

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>N1-064-96-2</i>	DATE RECEIVED <i>5-9-96</i>
1 FROM (Agency or establishment) National Archives and Records Administration		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION -			
3 MINOR SUBDIVISION -		DATE <i>4-30-97</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
4 NAME OF PERSON WITH WHOM TO CONFER Laurence C. Patlen	5 TELEPHONE 301-713-6730		

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 14 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE <i>5/1/96</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Mary Ann Hadyka</i>	TITLE NARA Records Officer
-----------------------	--	-------------------------------

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Amendments to the NARA comprehensive records disposition schedule (FILES 203, apps.) APPENDIX 1		
1.	102-1 [NARA Regulation Case Files] Official case file maintained by PIRM. Arranged by regulation. PERMANENT. Cut off when final rule is published or rulemaking is ended. Transfer to NARA in 10-year blocks when 20 years old.	N1-64-87-1: 102-1	
2.	103-4 [External Directives Case Files] Official case files of NARA Field Bulletins. <i>when superseded.</i> Cut off annually . Destroy when 4 years old. N1-64-87-1		

GRS or Superseded
Job CitationItem No. Description of Item and Proposed Disposition3. 104 Internal Directives Case Files

Records 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.

3a. ✓ 104-1 Official case files maintained by PIRM. Arranged by directive number.

N1-64-87-1:
104-1

PERMANENT. Cut off when directive is signed. Transfer to NARA in 10-year blocks when 25 years old.

✓ 3b. 104-3 Case files on directives that were developed but not issued.

Destroy when no longer needed for reference.

NOTE: Items 105 and 106 of FILES 203 are being completely revised:

-- *Records under file no. 105 have been renumbered to 106-3.*

-- *105 is being reused for a new series, broken out from old 106.*

-- *106 now covers NARA-numbered memos and related finding aids.*

4. 105 Numbered Memos at the Office, Staff and Field Unit Level

Numbered memos signed by Office Head, Staff Directors, or Field Unit Directors and addressed to staff within their respective units. These numbered memos convey administrative and program information or request information. See file no. 106 for NARA-numbered memos.

4a. 105-1 Originating office copy and background materials.

N1-64-87-1:
106-1

Cut off annually. Destroy when 1 year old or when no longer needed.

GRS or Superseded
Job Citation

<u>Item No.</u>	<u>Description of Item and Proposed Disposition</u>	<u>GRS or Superseded Job Citation</u>
4b. 105-2	Other copies (including original on letterhead). Destroy when no longer needed for reference.	N1-64-87-1: 106-2
5. 106	<u>NARA-numbered Memo Files</u> Memos addressed to two or more NARA units, or to all employees or a select group of employees that convey administrative and program information or request information. NARA-numbered memos are prepared by Central Office program and staff offices and are signed by either N, ADM or PIRM.	
5a. 106-1	ACTION memos. NARA-numbered memos requiring a response by a specific date.	
5a(1)	a. Originating office copy. File in appropriate official file.	
5a(2)	b. Other copies. Cut off annually. Destroy or delete when 1 year old or when no longer needed.	N1-64-87-1: 106-2
5b. 106-2	NOTICE memos. NARA-numbered memos providing information of a transitory nature, such as events or reminders about previously established policy and procedure.	
5b(1)	a. Originating office copy. File in appropriate official file.	
5b(2)	b. Other copies. Cut off annually. Destroy or delete when 1 year old or when no longer needed.	N1-64-87-1: 106-2
5c. 106-3	INTERIM GUIDANCE memos. NARA-numbered memos prepared by central office program and staff offices, containing policy or procedure information that will be incorporated into an internal directive.	

GRS or Superseded
Job Citation

<u>Item No.</u>	<u>Description of Item and Proposed Disposition</u>
5c(1)	<p>a. PIRM copy.</p> <p>Place into official directives case file. See file no. 104-1 for disposition of case file.</p>
5c(2)	<p>b. Originating office copy and related background materials.</p> <p>Cut off after issuance. Forward to PIRM for inclusion in directives case files, file no. 104-1.</p>
5c(3)	<p>c. Other copies.</p> <p>Destroy when no longer needed for reference.</p>
5d. 106-4	<p>Originals of numbered notices and register of numbered memos maintained by PIRM.</p> <p>Cut off annually. Destroy when 15 years old.</p>
6. 112-2	<p>[Program Review Files] Program reviews to brief other NARA senior officials.</p> <p>Cut off annually. Destroy when 3 years old or when no longer needed for reference, whichever is sooner.</p>
7. 114-3	<p>[Committee Management Officer Files] Records relating to committee management oversight. Includes correspondence, databases, and related records.</p> <p>Cut off annually. Destroy when 3 years old or when no longer needed, whichever is sooner.</p>

