Schedule Number: N1-064-87-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/7/2021

ACTIVE ITEMS
These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active. Field archives facilities use N1-064-08-010 Item 27 c. User Registration/Retrieval Documentation.

SUPERSEDED AND OBSOLETE ITEMS
The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 109/1 was superseded by DAA-0064-2020-0001-0001
Item 109/2a was superseded by DAA-0064-2020-0001-0002
Item 109/2b was superseded by DAA-0064-2020-0001-0002
Item 110 was superseded by DAA-0064-2020-0001-0002
Item 202/1 was superseded by DAA-0064-2020-0001-0001
Item 202/2 was superseded by DAA-0064-2020-0001-0001
Item 202/3 was superseded by DAA-0064-2020-0001-0002
Item 1002/1A was superseded by DAA-0064-2018-0008-0001
Item 1002/1B was superseded by DAA-0064-2018-0008-0001
Item 1003 was superseded by DAA-0064-2018-0008-0001
Item 1004/1 was superseded by DAA-0064-2018-0008-0001
Item 1420/2 was superseded by DAA-0064-2019-0009-0001
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

I FROM (Agency or establishment)
National Archives and Records Administration (NARA)
Office of Management and Administration
Program Policy and Evaluation Division

NAME OF PERSON WITH WHOM TO CONFER
Gale Berther

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 D TITLE
4/6/86 Stephen E. Kenney Director, Program Policy and Evaluation Division

ITEM NO 8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)

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
Ronald J. Leese

NARA Appraiser

15 April '88

Date

15 Apr '88

Date
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).

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
<th>CROSS-OVER FROM GSA HB</th>
</tr>
</thead>
<tbody>
<tr>
<td>101</td>
<td>Organizational Files</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>PERMANENT. Offer to NARA in 5-year blocks when 20 years old. (GRS 16, item 13a)</td>
<td></td>
</tr>
<tr>
<td>102</td>
<td>NARA Regulations Case Files</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Abb. 1-1

PERMANENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.

102-2 Unofficial case files maintained by other offices.

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

103 External Directives Case Files

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.


PERMANENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.

103-2 Unofficial case files maintained by other offices.

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

104 Internal Directives Case Files

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.

APP. 1-2
104-1 Official case files maintained by NARA. Arranged by directive number. Annual acc.: 1 cu. ft. Current vol.: 5 cu. ft. PERSISTENT. COFF when superseded or canceled, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 20 years old.

104-2 Unofficial case files maintained by other offices. Destroy when superseded, obsolete, or no longer needed for reference.

105 Numbered Memos - INTERIM GUIDANCE

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.

105-1 NARA 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 Numbered Memo - NOTICES

Issued since October 1, 1987*

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.

App. 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.

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

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.

APP. 1-4
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.


PERMANENT. COFF annually, hold 3 years, and retire to FRC. Offer to NARA in 5-year blocks when 15 years old.

Other records.

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

PERMANENT. COFF annually, transfer to the National Archives in 5-year blocks when 15 years old.

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

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.

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.

App. 1-5
<table>
<thead>
<tr>
<th>Record Type</th>
<th>Description</th>
<th>Holding and Disposal Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>111-1</td>
<td>Record copy of the NARA Strategic Plan maintained by NAA. Annual acc.: less than 1 cu. ft.</td>
<td>PERMANENT. COFF after a new plan is issued. Offer to NARA when 10 years old.</td>
</tr>
<tr>
<td>111-2</td>
<td>Background materials maintained by NAA.</td>
<td>COFF after new plan is issued. Destroy when 5 years old.</td>
</tr>
<tr>
<td>111-3</td>
<td>Records maintained by other offices.</td>
<td>COFF after new plan is issued. Destroy when 2 years old.</td>
</tr>
</tbody>
</table>

**Program Review Files**

Copies of program review documents used to formally brief the Archivist on major program activities.

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Description</th>
<th>Holding and Disposal Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>112-1</td>
<td>Record set of program review documents maintained by NAA. Arranged chronologically. Ann. acc.: 1 cu. ft.</td>
<td>PERMANENT. COFF annually, hold 5 years and retire to FRC. Offer to NARA in 10-year blocks when 10 years old.</td>
</tr>
<tr>
<td>112-2</td>
<td>Other copies.</td>
<td>COFF annually. Destroy when 2 years old.</td>
</tr>
</tbody>
</table>

**Quarterly Reports**

Quarterly reports of program activities sent by Office Heads and Staff Directors to the Archivist, and those prepared by division and branches.

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Description</th>
<th>Holding and Disposal Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>113-1</td>
<td>Record copy sent to Archivist and maintained by NAA. Arranged chronologically. Ann. acc.: less than 1 cu. ft. Current vol.: 1.5 cu. ft.</td>
<td>PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 20 years old.</td>
</tr>
<tr>
<td>113-2</td>
<td>Other copies.</td>
<td>COFF annually. Destroy when 2 years old.</td>
</tr>
</tbody>
</table>

Apo. 1-6
Quarterly reports (feeder reports) prepared by divisions and branches for Office Heads.

a. Reports prepared by NN and NL.

b. Reports prepared by other offices.

COMMITTEES

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 NNA. (See item 115 for documents retained by committees.)

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.

COFF after termination of committee. Destroy when 2 years old. (NRA 16, item 12A5)

Apo. 1-7
Committee Files

Recors created by committees.

115-1

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


b. All other copies.

115-2

All other committee records.

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.

SPECIAL STUDIES

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.

Ann. 1-8
117-1 Final Report.

117-2 Working Papers.

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.

PERMANENT
COFF at end of study or project.
Transfer to the National Archives in 4-year blocks when 10 years old.
COFF at end of study or project, hold 3 years and retire to FRC. Destroy when 15 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.

119-1 Record copy maintained by NSZ. Arranged by project.

PERMANENT
COFF at completion of project. Offer to NARA in 10-year blocks when 20 years old.

119-2 Other copies.

Destroy when no longer needed for reference.

120 Research and Evaluation Project Case Files

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

a. Projects having a 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.

121-2

Background records.

COFF annually. Destroy when 2 years old.

122

NARA Publications

Documents accumulated in editing, printing, and publishing NARA publications, including books, microfilm publications, guides, special lists, hardcovers, 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. Offer in 5-year blocks when 5 years old.

App. 1-10
122-2 Copy of each publication maintained for reference use.

Immediately after publication, originating office must send a copy of the publication to NNIL (Library).

122-3 Printers' galleys, graphics, working papers, copies of publications, and related records.

Place in inactive file after publication has been printed. COFF annually. Destroy when 2 years old.

122-4 Photographs, negatives and prints used in publications.

Destroy when superseded or obsolete.

123 Freelance Editorial Vendors File

Documents relating to freelance editorial vendor services.

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 Employee Newsletters

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 thereafter. Annual access 6 inches. Current vol.s less than 1 cu. ft. PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 20 years old.

Spec. 1-11
Background materials.

NARRA Histories

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

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.

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

AUDIOVISUALS

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

App. 1-12
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.

**126-1**

| 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) |

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

**126-3**

| Passport photographs. | Destroy when 5 years old or when no longer needed. (GRS 21, item 1) |

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

**126-5**

| Duplicate photographs and negatives. | Destroy when no longer needed. (GRS GR21/4) |

App. 1-13
**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.

<table>
<thead>
<tr>
<th>127-1</th>
<th>NARA-sponsored films intended for public distribution. (These include informational and educational films.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>127-2</td>
<td>NARA-sponsored training films that explain agency functions or activities intended for internal or external distribution.</td>
</tr>
<tr>
<td>127-3</td>
<td>Stock footage, outtakes, and trims created during the course of a NARA-sponsored production. Offer immediately for deposit in the stock film collection, Special Archives Division, NARA. (GAS 21, item 27) Describe when no longer needed for stock film collection.</td>
</tr>
<tr>
<td>127-4</td>
<td>Films acquired from outside sources for personnel and management training. Destroy one year after completion of training program. (GAS 21, item 15)</td>
</tr>
</tbody>
</table>

App. 1-14
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.)

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.

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.

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

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.)

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

128-7 Duplicate dubbings and pre-six elements.

App. 1-15
Related Documentation

109-4 Finding aids for identification, retrieval, or use. They include indexes, catalogs, shelf lists, logs, books, caption sheets, shot lists, continuities, etc., and may be in text, card, microform, or machine-readable format.

109-5 Production files or similar files that document origin, development, acquisition, use, and ownership. (May include scripts, contracts, transcripts, releases, etc.)

Posters

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

Permanent. Transfer 2 copies to the National Archives when 5 years 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.)

201-2

Copies maintained by NARA, Records Liaison Officers, and Administrative Officers.

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.

APP - 1
Reading files of Office Heads and Staff Directors.

COFF in 6-month blocks. Destroy when 3 years old.

All other reading files.

COFF in 6-month blocks. Destroy when 6 months old.

Suspending Files

Files 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.

A note or other reminder to take some other action.

Destroy after action is taken. (GRS 23, item 3a)

The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdrawal papers when reply is received. (GRS 23, item 3b)

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 as paper.)

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.
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.

204-2 Records of other NARA employees containing substantive information relating to official activities, the substance of which has not been incorporated 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 Office Administration Files

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 specifically described in Appendixes 1 through 12.

COFF annually. Destroy when 2 years old.

206 Administrative Tracking Files

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.

207 Routine Control Files

Remove from related records and destroy when work is completed or when no longer needed for operational purposes.

