

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

LEAVE BLANK

JOB NO

NI-64-90-1

DATE RECEIVED

3-12-90

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

1 FROM (Agency or establishment)

NOTIFICATION TO AGENCY

National Archives and Records Administration

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

2 MAJOR SUBDIVISION

Office of Management and Administration

3 MINOR SUBDIVISION

Policy and Program Analysis Division

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT

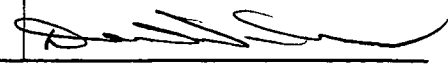
DATE

ARCHIVIST OF THE UNITED STATES

Laurence Patlen

523-3214

5/20/91



6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 13 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

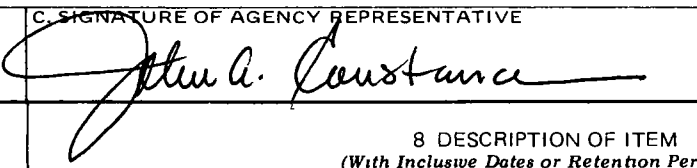
A GAO concurrence  is attached, or  is unnecessary

B DATE

C SIGNATURE OF AGENCY REPRESENTATIVE

D TITLE

3/9/90



NARA Records Officer

7 ITEM NO

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

9 GRS OR SUPERSEDED JOB CITATION

10 ACTION TAKEN (NARS USE ONLY)

Revisions and Amendments to NARA's

Comprehensive Records Disposition Schedule

The proposed modifications to the schedule are explained in an attachment following the revised schedule items.

NI-64-87-1:

Item No's attached.

*Copies sent to agency, NN-W, NNT, NCF, NIA 5/31/91*

## REVISIONS AND AMENDMENTS TO NARA RECORDS SCHEDULE - FY 1990

**See attachment for explanation of changes.**

ITEM No.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
101	<p><u>Organizational Files</u></p> <p>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 the Regional Archives. <del>-- Annual acc: less than 1 cu. ft. Current vol.: 2 cu. ft.</del></p>	
101-1	Records maintained by NAA.	PERMANENT. Transfer to NARA in 5-year blocks when 10 years old.
✓ 101-2	Records maintained by other offices	Destroy when superseded or obsolete.
125	<p><u>NARA Histories</u></p> <p>NARA histories and selected background materials. Narrative agency histories including oral history projects prepared by agency personnel or by private historians under contract to NARA.</p>	
125-1	<p>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.</p>	PERMANENT. Transfer to NARA immediately following the completion of each group of interviews. (NARA will accession these records under RG 200, National Archives Gift Collection)

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FILES 203

130 Posters

Posters created by NARA for distribution governmentwide or to the public

PERMANENT. Transfer 2 copies to NARA upon publication.

204 Schedules of Daily Activities

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

204-1 Records containing substantive information relating to the official activities of the Archivist, Deputy Archivist, Office Heads, Staff Directors, and 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.

~~PERMANENT.~~ COFF annually *DESTROY WHEN*  
~~Transfer to NARA in 5 year blocks~~ *15 YEARS OLD*  
~~when 15 years old; if offer is not~~ *OR WHEN*  
~~accepted, destroy the records~~ *NO LONGER*  
~~immediately.~~ *NEEDED FOR*  
*REFERENCE, WHICHEVER*  
*IS SOONER.*

217 A-76 Studies

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

217-4 Records maintained by other offices, including information copies and background material.

COFF on completion of study. Destroy when 2 years old.

219 Risk Assessment Files

Correspondence, memoranda, reports, studies, and other records relating to assessing the susceptibility of NARA and its programs to loss or unauthorized use of resources, errors in reports and information, illegal or unethical acts, and/or adverse or unfavorable public opinion

COFF after assessment report  
 Destroy 5 years after COFF or upon completion of subsequent assessment report, whichever is earlier.

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FILES 203

~~225~~ Routine Federal Register Notices

Federal Register notices of a routine nature (e.g., closing of search rooms), not filed elsewhere in this schedule

COFF annually. Destroy when 1 year old

GRS  
16/13a

261 Top Secret Inventory Requirements Files

Records relating to the annual inventory of accessioned Top Secret documents which have been processed and described for researcher access or reviewed for declassification.

