

Ret NCD 5 Dec 79

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NCL-269-80-2
DATE RECEIVED	12-5-79
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	8-4-81 <i>Edward Weiden</i> acting Archivist of the United States

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

1 FROM (AGENCY OR ESTABLISHMENT)

General Services Administration

2 MAJOR SUBDIVISION

Office of Administrative Services (HR)

3 MINOR SUBDIVISION

Records Management Branch (HRAR)

4 NAME OF PERSON WITH WHOM TO CONFER

Raymond F. Hershberger

5 TEL EXT

566-0673

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 26 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E TITLE
12/3/79	<i>William Herbert</i> MICHAEL G. BARBOUR	Chief, Records Management Branch (HRAR)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>FILES COMMON TO MOST OFFICES</u></p> <p>File descriptions and changed disposition schedules are contained in the attached chapter 9 to the HB, GSA Records Maintenance and Disposition System (OAD P 1820.2)</p>	NN-168-138	

Copy to agency, NWB, NAF only.
All FRCs will be notified of changes by transmittal of printed change in approx. 6 weeks. RWE 8/1/81

77 items

Closed Out: 8-7-81: K. [Signature]
Copy to Agency

GSA ORDER

SUBJECT: GSA Records Maintenance and Disposition System

1. Purpose: This order transmits revised pages to ch. 9, Files Common to Most Offices, of the HB, GSA Records Maintenance and Disposition System.
2. Explanation of changes. Chapter 9, Files Common to Most Offices, is changed as follows:
 - a. Appendix 9-A is revised to update disposal actions for mail and file control documents.
 - b. Subpars. 9B15b and c are revised to clarify the contents of records disposition and records reports files.
 - c. Subpar. 9B25c is revised to change instructions for the disposal of individual personnel information.
 - d. Subpar. 9B25i is revised ~~and subpar. 9B25j is added to provide instructions for maintaining time and attendance records and leave application files in accordance with GSA Bulletin FPMR B-83.~~
 - e. Pars. 9B26, 9B27, and 9B28 are added to cover the maintenance and disposition of records created under the Privacy Act of 1974 (5 U.S.C. 552a).
 - f. Pars. 9B32 and 9B33 are added to cover the maintenance and disposition of records created under the Freedom of Information Act.
 - g. Subpar. 9B40d is revised and 9B40e is added to provide instructions for maintaining employee travel and incidental driver's permit files.
 - h. Appendix 9-C is revised to update instructions on the maintenance and disposition of common-type program files.
 - i. Appendix 9-D is amended to provide additional coverage for records created by the Administrator and other signatory or supervisory officials.
 - j. Other changes are made to clarify instruction or update organizational nomenclature.

OAD P 1820.2 CHGE

3. Instructions. Remove and insert the following pages of ch. 9:

<u>Remove pages</u>	<u>Insert pages</u>
3 app. 9-A	same
1 thru 10, app. 9-B	1 thru 12, app. 9-B
3 thru 8, app. 9-C	same
1 thru 4, app. 9-D	same

W. M. PAZ
Assistant Administrator for
Human Resources and Organization

<u>CENTRAL OFFICE</u>	
500 copies to HRAR for distribution to service and staff office records officers for redistribution to the records custodians responsible for the records described therein and for reserve stock.	
<u>REGIONAL OFFICES</u>	
The copies specified below are to be distributed to the regional records officers for redistribution to the regional offices and field activity records custodians responsible for the files described therein:	
Region 1: 70 copies	Region 7: 200 copies
Region 2: 125 copies	Region 8: 130 copies
Region 3: 120 copies	Region 9: 125 copies
Region 4: 125 copies	Region 10: 100 copies
Region 5: 150 copies	Region W: 150 copies
Region 6: 100 copies	

Figure 1. Supplemental distribution

9A1. File plan. This is the first file item in a file station. It reflects all program and nonprogram records maintained by an office.

Cut off with related files. Destroy when all related files are destroyed or retired.

9A2 - 9A4. Reserved.

9A5. Suspense files. A suspense file consists of papers arranged in chronological order as a reminder that an action is required on a given date; a reply to an action is expected and if not received, should be traced on a given date; or a transitory paper is being held for 30 days or less and then may be destroyed. File numbers are not required on suspense file folders and drawer labels, nor are they required on papers included in suspense files. Suspense file folders are usually numbered 1 to 31--one for each day of the month. However, offices having a small volume of suspended material may need only two folders numbered 1-15 and 16-31. Additional monthly folders may be used temporarily to house suspended material due in the months ahead of the current suspense file. Examples of papers normally included in a suspense file and dispositions are:

a. A note or other reminder to submit a report or to take some other action.