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

GRS 23, item 5

Abb. 2 - 3
to record routine and merely facilitative actions taken.

208  Designation Files

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.

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.

210  National Archives Assembly Files

Correspondence, memoranda, and other records accumulated by NARA offices relating to employee participation in National Archives Assembly activities.

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.
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

213 Training Records

Files accumulated in developing training programs for NARA employees. Included are files pertaining to the Career Intern Development System (CIDIS) 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 obsoleted. 10A35

(GRS 1, item 30a(1))

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 |
| 214-1 | Case file maintained by NARA. 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 |
| 215-1 | 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. |

App. 2 - 6
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.

216-1 Correspondence, memoranda, and other records relating to NARA policies and procedures for implementing OMB Circular A-76. Files are maintained by NARA.

216-2 Inventory submissions to OMB. Inventory notices for the Federal Register, and related material.

216-3 Copies of OMB Circular A-76, implementing instructions, and related materials issued outside of NARA.

217 A-76 Studies

Correspondence memorandum, 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.

217-1 Case files maintained by office conducting the study.

217-2 Records maintained by NSA as part of independent review process.

New

COFF when superseded or obsolete. Destroy 1 year after COFF.

COFF annually. Destroy when 2 years old.

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

New

COFF upon completion of study, hold 1 year, and retire to FRC. Destroy when 7 years old.

COFF upon completion of study, hold 1 year, and retire to FRC. Destroy when 6 years old.
<table>
<thead>
<tr>
<th>217-3</th>
<th>Records maintained by NAA.</th>
<th>COFF upon completion of the study. Destroy when 7 years old.</th>
</tr>
</thead>
<tbody>
<tr>
<td>218</td>
<td>Internal Control Policies and Procedures Files</td>
<td></td>
</tr>
<tr>
<td>218-1</td>
<td>Correspondence, memoranda, and other records relating to internal control policies and procedures under OMB Circular A-123, Internal Control Guidelines.</td>
<td>Destroy when superseded, obsolete, or no longer needed for reference.</td>
</tr>
<tr>
<td>219</td>
<td>Vulnerability Assessment Files</td>
<td></td>
</tr>
<tr>
<td>219-1</td>
<td>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.</td>
<td>COFF after assessment report. Destroy 3 years after COFF.</td>
</tr>
<tr>
<td>220</td>
<td>Internal Control Review Files</td>
<td></td>
</tr>
<tr>
<td>220-1</td>
<td>Records maintained by NAA.</td>
<td>COFF annually, hold 2 years and retire to FRC. Destroy when 5 years old.</td>
</tr>
<tr>
<td>220-2</td>
<td>Records maintained by other offices.</td>
<td>COFF annually. Destroy when 1 year old.</td>
</tr>
</tbody>
</table>

Ap. 2 - 8
221

**A-123 Annual Report**

Annual report to Congress and the President concerning agency implementation of A-123. Arranged by year. Ann. accn: less than 1 cu. ft.

**221-1**

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

221-2

Documents accumulated in preparing the annual report.

COFF annually. Destroy when 1 year old.

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.

222-1


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.

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.

**INFORMATION MANAGEMENT**

223

**Clearance Comments Files**

Comments on directives, plans, and similar publications prepared by another office.
223-1 Office requesting comments. 
Place comments in appropriate functional file; i.e., directives case file. 

223-2 Office submitting comments. 
COFF annually. Destroy when 2 years old.

224 Federal Register Liaison Records

224-1 Designation of liaison officer and certifying officer. 
Destroy when superseeded. 

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.)

225 Routine Federal Register Notices

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.

225-2 Files maintained by other offices. 
COFF annually. Destroy when 1 year old.

Appl. 2 - 10
Unified Agenda

NARA regulatory agenda materials developed for publication in the Unified Agenda of Federal Regulations.

External Directory Updates

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.

Questionnaire Files

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.

Records maintained by NAA.

Records maintained by other offices.

Reports Control

Documents accumulated by NAA in controlling internal and external reports.
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 formats; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Interagency and Congressional Reports. Files maintained by NARA for purposes of tracking reporting requirements placed on NARA by other agencies, the Office of Management and Budget, and Congress.

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.

b. Working papers including notices sent to offices as a reminder that reports are due, copies of reports, and general correspondence.

Registers. Computer-generated registers and similar registers used to track reports.

Forms Requirements Files

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.

App. 2 - 12
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>230-1</td>
<td>Printouts.</td>
<td>COFF annually. Destroy when 1 year old.</td>
</tr>
<tr>
<td>230-2</td>
<td>Other records.</td>
<td>COFF annually. Destroy when 2 years old or when no longer needed.</td>
</tr>
<tr>
<td>231</td>
<td><strong>Forms Registers</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Registers used to record and control the numbers and other identifying data assigned to each form.</td>
<td>Destroy when no longer needed.</td>
</tr>
<tr>
<td>232</td>
<td><strong>Forms Case Files</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>232-1</td>
<td>Official case files maintained by NAA.</td>
<td>Destroy 5 years after related form is discontinued, superseded, or cancelled.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(GRS 16, item 4a)</td>
</tr>
<tr>
<td>232-2</td>
<td>Working papers, background materials, requisitions, specifications, and processing data maintained by NAA and NCP.</td>
<td>Destroy when related form is discontinued, superseded, or cancelled. (GRS 16, item 4b)</td>
</tr>
<tr>
<td>232-3</td>
<td>Files maintained by other offices.</td>
<td>COFF annually. Destroy when 2 years old.</td>
</tr>
<tr>
<td>233</td>
<td><strong>Stationery Files</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reports, correspondence, memoranda, lists, printing specifications, master copies of stationery, and other records pertaining to NARA stationery.</td>
<td>Destroy when superseded, obsolete, or no longer needed for reference.</td>
</tr>
</tbody>
</table>

New

App. 2 - 13
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 NARA. 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)

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)
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. arc.: 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)

Emergency Operations Test Files

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).

RECORDS MANAGEMENT

Records Management Survey Files

Documents relating to 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.

Records maintained by NAA, Records Liaison Officers, and Administrative Officers. COFF annually. Destroy when 3 years old. 11C35a

Records maintained by other offices. COFF annually. Destroy when 2 years old. 11C35b

Apo. 2 - 15
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.

241-3 Copies of SF 115, Request for Records Disposition Authority, and related documentation. (Note: Record copy of approved SF 115 is maintained by NARA 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 Information Management System Feasibility Studies

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 45)
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.

244 **Vital Records Policy and Procedures Files**

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

245 **Vital Records Evaluation Files**

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

245-1 Records maintained by NASS and NAR.

245-2 Records maintained by other offices.

Apo. 2-17
### 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.  
CODF annually. Destroy when 1 year old. (GReS 12, item 5)

247-2 Application for postal registration and certificates of declared value of matter subject to postal surcharge.  
CODF annually. Destroy when 1 year old. (GReS 12, item 5)

247-3 Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.  
CODF annually. Destroy when 1 year old. (GReS 12, item 5)
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 superseeded 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)

Apo. 2 - 19
269  **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)

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**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)
Classified Documents Destruction Certificates Files

Certificates relating to the destruction of classified documents. COFF annually. Destroy when 2 years old. (GRS 18, item 4)

Classified Documents Inventory Files

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)

Top Secret Document Accounting Files

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)

Top Secret Document Control Files

Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Destroy when related documents is downgraded, transferred, or destroyed. (GRS 18, item 6a)

Classified Documents Access Request Files

Requests and authorizations for individuals to have access to classified administrative files. Destroy 2 years after authorization expires. (GRS 18, item 7)
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, 422 A)

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
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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>PERSONNEL INFORMATION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>301-1</td>
<td>Official Personnel Folders (OPF)</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>301-1</td>
<td>Records filed on the right side of folder:</td>
<td></td>
</tr>
<tr>
<td>a. Transferred employees.</td>
<td>See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (GRS 1, item 1b(!))</td>
<td></td>
</tr>
<tr>
<td>b. Separated employees.</td>
<td>Transfer folder to National Personnel Records Center (COR), St. Louis, MO 63118, 30 days after separation. NARA 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</td>
<td></td>
</tr>
</tbody>
</table>
Temporary individual employee records filed on the left side of folder. Destroy upon separation or transfer of employee. (GRS 1, item 10)

**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 70 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-BIL) Destroy on separation or transfer of employee. (GRS 1, item 6)

**Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices**

Supervisor's personnel files.

Correspondence, memoranda, forms, and other records relating to positions, authorizations, pencing 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 ascertain (or) 5 years after latest separation, whichever is later. (GRS 1, item 1b(2))

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.

303-2
Duplicate documentation.

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

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.

304-2
All other copies maintained in personnel offices.

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 253, 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 App. 3 - 3
folders or if stored in the OPF, 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 Apraisals of unacceptable performance, where a notice of proposed separation or removal is issued but not effected, and all related documents.

305-2 Performance records superseed through an administrative, judicial, or quasi-judicial procedure.

305-3 Performance-related records pertaining to a former employee.

305-4 All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

305-5 Supporting documents.

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 ODF, 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 23a(1))

306-2 Performance-related records pertaining to a former SES appointee. Disposition pending. (GRS 1, item 23a(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 23a(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.

PERSONNEL ADMINISTRATION

589 Personnel Office Correspondence and Forms Files

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

Aop. 3 - 5
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 Personnel Operations Statistical Reports
   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 Pay Administration Files
   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.

311 Standards of Conduct Files
   Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct. Destroy when obsolete or superseded. (GRS 1, item 26)
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.

