

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-288-93-2	DATE RECEIVED 7-14-93
1 FROM (Agency or establishment) NATIONAL ENDOWMENT FOR THE ARTS		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Administrative Services Division		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION		DATE 3-20-95	
4 NAME OF PERSON WITH WHOM TO CONFER Judith O'Brien, Records Officer	5 TELEPHONE 202-682-5401	ARCHIVIST OF THE UNITED STATES <i>Cindy Hickman Peltier</i>	

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 \_\_\_ 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 07/09/93	SIGNATURE OF AGENCY REPRESENTATIVE <i>Judith O'Brien</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Revised Comprehensive Records Schedule and Directive (see attached) <p><b>All changes to this proposed schedule have been approved by:</b></p> <p><i>Yvonne Wilson</i> 6/30/94 <i>Judith O'Brien</i> 7-7-94  <small>NARA appraiser date Agency representative date</small></p> <p>Per verbal concurrence received from agency, the following items have been withdrawn: 8, 9, 10, 14, 15, 41, and 43.  <i>Yvonne X. Wilson, 3/10/95.</i></p> <p><i>Copies sent to agency, NARS, NNT, NCF, NIA 3/24/95</i></p>		

**NATIONAL ENDOWMENT FOR THE ARTS**

Comprehensive Records Schedule

**CONTENTS**

RECORDS COMMON TO MOST OFFICES  
Items 1-20

OFFICE OF THE CHAIRPERSON  
Items 21-26

OFFICE OF THE SENIOR DEPUTY CHAIRPERSON  
Items 27-30

OFFICE OF THE DEPUTY CHAIRPERSON FOR PROGRAMS  
Items 31-40

PROGRAMS  
Items 41-60

OFFICE OF THE DEPUTY CHAIRPERSON FOR PUBLIC PARTNERSHIP  
Items 61-70

COUNCIL OPERATIONS  
Items 71-77

PANEL OPERATIONS  
Items 78-80

OFFICE OF POLICY, PLANNING AND RESEARCH  
Items 81-90

OFFICE OF THE GENERAL COUNSEL  
Items 91-98

OFFICE OF THE INSPECTOR GENERAL  
Items 99-101

OFFICE OF THE CONGRESSIONAL LIAISON  
Items 102-105

PUBLIC AFFAIRS  
Items 106-115

OFFICE OF THE DEPUTY CHAIRPERSON FOR MANAGEMENT  
Item 116

GRANTS OFFICE  
Item 117

CONTRACTS OFFICE  
Item 118

INFORMATION MANAGEMENT DIVISION  
Item 121

OTHER MACHINE READABLE ELECTRONIC RECORDS  
Items 122-123

NATIONAL ENDOWMENT FOR THE ARTS

Comprehensive Records Schedule  
1993

PART A

The records described in PART A of this records disposition schedule are commonly found throughout the Endowment. Record series descriptions and disposition instructions apply to all similar series found in the Endowment. Records series covering files unique to each office are covered in PART B of this schedule.

Records series identified as components of Privacy Act Systems are legally covered by the Privacy Act of 1974. Specific procedures for the destruction of these records are described in CFR §1228.58

RECORDS COMMON TO MOST OFFICES  
Items 1-20

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
1.	<p><b>GENERAL ADMINISTRATIVE FILES.</b></p> <p>Arranged alphabetically by subject.</p> <p>Correspondence with Federal agencies, state and local government offices, colleges and universities, non-profit organizations and individuals; copies of policy memoranda prepared for distribution to other offices within the Endowment; studies and reports; and other background materials. These files provide information on the administration of Endowment programs (budget, funding, and travel) and on specific programs developed by the office creating the series. The records are generated in nearly every Endowment office and are used primarily for general reference.</p> <p><u>Temporary.</u> Cut off files annually. Transfer to Federal Records Center when volume warrants. DESTROY when 5 years old. Selected files may be retained at the Endowment for reference purposes. DESTROY when 5 years old or no longer needed for reference, whichever is later.</p>	NC1-288-82-1, item 1

Item No.      Records Description & Disposition      Disposition Authority

2.      **BACKGROUND FILES ON ORGANIZATIONS.**

Arranged alphabetically by organization.

