constitutional amendments, the Electoral College, and interstate agreements. Included are files pertaining to administration, publications, staff surveys and studies, Federal rules and regulations, legislation, and elections.

<u>CATEGORY NUMBER</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
1501	<u>ADMINISTRATIVE COMMITTEE FILES</u>		
	Documents relating to the Administrative Committee of the Federal Register, established by the Federal Register Act (44 U.S.C. 1506).		
1501-1	Records created or accumulated by the Committee which document membership, policy, and accomplishments of the Committee. Included are agenda, minutes, final reports, and related records.		
	(a) Records of the Secretary. Arranged chronologically by meeting date. Ann. Acc.: 1 in. Current vol.: 2 cu. ft.	PERMANENT. COFF in 5-year blocks. Offer to NARA in 5-year blocks when 10 years old. (GRS 16, item 12(b)(1)(a))	77A5(a)
	(b) Comments received from the public on proposed rulemaking. Arranged chronologically by year. Ann. Acc.: 1 in. Current vol.: 1 cu. ft.	PERMANENT. COFF in 5-year blocks. Offer to NARA in 5-year blocks when 10 years old.	NEW
	(c) All other copies.	COFF annually; destroy when 2 years old. (GRS 16, item 12(b)(1)(b))	77A5(b)

FILES 203

1501-2	All other records created by the Committee.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (GRS 16, item 12(b)(2))	NEW
1502	<u>LEGISLATIVE REFERENCE FILES</u>		
	Papers relating to legislation affecting publications of the Office of the Federal Register. Included are copies of interpretive documents and related records.	Destroy when superseded or obsolete.	77A10
1503	<u>STAFF SURVEYS AND STUDIES</u>		
	Documents created in surveying and studying Office of the Federal Register administrative techniques, editorial and publication policies, and related subjects. Included are completed staff surveys or studies, supporting papers, and related records.		
1503-1	Record copy of each survey or study. Arranged by survey or study. Ann. Acc.: less than 1 cu. ft. Current vol.: 1 cu. ft.	PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 10 years old.	77A20(a)
1503-2	Working or background papers.	COFF after completion of project. Destroy when 2 years old.	77A20(b)
1504	<u>AGENCY CORRESPONDENCE FILES</u>		
1504-1	Correspondence from Federal agencies regarding the printing and publishing of regulations by the Office of the Federal Register.	COFF annually. Destroy when 1 year old.	77B5
1504-2	Correspondence designating Federal Register Liaisons.	Destroy when superseded or obsolete.	NEW

1505 PUBLICATION PAPERS

Documents accumulated from the Executive and Legislative Branches of the government which are required by law or authorized to be published.

1505-1	Presidential Proclamations, Executive Orders, and other Presidential documents, transcripts, and enrolled public laws and resolutions, and related papers. Arranged by type of record and thereunder numerically. Ann. Acc.: 1 cu. ft. Current vol.: 2 in.	PERMANENT. Offer to NARA when administrative need ceases. (NARA will accession these documents under RG 11, General Records of the United States Government.)	77B10(a)
1505-2	Legal documents of Federal agencies published in the Federal Register, and related materials. All documents filed prior to January 1, 1979.	Destroy when 15 years old.	77B10(b)(1)
1505-3	Legal documents of Federal agencies published in the Federal Register, and related materials filed after December 31, 1978.		
	(a) Rules. Each document in this classification will have "Rule" stamped on the first page.	COFF every 6 months, hold 6 months, and retire to FRC. Destroy when 15 years old.	77B10(b)(2)(a)
	(b) Proposed rules. Each document in this classification will have "Proposed Rule" stamped on the top of each page.	COFF every 6 months, hold 6 months, and retire to FRC. Destroy when 5 years old.	77B10(b)(2)(b)
	(c) Notices. Each document in this classification will have "Notice" stamped on the top of each page.	COFF monthly. Destroy when 1 year old.	77B10(b)(2)(c)

1506 RECORD SET OF FEDERAL REGISTER PUBLICATIONS

- 1506-1 Record copy of each issue and publication of the Office of Federal Register. Excluded are microfiche copies of the Federal Register and the Code of Federal Regulations published after December 31, 1986 (See 1506-2). Arranged by type of record and thereunder numerically. Ann. Acc. prior to 1987: 582 volumes. Ann. acc. beginning in 1987: 122 volumes.
- PERMANENT. COFF annually and retire to FRC. Offer to NARA in 5-year blocks when 5-years old. 77A15
- 1506-2 Microfiche copy of Federal Register and Code of Federal Regulations published after December 31, 1986. This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 36 CFR 1230.14. Storage conditions shall adhere to the standards of 36 CFR 1230.20 and 1230.24. ~~The first inspection shall take place in 1989 in accordance with 36 CFR 1230.22. Inspections must be done in accordance with 36 CFR 1230.22.~~ - J.D. 8/20/12. In agreement with ACNR and RD-DC.
- PERMANENT. COFF annually. Offer to NARA when 1 year old. 77A15
- 1507 FEDERAL REGISTER DOCUMENT CONTROL FILES
- Federal Register Document Control Log (NA Form 1500), and related records accumulated in recording the publication of documents in the Federal Register.
- 1507-1 Record copy.
- COFF at the end of the calendar year, hold 1 year, and retire to FRC. Destroy when 15 years old. 77B11(a)
- 1507-2 Public inspection copy.
- Destroy after document is referenced in the Federal Register index issued monthly. 77B11(b)