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

312-3 Index to the personnel security case files.

313 Personnel Security Clearance Status Files

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

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)

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

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

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.

314-2 All other files, exclusive of papers placed in official personnel folders.

315 Classified or Classifiable Information Non-Disclosure Agreements

Copies of non-disclosure agreements such as SF 189, Classified Information Non-Disclosure Agreement, signed by employees with access to information which is classified or classifiable under standards set forth by Executive Order 12356. These forms are maintained by the Safety and Security Staff (NASS).

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.

Apo. 3 - 8

destroy 5 years after close of case. (GRS 18, item 25a)

destroy 2 years after completion of final action or when no longer needed, whichever is sooner. (GRS 18, item 25b)

destroy when 50 years old. (GRS 18, item 26)

destroy when superseded or obsolete. (GRS 1, item 7a(1))
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.

316-3
Files of official position descriptions including information on title, series, grades, duties, and responsibilities. Arranged by organization.

317-1
Record copy maintained by AP.

317-2
All other copies.

318
Classification Appeals Files
Case files relating to classification appeals.

FILES 203
COFF annually after position is abolished or description is superseded.

(COFF annually after position is abolished or description is superseded. (GFRS 1, item 6a(3))

Destroy when position is abolished or description is superseded. (GFRS 1, item 6a(3))

Destroy when position is abolished or description is superseded. (GFRS 1, item 6a(3))

Destroy when position is abolished or description is superseded. (GFRS 1, item 6a(3))

Destroy when position is abolished or description is superseded. (GFRS 1, item 6a(3))

Destroy when 5 years old. (GFRS 1, item 6a(3))

Destroy when 3 years old. (GFRS 1, item 6a(3))

Destroy when 2 years old. (GFRS 1, item 6a(3))

Destroy when 1 year old. (GFRS 1, item 6a(3))

(SRS 1, item 7b(3))
Class II files

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 or 2 years after regular inspection, whichever is sooner. (GRS 1, item 7c(1))

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)

Merit Promotion Case Files

Documents accumulated in administering and evaluating the NARA promotion plan, excluding any records that duplicate information in the promotion plan, OPP'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)
322-2 General reference files.  
Destroy when no longer needed for current operations.

322 Applicant Supply Files

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 inaction 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 Certificate of Eligibles Files

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a reference eligible and selecting a non-reference eligible.

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

324 Interview Records

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)
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 GPM 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

Incentive Awards Program Reports

Reports pertaining to the operation of the Incentive Awards Program.

COFF annually. Destroy when 3 years old. (GRS 1, item 13)

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
Each and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

b. Correspondence or memoranda pertaining to awards from other government agencies or private organizations.

Length of service and sick leave awards files. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.

Letters of commendation and appreciation.Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OOF.

Lists or indexes to Agency Award Nominations.Lists of nominees and winners and indexes of nominations.

Agency-level awards files. Documents created in granting awards for distinguished, meritorious and exceptional service, EEO impact, and cash awards ($1,000-singel 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.

Employee Assistance Program Files

Documents created in informing, counseling, and assisting employees and claimants regarding health, insurance, and retirement programs.

Apo. 3 - 13
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.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees, separating employees, or survivors claim insurance or retirement benefits.

Records created in planning, coordinating and directing an alcohol and drug abuse program.

329 Grievance, Disciplinary and Adverse Action Files

Records originating in the review of grievances 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.

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 files after termination of counseling. COFF inactive files annually. Destroy when 3 years old. (GRS 1, items 27a)

COFF annually. Destroy when 1 year old.

COFF annually. Destroy when 3 years old. (GRS 1, item 27b)

Remove and place in inactive files after case is closed. Cut off inactive files annually. Destroy when 3 years old. (GRS 1, item 31a)

Place in inactive file after case is closed. Cut off inactive files annually and return to FRC. Destroy when 4 years old. (GRS 1, item 31b)
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>330</td>
<td>Labor Management Relations Records</td>
<td></td>
</tr>
<tr>
<td>330-1</td>
<td>Case files containing correspondence, memoranda, reports and other records relating to the</td>
<td>Destroy when 5 years old. (GRS 1, item 29a(1))</td>
</tr>
<tr>
<td></td>
<td>relationship between management and employee unions or other groups which are maintained by the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>office negotiating the agreement.</td>
<td></td>
</tr>
<tr>
<td>330-2</td>
<td>Documents maintained by other offices.</td>
<td>Destroy when superseded or obsolete. (GRS 1, item 29a(2))</td>
</tr>
<tr>
<td>330-3</td>
<td>Case files containing correspondence, forms, and background papers relating to labor arbitration</td>
<td>Destroy when final resolution of case. Destroy when 5 years old. (GRS 1, item 29b)</td>
</tr>
<tr>
<td></td>
<td>cases.</td>
<td></td>
</tr>
<tr>
<td>330-4</td>
<td>Copies of precedential decisions.</td>
<td>Destroy when superseded or obsolete.</td>
</tr>
<tr>
<td>331</td>
<td>Campaigns</td>
<td></td>
</tr>
<tr>
<td>331-1</td>
<td>Savings bond campaign. Copies of posters, flyers, and related records created in developing and</td>
<td>Destroy when 1 year old.</td>
</tr>
<tr>
<td></td>
<td>disseminating material and otherwise promoting and reporting on participation in the U.S. Savings</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Bond Program. Excluded are background papers to NARA directives pertaining to such program.</td>
<td></td>
</tr>
<tr>
<td>331-2</td>
<td>Charitable contribution campaigns. Documents accumulated in managing and coordinating</td>
<td>Destroy when 2 years old.</td>
</tr>
<tr>
<td></td>
<td>contribution drives such as the Combined Federal Campaign and others. Included are copies of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>notices of campaigns, communications concerning the campaigns, and related records.</td>
<td></td>
</tr>
</tbody>
</table>

*Ap. 3 - 15*
Equal Employment Opportunity

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 1613.22. 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 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.

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.

332-8 EEO affirmative action plans (AAP).
   a. Agency copy of consolidated AAP(s).
   b. Agency feeder plans to consolidated AAP(s).

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

Ago. 3 - 17
retirement and fitness for duty examinations which are filed in the OPF upon separation of employee (Ref. FPKS 293-31). Those records not required for filing in the OPF, may be transferred to the FRC. Under no circumstance should these files be sent to the National Personnel Records Center (CPR).

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)

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.

Health Unit Control Files

Logs or registers reflecting daily number of visits to dispensary, 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)
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)
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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
<th>CROSS-OVER FROM GSA HB</th>
</tr>
</thead>
<tbody>
<tr>
<td>401</td>
<td>Budget and Finance Policy Files</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>402</td>
<td>Budget Correspondence Files</td>
<td>COFF annually. Destroy when 5 years old. (GRS 5, item 3)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Correspondence files pertaining to routine budget administration, agencywide budget procedures, internal procedures, and other routine matters not described elsewhere in this appendix.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>403</td>
<td>Budget Estimates and Justifications</td>
<td>COFF at the end of the target budget year. Destroy when 5 years old.</td>
<td></td>
</tr>
<tr>
<td>403-1</td>
<td>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.)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

App. 4 - 1
404  Budget Background Records

404-1  Originating office copy of budget estimates submitted to NAB.

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.)

OPERATING BUDGET

405  Financing Authorizations/Appropriations

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

406  Apportionments and Allotments

Documents created or accumulated in obtaining apportionments from OMB and issuing allotments to the Archivist. Included are apportionment and reapportionment schedules, allotments, offered

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

407-1 Documents created or accumulated by NARA 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)

Apd. 4 - 3
Correspondence and working papers. COFF annually. Destroy when 2 years old.

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 (GAD P 1820.2).

409 NEAR Accounting Reports

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.

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)

Copies maintained by other offices. Destroy when no longer needed for reference.

410 Centrally Managed/Budgeted Items

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.

App. 4 - 4
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.)

416 Reimbursable Billing

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

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.

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

Ap. 4 - 5
Accounting System Guidance Files

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.

Obligation Files

Copies of documents sent to GSA Finance for obligation and payment.

Office Accounting Files

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.

Office Financial Files

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.
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 records; (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 6a)

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
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.

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 fune, reimbursement vouchers, similar documents, and related records.

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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>REAL PROPERTY</strong></td>
<td></td>
</tr>
</tbody>
</table>

**501**  
Real Property Title Papers

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)

App. 5 - 1
Property Disposal Case Files

Case files on disposal of surplus real and related personal property.

GENERAL SERVICE AND SUPPLY

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.

PERSONAL PROPERTY

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.
Supply Catalogs

Copies of Federal Supply Schedules, brochures, catalogs, and other information received from sellers, distributors, and manufacturers for reference purposes.

Registers and Master Files

Registers of source documents, master files of purchase orders, FEDSTRIP requisitions, reports of property for survey, and similar records used for controlling personal property.

PMO/AO History Files

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.

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.
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  Office Equipment Control Files

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  Office Equipment Maintenance Files

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. New (SGR 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. New

Destroy when 2 years old.
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)

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

Unique Procurement Files

Procurement files (as in item 516) 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)

Acceptable Bidders' Lists

Lists or card files of acceptable bidders. Destroy when superseded or obsolete. (GRS 3, item 68)

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 App. 5 - 6
these files, see Ch. 7, NARA Administerative
Procedures Manual (ADM 201).

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

- Place in inactive files on final
payment. (GERS 3, item 4b)

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

- Place in inactive files on final
payment. (GERS 3, item 4a)

Obligation copy.