Destroy after action is taken.

b. The file copy, or an extra copy of correspondence, filed by the date on which a reply is expected. Also includes copies of communications control records when used as suspense controls.

Withdraw papers when the reply is received or dispatched. If the suspense copy is an extra copy, or a communications control record, destroy it; if it is a file copy, incorporate it with other papers for file.

c. Transitory papers which may be destroyed on the suspended date.

Destroy papers on the suspense date.

9A6-9A9. Reserved.

OAD P 1820.2 CHGE

9A10. Correspondence locators. Copies of communications control records filed by source to show referrals of incoming correspondence, document registers, and other documents used for comparable purposes.

Document registers: Destroy 3 months after last entry.

Other records: Cut off in 3-month blocks, hold 3 months, and destroy.

Note.--Communications control records are usually kept in a file container behind alphabetical guide cards. The guide cards may be in complete A-Z sets for large volumes or they may be divided into two or three groupings, such as A-M and N-Z, when the volume is small. Two sets of these guide cards are needed, each preceded by a guide card indicating the quarterly period which it covers. At the end of 6 months, the control slips for the first 3 months are destroyed, thereby freeing the guide cards to be used for subsequent accumulations. Quarterly guide cards may be prepared in advance and used on a rotating basis; i.e., one filed with the current quarter, one with the quarter being held for 3 months, and the next two cards filed in the back to be used at the time of rotation.

The files in this appendix relate primarily to administrative and operational functions within an office, as distinguished from files relating to the performance of mission or program functions which are described in succeeding chapters and appendixes of this handbook. More specifically, office administrative files. (a) accumulate as a result of routine procedures which are required in, or are an inherent part of, normal housekeeping operations in any office; (b) relate to the acquisition and use of supplies, services, or administrative support from, or in conjunction with, the office responsible for providing them; and (c) provide a source of general and technical reference material for use within the office. Office administrative files are normally accumulated by individuals handling administrative matters for the office. I

9B1. Office administration. These are of four types: (1) documents created in the preparation of office procedures or comparable instructions that are applicable to internal administrative practices and operational details within the preparing office; (2) documents reflecting hours of duty and individual duties that do not have continuing applicability; (3) documents reflecting delegation of authority to take certain actions during the temporary absence of superiors, such as documents listing existing delegations and papers reflecting individual delegations, but excluding those relating to delegations formalized in the GSA directives system; and (4) documents used in orientations and briefings given to visitors and newly assigned individuals, such as photographs, transparencies, copies of handouts, and related records.

Destroy when superseded or obsolete.

9B2 - 9B4. Reserved.

9B5. Campaigns. Documents reflecting office participation in such matters as blood donation programs, savings bond drives, fund solicitations, and similar matters.

destroy when 1 year old.
Cut off annually, ~~hold 1 year, and destroy.~~

9B6 - 9B9. Reserved.

9B10. Office financial files. Documents relating to the participation of offices in matters concerning the expenditure of funds incidental to the performance of program functions of the office. Included are travel cost estimates and notifications of availability of funds; receipts for, and other documents regarding the distribution of checks and savings bonds; similar documents; and related records.

destroy when 1 year old.
Cut off annually, ~~hold 1 year, and destroy.~~

9B11 - 9B14. Reserved.

9B15. Office information management files. These records consist of the file categories described below:

a. Office general information management. Documents relating to an office's involvement in management activities such as forms, directives, records, and reports management activities. Included are survey reports, inventory reports, correspondence, and related records. Excluded are records described below and records relating to the initiation of a specific form, directive, or report.

destroy when 1 year old.
Cut off annually, ~~hold 1 year, and destroy.~~

OAD P 1820.2 CHGE

b. Records disposition. Documents reflecting the location and/or disposition of records retired or transferred out of an office. Included are Standard Form 135, Records Transmittal and Receipt; Optional Form 11, Reference Request - Federal Records Center; GSA Form 3170, Notice of Intent to Destroy Records, and related records.

Destroy when no longer needed for reference.

c. Records reports. Documents reflecting the preparation of reports for records management. Included are source documents, retained copies of reports, and similar records.

Cut off annually, *destroy when 2 years old.*
~~hold 2 years, and destroy.~~

9B16 - 9B19. Reserved.