1507-3	Document file copy.	Destroy when no longer needed for reference.	77B11(c)
1508	<u>NOTICE OF RATIFICATIONS OF CONSTITUTIONAL AMENDMENTS FROM STATES</u>		
	Documents accumulated as required by law in confirmation of proposed amendments to the Constitution from the 50 states. Included are transmittals and certificates of ratification and related records, and the original signed certificate by the Archivist of the United States proclaiming the amendment as part of the Constitution. Arranged alphabetically by state. Current vol.: 1 cu. ft.	PERMANENT. Offer to NARA after ratification or determination that proposed amendment will not be ratified.	77B15
1509	<u>STATE AGREEMENT FILES</u>		
	Documents accumulated as a result of the submission by the States of constitutional agreements between the States. Included are duplicates of originals or authenticated copies of agreements, compacts, and related records. Arranged alphabetically by state. Ann. Acc.: less than 1 in. Current vol. 2 in. (1971-1975).	PERMANENT. Offer to NARA in 5-year blocks when 5 years old.	77B20
1510	<u>CERTIFICATE OF ASCERTAINMENT OF ELECTORS</u>		
	Documents accumulated as a result of the votes cast by the people and the electors of the 50 states and the District of Columbia. Included are ballots, state certification of those chosen as electors, and related records. Arranged alphabetically by state. Acc.: 2 cu. ft. every 4 years. Current vol.: 2 cu. ft.	PERMANENT. Offer to NARA one year after the election.	77B25
1511-1599	Reserved.		

APPENDIX 16

PUBLIC PROGRAMS AND EXHIBITS

These records relate to programs engaged in promoting and publicizing NARA and its educational and cultural services.

ITEM NUMBERS	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	CROSS-OVER FROM GSA HB
PUBLIC PROGRAMS			
1601	<u>Conference Support Files</u>		
	Documents pertaining to administrative support activities for conferences. Included are lists of guests and speakers, plans for hospitality and logistics, and related records.	COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.	72C10
1602	<u>Interpretive Programs Files</u>		
	Documents accumulated in preparing interpretive programs at the National Archives. Included are plans for program arrangements, program outlines, logistic support plans, attendance and speaker lists, copies of presentations, and related records.		
1602-1	Files created in preparing for ceremonies such as the Fourth of July, Constitution Day, and other special events.	COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.	72C20
1602-2	Files created in preparing for film series, theater performances, lectures, demonstrations, and similar events.	COFF annually. Destroy when 3 years old.	72C20

1603	<u>Study Tour Files</u>	Documents accumulated in arranging tours for college groups, professional organizations, and other interested groups. Included are lists of these groups, program outlines, and related records.	COFF annually. Destroy when 5 years old.	72C25
1604	<u>International Visitors File</u>	Documents accumulated pertaining to the arrangement of tours, special education and education internships for foreign visitors. Included are lists of foreign visitors, training materials, and related records.	COFF annually. Destroy when 5 years old.	New
1605	<u>Volunteer and Tour Program Files</u>	Documents created in developing and administering the volunteer and tour programs for the National Archives. Included are papers on the development and administration of the Volunteer Association, tour programs, community and school relations, and related records.		
1605-1		Development papers, brochures, and plans for program promotion and membership activities. Arranged by subject. Ann. Acc.: less than 1 cu. ft. Current vol.: 4 cu. ft.	PERMANENT. COFF every 5 years, hold 2 years, and retire to FRC. Offer to NARA in 10-year blocks when 10 years old.	71A20a
1605-2		Correspondence, memoranda, and other records relating to the administration of these programs.	COFF annually. Destroy when 3 years old.	71A20b

