

FUNCTIONS REASSIGNED TO ANOTHER AGENCY / DEPARTMENT

Schedule Number: N1-220-04-004

When functions are reassigned to another agency or department, the gaining agency must schedule the records.

Description:

The National Commission on Libraries and Information Science was established as an independent commission within the Executive branch by the National Commission on Libraries and Information Science Act (Pub. L. 91-345) on July 20, 1970.
The National Commission on Libraries and Information Science was consolidated into the Institute of Museum and Library Services in 2008.

Date Reported: 6/22/2020

FUNCTIONS REASSIGNED TO ANOTHER AGENCY / DEPARTMENT

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-220-04-4</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>5/3/04</i>	
1. FROM (Agency or establishment) US National Commission on Libraries and Information Science		NOTIFICATION TO AGENCY	
1110 Vermont Ave. #820, Washington, DC 20005		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Administration			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Kim Miller	5. TELEPHONE NUMBER 202-606-9200	DATE <i>12-8-04</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
5. 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 <u>8</u> page(s) are not needed now for the business for 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, <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>5/3/04</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE <i>Special Assistant - Technical</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	NC LIS Administrative Records SEE ATTACHED SHEET(S)		

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1. Personnel

a. General Personnel. Records relating to the administration of the NCLIS personnel system through an administrative agreement with the Department of Education.

TEMPORARY. Cut off at termination of agreement with Dept. of Education. Hold 3 years and destroy.

b. Position Descriptions. Records covering specific approved positions, such as title, series, grade, duties and responsibilities. Includes drafts, reviews and final record copy of each Commission position.

TEMPORARY. Destroy 2 years after position is abolished or superseded. (GRS 1.7b)

c. Awards Program Files. Records covering various individual employee awards, commendations, length of service. Includes correspondence, nominations, reports and other related documents.

TEMPORARY. Cut off annually. Destroy 2 years after cut off. (GRS 1.12)

d. Notice of Personnel Action. Standard Form 50, documenting individual personnel actions, exclusive of those maintained by the Dept. of Education in the OPF.

TEMPORARY. Destroy when 1 year old (GRS 1.14.b)

e. NCLIS Unofficial Personnel Files. Records relating to both administrative appointment and Presidentially appointed employees. Includes correspondence, copies of emails, forms, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF, which is maintained through an administrative agreement by the Department of Education. Presidential appointee's official personnel files are maintained by the White House.

TEMPORARY. Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. (GRS 1.18a)

f. Training Files. Includes correspondence, copies of emails, 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.

TEMPORARY. Cut off annually. Destroy 5 years after cut off or when superseded or obsolete, whichever is sooner. (GRS 1.29b)

g. EEO General Files. General correspondence and copies of regulations, legislations and other related documents.

TEMPORARY. Destroy when 3 years old or when superceded. (GRS 1.25g)

h. Appointments and Nominations. Records relating to the appointment of staff, commissioners and the Commission Chair. Includes biographies, correspondence with the White House, OMB, and Congress; formal nomination documents; policy on commission nomination and replacements; progress reports; press releases; and copies of legislation relating to Commission staffing.

PERMANENT. Cut off after 10 years, screen out records of current commissioners and current policy, and transfer remainder to the National Archives.

Payroll

a. NCLIS Payroll Files. Official payroll is maintained electronically by the Department of Education under an administrative agreement. Includes internal NCLIS pay record, as tracked using a spreadsheet or other data base, staff salary tables, summary data, and copies of printouts and other reports from Dept. of Education's payroll system for each NCLIS employee.

TEMPORARY.

- (1) Electronic File. Update elements and/or entire record as required. (GRS 2.1a)
- (2) Paper Records. Destroy when related actions are completed or when no longer needed, not to exceed 2 years. (GRS 2.22a)

b. Time and Attendance Input Records. Time sheets used as the official source to input time and attendance data to the Dept. of Education Payroll system.