9B20. Staffing. Documents such as extracts from human resources surveys, worksheets used in preparing data for human resources surveys, and papers indicating personnel authorizations.

Destroy when superseded or canceled.

9B21 - 9B24. Reserved.

9B25. Office personnel files. These records consist of file categories described below:

a. Office personnel administration. Documents accumulated by operating officials in administering personnel matters for or about employees in the office. Included are papers concerning attendance at work, copies of attendance and overtime reports other than those maintained by time and attendance clerks, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including x-rays and immunizations; notices and lists of individuals to receive secretarial or other training; and comparable records.

Cut off annually, *destroy when 1 year old.*
~~hold 1 year, and destroy.~~

b. Employee record cards. Copies of employee record cards providing complete information relative to employees, positions, personnel strength authorizations, and personnel actions in process, but not official employee cards maintained by personnel offices. Record cards for employees transferred within GSA will be forwarded to the gaining office. Record cards for employees who are separated for military service with restoration rights will be placed in the military service separation file described in d, below.

Destroy on separation of the employee.

Appendix 9-B

c. Individual personnel information. Documents accumulated on individual employees which are duplicated in, or not appropriated for inclusion in, official personnel folders, the position description file, or the pending personnel action request file. Included are notices of individuals' security clearances, employee security acknowledgments, retained copies of reports and other papers concerning individual injuries, letters of appreciation and commendation, papers indicating training received or assigned responsibilities, career development plans, affirmative action reports, EEO reports, and comparable records.

Review annually; destroy documents which are superseded or not applicable. Forward the entire file to the personnel office for review and disposition on separation of the employee.

d. Military service separation. Employee record cards used in considering position changes for employees separated for military service.

Return to employee record cards file (see b, above) on fulfillment of restoration obligation or destroy upon termination of restoration obligation, as applicable.

e. Office personnel registers. Documents used in accounting for office personnel and in controlling office visitors. Included are registers reflecting personnel arriving, departing, on leave, and on temporary duty travel.

Cut off in 6 month blocks, ~~hold 6 months, and destroy.~~ *destroy when 6 months old.*

f. Pending personnel actions. Operating officials' or suspense copies of requests for various personnel actions, such as accessions, position changes, pay rate changes, separations, and similar matters, including certifications required in connection with the GSA Equal Employment Opportunity Program.

Cut off annually, ~~hold 2 years, and destroy.~~ *destroy when 2 years old.*

g. Position descriptions. Extra copies of position descriptions of an office which are used in day-to-day supervisory relationships.

Destroy when the position description is superseded or the related position is abolished.

h. Standards of conduct. Documents relating to systems designed to ensure that all personnel fully understand the standards of conduct and ethics required of them, such as a system requiring the periodic reading of applicable directives and the signing of a document to indicate that the directives are understood.

Cut off annually, ~~hold 1 year, and destroy, or destroy~~ ^{destroy when 1 year old or} after the next application of the system, whichever is sooner.

i. Time and attendance records. These files are accumulated by time and attendance clerks and consist of: (1) GSA Form 873, Annual Attendance Record, or comparable document used for verifying payroll printouts and in managing employee leave and (2) retained copies of overtime reports and related records.

Cut off annually, hold ² years, and destroy.

~~j. Leave application files. Standard Form 71, Application For Leave, or equivalent, and supporting papers relating to requests for and approval of taking leave.~~

- ~~(1) If the time card has been initialed by the employee, destroy at the end of the applicable pay period.~~
- ~~(2) If the time card has not been initialed by the employee, destroy after GAO audit or when 3 years old, whichever is sooner.~~

*Withdrawn
per request of
Ray Washbayer
6/29/81*

9B26. Privacy Act files. These records consist of file categories described below:

a. Privacy Act general administrative files. Documents accumulated relating to the implementation of the Privacy Act, including notices, reports, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

b. Privacy Act requests file. Documents accumulated in responding to requests from individuals to gain access to their records or to any information in the records pertaining to them. Included are original requests, copies of replies, correspondence granting access, and related supporting documents.

(1) Granting access:

Cut off annually, ~~hold for 2 years after date of reply, and destroy.~~ ^{destroy when 2 years old.}

*changed
per discussion
w/ R. Washbayer
6/29/81
pwr*

(2) Denying access:

destroy when 5 years old.
 Cut off annually, ~~hold for 5 years after date of reply,~~
~~and destroy.~~

c. Privacy Act amendment case file. Documents accumulated relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); 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 552a(g).