Publications, brochures, catalogs, and publicity materials received from organizations participating in Endowment programs. These general reference files are frequently updated. [These files are separate from grant end products and materials submitted with a grant application, which are scheduled under Items #9 & 10, respectively.]

Temporary. DESTROY when superseded, outdated or no longer needed for reference.

NC1-288-82-1, item 2

3.      **GENERAL REFERENCE FILES ON COUNCIL AND PANEL MEETINGS.**

General correspondence, copies of agenda and minutes, lists of participants, panelists' rating sheets, lists of applications to be reviewed, abstracts of applications to be reviewed, staff analyses of applications, individual program guidelines, biographies of panelists, and other background materials relating to conferences and meetings held by the Endowment.

Temporary. Cut off files annually. Transfer to Federal Records Center when volume warrants. DESTROY when 5 years old.

NC1-288-82-1, item 3

4.      **PANEL AND COUNCIL BOOKS.**

Duplicate copies of panel and Council books maintained by program offices for convenient reference. [See Item 72 for record copy included in Council Meeting Books.]

Temporary. DESTROY when 3 years old.

NC1-288-82-1, item 4

5.      **CHRONOLOGICAL, READING, OR DAY FILES.**

Arranged chronologically.

Copies of all correspondence and internal memoranda prepared within an office relating to all phases of its work. These files are generated for convenience of reference; record copies are located in other Endowment files.

Temporary. Cut off files annually. DESTROY when 3 years old.

NC1-288-82-1, item 5

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
6.	<p><b>PRESS CLIPPINGS FILES.</b></p> <p>Copies of press clippings received from clipping services and other sources, maintained to monitor the reception of Endowment programs by the news media.</p> <p><u>Temporary.</u> DESTROY when all administrative needs have ended.</p>	NC1-288-82-1, item 6
7.	<p><b>REJECTED AND WITHDRAWN GRANT APPLICATIONS.</b></p> <p>a. Application file.</p> <p>File containing the official application with related information and general correspondence between the program office and the applicant, including the rejection letter.</p> <p><b>Privacy Act System:</b> NEA-5.</p> <p><u>Temporary.</u> Cut off files annually. Transfer to Federal Records Center when volume warrants. DESTROY 3 years after rejection or withdrawal.</p> <p>b. Supporting materials.</p> <p>Playscripts, manuscripts, motion picture film, slides, music scores, video recordings, published books, catalogs, brochures and other similar items submitted by grant applicants to supplement the grant application.</p> <p><u>Temporary.</u> Return to applicant or destroy 90 days after Chairperson's post-NCA determination memo is signed for the Council meeting at which respective applications are reviewed.</p>	GRS 3, Item 13

tem No.      Records Description & Disposition

Disposition Authority

~~8.~~      **PROGRAM GRANT CASE FILES.**

Arranged alphabetically by name of grantee.

Official program case files for awarded grants consisting of copies of the application, grant award contract, approved budget with any amendments, general correspondence with the grantee concerning program matters, final narrative and expenditure reports, financial data sheet, and evaluative materials from reviewers and panelists.

**Privacy Act Systems:** NEA-6, NEA-8.

Temporary. Cut off files on completion of grant. Transfer to Federal Records Center when volume warrants. DESTROY 7 years after closeout of Grant Case File.

~~NI 298-92-4,  
item 8~~

Withdrawn  
3/10/95

~~9.~~      **GRANT END PRODUCT FILES.**

Playscripts, manuscripts, motion picture film, slides, music scores, video recordings, published books, and catalogs produced by grantees. The records are often maintained separately from the related program grant case files because of size and format.