See revised

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation
7 b. 114-3	[Committee Management Officer Files] Committee Management Oversight Records. Includes correspondence, databases, and related records.	
	Destroy when superseded, obsolete, or no longer needed for reference.	
8. 115	<u>Committee, Task Force, Board, and Working Group Files</u>	
8a. 115-1	NARA-sponsored committees on substantive policy/programmatic issues: Records created by NARA-sponsored committees, task forces, boards, and working groups dealing with substantive policy/programmatic issues such as: developing or revising NARA programs; implementing new legislation, regulations, policies or programs; reviewing NARA programs and projects; and coordinating research internally and externally with or for other agencies, institutions, and international archival programs. Includes committees where NARA is the designated sponsor or coordinating agency with official governing, policy, or recordkeeping responsibilities.	
	NOTE: Official files are those of the Secretary, or in instances where the Chair serves the dual function of recording secretary or designated recordkeeper, the Chair. The files of other members are considered duplicates of official records (see 115-1c).	
	a. Official committee records. Agenda, minutes, charter, studies, reports and related records of the Secretary or designated recordkeeper.	
	PERMANENT. Cut off annually. Transfer to NARA after termination of committee.	N1-64-87-1:115-1a
8b. 115-2	NARA-sponsored committees on internal administrative/facilitative matters Records created by NARA-sponsored committees, task forces, boards, and working groups overseeing internal administrative matters and facilitative services, such as the Cafeteria Advisory Board or the Safety and Health Committees	

a. Official committee records. Agenda, minutes, charter, studies, reports and related records of the Secretary or designated recordkeeper.

Cut off annually. Destroy when no longer needed.

8c. 115-3 Non-NARA-sponsored committees whose activities have no substantive impact on NARA: Records of NARA staff members of committees whose mandates and activities do not cause NARA to revise its policies/programs. Examples are: committees of professional associations such as the Society of American Archivists (SAA); standards organizations such as the American National Standards Institute (ANSI); and Federal interagency committees such as the Federal Geographic Data Committee (FGDC). EXCLUDES committees where NARA is the designated sponsor or coordinating agency with official governing, policy, or recordkeeping responsibilities (See file no. 115-1).

Cut off annually. Transfer records to new committee member. Destroy when 5 years old or when no longer needed for current agency business.

8d. 115-4 Non-NARA-sponsored committees whose activities have a substantive impact on NARA: Records of NARA staff members of committees whose mandates and activities cause NARA to revise its policies/programs. An example is an interagency declassification committee whose findings result in revised NARA policies or procedures. EXCLUDES committees where NARA is the designated sponsor or coordinating agency with official governing, policy, or recordkeeping responsibilities (See file no. 115-1).

PERMANENT. Follow disposition procedures for file no. 115-1a.

GRS or Superseded
Job Citation

Item No. Description of Item and Proposed Disposition

~~8. 115-3 Non-NARA-sponsored committees whose functions or activities do have a direct bearing on NARA activities, e.g., an interagency task force which produces findings resulting in a revised NARA policy.~~

see revised

~~PERMANENT. Follow disposition procedures for file no. 115-1a.~~

9. 128 Motion Pictures, Sound Recordings, Videotapes, and other Audiovisual Records

Motion picture films, sound recordings, videotapes, and equivalent or related records created or produced by NARA or acquired from outside sources.

For each type of audiovisual record designated as permanent, the specific record components required by 36 CFR 1228.184 are listed below.

Video recordings:

- Videotape: The original or earliest generation of each video recording, and a reference copy. Industrial-quality or professional videotapes shall be used as originals (e.g., BetaCam). Reference copies can be on VHS.
- Videodisc: The pre-master videotape used to manufacture the disc and two copies of the disc.

Sound recordings: The original or earliest generation of each audiotape recording and a dubbing, if one exists. For compact discs, the origination recording (regardless of form) and two compact discs.

Motion pictures:

- 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 video recording.
- Acquired films: Two projection prints or one projection print and a video recording.
- Unedited footage, outtakes and trims, showing unrehearsed historical events or historically significant phenomena: The original negative or color original and matching print or videotape, properly arranged, labeled, and described.

*Adds record elements only. NARA approval not required
NW
3/31/97*

GRS or Superseded
Job CitationItem No. Description of Item and Proposed Disposition

NOTE: See file no. 129 for disposition of finding aids, production files or similar files (related documentation).