261-1 Annual inventory reports originated by custodial units and sent to NND.

COFF annually. Destroy when 10 years old.

261-2 Waiver of inventory report files

a. Applications and responses maintained by NND.

Destroy when superseded

b. Applications and responses maintained by custodial units.

Destroy when superseded.

## 261-3 Top Secret inventory lists and registers

a. Lists of Top Secret documents disclosed to researchers.

COFF annually. Destroy when 2 years old.

b. Lists of withdrawn Top Secret documents (paper copy used in NNDA and NNDG for accounting purposes) or registers to Top Secret materials at Presidential Libraries.

Destroy when superseded.

c. Register of NATO Top Secret/COSMIC NATO documents.

Destroy when superseded.

262 Information Security Policy File

Records reflecting the formulation and establishment of policy, planning, and procedural developments governing information security matters.

Destroy when superseded, obsolete or no longer needed for reference

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263 Information Security Inspection and Survey Files

Documents relating to inspections and surveys of safeguards employed for the protection of classified information. Included are copies of surveys and inspections conducted by the NARA Information Security Manager and by assistant information security managers.

263-1 Documents maintained by the NARA Information Security Manager.

COFF annually upon completion of the inspection or survey. ~~Destroy when 10 years old~~ DESTROY OLDEST REPORT WHEN 3 SUBSEQUENT INSPECTIONS OR SURVEYS HAVE BEEN COMPLETED.

263-3 Documents maintained by the assistant information security managers.

COFF annually upon completion of the inspection or survey. Destroy when 2 years old.

263-2 VAULT CERTIFICATIONS

DESTROY WHEN VAULT IS TERMINATED OR RECERTIFIED

517 Procurement Reports Files

Correspondence and reports relating to the oversight and review of NARA procurement programs and systems, such as reviews required by E.O. 12352

COFF annually. Destroy when 7 years old

705 Freight Files

Records relating to freight consisting of Government or commercial bills of lading, shortage and demurrage reports, transit certificates, demurrage care record books, shipping documents pertinent to freight classification, and all supporting documents.

~~705-1 Issuing office memorandum copies other than those identified in 705-4.~~

~~Destroy 3 years after the period of the account. (GRS 9, item 1b)~~

705-2 All other copies, including copies pertaining to goods received.

COFF annually. Destroy when 2 years old.

~~705-3 Registers and control records other than those identified in 705-4.~~

~~COFF annually. Destroy when 3 years old. (GRS 9, item 1c)~~

705-4 Records covering payments involving non-routine conditions such as overcharge, overpayment, deduction or collection action, supplemental bill associated, involvement in litigation, detection of an undercharge, or other condition requiring the voucher to be retained beyond the 3-year disposal period.

Destroy <sup>when old</sup> 10 years after the settlement of the account.

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FILES 203

905 Testimony

Chronological file of testimonies before congressional committees relating to oversight activities, investigations, and confirmation hearings. Included are testimonies, transcripts, and papers on the selection of witnesses to testify before congressional committees (Excluded are testimonies relating to specific legislation which are filed under item 902-1.) These files are maintained by the office responsible for monitoring NARA's congressional activities. Files are arranged by date of testimony

PERMANENT COFF at the end of each Congress (every 2 years), hold 4 years, and ~~retain EDC~~. Transfer to NARA in 4-year blocks when 4 years old

*deleted per accompanying memo  
mw  
10/29/90*

1210 Semiannual Report to the Congress Files

Reports prepared by the Inspector General (NG) and submitted to the Congress, and working papers. The reports summarize NG activities for the six-month periods ending March 31 and September 30.

1210-1 Record copy  
-- Annual. accum: <1 cu. ft.

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

1210-2 Other copies

*when 5 years old or*  
Destroy when no longer needed, whichever is sooner

1210-3 Working papers

*when 5 years old or*  
Destroy when no longer needed, whichever is sooner

1306 Case Files on Archival Records in Agency Custody

Records maintained 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.