Temporary. Transfer to the Federal Records Center when volume warrants. DESTROY 7 years after closeout of Grant Case File. Program officers will review end product files prior to destruction to determine that nothing of intrinsic value will be destroyed. [Note: For Design

Arts Grant End Products, see item #41]

~~NI 298-92-1, item 8~~

Withdrawn  
3/10/95

~~10.      **GRANT APPLICANT'S SUPPORTING MATERIALS.**~~

~~Playscripts, manuscripts, motion picture film, slides, music scores, video recordings, published books, catalogs, brochures and other similar items submitted by grant applicants to supplement the grant application. [NOTE: For Visual Artists Fellowships, see item #42.]~~

~~Temporary. Return to applicant or destroy 90 days after Chairperson's post-NCA determination memo is signed for the Council meeting at which respective applications are reviewed.~~

*Withdrawn  
3/10/95*

~~11.      **INDEXES AND LISTS FOR GRANT APPLICATION AND GRANT CASE FILES.**~~

~~Card indexes, final report logs and similar finding aids which facilitate reference use of the application and grant case files.~~

~~Temporary. DESTROY with the related records or sooner if no longer needed.~~

GRS 23, Item 9

~~12.      **GENERAL GRANT REFERENCE FILES.**~~

~~General reference files on grants maintained to produce statistical compilations for management studies and for analysis and planning.~~

~~Temporary. DESTROY when all administrative needs have ended.~~

NC1-288-82-1, item 11

~~13.      **ON-SITE VISIT REPORTS.**~~

~~Arranged alphabetically by organization.~~

~~Reports of on-site visits made for the purpose of accumulating artistic and administrative information about applicants. These reports may be a factor in panel deliberations. [Note: This is a distinct file of on-site reports. Copies of the report may also be found in item 8, "Program Grant Case Files."]~~

~~Temporary. Cut off files annually. Transfer to Federal Records Center when volume warrants. DESTROY when 5 years old.~~

NC1-288-82-1, item 12

Item No.      Records Description & Disposition      Disposition Authority

~~14.      **PROGRAM COOPERATIVE AGREEMENT CASE FILES.**~~

~~Arranged alphabetically.~~

~~Official program case files for awarded cooperative agreements consisting of copies of the cooperative agreement contract, approved budget with any amendments, correspondence with the organization awarded the cooperative agreement concerning program matters, expenditure reports and final reports.~~

~~Temporary. Cut off files upon completion of cooperative agreement. Transfer to Federal Records Center when volume warrants. DESTROY 7 years after the Contracts Office's Cooperative Agreement Case File is closed out.~~

*Withdrawn  
3/10/95*

~~15.      **COOPERATIVE AGREEMENT END PRODUCT FILES.**~~

~~Published books, manuscripts, catalogs, and reports produced by cooperators. The records are often maintained separately from the related program cooperative agreement case file because of size and format.~~

~~Temporary. Transfer to the Federal Records Center when volume warrants. DESTROY 7 years after closeout of Cooperative Agreement Case File. Program officers will review end product files prior to destruction. Those files that the agency must retain for longer than 7 years will be held by the program officers until destroyed.~~

*Withdrawn  
3/10/95*

16-20.      Reserved.

*Per discussion with agency.*

*YKW*



PART B

The records described in PART B of this records disposition schedule cover specific series created by individual Endowment offices. Many records covered in this section are designated as Permanent for eventual transfer to the National Archives because these series document the history of the Endowment. Retention periods assigned to the temporary records vary according to the reference needs of the creating office.

Records series identified as components of Privacy Act Systems are legally covered by the Privacy Act of 1974. Specific procedures for the destruction of these records are described in CFR §1228.58.