WORKSHOP, TRAINING, AND EDUCATIONAL ACTIVITIES

1606	<u>Education Workshop Training Files</u>		
1606-1	Correspondence, memoranda, notices, mailing lists, and other records relating to archival and geneological workshops.	COFF annually. Destroy when 3 years old.	72A15
1606-2	Training materials including workshop outlines, handouts, and audiovisual materials.	Destroy when superseded or obsolete.	72A20
1607	<u>Teacher Workshop Files</u>		
1607-1	Correspondence, memoranda, notices, mailing lists, and other records relating to workshops for teachers.	COFF annually. Destroy when 3 years old.	New
1607-2	Training materials including workshop outlines, handouts, and audiovisual materials.	Destroy when superseded or obsolete.	New
1608	<u>School Program Training Materials Files</u>		
1608-1	Correspondence, memoranda, notices, mailing lists, and other records relating to school programs.	COFF annually. Destroy when 3 years old.	New
1608-2	Training materials including workshop outlines, handouts, and audiovisual materials.	Destroy when superseded or obsolete.	New
1609	<u>Modern Archives Institute Files</u>		
	Documents accumulated to present archival theory, archival principles, and techniques of archives administration for persons holding or preparing for		New

positions of responsibility in the fields of
archives, manuscripts, records management, and the
management of special collections.

- development and planning documents*
- | | | |
|--------|--|--|
| 1609-1 | Schedules, class lists, brochures, and black and white photographs. Arranged chronologically. Ann. Acc.: less than 1 cu. ft. Current vol.: 2 cu. ft. | PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old. |
| 1609-2 | Grade sheets, administrative forms, and general correspondence. | COFF annually. Destroy when 2 years old. |
| 1609-3 | Handouts, reference files, and related records. | Destroy when superseded or obsolete. |

EXHIBITS

1610 Exhibit Case Files

Documents related to exhibits prepared in the National Archives Building, Federal Records Centers, National Archives Field Branches, Presidential Libraries and Museums and other Archives facilities. Included are lists of exhibited items, captions for exhibit cases, photographs, background materials, correspondence relating to items borrowed for exhibit, loan agreements, contracts, news clippings, and related records. Arranged by exhibit title. Ann. Acc.: 2 cu. ft. Current vol.: 24 cu. ft. in NE.

a. PERMANENT. COFF upon termination of exhibit. ~~Offer to NARA in 5-year blocks when 10 years old.~~ *Documents relating to the planning, and preparation of exhibits, including photographs, correspondence, and lists of exhibit items. Transfer to the National Archives in 5 year blocks when 10 years old.*
b. Records of a facilitative nature covered elsewhere in this schedule. Destroy when 10 years old or sooner if no longer needed for reference.

72A1

1611 Graphic Record Files

- 1611-1 Exhibit-related graphics. Documents accumulated in the production of exhibits. Included are blueprints, typeset proofsheets of text, specifications for fabrication and samples of exhibits as installed.

COFF upon termination of exhibit.
Destroy when 10 years old.

New

1611-2	All other graphics. Documents accumulated in the preparation of graphics for National Archives programs and events. Included are production boards for NARA publications, type and specifications for NARA signs, record copy of materials such as graphics, posters, etc., and educational program posters and brochures.	COFF after project is completed. Destroy when 10 years old.	New
1612	<u>National Archives Facsimiles</u>		
	Documents accumulated as security copies of original documents exhibited or loaned. Included are black and white or color negatives, prints, transparencies, and photographs.		New
1612-1	Facsimiles accumulated by Exhibits Branch (NEEX).	Offer to the custodial unit when no longer needed.	
1612-2	Facsimiles accumulated by custodial units.	Destroy when superseded or obsolete.	
1613	<u>Exhibit Loan File</u>		
	Documents accumulated in the administration of loans for exhibition by Federal agencies, museums, historical societies, and educational institutions. Included are correspondence, lists of borrowers and items loaned, loan agreements, insurance policies, condition reports, news clippings, and related records. Arranged by assigned number. Ann. Acc.: 1 cu. ft. Current vol.: 8 cu. ft.	PERMANENT. Place in inactive files after termination of loan. COFF inactive files every 5 years. Offer to NARA in 5 year blocks when 10 years old. <i>Destroy when 10 years old,</i>	72A5

PROMOTION AND SALES

1614 Museum Shop Records

Documents accumulated for the purpose of developing purchasing history including copies of purchase orders/agreements, samples of products, and vendor files including products ordered, data, quantity, price, terms, frequency, etc. Also accumulated are records relating to sales history, sales promotions, and product development specifications.

New

1614-1 Documents used to post history file.

COFF annually. Destroy when 3 years old.

1614-2 History file.

Destroy when obsolete.

1615 Marketing Files

Documents accumulated relating to broad marketing plans, specific marketing campaigns for products (copies of space ads, direct mail pieces, etc.), mail lists and record of sources, and analytical reports.

COFF after life cycle of campaign.
Destroy when 4 years old.

New

1616 Reciprocal Advertising File

Documents accumulated in arranging reciprocal agreements with historical societies, educational institutions, and other organizations in printing advertisements. Included are copies of advertisements, contracts, and related records.