~~RESERVED FOR  
1306-1 Records maintained by the Agency Services Division.  
-- Annual accum.: <1 cu. ft. Current vol.: 2 cu. ft.~~

~~PERMANENT. Transfer to NARA custodial unit when first portion of the record series is accessioned by the Office of the National Archives.~~

**ITEM  
WITHDRAWN**

1306-2 Records maintained by custodial units

Merge with 1405-1, Records Accession Files, when first portion of the record series is accessioned.

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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.

a. Paper copy.

PERMANENT. COFF when 2 years old. Transfer to FRC after microfilming. Transfer to NARA 20 years old

WITHDRAWN

b. Microfilm.

Destroy when no longer needed for reference.

1334 Records Disposal Authorization Correspondence

1334-1 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 1320.)

1334-2 Correspondence regarding disposal of courtesy-stored records of Members of Congress

COFF at end of congressional term when member departs Congress. Destroy 10 years later

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1401 Statistical Program Report Files

Statistical summaries of archival programs. Included are Statistical Summary - Archival Programs (NA Form 14037), Presidential Libraries Statistical Summaries (GSA Form 6803), and related documents

1401-1 Individual and unit summary Time and Production Reports created and maintained in the custodial units

COFF annually. Destroy when <sup>1 year</sup> ~~5 years~~ old. *THESE RECORDS MAY BE RETAINED FOR UP TO THREE YEARS AT THE DISCRETION OF THE ORIGINAL UNIT.*

~~1401-2 Feeder reports received monthly by the Administrative Staff (NN-B) and quarterly from Office of Presidential Libraries (NL). Included are copies of NA Forms 14037 and 14038, GSA Form 6803, and special lists~~

~~COFF annually Destroy when 10 years old. (NI-64-87-1)~~

~~1401-3 Consolidated FY Report maintained by NL and NN-B. Arranged by year~~

~~PERMANENT COFF annually. Transfer to NARA in 10-year blocks when 10 years old. (NI-64-87-1)~~

~~1401-4 Statistical data base maintained by NN-C~~

~~COFF annually Destroy when 3 years old (NI-64-87-1)~~

1405 Records Accession Files

Documents accumulated in accessioning permanent records into NARA, including documents relating to permanent withdrawals, unrecoverable loans and missing documents.

1405-1 Accession dossiers 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 (NA Form 14044, formerly GSA 6710) on the accession. (See 1309-3 for records relating to internal disposals.) Arranged by record group.

*STET* *CUT OFF WHEN* *PREVIOUS*  
*PERMANENT. Transfer to NARA LANGUAGE/*  
*when 10 years old or when no longer RETENTION*  
*needed for current operations, PERIOD*  
*whichever is sooner. CUT OFF WHEN RESTORED*  
*10 YEARS OLD. TRANSFER TO NARA PER*  
*IN FIVE YEAR BLOCKS WHEN 30 YEARS NN-W*  
*OLD. request.*  
*ulfo*  
*4/23*

1405-2 Accession dossiers relating to the destruction, loss or removal of records

*STET* *CUT OFF*  
PERMANENT. Transfer to NARA when 10 years old or when no longer needed for current operations, whichever is sooner. *TRANSFER TO NARA IN FIVE YEAR BLOCKS WHEN 30 YEARS OLD.*

1405-3 Working papers and copies in other offices.

Destroy when no longer needed for reference. (NI-64-87-1)



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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 122, NARA Publications.) Arranged numerically by record group number

PERMANENT. COFF ~~on completion of project. Offer to NARA when 10 years old or when no longer needed for current operations, whichever is sooner.~~ ~~when 10 years old.~~  
 TRANSFER TO NARA IN FIVE YEAR BLOCKS WHEN 15 YEARS OLD.

1414 Project Control and Assignment Files

Documents created within a custodial unit for administrative control of archival and museum project assignments and work. Included are work assignment registers, project control sheets, and related forms and records.