OFFICE OF THE CHAIRPERSON  
Items 21-30

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
<del>21.</del>	<del><b>GENERAL CORRESPONDENCE FILE.</b>  Arranged alphabetically by correspondent.  Original letters received and copies of letters sent to members of Congress, Council members, heads of federal agencies, state and local officials, consultants, arts organizations, and the general public. Subjects include prospective grant applications, nominations to the National Council on the Arts, program policies, and federal, state and local intergovernmental projects.  <u>Permanent</u>. Cut off files annually. Transfer to Federal Records Center when volume warrants. Transfer to the National Archives 5 years after incumbent Chairperson leaves office.  Yearly accumulation: 4 c.f.      Volume on hand:</del>	<del>NC1-288-82-1, <i>item 21</i></del>
<del>22.</del>	<del><b>TELEPHONE MESSAGE FILE.</b>  Records of telephone calls received in the Chairperson's office.  <u>Temporary</u>. DESTROY upon departure of incumbent Chairperson.</del>	<del>NC1-288-82-1, <i>item 22</i></del>
<del>23.</del>	<del><b>WHITE HOUSE CORRESPONDENCE WORKING FILES.</b>  Drafts and copies of final correspondence and messages prepared for the White House and Presidential messages. The records are maintained by a staff assistant to the Chairperson.  <u>Temporary</u>. Cut off files annually. DESTROY upon departure of incumbent Chairperson or when no longer needed.</del>	<del>NC1-288-82-1, <i>item 23</i></del>

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
<del>24.</del>	<p><b>SPEECHES OF THE CHAIRPERSON.</b></p> <p>Arranged chronologically.</p> <p>Record copy of all remarks, addresses, and speeches made by the Chairperson before Congress, during interviews, meetings, award ceremonies and similar occasions.</p> <p><u>Permanent.</u> Cut off files upon the departure of incumbent Chairperson. Transfer to the National Archives 5 years later.</p> <p>Yearly accumulation: .5 c.f.      Volume on hand:</p>	NC1-288-82-1, item 24
<del>25.</del>	<p><b>INTERNAL ENDOWMENT MEMORANDA.</b></p> <p>Significant memoranda with attachments exchanged between the Chairperson and Endowment staff.</p> <p><u>Permanent.</u> Cut off files upon departure of incumbent Chairperson. Transfer to the National Archives 5 years later.</p> <p>Yearly accumulation: 2 c.f.      Volume on hand:</p>	NC1-288-82-1, item 25
<del>26.</del>	<p><b>GENERAL SUBJECT FILES.</b></p> <p>Arranged alphabetically by subject.</p> <p>Combined topic and correspondence file. Topics include service organizations, President's Committee on the Arts &amp; Humanities, relevant issues... Correspondence in this series is <u>not</u> duplicated in Items 21 and 25.</p> <p><u>Permanent.</u> Cut off files upon departure of incumbent Chairperson. Transfer to the National Archives 5 years later.</p> <p>Yearly accumulation: 2 c.f.      Volume on hand:</p>	NC1-288-82-1, item 26

OFFICE OF THE SENIOR DEPUTY CHAIRPERSON  
Items 27-30

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
27.	<p><b>GENERAL CORRESPONDENCE WITH ENDOWMENT OFFICES.</b></p> <p>Correspondence with deputies and directors of Endowment offices concerning budget matters, policy issues, meetings, and specific grants.</p> <p><u>Permanent.</u> Cut off files annually. Transfer to Federal Records Center when volume warrants. Transfer to the National Archives 5 years after incumbent Senior Deputy Chairperson leaves office.</p> <p>Yearly accumulation: 1 c.f. Volume on hand:</p>	
28.	<p><b>GENERAL SUBJECT FILES.</b></p> <p>Arranged alphabetically by subject. Topics include Reauthorization, Office of Outreach, Intergovernmental Affairs, service organizations...</p> <p><u>Permanent.</u> Cut off files annually. Transfer to Federal Records Center when volume warrants. Transfer to the National Archives 5 years after incumbent Senior Deputy Chairperson leaves office.</p>	
29.	<p><b>TRIP FILES.</b></p> <p>Agenda, expenses, invitations and related records concerning trips taken by the Senior Deputy Chairperson.</p> <p><u>Temporary.</u> DESTROY when 5 years old.</p>	
30.	<p><b>GENERAL CORRESPONDENCE WITH FEDERAL AGENCIES AND ORGANIZATIONS.</b></p> <p>Arranged alphabetically by title of agency or organization.</p> <p>Correspondence with other Federal agencies such as the Smithsonian and the National Endowment for the Humanities and with organizations such as the American Film Institute concerning coordination with activities of the Endowment.</p> <p><u>Permanent.</u> Cut off files upon the departure of the incumbent Deputy Chairperson for Programs. Transfer to the National Archives 5 years later.</p> <p>Yearly accumulation: 1 c.f. Volume on hand:</p>	NC1-288-82-1, item 32