TEMPORARY. Destroy after GAO audit or when 6 yrs old, whichever is sooner. (GRS. 2.8)

3. Finance and Procurement

a. Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence, copies of emails, and related papers pertaining to award, administration, receipt, inspection and payment.

TEMPORARY. Procurement or purchase copy, and related papers dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining a simplified acquisition threshold) (GRS 3.3a)

(1) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. (GRS 3.3(a)(1)(a))
Destroy 6 years and 3 months after final payment.

(2) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. (GRS 3.3(a)(1)(b))
Destroy 3 years after final payment.

b. Supply Files. Includes records and reports relating to supply requirements and procurement matters.

TEMPORARY. Cut off at end of fiscal year. Destroy 2 years after cut off. (GRS 3.4(a))

c. Solicited and Unsolicited Bids.

(1) Successful bids and proposals. (GRS 3.5 (a))

TEMPORARY. Destroy with related contract case files (see item 2a above).

(2) Solicited and unsolicited unsuccessful bids and proposal

(a) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.(GRS 3.5(b)(1))

TEMPORARY. Destroy 1 year after date of award or final payment, whichever is later.

(b) Relating to transactions above the small purchase limitations in 48 CFR Part 13. (GRS 3.5(b)(2))

TEMPORARY. Destroy with related contract case file (see item 2a above).

d. GPO Files. Includes records relating to requisitions on the Public Printer, copies of emails, specifications, and all other supporting papers associated with

printing of NCLIS studies, reports, miscellaneous publications. Excludes the design and artwork for publications and other items.

TEMPORARY. Destroy 3 years after completion or cancellation of requisition. (GRS 3.6)

e. Inventory Management. Includes requisitions for supplies and equipment, data base or other types of reports, documents and correspondence.

TEMPORARY. Destroy 2 years after completion of requisition. (GRS 3.8a)

4. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers maintained by the Dept. of Education. Includes paper logs, notes, and documents created through other tracking tools.

TEMPORARY. (GRS 7.4a and b)

a. Paper. Cut off at end of fiscal year. Destroy original records 3 years after cut off.

b. Copies. Cut off at end of fiscal year. Destroy when 2 years old.

5. Travel

a. Travel Vouchers. Records include vouchers for freight and passenger transportation for staff and commissioners, receipts, charges and other control documents. Official travel documents are processed through the Dept. of Education.

TEMPORARY. Cut off at end of fiscal year. Destroy 6 years after the period of the account. (GRS 91c)

b. Travel Files. Routine administrative records, policies and procedures, correspondence, forms and related records covering the Dept. of Education support and travel for the Commission.

TEMPORARY. Cut off annually. Cull current policy and procedure guidance and retain in active files. Delete/destroy remainder 2 years after cut off.

c. Metro Check Files. Records relating to issuance of the Metro fare cards, including application for cards, correspondence, procedures, and tracking of cards.

TEMPORARY. Cut off annually. Destroy 2 years after cut off.

- d. Travel Log. Records include electronic and paper log of travel approved and completed by Commission, staff, and other guests of the Commission and travel reports.

TEMPORARY.

- (1) Electronic. Cut off annually. Erase/delete 2 years after cut off.
- (2) Paper. Cut off annually. Destroy 2 years after cut off.

6. General Administration

- a. Mailing Lists. Electronic lists prepared in word processing or spreadsheet format and used for distribution of publications, meetings, and announcements.

TEMPORARY. Erase/delete when no longer needed.

- b. Delegations of Authority File. Includes memoranda authorizing delegation of authority from the Chair, Deputy Chair and Executive Director. Delegations can be for administrative and management functions.

TEMPORARY. Destroy when delegation is cancelled or superceded.

- c. Administrative Directives. Includes the NCLIS Administrative Procedures Manual and various directives on administrative procedures. Includes correspondence, copies of emails, and faxes.

TEMPORARY.