- Destroy when funds are obligated. (GERS 3, item 4a)

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

- Destroy with related contract case.
(See item 519.1)

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

519-2 Solicited and Un solicited Bids and Proposals Files

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

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proposals.

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proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.

- Solicited and unsolicited unsuccessful bids and
proposals.
When filed separately from Contract case files.

520-3 Canceled 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 canceled prior to award of a contract. The files include presolicitation documentation on the requirements, any offers which were opened prior to cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.

b. Unopened bids.

Return to bidder. (GRS 3, item 6c(1))

Destroy when related contract case files (see item 517 above) and contract is completed. (GRS 3, item 6c(2))

521-1 Annual reports.

Other files of the designated NARA Competition Advocate for procurement matters challenging barriers to and promoting full competition in the acquisition of supplies and services.

521-2 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. (See item 517, above.)

Destroy 5 years after date of cancellation. (GRS 3, item 6c(1))

521-3 Canceled solicitations files

b. When filed with contract case files.

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

Destroy when related contract case files (see item 517 above) and contract is completed. (GRS 3, item 6c(2))
Procurement Preference Program Files

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

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.

Contract Appeals Case Files

Contract appeals case files consisting of notices of appeal and acknowledgments 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.

Contractors' Payroll Files

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

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.

App. 5 – 9
enforcement case file and maintained for enforcement or report purposes.
APPENDIX 6

FACILITIES

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

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>FACILITIES MANAGEMENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>601</td>
<td>Data Books</td>
<td>Data books composed of documents prescribed by GSA's HB, Operation and Maintenance of Real Property (PBS P 5800.1BA). These documents are used as reference files.</td>
</tr>
<tr>
<td>602</td>
<td>Agency Space Files</td>
<td>Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.</td>
</tr>
<tr>
<td>602-1</td>
<td>Building plan files and related agency records utilized in space planning, assignment, and adjustment.</td>
<td>Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete. (GRS 11, item 2a)</td>
</tr>
<tr>
<td>602-2</td>
<td>Correspondence and reports relating to agency space holdings and requirements.</td>
<td></td>
</tr>
<tr>
<td>a. Agency reports to the General Services Administration regarding space occupied in</td>
<td>CGFF annually. Destroy when 2 years old. (GRS 11, item 2b(1))</td>
<td></td>
</tr>
</tbody>
</table>

App. 6 - 1
"Metroolitan Washington" and "outside the District of Columbia," and related papers.

a. Copies in subordinate reporting units and related work papers. COFF annually. Destroy when 1 year old. (GRS 11, item 21/81)

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

603-2 Files relating to documents issued by the buildings manager. COFF annually following denial, revocation, or expiration, destroy when 3 years old. 44A70a

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
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.

Agreements. Destroy when superseded or obsolete. 44A75a

Other records. COFF annually. Destroy when 2 years old. 44A75b

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.

Office Requirements Files

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

Facilities Management Requisition Control Files

Incoming requisitions. Documents accounting for all requisitions received by NASF, including date received, date completed, action taken, inspection reports, facilities staff project assignments, and

New

Apo. 6 - 3
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.

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 la(1))

b. Models.  Submit GC 115, Request for Records Disposition Authority. (GRS 22, item la(2))

610-2  All other files.  Dispose of when no longer needed for administrative purposes. (GRS 22, item lb)
Federal Structures Construction Files

Intermediate and prefinal, final working, "as built," snoo, 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.

Disose 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.

Disose 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 113, Request for Records Disposition Authority. (GRS 22, item 3a)

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
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

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.

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.

Progress reports.

COFF annually. Destroy when 2 years old.
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Description</th>
<th>Retention Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>616-2</td>
<td>Other records.</td>
<td>Destroy when superseded or obsolete.</td>
<td></td>
</tr>
<tr>
<td>617</td>
<td>Snow Removal Records</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>617-1</td>
<td>Plans and related records.</td>
<td>Destroy when superseded or obsolete.</td>
<td></td>
</tr>
<tr>
<td>617-2</td>
<td>Other records.</td>
<td>COFF annually. Destroy when 1 year old.</td>
<td></td>
</tr>
<tr>
<td>618</td>
<td>Cleaning and Sanitation Files</td>
<td></td>
<td></td>
</tr>
<tr>
<td>618-1</td>
<td>Routine records relating to cleaning and sanitation, exclusive of files described elsewhere in this section.</td>
<td>COFF annually. Destroy when 2 years old.</td>
<td></td>
</tr>
<tr>
<td>618-2</td>
<td>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.</td>
<td>Destroy when superseded or obsolete.</td>
<td></td>
</tr>
<tr>
<td>618-3</td>
<td>Cleaning staff organization. Charts and related records depicting the organization, functions, and responsibilities of the cleaning force.</td>
<td>Destroy when superseded or obsolete.</td>
<td></td>
</tr>
</tbody>
</table>
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.

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 Carpet Program Files

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
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>620</td>
<td>Uniform Allowance Controls</td>
<td>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.</td>
</tr>
<tr>
<td>621</td>
<td>General Storeroom Files</td>
<td>COff annually. Destroy when 3 years old.</td>
</tr>
<tr>
<td>622</td>
<td>Parking Space Controls</td>
<td>COff annually. Destroy when 3 years old.</td>
</tr>
<tr>
<td>623</td>
<td>Concession Files</td>
<td>Place in inactive file on expiration or termination of the contract, license, agreement, or authorization documents, or on disapproval of establishment: COff the inactive file annually. Destroy when 1 year old.</td>
</tr>
</tbody>
</table>

App. 6 - 9
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.

Concession operation reports. Documents accumulated in recording and reporting fees 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.

Concession equipment cards. Data cards used to control the installation and removal of concession equipment, such as vending machines.

MECHANICAL OPERATION AND MAINTENANCE

Building and Equipment Service Files

GSA Form 283, Notice of Work Requested, 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 77, Item 5)

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.

App. 6 - 10
625-1  Suspension 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  Work Authorization Files

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  Preventive Maintenance Control Cards

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

App. 6 - 11
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.

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.

629 Operating Equipment Inspection Files

629-1 Documents used to record maintenance inspection of storage batteries. COFF annually. Destroy when 3 years old.

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.

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.

Ap. 6 - 12
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 Craft Records

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 programmed and executed. COFF annually. Destroy when 2 years 44C15 old.

632 Environmental Condition Operating Records

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 44C85 old. Selected reference copies may be retained for as long as needed to provide a record of operating conditions.
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 filed, or on disposition of the equipment.  

634  
**Heating and Air-conditioning Schedules**

Schedules and other records relating to operating heating and air-conditioning plants.  
Destroy when superseded or obsolete.  

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.  

635-2  
Other records.  
Coff annually. Destroy when 5 years old.  

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.  

Ann. 6 - 14
Traffic survey data, schedules, and related records created in developing, maintaining, and revising schedules for the operation of elevators and escalators.

a. Schedules.

b. Other records.

Inspection and maintenance files.

a. Certificates of inspection.

b. Acknowledgement of inspection.

c. Schedules, reports, and other records.

Data cards used to record identification, location, operation, repair, and alteration data pertinent to each elevator.

Lighting Files

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.

Utility Consumption Records
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.

**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

  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 years old. (GRS 12, item 2c)

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 2c(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 2c(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  Telecommunications Operational Files

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 reports 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

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**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 after 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

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)
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>649-2</td>
<td>Receipts, indices, listings, and accountable records.</td>
<td>Destroy after all listed credentials are accounted for. (GRS 11, item 4a)</td>
</tr>
<tr>
<td>650</td>
<td><strong>Visitor Control Files</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.</td>
<td></td>
</tr>
<tr>
<td>650-1</td>
<td>For areas under maximum security.</td>
<td>Destroy 5 years after final entry or 5 years after date of document, as appropriate. (GRS 18, item 18a)</td>
</tr>
<tr>
<td>650-2</td>
<td>For other areas.</td>
<td>Destroy 2 years after final entry or 2 years after date of document, as appropriate. (GRS 18, item 16b)</td>
</tr>
<tr>
<td>651</td>
<td><strong>Property Pass Files</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Property pass files, authorizing removal of property or materials.</td>
<td>Destroy 3 months after expiration or revocation. (GRS 18, item 13)</td>
</tr>
<tr>
<td>652</td>
<td><strong>Police Functions Files</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Files relating to exercising of police functions.</td>
<td></td>
</tr>
<tr>
<td>652-1</td>
<td>Log records of arrest, cars ticketed, and outside police contacts.</td>
<td>Destroy 3 years after final entry.                                               (GRS 18, item 15a)</td>
</tr>
<tr>
<td>652-2</td>
<td>Reports, statements of witnesses, warning notices, and other case openers relating to arrest, commitments, and traffic violations.</td>
<td>CQFF annually. Destroy when 2 years old. (GRS 18, item 15b)</td>
</tr>
</tbody>
</table>

*Aop. 6 - 20*
<table>
<thead>
<tr>
<th>Files</th>
<th>Description</th>
<th>Retirement Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>652-3</td>
<td>Reports on contact of outside police with building occupants.</td>
<td>Destroy when 1 year old. (GRS 18, item 15c)</td>
</tr>
<tr>
<td>653</td>
<td>Lost and Found Files</td>
<td>Files relating to accountability for personal property lost or stolen.</td>
</tr>
<tr>
<td>653-1</td>
<td>Ledger files.</td>
<td>Destroy 3 years after final entry. (GRS 18, item 16a)</td>
</tr>
<tr>
<td>653-2</td>
<td>Reports, loss statements, receipts and other papers relating to lost and found articles.</td>
<td>Destroy annually. Destroy when 1 year old. (GRS 18, item 16b)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>GUARD SERVICE</strong></td>
<td></td>
</tr>
<tr>
<td>654</td>
<td>Special Orders</td>
<td>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 obsoleted.</td>
</tr>
<tr>
<td>655</td>
<td>Emergency Action Files</td>
<td>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.</td>
</tr>
</tbody>
</table>

Appendix 6 - 21
Guard Assignment Files

Files relating to guard assignments and strength.