- 9a. 128-1 Official record set. The original master sound or video recording, or the original film negative and one print of motion picture film that document NARA's mission, programs and activities. Includes NARA-sponsored productions intended for public distribution, NARA-sponsored training productions that explain agency functions or activities (other than those identified in file no. 128-5), recordings of public meetings or speeches, NARA-sponsored conferences, guest speakers, testimony of agency officials before Congress and at other hearings, interviews with NARA officials and staff, and other productions created to disseminate information regarding NARA operations and programs to the public.
- PERMANENT. Transfer to NARA when 5 years old.
- 9b. 128-2 All other copies.
- Destroy when no longer needed for current agency business.
10. 129-1 [Related Documentation for Audiovisual Records]
Permanent records - related documentation. Covers finding aids and production documentation (if any) for photography, motion pictures, sound recordings, videotapes and other audiovisual records.
- 10a. a. Finding aids. These may include: Existing finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indexes, list of captions, and other documentation that are helpful or necessary for proper identification or retrieval. May be in text, card, microform, or electronic format.
- Transfer to NARA at the same time the related records are transferred.

N1-64-87-1:
127-1, 127-2, 128-1,
128-2, and 128-3

GRS or Superseded
Job Citation

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation
10b.	b. Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production. Transfer to NARA at the same time the related records are transferred. <i>Current 129-1 and 129-2 are renumbered 129-2a and 129-2b respectively.</i>	

APPENDIX 2

10.	201-1 [Files Plan] 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.) Cut off annually. Destroy when 3 years old or when no longer needed for reference or administrative use.	N1-64-87-1: 201-1
12.	208 <u>Designation Files</u> Correspondence 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. Cut off annually, bringing forward documents still in effect. Destroy remaining file when 1 year old.	N1-64-87-1: 208
13.	212 <u>Office Training Files</u>	
13a.	212-1 Individual training files. Documents maintained by individual offices relating to training of employees. See file no. 213 for training program files. Cut off annually. Destroy when 2 years old.	

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation
13b. 212-2	<p>Individual Archivist Career Training (CIDS) files. Documents relating to trainee's completion of training, performance plans and evaluations, and certificates of training EXCEPT those records required for retention in file no. 301, Official Personnel Folder (OPF).</p> <p>Cut off after training is completed or terminated. Destroy when 5 years old.</p> <p><i>Above item was published as file no. 213-3b, but GRS 1, 29a(1) was used incorrectly as disposal authority.</i></p>	
14. 213-4	<p>Routine operational records relating to support of training such as room reservations and class lists.</p> <p>Cut off annually. Destroy when 1 year old.</p>	
15. 214-1	<p>[NARA Fee Schedule Files] Case file maintained by office responsible for coordinating or developing the fee schedule.</p> <p>Destroy when 15 years old or when second update cycle of the fee schedule revision is completed.</p>	N1-64-87-1: 214-1
16. 217-2	<p>[A-76 Studies] Records maintained by OIG as part of independent review process.</p> <p>Cut off upon completion of study, hold 1 year, and retire to FRC. Destroy when 7 years old.</p>	N1-64-87-1: 217-2
17. 222	<u>Management Improvement Study Files</u>	
17a. 222-1	<p>Case files. Contains studies, charts, coordination papers, recommendations, statistical data, and related records. Arranged by study.</p>	
17a(1)	<p>a. Case files on substantive studies.</p> <p>PERMANENT. Cut off annually upon completion of study, hold 5 years, and retire to FRC. Transfer to NARA in 10-year blocks when 20 years old.</p>	N1-64-87-1: 222-1

<u>Item No.</u>	<u>Description of Item and Proposed Disposition</u>	GRS or Superseded <u>Job Citation</u>
17a(2)	<p>b. Case files on studies of routine administrative work or facilitative activities, e.g. work schedules, transportation, contractor services, or building services.</p> <p>Cut off on completion of study. Destroy when 10 years old.</p>	N1-64-87-1: 222-1
18. 226-2	<p>[Unified Agenda and Regulatory Plan] Correspondence with OMB on regulatory plan and determinations of significant regulations. Records are maintained by PIRM.</p> <p>Cut off annually. Destroy when 4 years old or when no longer needed, whichever is sooner.</p>	
19. 229	<u>Reports Control</u>	
19a. 229-2	<p>Interagency and Congressional reports. Files maintained by PIRM for purposes of tracking reporting requirements placed on NARA by other agencies, OMB and Congress. Case files containing correspondence; copies of authorizing directives and regulations, including OMB Circulars; and copies of pertinent forms or descriptions of format, preparation instructions, and documents relating to continuation, revision, and discontinuance of reporting requirements. Includes working papers and copies of reports.</p> <p>Review annually. Destroy when superseded or when report is discontinued.</p>	N1-64-87-1: 229-2a, -2b.
19b. 229-4	<p>Routine reports management administrative files, such as notices reminding offices that reports are due.</p> <p>Cut off annually. Destroy when 1 year old.</p>	N1-64-87-1: 229-2b