- (1) Case File. Destroy when superceded or obsolete (GRS 16.1(b))
- (2) Printed copy. Individual copies used for staff reference. Destroy when superceded or obsolete. (GRS 16.1(a))
- (3) Word Processing copy. Erase/delete when superceded.

- d. Audit and Management Review Files. Records of periodic program reviews and financial audits under OMB A-123. Federal Financial Accountability and related Acts. Audits and Reviews are prepared by independent audit firms. Includes copy of audit report, plans for audit, correspondence and copies of emails, background information. Includes tracking and follow up actions reports and documents created to resolve issues and compliance identified during the audits.

TEMPORARY. Cut off when all actions are complete or resolved. Destroy 5 years after cut off. (GRS 16.14(f))

e. Records Management Program Files. Records documenting inventories, records schedules, records of disposition, policies and procedures.

(1) Records Management General. Includes copies of correspondence and emails, inventory reports, copies of approved appraisals, guidelines and other documentation on records and archives.

TEMPORARY. Review periodically for superceded materials and destroy, but no longer than when 6 years old. (GRS 16.7)

(2) Records Disposition Files. Includes official SF 115's and NARA approvals.

TEMPORARY. Destroy 2 years after supercession. (GRS 16.2a(1))

(3) Records Management Database. Includes records inventory and reports.

TEMPORARY. Cut off when system is superceded. Delete/destroy when no longer needed for reference or when 5 years old, whichever is greater.

f. Federal Register Notices. Includes drafts and published copy of Commission Meetings Announcements required under the Government in the Sunshine Act.

TEMPORARY. Cut off annually and destroy 1 year after cutoff. (GRS 16.13a)

g. Space Planning and Management. Records include planning, needs assessments, renovation plans and estimates, GSA/PBS, rent estimates, copy of the lease and related documents regarding building services, faxes and correspondence.

TEMPORARY. Cut off after termination of lease. Delete/destroy 2 years after cutoff, or when superceded or obsolete, whichever is greater.

h. Physical Property Disposal Files. Includes records on inventories, loan of equipment to staff, and disposal of property through sale and surplus and related correspondence. Note that lease files are maintained under 3a of this schedule.

TEMPORARY (GRS 4.3a and b)

(1) Transactions over \$25,000. Destroy 6 years after final payment.

(2) Transactions under \$25,000. Destroy 3 years after final payment.

- i. NCLIS Seal/Logo and Stationery. Includes artwork, design plans, samples, and correspondence or other policy and procedures documents approving the logo use.

- (1) Seal/Logo Files. **PERMANENT.** Includes policy and procedures on use of official logo and commission seal; sample of NCLIS seal and/or logo.

Cut off when seal/logo is redesigned or superceded. Transfer to National Archives 10 years after cut off.

- (2) Subject Files. **TEMPORARY.** Includes printing invoices, approvals and materials related to the creation, design and approval of the seal and/or logo. Cut off at the end of the fiscal year. Delete/destroy 7 years after cut off or when no longer needed for reference, whichever is later.

- (3) Artwork, Design and Samples. **TEMPORARY.** Destroy/delete when no longer needed for publication.

7. Word processing and email not covered elsewhere in this schedule. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

TEMPORARY.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

- c. Copies used for reference and development of agency history.

Destroy/delete when no longer needed for reference.

8. Electronic spreadsheets not covered elsewhere in this schedule. Electronic copies of records that are created on spreadsheets and used solely for the recordkeeping copy to

track information created by created by other record items in this schedule. Reports generated by these databases are included in other items of this schedule.

TEMPORARY. Destroy/delete 2 years after the close of the fiscal year.

JUSTIFICATION FOR PERMANENT RETENTION

Regarding item 1h of this schedule, the Commission is made up of 14 members who receive Presidential appointments. While the official personnel file for these members is maintained by the White House, the associated records of formal nomination, policy, press releases, biographies, and other related records are a valuable part of the history of this independent agency and reflect the various policy approaches of each administration. Thus, NCLIS requests that this file be scheduled as permanent.