656-1 Log 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)

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, charge records, and receipts.

Destroy 3 months after return of arms. (GRS 18, item 20c)

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)

App. 6 - 22
658-2  Individual guard post logs of occurrences entered in master logs.

659  Facilities Check Files
Files relating to periodic guard force facility checks.

659-1  Data sheets, door sidelong summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices).

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.

660-699  Reserve

Destroy 1 year after final entry. (GAS 18, item 21d)

CODF annually. Destroy when 1 year old. (GAS 18, item 19a)

Destroy when 1 month old. (GAS 18, item 19b)
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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>TRAVEL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>701</td>
<td>General Travel and Transportation Files</td>
<td></td>
</tr>
<tr>
<td>701-1</td>
<td>Correspondence and related records maintained by NARA 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.</td>
<td>COFF annually. Destroy when 5 years old. New</td>
</tr>
<tr>
<td>701-2</td>
<td>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.</td>
<td>COFF annually. Destroy when 2 years old. (GRS 23, item 1)</td>
</tr>
<tr>
<td>702</td>
<td>Passport Controls</td>
<td></td>
</tr>
</tbody>
</table>

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.

702-2  Other documents.

703  Passenger Transportation Files

Memorandum copies of SF 113A, 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.  

703-2  Obligation copy.

703-3  Unused ticket redemption forms, such as SF 1170.

704  Passenger Reimbursement Files

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.

COFF annually. Destroy when 10 years old.

19D15a

Destroy when related passport is returned to the Department of State.

19D15b

COFF annually. Destroy when 3 years old. (GSR 9, Item 3a)

See item 415, Obligation Files, for disposition instructions.

New

Destroy when no longer needed for administrative use. (GSR 9, Item 3c)

COFF annually. Destroy when 3 years old. (GSR 9, Item 4a)
704-2  Obligation copies.  
See item 415, Obligation Files, for disposition instructions.

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. (6RS 9, item 1a)

705-2  All other copies.  COFF annually. Destroy when 1 year old. (6RS 9, item 1b)

705-3  Registers and control records other than those identified in 705-4  COFF annually. Destroy when 3 years old. (6RS 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. (6RS 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. (6RS 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)
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)

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)

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.

<table>
<thead>
<tr>
<th>CATEGORY NUMBER</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>801</td>
<td>ADP/OA GENERAL CORRESPONDENCE</td>
<td>COFF annually. Destroy when 2 years old.</td>
</tr>
</tbody>
</table>

Correspondence and memoranda relating to the routine administration of ADP and/or OA activities.

| 802             | ADP INFORMATION MANAGEMENT SYSTEMS FEASIBILITY STUDIES | |
|-----------------|--------------------------------------------------------| |
|                 | 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. |

App. 800 - 1
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.

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.


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.

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, intitial system designs, specifications.

App. 800 - 2
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(f)(4)) |
| 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. |
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 NARA. COFF annually, hold 5 years, and retire to FRC. Destroy when 10 years old.

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

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

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.

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

ADP EQUIPMENT AND OA INVENTORY FILES

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

808 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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>901</td>
<td>Annual Legislation Program Files</td>
<td>PERMANENT. COFF annually, hold 4 years, and retire to FRC. Offer to NARA in 5-year blocks when 15 years old.</td>
</tr>
<tr>
<td>902</td>
<td>Legislation Case Files</td>
<td></td>
</tr>
<tr>
<td>902-1</td>
<td>Case files relating to legislation proposed by NARA. Files are arranged alphabetically by subject and Congress, hold 4 years, and retire to</td>
<td></td>
</tr>
</tbody>
</table>

Apd. 9 - 1
thereunder numerically by bill number. Annual
acce s less than 1 cu. ft.

902-2
Case files relating to legislation proposed by other
agencies.

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.

Office Legislative Files

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

CONGRESSIONAL COMMUNICATIONS

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 access 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

20C10a

9C1h

New
Congressional Correspondence

906-1
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; e.g., 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.

906-2
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.

906-3
Record copy of incoming and outgoing correspondence and related background materials maintained by the office responsible for preparing and coordinating the response.

907
Congressional Contacts Files

Reports and memoranda documenting conversations with Members of Congress and their staffs.

908-999
Reserved

PERMANENT. COFF annually. Offer to NARA in 6-year blocks when 15 years old.

COFF annually. Destroy when 2 years old.

File with related functional file.

COFF annually. Destroy when 3 years old.

New
### 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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001</td>
<td>Speech Files</td>
<td></td>
</tr>
</tbody>
</table>

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 108.

1001-2 Other copies. Destroy when no longer needed for reference.

Ap. 10-1
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.


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

1002-2 Other copies.

Other records.

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.
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.

1004-2 All other copies. Destroy when no longer needed.

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. CGFF annually. Destroy when 1 year old. (GRS 14, item 6.)

1006 Compliment/Complaint Correspondence

Anonymous letters, letters of compliment, 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. CGFF 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. Destroy when 3 months old or when no longer needed, whichever is sooner.

App. 10-3
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.

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. (GR 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.

Appendix 10-4
(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.

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 FOIA Appeals Files

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)
Correspondence and supporting documents (Excluding the file copy of the records under appeal if filed herein).

Official file copy of records under appeal.

FOIA Control Files

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.

Registers or listing.

Other files.

FOIA Reports Files

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.

NARA's annual report.

Destroy 4 years after final determination by agency or 3 years after final adjudication by courts whichever is later. (GRS 14, item 17a)

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)

COFF annually. Destroy 5 years after date of last entry. (GRS 14, item 18a)

Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later. (GRS 14, item 18b)

PERMANENT. COFF annually. Offer to NARA when 15 years old. (GRS 14, item 19a)
Feeder and other reports. **Destroy when 2 years old or sooner if no longer needed for administrative use. (GRS 14, item 19b)**

**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**

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

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.

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).
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.

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.

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.

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.

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 26a)

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 Privacy Act Reports Files

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,

1018-1 NARA's annual report. PERMANENT. COFF annually. Offer to
NARA when 15 years old. (GRS 14, item 23a)

1018-2 Other reports. COFF annually. Destroy when 2 years
old. (GRS 14, item 29b)

1019 Privacy Act General Administrative Files

Records relating to the general agency
implementation of the Privacy Act, including
notices, memoranda, routine correspondence, and
related records.

1020-1099 Reserved
APPENDIX II

LEGAL

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

<table>
<thead>
<tr>
<th>ITEM</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1101</td>
<td>General Legal Files</td>
<td>CDOF annually, hole 3 years, and retire to FRC. Destroy when 6 years old.</td>
</tr>
<tr>
<td>1102</td>
<td>Personnel Action Legal Assistance Files</td>
<td>CDOF annually. Destroy when 5 years old.</td>
</tr>
<tr>
<td>1103</td>
<td>Financial Disclosure Reports</td>
<td></td>
</tr>
</tbody>
</table>
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.

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

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

a. Official record copy.

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.)

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

App. 11 - 2

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

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))

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)

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)

COFF annually, hold 3 years, and retire to FRC. Destroy when 6 years old.
Documentation relating to litigation by or against the
Government resulting from sales, claims, torts,
contracts, foreclosures, actions against NARA
officials (personal judgments), 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.

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 certain to significant events or prominent
individuals. Ann. acc.: less than 1 cu. ft.

Other case files.

Protests to the Comptroller General

Documents relating to bidder and contractor oprotests
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.

Litigation pending.

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

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

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

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.

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1201</td>
<td>Audit Administrative Subject Files</td>
<td>Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>

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.

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.

Aop. 12 - 1
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 WARR 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 SR. 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.

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.

1200-1 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.

1200-2 All other investigative case files.

1209 Indexes to Case Files

Indexes and registers used as references to investigative and audit case files.

1210-1299 Reserved
# 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).

<table>
<thead>
<tr>
<th>ITEM NUMBERS</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AGENCY RECORDS MANAGEMENT</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1301</td>
<td>Records Administration Program Subject Files</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Correspondence and related records documenting policies, procedures, and standards regarding adequacy of documentation, agency program evaluations, audiovisual records, electronic records, files maintenance, records disposition, and vital records. Arranged by subject.</td>
<td></td>
</tr>
<tr>
<td>1301-1</td>
<td>Records maintained by the Agency Services Division and Records Appraisal and Disposition Division.</td>
<td>PERMANENT. COFF annually. Offer to NARA in 5-year blocks when 10 years old.</td>
</tr>
<tr>
<td>1301-2</td>
<td>Other program subject files.</td>
<td>WITHDRAWN</td>
</tr>
<tr>
<td>1301-3</td>
<td>Records maintained by other offices.</td>
<td>Destroy when no longer needed for current operations.</td>
</tr>
</tbody>
</table>

App. 13 - 1
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.

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.

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  
**Agency Records Center Case Files**

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  
**Agency Correspondences Files**

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.

App. 13 - 2
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.)