COFF annually. Destroy when 4 years old. Earlier disposal authorized, if no longer needed.

New

1617 Conference Exhibitions

Documents accumulated in the preparation and scheduling of conference exhibits, including files containing conference names, purpose for attendance, arrangements for booth and shipment of materials, and lists or samples of materials displayed.

COFF annually. Destroy when 4 years old.

New

NATIONAL AUDIOVISUAL CENTER

1618 Agency Agreement Files

Documents accumulated in securing authorization to loan, rent, or sell audiovisual material produced by Federal agencies. Included are copies of agreements, amendments to agreements, data base output files, and related records.

1618-1 Record copy of each agreement, amendment to agreements, and related background papers maintained by the Product Acquisition and Marketing Branch (NEAM).

COFF after completion of agreement, hold 3 years, and retire to FRC.
Destroy when 12 years old.

70A70

~~1618-2 Record copy of each agreement, amendment to agreements, and related background papers maintained by the Finance Staff (NEAF).~~

~~COFF after completion of agreement,
hold 3 years, and retire to FRC.
Destroy when 6 years and 3 months old.
(GRS 3, item 4a(1))~~

70A70

1618-3 Other records.

Destroy when superseded or obsolete.

New

1619 Monthly Progress Report File

Documents accumulated to record status of audiovisual projects. Included are background data, monthly progress reports, and related records.

Destroy when superseded or obsolete.

70A20

1620	<u>Manual Title Number File</u>	Documents created to control issuance of title numbers for audiovisual manuals. Included are title number lists, data base output files, and related records.	Destroy when superseded or obsolete.	70A10
1621	<u>Film Master Index</u>	Documents created in indexing federally-produced films, film strips, or slides. Included are background information sheets, data base inventory files, and related records.	Destroy when superseded or obsolete. Update system data base as necessary.	70A25
1622	<u>Film Topical Index</u>	Documents created in indexing films, film strips, and slides by topic and thereunder by title. Included are cards, listings, data base inventory files, and related records.	Destroy when superseded or obsolete. Update system data base as necessary.	70A30
1623	<u>Inventory Control File</u>	Documents created in verifying audiovisual holdings of NEA. Included are the output of the Product Master File and related records.	Destroy when superseded or obsolete. Update data base as necessary.	70A90
1624	<u>Audiovisual Promotional and Advertising File</u>	Documents created in making available to Federal agencies and the public, information regarding audiovisual items, services of NEA, and the file industry. Included are brochures, catalogs, conference announcements, mailing lists, and related records.	Destroy when superseded or obsolete.	70A35

1625 Customer Order System

Documents created to control customer orders, billings, and payments related to the purchase or rental of audiovisual materials.

1625-1 Order Acknowledgment File.

Documents accumulated in acknowledging receipt of orders from customers. Included are original orders, processed receipts, the Orders in Process data base files, and related records.

Place in inactive file after order is completed. COFF system data base annually and copy to tape. Destroy when 1 year old.

70A40

~~1625-2 Invoice Files.~~

~~Documents created in verifying the billing of a customer. Included are copies of bills, orders, invoices, the Sales Order History data base file, and related records.~~

~~a. Record copy of transactions of more than \$10,000.~~

~~COFF at end of fiscal year of final payment, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, item 4a(1))~~

70A45

~~b. Record copy of transactions of \$10,000 or less.~~

~~COFF at end of fiscal year of final payment. Destroy when 3 years old. (GRS 3, item 4a(2))~~

1625-3 Accounts Receivable.

Documents relating to the services order financial records and stores transactions affecting customer accounts, invoices, payments, and balances.

New

a. Record copy of transactions of more than \$10,000.

COFF at end of fiscal year of final payment, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, items 4a(1))

b. Record copy of transaction of \$10,000 or less.

COFF at end of fiscal year of final payment. Destroy when 3 years old. (GRS 3, item 4a(2))

1625-4

Customer Master File.

Documents accumulated from a data base that records all static customer information such as name, address, credit data, and constants used in sales analysis. Also retains data identifying adjustments, refunds, and credit memos.

Destroy when superseded or obsolete.
Update data base as necessary.

New

1625-5

Customer Summary File.

Documents accumulated from a data base that is updated daily and generated as needed for informational purposes. Included are summaries of invoices, summaries of transactions, and related records.

Destroy when superseded or obsolete.
Update data base as necessary.

New

~~1625-6~~

~~Accounts Receivable Transactions.~~

~~Documents accumulated from a data base that records account transactions. Included are batch files, the "Transaction-In-Process" file, and related records.~~

~~New~~

~~a. Record copy of transactions of more than \$10,000.~~

~~COFF at end of fiscal year of final payment, hold 3 years, and retire to FEC. Destroy when 6 years and 3 months old, (GRS 3, items 4a(1))~~

b. Record copy of transaction of \$10,000 or less.