(1) Requests to amend agreed to by GSA.

destroy when 4 years old.
 Cut off annually, ~~hold 4 years after GSA's agreement to~~
~~amend, and destroy.~~

(2) Requests to amend refused by GSA.

destroy when 4 years old,
 Cut off annually, ~~hold 4 years after final determination,~~
 or destroy 3 years after final adjudication by the courts,
 whichever is later.

(3) Appealed requests to amend.

destroy 3 years after final adjudication
 Cut off annually, ~~hold 3 years after final adjudication~~
 by the courts, ~~and destroy.~~

d. Privacy Act accounting of disclosure file. Documents accumulated for maintaining an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency. Included are forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of individual's consent when applicable.

Dispose of in accordance with the approved disposition schedules for the related subject individual's record, or 5 years after the disclosure for which the accountability was made, whichever is later.

e. Privacy Act control file. Documents accumulated for controlling and responding to requests. Included are registers and similar records listing dates, nature of request, name and address of requester, and related records.

OAD P 1820.2 CHGE

a. Records of listings.

Cut off after date of last entry, ~~hold 5 years, and~~
destroy *when 5 years old.*

b. Other records.

Destroy 5 years after final action by the GSA or final
adjudication by the courts, whichever is later.

9B27 - 9B29. Reserved.

9B30. Reading files. Extra copies of outgoing communications (arranged
chronologically) which are maintained for review by staff members.

Cut off in 6-month blocks, ~~hold 6 months, and destroy.~~
destroy when 6 months old.
Earlier disposal is authorized.

9B31. Technical and reference materials. These files consist of copies
of directives, including reference binders, and other materials issued by
any element of GSA, other Government agencies, and nongovernmental organi-
zations, which are maintained by an office for reference purposes. These
files also include instruction letters, messages, or other documents used
to transmit program instructions in advance of official GSA directives.

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

9B32. Freedom of Information Act (FOIA) report file. Reports on freedom of
information requests relating to how many and what types of FOIA requests
were received and answered during the year.

Cut off annually, ~~hold 9 years, and destroy.~~
destroy when 2 years old.

9B33. FOIA control file. Documents maintained for controlling and respon-
ding to requests. Included are registers and similar records listing dates,
nature of request, name and address of requester, and related records.

Cut off annually, ~~hold 2 years, and destroy.~~
destroy when 2 years old.

9B34. Reserved.

9B35. Office security and safety. These records consist of file cate-
gories described below:

a. General security and safety. Documents pertaining to security
and safety within an office, such as security and safety inspection re-
ports, copies of security violation reports, responses to periodic inven-
tories of security classified material, communications and notices about

Appendix 9-B

security and safety methods, and documents concerning security and safety in general.

Cut off annually, ~~held 2 years, and destroy.~~ *destroy when 2 years old.*

b. Classified document inventory. Forms, ledgers, or registers maintained to show internal receipt, identity, routing, and final disposition of classified documents received by an office. These files are used to determine the status of all classified documents for which the receiving office is responsible.

Destroy ² year^s after all documents recorded thereon have been transferred, destroyed, downgraded, or when the entry is transferred to a new sheet.

changed per conversation w/ Ray Horschberger 6/29/81 RWR

c. Document receipts. Documents used to receipt for the issue and transfer of security classified documents and registered or insured mail.

Cut off annually, ~~held 2 years, and destroy,~~ *destroy when 2 years old,* except that suspense or retained copies shall be withdrawn and destroyed upon receipt of the signed original.

d. Destruction certificates. Forms or other documents accumulated by an office which reflect the destruction of security classified documents.

Cut off annually, ~~held 2 years, and destroy.~~ *destroy when 2 years old.*

e. Record access authorization files. Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified records. Included are access requests and approvals or disapprovals, rosters of authorized individuals, and similar documents.

Destroy ^{2 years after authorization expires.} when authorization document is superseded or obsolete, or on transfer or separation of the individual concerned.

changed per conversation w/ R.H. 6/29/81 RWR

f. Record container combinations. Records of all current office safe and padlock combinations together with other information necessary to identify and locate the safes or containers and individuals having knowledge of the combinations.

Destroy when combinations are changed or when containers are returned to stock.

g. Record container security forms. Forms placed on safes, cabinets, or vaults containing security classified documents which provide a record of the entries into the containers.