OFFICE OF THE DEPUTY CHAIRPERSON FOR PROGRAMS  
Items 31-40

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
<del>31.</del>	<del><b>GENERAL CORRESPONDENCE WITH PROGRAM OFFICES.</b> Arranged alphabetically by Endowment program. Correspondence with directors of each program area concerning budget matters, policy issues, meetings, and specific grants. Includes correspondence with the Director of Program Coordination. <u>Permanent</u>. Cut off files annually. Transfer to Federal Records Center when volume warrants. Transfer to the National Archives 5 years after incumbent Deputy Chairperson for Programs leaves office. Yearly accumulation: 3 c.f.      Volume on hand:</del>	<del>NC1-288-82-1, item 31</del>
<del>32.</del>	<del><b>GENERAL SUBJECT FILES.</b> Arranged alphabetically by subject. Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Deputy Chairperson for Programs. These records are maintained for convenience of reference. <u>Temporary</u>. DESTROY when 5 years old.</del>	<del>NC1-288-82-1, item 33</del>
<del>33.</del>	<del><b>GENERAL RECORDS ON PROGRAM PANELS.</b> General correspondence with individual panelists, biographical sketches of panelists, lists of panelists for each program, letters of recommendation, and other miscellaneous records concerning panel meetings. <u>Temporary</u>. DESTROY when 5 years old.</del>	<del>NC1-288-82-1, item 34</del>
<del>34.</del>	<del><b>TRIP FILES.</b> Agenda, expenses, invitations, and related records concerning trips taken by the Deputy Chairperson for Programs. <u>Temporary</u>. DESTROY when 5 years old.</del>	<del>NC1-288-82-1, item 35</del>

Item No.      Records Description & Disposition      Disposition Authority

~~35.      **MISCELLANEOUS CORRESPONDENCE.**~~  
~~Correspondence with non-profit arts organizations, thank you notes and other records not related to specific Endowment programs.~~  
~~Temporary. DESTROY when 2 years old.~~      NC1-288-82-1, item 36

36-40      RESERVED.

PROGRAMS  
Items 41-60

~~41.      **DESIGN ARTS GRANT END PRODUCT FILES.**~~  
~~Manuscripts, films, slides, video recordings, published books, architectural plans, surveys, and catalogs produced by grantees. The records are maintained separately from the related program grant case files because of size and format.~~  
~~Temporary. Cut off files annually. Transfer to Design Access Clearinghouse one year after close out of grant. Maintain at Design Access Clearinghouse indefinitely.~~  
~~until no longer needed.~~

Withdrawn  
3/10/95

~~NI 288-92-1,  
item 8~~

~~42.      **SLIDE SHOW AND EXHIBIT SLIDE FILES.**~~  
~~Arranged by subject.~~  
~~35mm color slides created for use in Design Arts Program slide shows, exhibits and related projects.~~  
~~Temporary. DESTROY when no longer needed for administrative use.~~

NC1-288-82-1, item 42

~~43.      **VISUAL ARTISTS FELLOWSHIPS GRANT APPLICANT'S SUPPORTING MATERIALS.**~~  
~~Slides submitted by individual grant applicants to supplement the grant application.~~  
~~Temporary. Destroy when no longer needed.~~