COFF at end of fiscal year of final payment. Destroy when 3 years old, (GRS 3, item 4a(2))

~~1625-7~~

~~Prepaid Accounts.~~

~~Now~~

~~Documents accumulated from a data base that records all prepaid transactions and records all service order data elements.~~

~~a. Record copy of transactions of more than \$10,000.~~

~~COFF at the end of fiscal year of final payment, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, item 4a(1))~~

~~b. Record copy of transactions of \$10,000 or less.~~

~~COFF at the end of fiscal year of final payment. Destroy when 3 years old. (GRS 3, item 4a(2))~~

~~1626~~

~~Supplier Purchase Order Files~~

~~Documents accumulated in recording requests for audiovisual reproductions to be processed by photo labs. Included are order logs, purchase orders, vendor listings, and related records.~~

~~1626-1~~

~~Record copy of transactions of more than \$10,000.~~

~~COFF at the end of fiscal year of final payment, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, item 4a(1))~~

~~70450~~

~~1626-2~~

~~Record copy of transactions of \$10,000 or less.~~

~~COFF at the end of fiscal year of final payment. Destroy when 3 years old. (GRS 3, item 4a(2))~~

1627 Information Index File

Documents accumulated to record location of audiovisual materials such as films, film strips, and slides during reproduction process. Included are information cards, microforms, and related records.

Destroy when superseded or obsolete.

70A15

~~1628 Completed Purchase Order Files~~

~~Documents accumulated in verifying the completion and receipt of orders from photo labs. Included are packing slips, purchase orders, and related records.~~

~~1628-1 Record copy of transactions of more than \$10,000.~~

~~COFF annually, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, item 4a(2))~~

~~70A80~~

~~1628-2 Record copy of transactions of \$10,000 or less.~~

~~COFF annually. Destroy when 3 years old. (GRS 3, item 4a(2))~~

~~70A80~~

~~1629 Cash Sales Files~~

~~Documents accumulated to record prepaid sale of audiovisual reproduction stock items. Included are copies of order logs, customer orders, cashier receipts, acknowledgment of receipt, and related records.~~

~~1629-1 Record copy of transactions of more than \$10,000.~~

~~COFF at end of fiscal year, hold 3 years, and retire to FRC. Destroy when 6 years and 3 months old. (GRS 3, item 4a(1))~~

~~70A55~~

~~1629-2~~ Record copy of transactions of \$10,000 or less. COFF at end of fiscal year. Destroy when 3 years old. (GRS 3, item 4a(2))

1630 Messenger Service File

Documents created to record the pickup and delivery of audiovisual and related materials. Included are copies of pickup and delivery receipts, and related records.

COFF every 2 months. Destroy when 2 months old. (GRS 12, item 1)

~~70A105~~

1631-1699 Reserved

APPENDIX 1700

NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION

These records relate to National Historical Publications and Records Commission (NHPRC) programs to promote, encourage, and support private and public sector documentary projects and programs to preserve and make available for use historical records. Included are files pertaining to Commission meetings, grant case files, finding aids, training materials, final products, and NHPRC publications.

<u>CATEGORY NUMBER</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSSOVER FROM GSA MANUAL</u>
1701	<u>COMMISSION MEMBERSHIP FILES</u>		
	Documents accumulated in recording appointments to NHPRC and other official actions affecting Commission membership. Included are correspondence, appointment orders, letters of resignation, other official actions, and related records. Files are arranged alphabetically by member. Ann. Acc.: less than 1 cu. ft. Current vol.: .75 cu. ft.	PERMANENT. COFF in 5-year blocks. Offer to NARA in 10-year blocks when 10 years old.	78A1
1702	<u>COMMISSION MEETING FILES</u>		
1702-1	Documents created in recording NHPRC proceedings. Included are agenda, minutes, policy papers, committee reports, typed transcripts, and tape recordings of meeting proceedings, and related records. Arranged by subject. Ann. Acc.: less than 1 cu. ft. Current vol.: 1.5 cu. ft. (1935 - present)	PERMANENT. Offer to NARA when no longer needed for current operations.	78A5
1702-2	Circular letters, containing routine information (i.e., copies of agenda, minutes, etc.), sent from the Executive Director to Commission members.	COFF annually. Destroy when 3 years old.	New

1703 NHPRC ANNUAL REPORT

Documents accumulated in compiling NHPRC Annual Report to Congress. Included are copies of the report, summary data on NHPRC activities and achievements, and related records.