GRS or Superseded
Job Citation

<u>Item No.</u>	<u>Description of Item and Proposed Disposition</u>	<u>GRS or Superseded</u> <u>Job Citation</u>
19 231-2 21	[Forms Management Administration Files] Forms liaison records. Correspondence and listings relating to appointment of forms liaison officers in NARA units. Destroy when superseded or no longer needed.	
20 250	<u>Mail Service Program Management Files</u> Documents accumulated in overseeing mail management operations, including guidance, procedures, policy statements, and evaluations. Excludes directive cases and management improvement studies (file no. 104 and 222). Destroy when superseded or obsolete.	
21 261-1	[Top Secret Inventory Requirements Files] Annual inventory reports originated by custodial units and sent to NARA Information Security Manager. a. Reports maintained by custodial units. Cut off annually. Destroy when 3 years old. <i>Current 261-1 is renumbered 261-1b.</i>	

GRS or Superseded
Job CitationItem No. Description of Item and Proposed Disposition**CUSTOMER SERVICE**

Records of the NARA Customer Service program, including survey forms, reports and evaluations of customer comments, complaints and suggestions.

~~23~~. 267 Customer Comment, Complaint, and Evaluation Files

23a. 267-1 Customer Comment/Complaint Records. ^{such as} Includes Customer Comment/Complaint forms (NA Form 14045) provided to customers who visit NARA museums and research rooms, and comment or complaint records created or received in monitoring service to internal and Federal agency customers. The records are part of the customer complaint system.

Cut off annually. Destroy when 3 years old.

~~23b~~. 267-2 Class evaluation forms completed at the end of each class or workshop provided by NARA. (NA 2019 or equivalent)

Cut off annually. Destroy when 3 years old.

~~24~~. 268 Customer Service Report and Planning Files

~~24a~~. 268-1 Routine reports from offices and field units. Includes periodic reports to headquarters from field units and periodic reports from offices to PIRM about customer information.

~~24b~~. 268-2 Customer Service Plan Measurement Data maintained in support of routine reports. ^{COFF Annually destroy when 3 years old. (Per Ipathe e-mail of 3/19/97)}

Cut off annually. Destroy when 5 years old.

GRS or Superseded
Job Citation

- | Item No. | Description of Item and Proposed Disposition | Job Citation |
|--------------------|--|--------------|
| ✓ 24 c. | 268-3 NARA-wide Customer Service Plan and NARA customer service reports. Reports to the President, National Performance Review, and Congress regarding customer service. Records are maintained by PIRM.

PERMANENT. Cut off annually. Transfer to NARA in <u>10-year</u> blocks when <u>20</u> years old. | |
| 24 d. | 268-4 Records of the Customer Service Committee.

See file no. 115 for disposition instructions. | |
| 24 | 269 <u>Customer Survey Files</u> | |
| 24 a. | 269-1 Completed survey questionnaires and related compilations in hardcopy or electronic form.

Cut off on issuance of final report. Destroy when no longer needed. | |
| 24 b. | 269-2 Electronic copy of compressed frequency queries of database. Maintained by office conducting the survey.

Cut off upon issuance of final report. Destroy when 6 years old. | |
| 24 c. | 269-3 Final report based on survey data. | |
| 24 c(1) | a. Records maintained by PIRM.

PERMANENT. Cut off annually. Transfer to NARA in 10-year blocks when 20 years old. | |
| 24 c(2) | b. Records maintained by other offices.

Cut off annually. Destroy when 6 years old. | |

GRS or Superseded
Job Citation

<u>Item No.</u>	<u>Description of Item and Proposed Disposition</u>	<u>GRS or Superseded Job Citation</u>
26	270	<u>Employee Survey Files</u>
26a.	270-1	Completed survey questionnaires and related compilations in hardcopy or electronic form. Cut off on issuance of final report. Destroy when no longer needed.
26b.	270-2	Electronic copy of compressed frequency queries of database. Maintained by office conducting the survey. Cut off upon issuance of final report. Destroy when 6 years old.
26c.	270-3	Final report based on survey data.
26c(1)	a.	Records maintained by PIRM. PERMANENT. Cut off annually. Transfer to NARA in 10-year blocks when 20 years old.
26c(2)	b.	Records maintained by other offices. Cut off annually. Destroy when 6 years old.

*

*

*