Destroy on the day following the last entry on the form, except forms involved in investigations which will be retained until completion of the investigation.

h. Security awareness. Documents relating to systems designed to obtain compliance with security regulations by all personnel, such as a system requiring each employee to periodically read applicable security directives and sign a document to indicate that the directives are understood. Excluded are retained copies of individual employee security acknowledgements which are included in the individual personnel information file.

Destroy after 1 year or on next application of the system, whichever is first.

i. Tests and drills. Documents concerning tests or drills in civil defense, fire, or comparable emergency evacuation procedures.

Cut off annually, *destroy when 1 year old.*
~~hold 1 year, and destroy.~~

9B36 - 9B39. Reserved.

9B40. Service and supply. These records consist of file categories described below:

a. General service and supply. Documents relating to the 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 chapter 19 and other chapters of this handbook.

Cut off annually, *destroy when 1 year old.*
~~hold 1 year, and destroy.~~

b. Office equipment control. Documents maintained by offices for equipment used within their area of accountability. Included are cards, lists, receipts, or comparable documents showing equipment charged to an office.

Place in inactive file when equipment is removed from office's control. Cut off inactive file annually, *destroy when 2 years old.*
~~hold 2 years, and destroy.~~ Listings may be destroyed after verification and receipt of next listing.

c. Telephone call controls. Telephone call data used to document prior approval for official long distance telephone calls.

Destroy after verification of calls approved or made.

d. Travel (employee) files. Documents concerning official travel of employees but not papers for arrangements, reservations, etc. that are normally filed in the suspense file. Also excluded are "payment" copies accumulated by finance activities. Establish case files for travelers if volume warrants.

(1) Authorizing officials' files:

Cut off annually, hold ³/~~4~~ years, and destroy.

(2) All other files:

Cut off at the end of 3 months, ~~hold 4 months,~~ ^{destroy when 3 months old.}
~~and destroy.~~

e. Incidental drivers permit. Documents accumulated in the issuance of incidental driver's permit. Included are request for issuance of the permit, physical fitness inquiry for motor vehicle operators, certificate of medical examination, and related records.

Cut off annually, or on expiration of the permit,
~~hold 2 years, and destroy.~~ ^{destroy when 3 years old.}

*changed per
conversation w/ R.H.
6/29/81 PWT*

*changed per
conversation w/ R.H.
6/29/81 PWT*

9C1. Program administration. Documents relating to the general routine administration of a program, but not specific files described elsewhere in this appendix or the succeeding chapters applicable to the program concerned. When any of the documents in this file results in the initiation of, or affects a specific program process, project, directive, or case (the files of which are described elsewhere in this appendix or in a subsequent chapter), the record copy should be filed in the official file for the process, project, directive, or case. Duplicate copies may be included in the program administration file as cross-references. Representative examples of files in this category include but are not limited to:

a. General correspondence. General routine correspondence not described elsewhere in this appendix or in succeeding chapters. If volume warrants, subdivide by specific program element or alphabetically by subject, name, or geographical location.

b. Accounting. Documents accumulated in monitoring and coordinating the status, receipt, expenditure, maintenance of the stability, control, reimbursement, reporting, and accounting for appropriated and revolving funds used to finance program operations. This paragraph is not applicable to files accumulated by offices responsible for budget and financial programs or to files of imprest fund cashiers. Included are cost reports and statements, tabulations, and related records.

c. Audit. Extracts of and comments on audit and evaluation reports pertaining to a program.

d. Automatic data processing. Documents accumulated in participating in the establishment, development, and application of ADP systems to program activities, but exclusive of counterpart documentation accumulated by the Office of Data Systems, MPB, regional Data Systems Divisions; and offices of data processing coordinators (individuals responsible for coordinating data processing activities on a service- or staff office- wide basis). Included are working group plans and study reports, reports of reviews, coordinating actions, feasibility and detailed design reports, approvals, and directly related records.

e. Clearance comments. Comments on directives, plans, and similar publications prepared by another office, but not directives case files or instruction files.

f. Congressional. Documents relating to congressional inquiries and replies thereto, but not documents accumulated by the Office of Congressional and Intergovernmental Relations.

g. Information. Comments on, or contributions to, news releases or other media publicizing a program, but not related documents accumulated by the public information program office of GSA.

h. Legislation files. Documents accumulated in drafting or commenting on proposed legislation affecting a program, but exclusive of documents accumulated by the Office of Congressional and Intergovernmental Relations, other offices in the Office of External Affairs, and the Office of General Counsel.

