

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

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1 FROM (Agency or establishment)  
National Archives and Records Administration

2 MAJOR SUBDIVISION  
General Counsel

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER 5 TELEPHONE  
Nancy Allard 301-713-6730

**LEAVE BLANK (NARA use only)**

JOB NUMBER *N1-64-96-3*

DATE RECEIVED *8-13-96*

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE ARCHIVIST OF THE UNITED STATES  
*5-8-97 John W. Carl*

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 4 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 SIGNATURE OF AGENCY REPRESENTATIVE TITLE  
*8/5/96 Nancy J. Allard Acting 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1.	Amendments to the NARA comprehensive records disposition schedule (FILES 203, apps.)		
1.	1101 <u>General Legal Files.</u> Correspondence, memoranda, and documents maintained by GC relating to general legal advice not otherwise covered by this appendix.  Cut off at end of fiscal year in which advice is issued. Destroy when 15 years old.	N1:64-87-1: 1101	
2	1102 <u>Personnel-Related Legal Assistance Files.</u> Documents accumulated in rendering legal assistance to NARA officials in personnel and EEO-related administrative hearings before another agency. Excluded are documents relating to legal proceedings in courts of law (see item 1105, Litigation Files).  Cut off at end fiscal year when case is closed or court action initiated. Destroy when 5 years old.	N1-64-87-1 1102	

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3. 1103 Ethics Program Records  
Records created or received in administering  
the Ethics in Government Act in NARA.

NOTE: Current series 1103-1 and 1103-2 have been  
renumbered as 1103-5a and 1103-5b.

- a. 1103-1 Ethics advice correspondence and "intake"  
forms summarizing advice provided orally.
- (1) a. Official file copy maintained chronologically.  
  
Cut off annually on a calendar year basis.  
Destroy when 6 years old.
- (2) b. Copy maintained in ethics subject file or  
significant individual file.  
  
Destroy when obsolete or no longer needed  
for reference.
- b. 1103-2 Referrals made to the OIG, Department of  
Justice, or Office of Government Ethics  
concerning ethics violations or suspected  
violations.  
  
Cut off annually at the end of the calendar year.  
Destroy when 6 years old.
- c. 1103-3 Ethics training materials, including class lists,  
copies of training audiovisuals and handouts,  
and scheduling arrangements.
- (1) a. Records relating to administering annual training  
classes, including rosters, memoranda, and  
related documents.  
  
Cut off at the end of the calendar year. Destroy  
when 2 years old.

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- (2) b. Materials used in training classes, including audiovisuals and handouts.

Destroy when obsolete or no longer needed.

- d. 1103-4 Annual report to the Office of Government Ethics.

Cut off annually. Destroy when 5 years old.

- e. 1103-5 Financial Disclosure Records.  
[a. and b. describe records covered by GRS 1, item 25)

- c. Records relating to GC administration of the financial disclosure reporting requirements.

Cut off annually. Destroy when 2 years old

4. 1104 FOIA Legal Advice Files.

N1-64-87-1: 1104

Documents accumulated in providing legal advice and assistance on implementing the Freedom of Information Act (FOIA). Included are requests for information, interpretations, copies of letters denying access to requested information, and similar documents. Excluded are documents relating to court actions filed to gain access to NARA information or archival holdings (see item 1105, Litigation Files). Also excluded are the official file copies of replies to FOIA requests and FOIA appeals (see items 1009 or 1010).

Cut off annually. Destroy when 7 years old.

5. 1105 Litigation Files.

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- a. 1105-1 Significant litigation cases selected by the General Counsel because he cases established legal precedent, received widespread attention from the news media, Congress, the White House, or pertain to significant events or prominent individuals. N1-64-87-1: 1105-1

PERMANENT. Cut off annually following the close of the case. Hold 1 year and retire to FRC. Transfer to NARA in ~~5-year blocks~~ when 20 years old.

- b. 1105-2 Other litigation case files. N1-64-87-1: 1105-2

Cut off annually following the close of the case. Hold 1 year and retire to FRC. Destroy when 10 years old.

6. 1106 Protests to the Comptroller General. N1-64-87-1: 1106

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

Place in inactive file when GAO action on protest is completed or the protest is terminated. Cut off inactive files annually, destroy when 8 years old.

[NOTE: Subseries a and b have been combined.]

7. 1107 Legal Subject Reference File N1-64-87-1: 1107

Reference copies of legal opinions and other legal advice, statutes and background materials accumulated for reference.

- 1107-1 Centrally maintained file of reference materials filed alphabetically.

*Destroy when no longer needed\**

\*  
PER AGENCY.  
INADVERTENTLY LEFT  
OFF SUBMISSION

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8. 1108 Tort Claim Files

1108-1 Correspondence and other documents pertaining to incidents for which a prospective claimant does not submit a formal tort claim on SF 95.

Destroy when 2 years old.

[NOTE: Claim files described in 1108-2 are covered by GRS.]

9. 1109 Employee Claim Files

1109-1 Correspondence and other documents pertaining to incidents for which a prospective claimant does not submit a formal claim on SF 2116.

Destroy when 2 years old.

[NOTE: Claim files described in 1109-2 are covered by GRS]

10. 1110 Garnishment Files

1110-2 Intake log listing garnishment and staff assigned to process it.

Cut off at the end of the fiscal year, destroy when 1 year old.

[NOTE: Garnishment files described in 1110-1 are covered by GRS]

11. 1111 Formal Legal Opinion File

Controlled series of legal opinions and other significant legal advice issued by GC to provide NARA officials legal advice and interpretation of statutes pertinent to NARA programs.

PERMANENT. Cut off at end of fiscal year. Transfer to the National Archives in 5-year blocks when 30 years old.