COFF following completion of project  
 Destroy when 5 years old

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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, electronic database of applications information, letters of introduction, access requests, official documents authorizing or denying individual access to restricted material, researcher-signed research room regulations, related forms such as the Researcher Application (NA Form 14003) and Research Application - Presidential Libraries (NA Form 14003A) and other related records

## 1418-1 Researcher application forms.

## a. Issuing office.

COFF annually. Transfer to FRC when 3 years old. Destroy when 25 years old.

## 1418-5 Electronic database of researcher applications used as a finding aid and to prepare statistical reports and mailing lists.

COFF when 2 years old. Maintain on backup disk and delete 1 year later.

1419 Research Room Use Files

Documents created in recording researcher use of central, custodial unit, and library research rooms. Included are research room registers such as Register of Researchers (NA Form 14004), Control Reference Staff (NA Form 14004A), Register of Microfilm Researchers (NA Form 14004B), Presidential Libraries Research Room Register (NA Form 14013), and related records.

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

COFF annually. Destroy when 5 years old.

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FILES 203

1424 Agency Loan Files

1424-2 Documents relating to unrecoverable loans and permanent withdrawals

See item 1405 for disposition instructions. FILE UNDER 1405-2

1428 Declassification Project Files

Declassification review case files created in conducting FOIA, mandatory, special and systematic reviews of security-classified materials in Federal and non-Federal repositories, Presidential Libraries, and NARA custodial units

1428-2 Researcher and agency requests for FOIA, mandatory reviews, repository and custodial unit requests for systematic reviews; agency coordination correspondence; Declassification Review Worksheets (GSA Form 7130) showing items withdrawn, worksheets showing agency review determinations, copies of Classified Accountability Records (GSA Form 1237); Loan Receipts for the National Archives (NA Form 14014); other loan records; recommendations for bulk declassification; and related records.

COFF annually on completion of project. Destroy when no longer needed for current operations

1444 Database Files

Machine-readable records stored in local database containing bibliographic and non-bibliographic information.

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

1445 Reference Correspondence

Correspondence received and replies furnished.

COFF annually. Destroy when 1 year old.

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1602 Interpretive Programs Files

Documents accumulated in preparing interpretive programs at the National Archives Building, Federal Records Centers, Regional Archives, and Presidential Libraries and Museums. Included are plans for program arrangements, program outlines, logistic support plans, attendance and speaker lists, copies of presentations, and related records

## 1602-1 Files created in preparing for ceremonies such as the Fourth of July, Constitution Day, and other special events

- a. Programs, schedules of events and related records maintained for historical documentation.  
-- Annual accum.: less than 1 cu ft Current vol : 3 cu. ft.
- b. Logistical support and planning records of a facilitative nature

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

COFF annually Destroy when 7 years old. (NI-64-87-1)

1613 Exhibit Loan File

Documents accumulated in the administration of loans for exhibition by Federal agencies, museums, historical societies, and educational institutions

- 1613-1 Documents relating to the preparation and administration of loans (whether approved or denied) including correspondence, lists of borrowers and items loaned, loan agreements, insurance policies, condition reports, news clippings, and related records Arranged by assigned number.  
-- Annual accum.: less than 1 cu. ft. Current vol.: 3 cu ft

PERMANENT. <sup>OR DISAPPROVAL</sup> COFF after termination of loan. Transfer to NARA in 5 year blocks when 10 years old.

## 1613-2 Documents relating to withdrawn loan requests.

COFF annually. Destroy when 10 years old.

## 1613-3 Records of an administrative nature, such as copies of agreements and records covered elsewhere in this schedule.

Destroy when 10 years old or sooner, if no longer needed.

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FILES 203

1614 Museum Shop Records

1614-3 Inventory records

COFF annually. Destroy when 3 years old.

1714 Institute for Documentary Editing

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

1714-3 Records selected for historical and technical significance in documenting the status and progress of documentary editing.

-- Annual accum.: 2 inches Current vol.: 3 cu ft

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

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

1806-3 Copies maintained by other offices

COFF annually. Destroy when 2 years old.