i. Management. Documents relating to management improvement, cost reduction, performance analysis, work measurement, and similar management matters, but not documents relating to the particular program activity or project that produced the saving or improvement. This subparagraph does not apply to files accumulated by offices having GSA-, service-, staff office-, or regional office-wide program responsibility for these functions.

j. Program and budget. Documents created in preparing and submitting planning, programming, budgeting, and program review and analysis data, but not records accumulated by offices having GSA-, service-, staff office-, or regional office-wide program responsibility for these functions.

k. Routine reports. Routine uncontrolled and controlled reports not described elsewhere.

l. Suggestion evaluations. Documents created in evaluating suggestions that do not affect specific program processes, projects, or cases. Excluded are related documents accumulated by incentive awards committees.

1. Cut off annually, ~~hold 2 years, and destroy~~ *destroy when 2 years old.*
(Disposition applies to all records described in 9C1, above, except for legislative files.)

2. Legislative files 9C1h: Cut off at the end of the second session of the Congress concerned, ~~hold 2 years, and destroy~~ *destroy when 2 years old.*

Note.-- To ensure flexibility, program administration files may be subdivided in accordance with lower case letters and titles used to identify subparagraphs above or in any other manner that satisfies the reference requirement of the file station concerned.

9C2. Instructions. Correspondence and other documents created in preparing, clearing, reviewing, issuing, and interpreting directives, instructions, and other publications relating to a program. These files are accumulated only by the office preparing the instructions and, to the extent accumulated, consist of:

a. Official directive case files, when maintained by the originating office instead of by the office of the directives clearance officer.

b. Retained copies of documents that are included in directive case files maintained by directives clearance officers.

c. Record copies of documents pertaining to, but which heretofore have not been included in, directive case files. For example, studies, research findings, and other documents which provided a basis for the directive; clarifications of, interpretations of, and authorized exceptions to the published directives; and similar records.

d. Authoritative instructions in reproduced form which were not issued under the GSA directive system.

Cut off annually after the instruction is superseded, canceled, or has expired.

Central Office and National Capital Region W:

Permanent. Hold 2 years and retire. Offer to NARS when 10 years old.

Other offices: Hold 2 years and retire.

Destroy after 3 additional years.

Note.-- Material described in b, above, when maintained separately, may be destroyed at any time.

9C3. Nonrecord files. These files consist of nonrecord material which is required longer than like material included in suspense files for destruction within 30 days or less. Nonrecord files include, but are not necessarily limited to, the following types:

a. Copies of documents maintained by action personnel which are duplicated in the record files of the same office.

b. Documents received for general information that require no action and that are not required to document a particular action, case, or project.

(for 9C2,
see pp. 5A
following)

902. Non-official directives case files and instructional letters. These files consist of working papers used to develop directives, maintained in the originating office and records relating to the development and issuance of temporary directives (instructional letters, numbered memos, etc.). This item covers only records of offices which are not covered elsewhere in this handbook. Records of the directives control office are covered by OAD P 1820.2, Chapter 11.

- a. Working papers used in the development of official directives, but maintained in the office of origin. These may include studies, research findings, or other documents which provide a basis for the directive.
- b. Instructional letters and other forms of temporary directives.

Cut off annually after directive or instruction is superseded, cancelled, or expired. Destroy 5 years after cutoff.

Appendix 9-C

c. Cards, listings, indexes, registers, and similar documents used in controlling or facilitating program work. Excluded are file indexes which are normally retired or destroyed with the file concerned. Also excluded are registers required by directives; these are described specifically elsewhere in this handbook.

d. Notes, drafts, feeder reports, clippings, and other nonessential working papers leading to final results or findings in a project, study, or case, but not formal recommendations, clearances, or similar material essential to the record file.

e. Directives and other publications used for a specific project, study, survey, or case.

Destroy documents described in d and e, above, on completion of the related action or project, except that publications or directives needed for future cases or general reference shall be withdrawn and placed in the 9B31 Technical and Reference Materials files.

Cut off all other nonrecord files at the end of the year, ~~hold 1 year, and destroy.~~ *destroy when 1 year old*

Note.-- Nonrecord material, when required for inclusion in record files to facilitate reference, shall normally be retired or destroyed (without screening) with the record file concerned. However, nonrecord material included in a record file may be destroyed at any time, especially if the accumulation presents a reference, storage, or retirement problem.

9C4. Policy and precedent files. Duplicate copies of documents establishing policy or precedent for future and continuing action. These files are normally maintained at action levels and their maintenance is optional. Included are policy and procedure statements, copies of documents regarding organization and functions, examples or models of typical cases, and similar documents which are duplicated in official files.