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| 1703-1 | Record copy of reports submitted prior to 1985. (The record copy of annual reports submitted in 1985 and thereafter are included in the overall NARA Annual Report to Congress, Item ____.) Arranged chronologically. Current vol.: 2 inches. | PERMANENT. Offer complete set to NARA in 1990. | NEW |
| 1703-2 | Background materials. | COFF annually. Destroy when 3 years old. | NEW |

1704 PROGRAM CORRESPONDENCE AND SUBJECT FILES

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|-------------------|---|--|-------------|
| 1704-1 | Correspondence and/or subject files including memoranda, reports, forms, and other records relating to the legal establishment of the NHPRC grant programs, its policies and basic procedures, and the management and evaluation of the grants. Arranged by subject. Ann. Acc.: 1/2 inch. Current vol.: 1 cu. ft. | PERMANENT. COFF annually. Offer to NARA in 10 year-blocks when 20 years old. (GRS 3, item 17) | NEW |
| 1704-2 | Correspondence and/or subject files relating to routine operations and daily activities in administration of the NHPRC grant programs. | | |
| a. | Records Program Correspondence. | COFF annually. Destroy when 2 years old. (GRS 3, item 17(b)) | |
| b. | Publications Program Correspondence. | COFF annually. Destroy when 2 years old. (GRS 3, item 17(b)) | |

1705 GRANT ADMINISTRATION STUDY FILES

Documents accumulated by the staff in studying special problems relating to the administration of grants. Included are studies and related background records.

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| 1705-1 | Record copy of study. Arranged alphabetically by subject. Ann. Acc.: 1 inch. Current vol.: 10 inches. | PERMANENT. Place in inactive file upon completion of study. COFF inactive files every 5-year blocks. Offer to NARA in 5-year blocks when 10 years old. | 78A30(a) |
| 1705-2 | Other materials. | COFF annually upon completion of study. Destroy when 3 years old. | 78A30(b) |

1706 GIFT FUND FILES

Documents accumulated as a result of NHPRC activities to raise private funds to support NHPRC-sponsored projects. Included are correspondence, reports of income and disbursement, and related records.

COFF annually, hold 5 years, and retire to FRC. Destroy when 20 years old.

NEW

~~1707 GRANT CONTROL FILES~~

~~Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.~~

~~Destroy when superseded or obsolete.
(GRS 3, item 16)~~

1708 FELLOWSHIP APPLICATION FILES

Documents accumulated in accepting, declining, and administering annual fellowships. Included are applications, background materials, and listings of

proposed projects and prospective candidates,
correspondence with candidates, and related records.

1708-1 Accepted applications.

a. Applications relating to the Records Program.	Upon approval, transfer documents to 1710, Records Program Grant Case Files.	78A40
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b. Applications relating to the Publications Program.	Upon approval, transfer documents to 1711, Publications Program Grant Files.	78A40
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1708-2	Unsuccessful (rejected or withdrawn) applications.	COFF annually. Destroy when 5 years old.	78A40
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1709 GRANT APPLICATION FILES

Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals; i.e., staff, reviewer, and panelist comments, and correspondence between the staff and applicant. Files are arranged by type of grant (Records Program grant or Publications Program grant). Records Program files are arranged alphabetically by state, and within state by proposal number. Publications Program files are arranged alphabetically by title of project.

1709-1 Accepted applications.

a. Applications relating to the Records Program.	Upon approval, transfer documents to 1710, Records Program Grant Case Files.	78A10
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b. Applications relating to the Publications Program.	Upon approval, transfer documents to 1711, Publications Program Grant Files.	78A10
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1709-2 Unsuccessful (rejected or withdrawn) applications. COFF annually. Destroy when 5 years old. 78A15

1710 RECORDS PROGRAM GRANT CASE FILES

Case files consisting of the grant or fellowship application, correspondence concerning program and fiscal matters, grant instrument, payment vouchers, approved budget with any amendments, interim and final narrative and expenditure reports, evaluation materials from reviewers and panelists, newspaper clippings, and related records. Files are arranged alphabetically by state, and within state by grant number. (Estimated Ann. Acc. of permanent records: .5 cu. ft.)

PERMANENT, COFF annually following completion of project, Transfer to FRC when 5 years old, Transfer to the National Archives in 10 year blocks when 10 years old, (Facilitative records covered elsewhere in this schedule will be destroyed prior to transfer to the National Archives).

~~1710-1~~

Unique grant case files selected annually by the Records Program Director because they meet one or more of the following criteria:

78A10

- a. the grant established a precedent for changing Commission policy or procedures;
- b. the grant received widespread attention from the news media;
- c. the grant was widely recognized for its excellence by historians, archivists, records managers, or others active in the field;
- d. the grant was reviewed at length in the narrative portions of the Commission's annual report; or

~~the grant was the subject of extensive litigation;~~

PERMANENT. COFF annually following completion of project, hold 5 years, and retire to FRC. Offer to NARA in 10-year blocks when 10 years old.

~~17112~~

All other Records Program grant case files.