1305-2 Training materials, including course outlines, handouts, vugraphs, and reference files.

### 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 accr.: 2 cu. ft. Current vol.: 2 cu. ft.

**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. accr.: 3 in. Current vol.: 2 cu. ft.

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

1300-1 Forms used to furnish input data.
COFF monthly. Destroy after verification of input data.

1300-2 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 when volume warrants and microfilm. Offer to NARA after file is verified.

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 to NARA in 5-year blocks when 5 years old.

App. 13 - 4
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Life Cycle</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1309-3</td>
<td>Other copies, including those in custodial units and FRC's.</td>
<td>Destroy when no longer needed for reference.</td>
<td>New item</td>
</tr>
<tr>
<td>1310</td>
<td>Rejected or Canceled Offers of Records</td>
<td>New item</td>
<td></td>
</tr>
<tr>
<td>1310-1</td>
<td>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.</td>
<td>PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.</td>
<td></td>
</tr>
<tr>
<td>1310-2</td>
<td>Files maintained by the Federal Records Centers.</td>
<td>COFF annually. Destroy when 5 years old.</td>
<td></td>
</tr>
<tr>
<td>1311</td>
<td>Federal Register Disposition Documentation Case Files</td>
<td>New item</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Correspondence, memoranda, copies of notice, copies of SF 115, and other records accumulated in publishing notices of records dispositions in the Federal Register.</td>
<td>COFF after commenting period stated in the Federal Register. Destroy when 1 year old.</td>
<td></td>
</tr>
<tr>
<td>1312</td>
<td>Appraisal and Disposition Division Time Reports</td>
<td>COFF annually. Destroy when 2 years old or when no longer needed, whichever is sooner.</td>
<td>withdrawn</td>
</tr>
</tbody>
</table>

App. 13 - 5
ADMINISTRATION OF FEDERAL RECORDS CENTERS

1313 Federal Records Centers Program Subject Files

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.

1314 Agency/FRC Agreement Files

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 FRC Reports and Correspondence

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.)

App. 13 - 6
1315-1  Reports maintained by the Office of Federal Records Centers.  
Destroy when 7 years old, or when no longer needed whichever is sooner.  

1315-2  Reports maintained by records centers.  
Destroy when 3 years old, or when no longer needed, whichever is sooner.  

1315-3  Reports pertaining to precious metals.  
COFF annually. Destroy when 3 years old.  

1316  TASK System  
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.d)  

1316-1  Input forms.  

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

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_e.)  
Destroy 3 years after the date of appraisal or when no longer needed.  

Destroy when Individual Monthly Summary Report has been verified.  

App. 13 - 7
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.

d. Weekly Productivity Reconciliation Validation Edit Report. Destroy after corrections have been made to the transaction file.

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.

   (2) Files maintained by 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. TASK system master file.

   (1) Files maintained at records centers. Destroy when system is modified or no longer in use.

   (2) Files maintained at NCC. Destroy 2 years after close of fiscal year.
1317 Automated Statistical Summary System

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


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.

App. 13 - 9
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.

C. Master files

1. Files maintained at records centers:
   - Employee Master File. Destroy after verification of master file. (See GR 20, Part II, item 11.)

2. Files maintained at MCC. Destroy 13 months after close of fiscal year in which they were created.

1318 FRC Inspection Files

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

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.

App. 13 - 10
## Accessioning in Federal Records Centers

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1320</strong></td>
<td>Records Transmittal and Receipt File (SF 135)</td>
<td><strong>75B55</strong></td>
</tr>
<tr>
<td><strong>1320-1</strong></td>
<td>Standard Forms (SF) 135, 135A, and related records for holdings transferred to the National Archives for permanent retention.</td>
<td>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.</td>
</tr>
<tr>
<td><strong>1320-2</strong></td>
<td>Standard Forms (SF) 135, 135A, and related records for holdings that are not permanent.</td>
<td>Place in inactive file after records have been destroyed, COFF annually. Destroy when 10 years old.</td>
</tr>
<tr>
<td><strong>1321</strong></td>
<td>Accession Register</td>
<td>COFF annually. Destroy when 5 years old provided necessary information has been converted to NARS-5 system.</td>
</tr>
</tbody>
</table>

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.
1322 Accession and Disposal Exception Files

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.

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

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

   Destroy when information is no longer needed.

App. 13 - 12
1324  **FRC Unscheduled and Permanent Records Report**

Report monitoring the status of unscheduled and permanent records in the Federal Records Centers.  

COFF annually. Destroy when 2 years old. New item

1325  **Pending Schedules Implementation Files**

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. New item

1326  **NARS-5 System**

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)).

COFF annually. Destroy when 1 year old or when no longer needed for administrative purposes, whichever is sooner. New item

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.

App. 13 – 13
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.


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.


Destroy when superseded.
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 (NCCs). 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.)


REFERENCE IN FEDERAL RECORDS CENTERS

Optional Form 11 Files

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

App. 13 - 15
SF 135 annotated. Dispose of in accordance with the disposition instructions for the related SF 135. (See item 1320.)

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.)

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.)

Register of Visitors

Forms, logs, and related records recording date of visit and name of visitor.
DISPOSITION AT FEDERAL RECORDS CENTERS

1331 Permanent Records Transfer Files

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.

1332 Notices of Intent to Destroy Records Files

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.)

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.)

1333 Contingent Disposal Notices Files

Returned Notices of Contingent Disposal (NA Form 13000), and related correspondence.

App. 13 - 17
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 1320.9)

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 1320.9)

1334 Records Disposal Authorization Correspondence

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)

PROJECTS IN FEDERAL RECORDS CENTERS

1335 NC/FRC Project Control Files

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.)

CGFF following completion of the project. Destroy when 2 years old.

Appendix 13 - 18
<table>
<thead>
<tr>
<th>File Code</th>
<th>Description</th>
<th>Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>1336-1</td>
<td>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.</td>
<td>COFF after project is completed. Destroy when 3 years old.</td>
</tr>
<tr>
<td>1336-2</td>
<td>Official project files including pre-project negotiation files and working project files, formal agreements and/or copies of purchasing documents.</td>
<td>COFF after project is completed. Destroy when 3 years old.</td>
</tr>
<tr>
<td>1337-1</td>
<td>Micrographics equipment inventories, equipment production rate records, histories of repairs, and related records.</td>
<td>Destroy 1 year after disposal of equipment.</td>
</tr>
<tr>
<td>1337-2</td>
<td>Fiscal year work program files.</td>
<td>COFF annually. Destroy when 3 years old.</td>
</tr>
<tr>
<td>1337-3</td>
<td>Micrographics reference files.</td>
<td>Destroy when superseded or obsolete.</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>ITEM NUMBER</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1401</td>
<td>Statistical Program Report Files</td>
<td>New item</td>
</tr>
<tr>
<td></td>
<td>Statistical summaries of archival programs. Included are Statistical Summary - Archival Programs (NA Form 14037), and related documents.</td>
<td></td>
</tr>
<tr>
<td>1401-1</td>
<td>Individual and unit summary Time and Production Reports created and maintained in the custodial units.</td>
<td>COFF annually. Destroy when 1 year old.</td>
</tr>
<tr>
<td>1401-2</td>
<td>Feeder reports received monthly by the Administrative Staff (NN-B) and the Office of Presidential Libraries (NL). Included are copies of GSA forms 3154 and 3406 and special lists.</td>
<td>COFF annually. Destroy when 10 years old.</td>
</tr>
</tbody>
</table>

App. 14 - 1
1401-4 Statistical data base maintained by NNPA. COFF annually. Destroy when 3 years old.

1402 Narrative Program Report Files

1402-1 Quarterly narrative reports summarizing project work, reference service, training and professional activities, administrative and personnel matters, and other activities.

Reports prepared by Branches and Divisions


b. Copies maintained by custodial units and Presidential libraries.

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).

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).

1402-4 Narrative reports summarizing declassification activities.

COFF annually. Destroy when 3 years old. Withdrawn

App. 14 - 2
1403 Work Plan Files

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

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

   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 Suggested submitted to NN.

1403-3 Copies maintained by custodial units.

APPRAISAL AND ACCESSIONING FILES

1404 Record Group Registration Files

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


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

73C30

App. 14 - 3
Other records.

Records Accession Files

Documents accumulated in accessioning permanent records into NARA.

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.

Working papers and copies in other offices.

Change of Status Files

Documents created to record changes in the volume and custody of accessioned records holdings, as well as descriptive information on records series.

Change of status reports at the record group level which include the Change of Status Record (NA Form 14044, formerly GSA 5710), 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.

b. Copies in custodial units and Presidential libraries.

Destroy when no longer needed for current operations.

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.

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 6748). 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.

Current vol. less than 5 cu. ft. (1940's to present)


b. Other offices.

COFF annually. Destroy when 2 years old.

New item

APP. 14 - 5
NARS A-1 System containing the automated Change of Status - below Record Group Level and other machine-readable descriptions of NARA holdings.

with related documentation.


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.

with related documentation.

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


Agency Background Files

Reference files used for research into functions and recordkeeping practices of Federal agencies or offices whose records are accessioned by NARA. Included are records management surveys, copies of SF 115s, manuals, directives and other issuances relating to the management and filing of agency records, copies of agency directories, and related records. Destroy when superseded or obsolete. 73C35

App. 14 - 6
ACQUISITION AND DISPOSITION OF DONATED MATERIALS

1408

Presidential Acquisition and Facility Files

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).

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.