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

9C5. Unscheduled files. Documents reflecting the performance of a specific program function, process, or transaction, and for which documentation, maintenance, and disposition instructions are not provided elsewhere in this appendix or the appendix applicable to the program concerned.

Cut off annually, or on completion of the project or other applicable action, hold until records are scheduled.

Note.-- The action specified in chapter 8-37b must be taken to schedule these records before the next review date of the file plan.

9C6. Committee files. Documents created in establishing, operating, and dissolving committees whose purposes are to consider, advise, recommend, or take action. This file category is not applicable to files of ad hoc committees, committee files described specifically elsewhere in this handbook, and files of committees whose operations are an integral part of a specific process, project, or case. Included are proposals, approvals, and disapprovals concerning committee establishment; charters; copies of directives establishing, changing, continuing, or dissolving committees; documents reflecting the nomination, appointment, and relief of committee members; notices, agenda, minutes, and reports of committee meetings; and related records.

- a. Office of the chairman or secretariat, whichever is designated office of record: Permanent. Cut off annually and retire when no longer needed for current operations. Offer to NARS when 10 years old.
- b. Files of committee members: Cut off annually, ~~hold 2 years, and destroy.~~ *destroy when 2 years old.*

9C7. Contracting officer designation files. Documents designating individuals by name, organizational title, or position to serve or act as contracting officers. Included are GSA Form 3409, Personal Qualification Statement for appointment as Contracting Officer, GSA Form 3410, Request for appointment, limitations on scope of authority, designation revocations, and related records.

Place in inactive file following reassignment, termination of employment, or revocation of designation. Cut off annually, destroy when 2 years old.

This appendix provides special instructions for the maintenance and disposition of signatory records accumulated by offices of signatory or supervisory officials. These signatory records are those copies of letters or similar types of documents that require signature or concurrence at higher levels than the action office. Each level above the action office that concurs or signs receives a copy of the letter or document after signature. These copies are the signatory records providing the signatory official a complete record of all documents signed. See fig. 9D-1 for a graphic explanation of signing levels. For the purpose of this appendix, offices of signatory or supervisory officials include offices of Regional Administrators and Heads of Regional Services and Staff Offices.

Signatory or supervisory officials should forward official record copies of papers originated or received by them and which document program functions under their supervision or direction to the file station servicing the action office concerned. This procedure will ensure complete documentation and simplify disposition.

The disposition of personal files maintained by high-level officials will be determined by the individual who designated the file as personal. These records shall be examined by the appropriate records officer prior to the departure of the official from the agency.

Maintenance and disposition of record copies of documents of the type described in 9C1, when maintained by signatory or supervisory offices, shall be disposed of in accordance with instructions in this appendix. Maintenance and disposition of record copies of all other program documentation, which must be maintained at the signatory or supervisory level, shall be disposed of in accordance with the applicable instructions in appendix 9-C or the appendix of the subsequent chapter that describes the particular record category concerned.

The files described below may be classified and arranged in any manner that suits the reference requirement of the office concerned. For example, these files may be arranged by any one or a combination of the methods set forth below:

- a. In chronological order with the most recent communication on top;
- b. By correspondence symbols or titles of responsible action offices;

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c. In alphabetical order by subject, name, or geographical location; and

d. By the titles of appropriate paragraphs and subparagraphs in appendix 9-C and the appendixes applicable to the programs under the staff supervision or direction of the officials concerned, preceded by the alphanumeric file symbol 9D1.

*changed per
conversion
w/ R.H
6/29/81
PWA*

9D1. Program files of the Office of the Administrator and offices of Heads of Services and Staff Offices. Documents created by the Office of the Administrator and offices of the Heads of Services ~~and Staff Offices~~ in managing and carrying out the functions assigned to GSA. Included are requests for information, decision papers, clearances, letters of instructions, interpretation of laws and directives, correspondence, and related records. (Records of a personal nature shall be maintained in accordance with ch. 2 of this handbook.)

Permanent. Cut off annually, hold 2 years, and retire.
Offer to NARS after 10 years.

9D2 - 9D4. Reserved.

9D5. Regional Administrators and Heads of Regional Services and Staff Offices program files. Documents accumulated in these offices in managing and carrying out assigned functions. Included are requests for information, decision papers, letters of instructions, issue and interpretation of directives, planning documents, reports, correspondence, and related records.