~~COFF annually following completion of project, hold 5 years, and retire to FRC. Destroy when 15 years old.~~

~~78A15~~

1711

PUBLICATIONS PROGRAM GRANT FILES

Case files consisting of the grant or fellowship application, correspondence concerning program and fiscal matters, grant instrument, payment vouchers, approved budget with any amendments, interim and final narrative and expenditure reports, evaluation materials from reviewers and panelists, reference reports, newspaper clippings, and related records. Although a separate Project Correspondence File is maintained for informal correspondence between the project director and the Publications Program Staff, these files are consolidated with the grant case file when the grant is completed. Documentary editing grant files are arranged alphabetically by project title. Subvention grant files are arranged alphabetically by name of press. Ann. Acc.: .5 cu. ft. Current vol.: 3 cu. ft.

PERMANENT. COFF on completion of the grant. Consolidate ~~Project and schedule~~ ^{78A10} Correspondence File with Grant Case File. ~~Destroy all duplicates. Offer to NARA in 5-year blocks when 10 years old.~~ *(Item 1710).*

1712

FINAL PRODUCT FILES

Published reports, books, studies, audiovisual materials, or any other final grant products and related records in textual or machine-readable form.

1712-1

Final products submitted on or before September 30, 1985. Arranged numerically by project. Ann. Acc. in Records Program: 1 cu. ft. Current vol. 15 cu. ft. Ann. Acc. in Publications Program: 4 cu. ft.

PERMANENT. Offer to NARA when no longer needed for reference ^{NEW} or when 30 years old, whichever is sooner,

Current vol.: 105 cu. ft. (includes 6,000 reels of microfilm)

1712-2 Final products submitted after September 30, 1985.

a. Record copy. Arranged numerically by project. Ann. Acc. in Records Program: 1 cu. ft. Current vol. in Publications Program: 4 cu. ft.

PERMANENT. Upon completion of the project, place final product in inactive file. COFF inactive files in 5-year blocks. Offer final products to NARA in 5-year blocks when 20 years old.

NEW

b. Reference copy of final product.

Destroy when no longer needed.

NEW

1713 FINDING AID FILES

Lists of documents at NARA, the Library of Congress, and other repositories relating to NHPRC projects. Lists are compiled by NP staff. Arranged alphabetically by project name. Ann. Acc.: less than 1 inch. Current vol.: 30 linear ft.

PERMANENT. Offer to NARA when no longer needed for current operations *or when 30 years old, whichever is sooner,*

NEW

1714 INSTITUTE FOR DOCUMENTARY EDITING

Documents created in preparing, organizing, and administering training sessions in the field of documentary editing.

1714-1 Schedules, class lists, correspondence, and related records.

COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.

NEW

1714-2 Handouts, reference files, and similar documents.

Destroy when superseded or obsolete.

NEW

1715 PUBLICATIONS CATALOG

Record copy of Publications Catalog and background materials used to compile listing of NHPRC Publications Program projects.

1715-1	Record copy. Current vol.: 1 catalog.	PERMANENT. Offer to NARA when 10 years old.	NEW
1715-2	Background materials.	Destroy 2 years after publication.	NEW

1716 NEWSLETTER "ANNOTATION"

Record copy of each NHPRC newsletter "ANNOTATION," and background materials used to compile the newsletter.

1716-1	Record set of newsletters. Arranged chronologically. Ann. Acc.: 2 inches. Current vol.: 2 cu. ft.	PERMANENT. Place in inactive file upon publication. COFF inactive files in 5-year blocks. Offer to NARA in 5-year blocks when 10 years old.	NEW
1716-2	Background materials.	Destroy 2 years after publication.	NEW

1717 NHPRC DIRECTORY FILES

Documents created in the preparation of the DIRECTORY OF ARCHIVES AND MANUSCRIPT REPOSITORIES IN THE UNITED STATES. Included are survey questionnaires (Repository Information Forms), machine-readable data base, record copy of Directory, and related policy papers concerning the overall development of the Directory.

RECORDS 203

1717-1	Record copy of Directory and related policy papers. Arranged by subject. Ann. Acc.: 2 cu. ft. every 5 years.	PERMANENT. Offer to NARA when 10 years old.	NEW
1717-2	Survey questionnaires and other records.	Destroy when superseded or obsolete.	NEW
1718-1799	<u>RESERVED.</u>		

APPENDIX 18

NATIONAL ARCHIVES TRUST FUND

These records relate to the National Archives Trust Fund Board, its meetings and bylaws, and to its administration of trust funds which support various archival programs.