Withdrawn  
3/10/95

44-60.      RESERVED

OFFICE OF THE DEPUTY CHAIRPERSON FOR PUBLIC PARTNERSHIP  
Items 61-70

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
61.	<p><b>GENERAL CORRESPONDENCE WITH PARTNERSHIP PROGRAM OFFICES and REGIONAL REPRESENTATIVES.</b></p> <p>Correspondence with directors of each partnership program and regional representatives concerning budget matters, policy issues, meetings, and specific grants.</p> <p><u>Permanent.</u> Cut off files annually. Transfer to Federal Records Center when volume warrants. Transfer to the National Archives 5 years after incumbent Deputy Chairperson for Partnership leaves office.</p> <p>Yearly accumulation: 3 c.f.      Volume on hand:</p>	<p>New record -NC1-288-82-1-</p>
<del>62.</del>	<p><del><b>GENERAL SUBJECT FILES.</b></del></p> <p><del>Arranged alphabetically by subject.</del></p> <p><del>Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Deputy Chairperson for Partnership. These records are maintained for convenience of reference.</del></p> <p><del><u>Temporary.</u> DESTROY when 5 years old.</del></p>	<p><del>NC1-288-82-1, item 87</del></p>
<del>63.</del>	<p><del><b>GENERAL RECORDS ON PARTNERSHIP PROGRAM PANELS.</b></del></p> <p><del>General correspondence with individual panelists, biographical sketches of panelists, lists of panelists for each program, letters of recommendation, and other miscellaneous records concerning panel meetings.</del></p> <p><del><u>Temporary.</u> DESTROY when 5 years old.</del></p>	<p><del>NC1-288-82-1, item 87</del></p>
<del>64.</del>	<p><del><b>TRIP FILES.</b></del></p> <p><del>Agenda, expenses, invitations, and related records concerning trips taken by the Deputy Chairperson for Partnership.</del></p> <p><del><u>Temporary.</u> DESTROY when 5 years old.</del></p>	<p><del>NC1-288-82-1, item 87</del></p>

Item No.      Records Description & Disposition      Disposition

65.      **MISCELLANEOUS CORRESPONDENCE.**

Correspondence with non-profit arts organizations, thank you notes and other records not related to specific Endowment programs.

Temporary. DESTROY when 2 years old.

GRS 23, item 7

~~NEI-288-82-1~~

66-70

RESERVED

COUNCIL OPERATIONS  
Items 71-77

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition</u>
71.	<p><b>MINUTES OF THE NATIONAL COUNCIL ON THE ARTS.</b></p> <p>Arranged chronologically by meeting.</p> <p>Official minutes of the meetings of the National Council on the Arts. Included are discussions on general policy issues as well as the Council's recommendations on specific grant awards.</p> <p><u>Permanent</u>. Transfer to the National Archives in 5 year blocks when 10 years old.</p> <p>Yearly accumulation: .5 c.f.      Volume on hand:</p>	NC1-288-82-1, item 63
72.	<p><b>PROCEEDINGS OF THE NATIONAL COUNCIL ON THE ARTS.</b></p> <p>Arranged chronologically by meeting.</p> <p>Official transcripts of the meetings of the National Council on the Arts. Included are discussions on general policy issues, as well as the Council's recommendations on specific grant awards.</p> <p><u>Permanent</u>. Transfer to the National Archives in 5 year blocks when 10 years old.</p>	
73.	<p><b>COUNCIL MEETING BOOKS.</b></p> <p>Arranged chronologically by meeting.</p> <p>Each meeting book includes agenda, policy papers, grants under review, and other background materials.</p> <p><u>Permanent</u>. Transfer to the National Archives in 5 year blocks when 10 years old.</p> <p>Yearly accumulation: 1 c.f.      Volume on hand:</p>	NC1-288-82-1, item 64



<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition</u>
74.	<p><del>GENERAL COUNCIL MEETINGS FILES.</del></p> <p><del>Correspondence with members, news releases, extra copies of agenda and minutes, reports to GSA on advisory committee activities, and similar records.</del></p> <p><del>Temporary. DESTROY when 5 years old.</del></p>	NC1-288-82-1, item 65
75.	<p><del>COUNCIL MEMBER FILES.</del></p> <p><del>Correspondence with members of the National Council on the Arts, biographies, letters of recommendation, internal memoranda, and related records.</del></p> <p><del>Temporary. DESTROY when 5 years old.</del></p>	NC1-288-82-1, item 66
76 - 77	RESERVED	