Cut off annually, hold 2 years, and retire. Destroy ~~after 5~~
~~additional years.~~ *when 7 years old.*

9D6 - 9D9. Reserved.

9D10. Division or branch level supervisory office program files. These files consist of records or duplicate copies of documents of the type described in par. 9C1 and duplicate copies of documents, the record copies of which are maintained at the file station serving the action office.

Cut off annually, ~~hold 20 years, and destroy.~~ *destroy when 2 years old.*

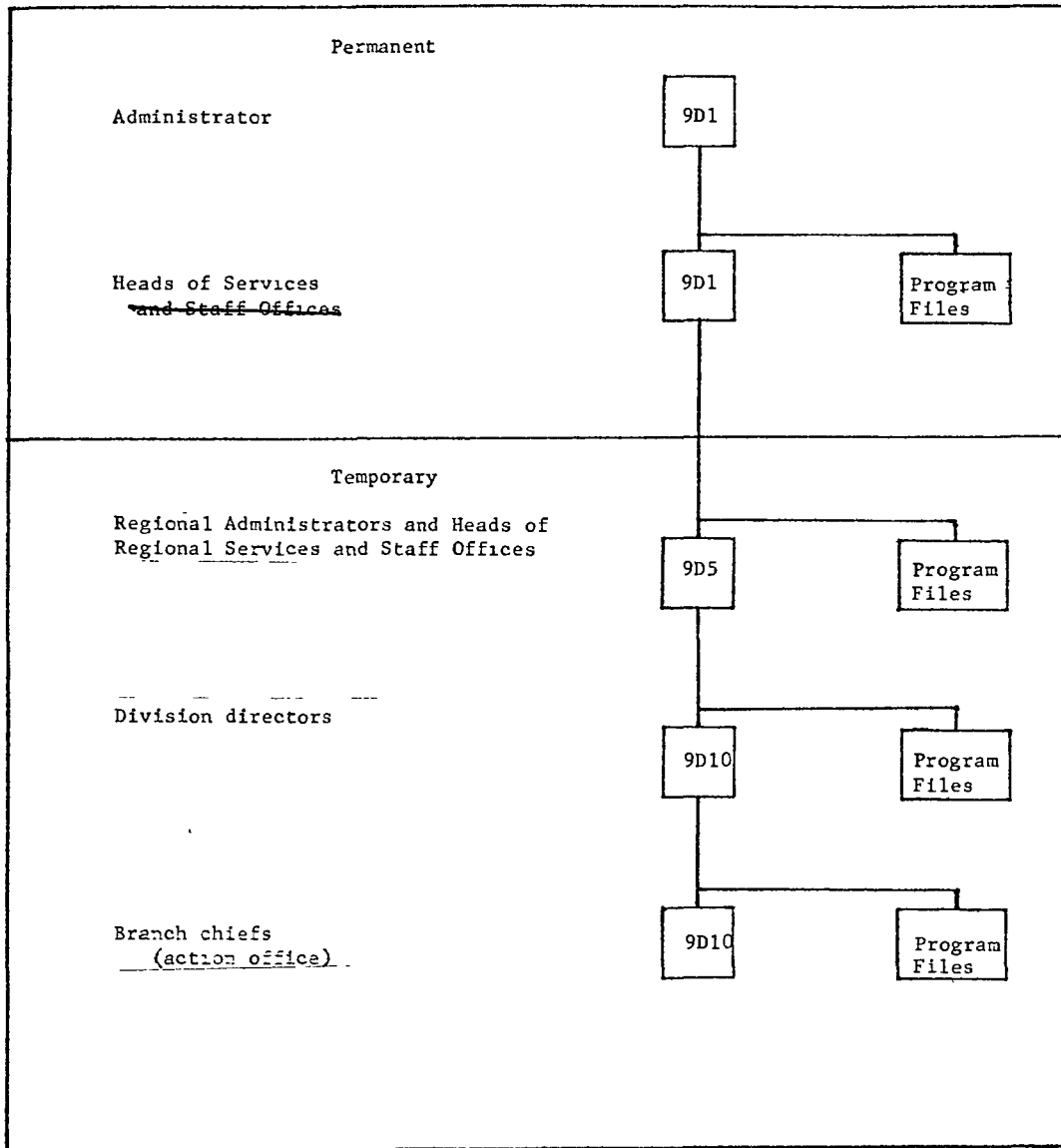


Figure 9D-1. Signatory levels