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.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1409-2</td>
<td>Working papers and copies in other offices.</td>
<td>Destroy when no longer needed.</td>
<td>New item</td>
</tr>
<tr>
<td>1409-3</td>
<td>Acquisition logs or registers.</td>
<td>PERMANENT. Offer to NARA when no longer needed for current operations or when 30 years old, whichever is sooner.</td>
<td>74C1</td>
</tr>
<tr>
<td>1410</td>
<td><strong>Museum Item Case Files</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>PERMANENT. Offer to NARA when no longer needed for current operations or when 30 years old, whichever is sooner.</td>
<td>New item 74C1</td>
</tr>
<tr>
<td>1411</td>
<td><strong>Donated Historical Materials Disposal Case Files</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1411-1</td>
<td>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.</td>
<td>PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old.</td>
<td>74C1</td>
</tr>
<tr>
<td>1411-2</td>
<td>Other copies.</td>
<td>COFF annually. Destroy when no longer needed for current reference and operations.</td>
<td>New item</td>
</tr>
</tbody>
</table>
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-Approval, and Receipt of Records to National Archives (SF 968). 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.

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

RECORDS RESTRICTION FILES

1415-1 Records Restriction Files

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.

1415-2 Records Restriction Files

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.

1415-3 Other records.

NEW ITEM

See attachment—next sheet.

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.

Destroy when no longer needed for reference.

App. 14 - 10
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 accessing 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.

1416-2  Other copies and working papers.

1416-3  Completed Presidential Historical Materials Receipts.

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.

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

App. 14 - 11
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

b. Other offices.

COFF annually. Destroy when 1 year
old.

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.

b. Correspondence and other records.

COFF annually. Destroy when 2 years
old.

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.

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

Destroy 2 years after opening of
requested materials.

1419
Research Room Use Files

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

App. 14 - 12
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.

1419-2 Research room use for which no research card is needed.

1420 Research Room Reference Service Files

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.

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.)

1420-2 Duplicate copies of reference service slips retained in custodial units, for materials sent to a central research room. (white copy)

1420-3 Other records.

Transfer to FAC when 1 yr. old.
COFF annually. Hold 1 year, and return to FAC. Destroy when 2 years old.

New item

1420-1 COFF annually, Hold 1 year, and return to FAC. Destroy when 2 years old.

New item

1420-2 COFF annually. Destroy when 2 years old.

New item

1420-3 COFF annually. Destroy when 2 years old.

Files 203

App. 14 - 13
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 FOIA and Mandatory Review Requests Files

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 App. 14 - 14
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)

b. Other files maintained at the branch level.

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.

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.

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

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.

COFF annually. Destroy when no longer needed for reference.

COFF annually. Destroy when 2 years old.

COFF annually. Destroy when 2 years old.

COFF annually. Destroy when 2 years old.

COFF annually. Destroy when 4 years old.

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

App. 14 - 15
a. Files created prior to April 1, 1985, and maintained by the Office of the National Archives (NN-B). Arranged chronologically.

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

c. Files maintained in other offices.

Reproduction Service Files

Documents created in filing 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.

1423-2 Reproduction requests, requests for authentication, related correspondence, service orders, invoices from contractors, and related records.

App. 14 - 16
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.

1424 Agency Loan Files

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.

1424-2 Documents relating to unrecoverable loans and permanent withdraws.

1424-3 Registers or logs of agency loans; external loan receipts, and related records.

1425 Finding Aid Files

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.

PERMANENT

Transfer to the National Archives in 5 year blocks when 10 years old.

COFF annually following return and inspection of loaned items. Destroy when 1 year old.

COFF annually following return and inspection of loaned items. Destroy when 1 year old.

Retain for current reference. Destroy when superseded or obsolete.

App. 14 - 17
DECLASSIFICATION FILES

1426
Declassification Policy Files


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.

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.

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.

App. 14 - 18
<table>
<thead>
<tr>
<th>FILE 203</th>
</tr>
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<tbody>
<tr>
<td><strong>1427-2</strong></td>
</tr>
<tr>
<td><strong>1428</strong></td>
</tr>
<tr>
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<tr>
<td><strong>1428-2</strong></td>
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<tr>
<td><strong>1428-3</strong></td>
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<tr>
<td><strong>1429</strong></td>
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<td></td>
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</tbody>
</table>
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.

1429-2 Top Secret inventory.

1429-3 Project report.

1429-4 Statistical Report of Items Withdrawn.

1429-5 Special reports.

1430 Declassification Log System

Automated log containing statistics and brief
narrative information on the status of
declassification projects including begin and end
dates, and project statistics.

1431 Declassification Planning Files

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 superseded or cancelled.

File with record copy of final
declassification report. (See 1428-1
for disposition instructions.)

COFF annually. Destroy when no longer
needed for current operations.

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

Destroy when superseded or obsolete.

New item

Destroy when no longer needed for
current reference and operations.
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.

App. 14 - 21
**1435**

**Preservation Project Control and Assignment Files**

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.**

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

1435-3 **Logs and Registers.**

1435-4 **Other records.**

**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

App. 14 - 22
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.

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.

1436-3 Other offices.

COFF after completion of work. Destroy when 2 years old.


PERMANENT. COFF annually, hold for 5 years, and retire to FRC. Offer to NARA in 5-year blocks when 10 years old.

1437 Preservation Research and Testing Files

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.

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 App. 14 - 23

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

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.

1438 Environmental Condition Reports

Documents created to monitor environmental conditions in NARA records holding areas. (See item 689 for Environmental Condition Operating Records.)

1438-1 a. Weekly summary reports maintained by Chemistry Laboratory. COFF annually. Destroy when 15 years old.

b. Other copies. Destroy when 2 years old.

1438-2 Weekly hydrothermograph charts, and other records. COFF annually. Destroy when 2 years old.

1439 Preservation Monthly Report to Archivist

Narrative and statistical report on preservation activities submitted monthly to the Archivist by the Preservation Officer.

1439-1 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 items

New item

App. 14 - 24
Preservation Survey Files

Records concerning periodic preservation surveys completed to monitor the condition of NARA records, including textual records, microfilm holdings, motion pictures, photographs, and magnetic tapes.


Working papers and other copies.

Precious Metals Report

Annual report and background materials on NARA activities regarding precious metals recovery.

Records Storage Files

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.

PERMA NT. OFFER TO NARA when no longer needed for current operations.

Destroy after completion of survey.

Destroy when no longer needed for reference.

New item

Coff annually. Destroy when 3 years old.

New item

NEW ITEM

79A15

App. 14 - 25
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.

1442-3 Automated Microfilm Location Registers.

a. Register of NARA microfilm held as record copy by field archives branches.


(2) Published inventory of any descriptive material (if produced). Arranged by record group. Ann. Accs. less than 1 cu. ft.

(3) Periodic microfiche or paper copies of information.

b. Register of accessioned and NARA created microfilm stored in off-site location.


(2) Periodic microfiche or paper copies of information.

Destroy when superseded or obsolete.

New items

App. 14 - 26
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.

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.

Loan Records.

a. Inter-library loan records.
   Place in inactive file after return of loaned materials. COFF annually. Destroy when 2 years old.

   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.

b. Other records. COFF annually. Destroy when 2 years old.

Submit Request to Transfer, Approval, and Receipt of Records to National Archives of the United States (SF-250) when no longer needed for reference.
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.
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.

**ADMINISTRATIVE COMMITTEE FILES**

Documents relating to the Administrative Committee of the Federal Register, established by the Federal Register Act (44 U.S.C. 1506).

**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.**

PERMANENT. COFF in 5-year blocks.  
77A5(a)

(b) Comments received from the public on proposed rulemaking. Arranged chronologically by year.  
PERMANENT. COFF in 5-year blocks.  
NEW

(c) All other copies.  
COFF annually; destroy when 2 years old. (GRS 16, item 12(b)(1)(o))  
77A5(b)

App. 1500 - 1
1501 All other records created by the Committee. Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (GSA 16, item 12(b)(2))

1502 LEGISLATIVE REFERENCE FILES

Papers relating to legislation affecting publications of the Office of the Federal Register. Included are copies of interpretive documents and related records.

1503 STAFF SURVEYS AND STUDIES

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. Amn. Acc.: less than 1 cu. ft. Current vol.: 1 cu. ft.

1503-2 Working or background papers.

1504 AGENCY CORRESPONDENCE FILES

1504-1 Correspondence from Federal agencies regarding the printing and publishing of regulations by the Office of the Federal Register.

1504-2 Correspondence designating Federal Register Liaisons.

Aop. 1500 - 2
Documents accumulated from the Executive and Legislative Branches of the government which are required by law or authorized to be published.


(a) Rules. Each document in this classification will have "Rule" stamped on the first page.

(b) Proposed rules. Each document in this classification will have "Proposed Rule" stamped on the top of each page.

(c) Notices. Each document in this classification will have "Notice" stamped on the top of each page.

PERMANENT. Offer to NARA when administrative need ceases. (NARA will accession these documents under RG 11, General Records of the United States Government.)

Destroy when 15 years old.

COFF every 6 months, hold 6 months, and retire to FRC. Destroy when 5 years old.

COFF monthly. Destroy when 1 year old.
1506 RECORD SET OF FEDERAL REGISTER PUBLICATIONS


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. PERMANENT. COFF annually, Offer to NARA when 1 year old.

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, held 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)

App. 1500 - 4
NOTICE OF RATIFICATIONS OF CONSTITUTIONAL AMENDMENTS FROM STATES

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.