<u>ITEM NUMBER</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>	<u>CROSS-OVER FROM GSA HB</u>
TRUST FUND BOARD			
1801	<u>BYLAWS, RULES, AND REGULATIONS FILE</u>		
1801-1	Documents created by the Trust Fund to record amendments, repeals, revisions, and deletions to the bylaws. Included are approved copies of the bylaws, amendments, background papers, and related records. Ann. Acc.: less than 1 cu. ft.	PERMANENT. COFF when superseded or no longer needed, hold 5 years, and offer to NARA.	71A10
1802	<u>TRUST FUND BOARD FILES</u>		
	Documents created and accumulated by the Trust Fund Board in recording Board meetings, proceedings, and decisions. Included are agenda, minutes, resolutions, correspondence, memorandums, and copies of representational budgets.		
1802-1	Records maintained by the Secretary of the Trust Fund. Arranged chronologically. Ann. acc.: less than 1 cu. ft. Current vol.: 6 inches (1982-1986)	PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.	71A1/71A5
1802-2	Other copies.	Destroy when no longer needed for reference.	New item

1803 TRUST FUND ANNUAL REPORT

Documents accumulated in compiling the Trust Fund's Annual Report. Included are copies of the report, summary data on Trust Fund expenditures, and related records.

New item

1803-1 Record copy of reports maintained by the Secretary of the Trust Fund. Arranged chronologically. Ann. acc.: 1/4 inch. Current vol.: less than 1 cu. ft.

PERMANENT. COFF in 5-year blocks. Offer to NARA in 10-year blocks when 10 years old.

1803-2 Background materials and other copies.

COFF annually. Destroy when 3 years old.

FINANCIAL RECORDS

1804 GIFT FUND FILE

1804-1 Documents created by the Trust Fund to record the programs of the Gift Fund: the grant program administered by NHPRC, cultural and archival programs sponsored by the Office of the National Archives, and the Office of Presidential Libraries. Included are grant applications, correspondence, copies of the representational budget, publications, plans of programs, list of speakers, receipts, and related records.

PERMANENT. COFF after completion of program or grant. Offer to NARA when 10 years old. *in 5 year blocks.* New item

1805 FINANCIAL TRANSACTIONS FILE

Documents accumulated to record data on the collection of payments, recognition of revenue and liabilities, and the administration of the National Archives Trust Fund, especially as it relates to the publication and reproductive service programs.

~~New item~~

Included are receipts, bills, vouchers, coding documents, purchase orders, batch sheets, deposit tickets, invoices, and related records.

1805-1	Summary records used as source documents for entry to the NEAR Accounting System, and related records.	COFF annually, hold 3 years, and destroy. (GRS 6, item 1(b))	
1805-2	Records used to record the refund of monies to Trust Fund customers, and related records.	COFF annually, hold 3 years, and destroy. (GRS 6, item 1(b))	
1805-3	Detail records including cash receipts journal, transaction registers, and related records.	COFF annually, hold 3 years, and destroy. (GRS 6, item 1(b))	
1805-4	Records used to record accounts receivable, purchase orders, and related records.	COFF after completion of order. Destroy when 3 years old. (GRS 6, item 1(b))	
1805-5	Records used to record deposit accounts, museum store reconciliations, small receipts, and related records.	Destroy when superseded or obsolete.	New item

~~1806~~ PURCHASE AND CONTRACT CASE FILE

~~Documents accumulated by the Trust Fund in procuring supplies and services. Included are rejected bids, mailing lists, invitations for bids, abstracts of bids and tabulations, records of receipts for bids and responses, notices of award, contracts and amendments, contract summaries, purchase orders, procurement source documents, laboratory test records, purchase case progress records, purchase file transmittals, correspondence, and related records.~~

~~1805-1~~ Record copy of transactions of more than \$10,000. COFF after final payment. Destroy when 6 years and 3 months old. (GRS 3, item 4a(1))

~~1806-2~~ Record copy of transactions of \$10,000 or less. COFF after final payment. Destroy when 3 years old. (GRS 3, item 4a(2))

~~1807~~ SERVICE ORDER FILE

~~New item~~

Documents accumulated by the Trust Fund to record NARA, other government agency and public requests for reproduction or publication of records and other historical documents. Included are service orders, and related records.

~~1807-1~~ Record copy of transactions of more than \$5.00. COFF after completion of order. Destroy when 1 year old. (GRS 23, item 5)

~~1807-2~~ Record copy of transactions of \$5.00 or less. COFF after completion of order, hold 4 months, and destroy. (GRS 23, item 5)

~~1807-3~~ Other records. Destroy when superseded or obsolete. GRS 23, item 5)

~~1808~~ COLLECTION REGISTERS FILE

~~71B5~~

~~1808-1~~ Documents created by the Trust Fund to record the collection of checks, money orders, or cash for publications or reproductions of documents and the transmittal of the funds to the GSA finance office. Included are cash receipts journal forms, and related records. COFF annually. Destroy when 3 years old. (GRS 6, item 1 (b)).