STATE AGREEMENT FILES

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. x less than 1 in. Current vol. 2 in. (1971-1975).

CERTIFICATE OF ASCERTAINMENT OF ELECTORS

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.

Reserved.

Ap. 1500 - 5
APPENDIX 16

PUBLIC PROGRAMS AND EXHIBITS

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

<table>
<thead>
<tr>
<th>ITEM</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1601</td>
<td>Conference Support Files</td>
<td>COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.</td>
</tr>
</tbody>
</table>

Conference Support Files

Documents pertaining to administrative support activities for conferences. Included are lists of guests and speakers, plans for hospitality and logistics, and related records.

| 1602 | Interpreters Programs Files | COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old. |

Interpreters Programs Files

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.

<p>| 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. |
| 1602-2 | Files created in preparing for film series, theater performances, lectures, demonstrations, and similar events. | COFF annually. Destroy when 3 years old. |</p>
<table>
<thead>
<tr>
<th>File No.</th>
<th>Description</th>
<th>Archival Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1603</td>
<td>Study Tour Files</td>
<td>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.</td>
</tr>
<tr>
<td>1604</td>
<td>International Visitors File</td>
<td>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.</td>
</tr>
<tr>
<td>1605</td>
<td>Volunteer and Tour Program Files</td>
<td>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.</td>
</tr>
<tr>
<td>1605-1</td>
<td>Development papers, brochures, and plans for program promotion and membership activities. Arranged by subject.</td>
<td>PERMANENT. COFF every 5 years, hold 2 years, and retire to FRC. Offer to NARA in 10-year blocks when 10 years old.</td>
</tr>
<tr>
<td>1605-2</td>
<td>Correspondence, memoranda, and other records relating to the administration of these programs.</td>
<td>COFF annually. Destroy when 3 years old.</td>
</tr>
</tbody>
</table>
WORKSHOP, TRAINING, AND EDUCATIONAL ACTIVITIES

<table>
<thead>
<tr>
<th>1606</th>
<th>Education Workshop Training Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1606-1</td>
<td>Correspondence, memoranda, notices, mailing lists, and other records relating to archival and genealogical workshops.</td>
</tr>
<tr>
<td>1606-2</td>
<td>Training materials including workshop outlines, handouts, and audiovisual materials.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1607</th>
<th>Teacher Workshop Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1607-1</td>
<td>Correspondence, memoranda, notices, mailing lists, and other records relating to workshops for teachers.</td>
</tr>
<tr>
<td>1607-2</td>
<td>Training materials including workshop outlines, handouts, and audiovisual materials.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1608</th>
<th>School Program Training Materials Files</th>
</tr>
</thead>
<tbody>
<tr>
<td>1608-1</td>
<td>Correspondence, memoranda, notices, mailing lists, and other records relating to school programs.</td>
</tr>
<tr>
<td>1608-2</td>
<td>Training materials including workshop outlines, handouts, and audiovisual materials.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1609</th>
<th>Modern Archives Institute Files</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Documents accumulated to present archival theory, archival principles, and techniques of archives administration for persons holding or preparing for</td>
</tr>
</tbody>
</table>

App. 16-3

<table>
<thead>
<tr>
<th>72A15</th>
<th>New</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>New</td>
</tr>
<tr>
<td></td>
<td>New</td>
</tr>
<tr>
<td></td>
<td>New</td>
</tr>
</tbody>
</table>
positions of responsibility in the fields of archives, manuscripts, records management, and the management of special collections.


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.

1611 Graphic Record Files

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

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. Records of a representational nature covered elsewhere in this schedule. Destroy when 10 years old or sooner if no longer needed for reference.

New 72A1

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.

National Archives Facsimiles

Documents accumulated as security copies of original documents exhibited or loaned. Included are black and white or color negatives, prints, transparencies, and photographs.

1612 Facsimiles accumulated by Exhibits Branch (HEEX).

Offer to the custodial unit when no longer needed.

1612-1 Facsimiles accumulated by custodial units.

Destroy when superseded or obsolete.

1613 Exhibit Loan File

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.

Place in inactive files after termination of loan. COFF inactive files every 5 years. Destroy when superseded or obsolete.
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.

1614-1  
Documents used to oost 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.

1615  
**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.

App. 16 - 6
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.

NATIONAL AUDIOVISUAL CENTER

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.

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

Record copy of each agreement, amendment to agreements, and related background papers maintained by the Finance Staff (NEA).

Other records.

Monthly Progress Report File

Documents accumulated to record status of audiovisual projects. Included are background data, monthly progress reports, and related records.
1620 Manual Title Number File

Documents created to control issuance of title numbers for audiovisual manuals. Included are title number lists, data base output files, and related records.

1621 Film Master Index

Documents created in indexing federally-produced films, film strips, or slides. Included are background information sheets, data base inventory files, and related records.

1622 Film Topical Index

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.

1623 Inventory Control File

Documents created in verifying audiovisual holdings of NEA. Included are the output of the Product Master File and related records.

1624 Audiovisual Promotional and Advertising File

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.

Ann. 16 - 8
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.

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))

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.

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

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.

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.

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.

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

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. 

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

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.

1626-2 Record copy of transactions of $10,000 or less.

(App. 16 - 11)
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.

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))

1628-2 Record copy of transactions of $10,000 or less. COFF annually. Destroy when 3 years old. (GRS 3, item 4a(2))

Cash Sales Files

Documents accumulated to record pre paid 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))

App. 16 - 12
1630  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))

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)

1631-1699  Messenger Service File

Reserved
## 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.

<table>
<thead>
<tr>
<th>CATEGORY NUMBER</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1701</td>
<td>COMMISSION MEMBERSHIP FILES</td>
<td>PERMANENT. COFF in 5-year blocks.</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>Offer to NARA in 10-year blocks when 10 years old.</td>
</tr>
<tr>
<td>1702</td>
<td>COMMISSION MEETING FILES</td>
<td>PERMANENT. Offer to NARA when no longer needed for current operations.</td>
</tr>
<tr>
<td>1702-1</td>
<td>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)</td>
<td>78A5</td>
</tr>
<tr>
<td>1702-2</td>
<td>Circular letters, containing routine information (i.e., copies of agenda, minutes, etc.), sent from the Executive Director to Commission members.</td>
<td>COFF annually. Destroy when 3 years old.</td>
</tr>
</tbody>
</table>

Apo. 1700 - 1
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.


1703-2 Background materials. COFF annually. Destroy when 3 years old. New

1704 Program correspondence and subject files

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(b)) 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))

App. 1700 - 2


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.

1705-1


1705-2

Other materials.

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.

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 App. 1700 - 3

78A30(a)

78A30(b)

NEW
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.

b. Applications relating to the Publications Program. Upon approval, transfer documents to 1711, Publications Program Grant Files.

1709-2

Unsuccessful (rejected or withdrawn) applications. CDOF annually. Destroy when 5 years old.

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.

b. Applications relating to the Publications Program. Upon approval, transfer documents to 1711, Publications Program Grant Files.

Apo. 1700 - 4
1709-2
Unsuccessful (rejected or withdrawn) applications. COFF annually. Destroy when 5 years old.

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.)

Unique grant case files selected annually by the Records Program Director because they meet one or more of the following criteria:

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

PERMANENT, COFF annually following completion of project. Transfer to FAC 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.)
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.

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.


PERMANENT. Offer to NARA when no longer needed for reference or when 30 years old, whichever is sooner.
Current vols: 105 cu. ft. (includes 6,000 reels of microfilm)

1712-2


b. Reference copy of final product.

1713

FINDING AID FILES


1714

INSTITUTE FOR DOCUMENTARY EDITING

Documents created in preparing, organizing, and administering training sessions in the field of documentary editing.

a. Schedules, class lists, correspondence, and related records. COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.

b. Handouts, reference files, and similar documents. Destroy when superseded or obsolete.

App. 1700 - 7
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  
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.

App. 1700 - 8
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  RESERVED.
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.

<table>
<thead>
<tr>
<th>ITEM NUMBER</th>
<th>DESCRIPTION OF RECORDS</th>
<th>AUTHORIZED DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1801</td>
<td>BYLAWS, RULES, AND REGULATIONS FILE</td>
<td></td>
</tr>
<tr>
<td>1801-1</td>
<td>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.</td>
<td>PERMANENT. COFF when superseded or no longer needed, hold 5 years, and offer to NARA. 71A10</td>
</tr>
<tr>
<td>1802</td>
<td>TRUST FUND BOARD FILES</td>
<td></td>
</tr>
<tr>
<td>1802-1</td>
<td>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.</td>
<td>PERMANENT. COFF annually. Offer to NARA in 10-year blocks when 10 years old. 71A1/71A5</td>
</tr>
<tr>
<td>1802-2</td>
<td>Other copies.</td>
<td>Destroy when no longer needed for reference. New item</td>
</tr>
</tbody>
</table>

App. 1800 - 1
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.

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.

Background materials and other copies.

FINANCIAL RECORDS

GIFT FUND FILE

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.

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.

Nov. 1803 – 2
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.

1805-2 Records used to record the refund of monies to Trust Fund customers, and related records.

1805-3 Detail records including cash receipts journal, transaction registers, and related records.

1805-4 Records used to record accounts receivable, purchase orders, and related records.

1805-5 Records used to record deposit accounts, museum store reconciliations, small receipts, and related records.

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.

App. 1800 - 3
1806-1 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

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

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.

Destroy when 3 years old. (GRS 5, item 1 (b)).