PANEL OPERATIONS

78.	<p><del>GENERAL PANEL MEETINGS FILES.</del></p> <p><del>Correspondence with panelists, news releases, extra copies of agenda and minutes, reports to GSA on advisory committee activities, and similar records.</del></p> <p><del>Temporary. DESTROY when 5 years old.</del></p>	NC1-288-82-1, item 65
79 - 80	RESERVED	

OFFICE OF POLICY, PLANNING, RESEARCH ~~AND BUDGET~~  
Items 81-90

*l*  
(office name change on  
of 11/93. 2015)

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
81.	<p><b>POLICY STUDIES FILE.</b></p> <p>Record copies of formal reports conducted by the Office of Policy and Planning on various topics. Such topics include State of the Arts reports, education surveys, health insurance for artists and arts organizations.---</p> <p><u>Permanent.</u> Transfer to National Archives 5 years after incumbent director leaves office.</p> <p>Yearly accumulation: 2 c.f. Volume on hand:</p>	
82.	<p><b>GENERAL PROGRAM CORRESPONDENCE.</b></p> <p>Arranged by program office and then by subject.</p> <p>Correspondence with programs concerning administrative and policy matters, grants, consultants, meetings, agreements, and other miscellaneous matters.</p> <p><u>Permanent.</u> Transfer to National Archives 5 years after incumbent director leaves office.</p> <p><del><u>Temporary.</u> Destroy when 5 years old.</del></p> <p>Yearly accumulation: 3 c.f. Volume on hand:</p>	NC1-288-82-1, item 61
83.	<p><b>GENERAL SUBJECT FILES.</b></p> <p>Arranged alphabetically by subject.</p> <p>Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Director of Policy, Planning and Research.</p> <p><u>Temporary.</u> DESTROY when 5 years old.</p>	NC1-288-82-1, item 62
84.	<p><b>ENDOWMENT INTERNAL WORKING GROUP FILES.</b></p> <p>Arranged by Working group and then by subject.</p> <p>Reports, minutes of meetings, correspondence, and other miscellaneous matters connected to agency working groups.</p> <p><u>Temporary.</u> DESTROY when all administrative needs have ended.</p>	

Item No.      Records Description & Disposition

Disposition Authority

Budget

85.      **ESTIMATES OF APPROPRIATIONS.**

Formal budget proposals prepared by the Endowment and sent to the Office of Management and Budget and to Congress for review. The information is presented in statistical and narrative form and is related to the general fiscal needs of the agency as well as specific requirements of individual programs for the coming fiscal year. [The Endowment's budget proposals are scheduled for permanent retention by OMB.]

Temporary. DESTROY 4 years after the close of the fiscal year covered by the budget.

GRS 5, Item 2

86.      **BUDGET POLICY FILES.**

Arranged alphabetically by subject.

Subject files in the Budget Office documenting Endowment policy and procedures governing budget administration and reflecting policy decisions affecting expenditures for agency programs. [Budget policy records are retained permanently in the program correspondence files in the Offices of the Chairperson and the Deputy Chairperson for Programs.]

Temporary. DESTROY when all administrative needs have ended.

NC1-288-82-1, item 99

87-90

RESERVED

OFFICE OF THE GENERAL COUNSEL  
Items 91-98

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
91.	<b>OFFICE ADMINISTRATION FILES.</b>  Arranged alphabetically by subject.  Correspondence, internal memoranda, copies of grant applications, brochures, news clippings and other records related to the functions of the General Counsel.  <u>Temporary.</u> DESTROY when 5 years old.	NC1-288-82-1, item 71
92.	<b>LITIGATION CASE FILES.</b>  Arranged by Case Name.  Draft and final pleadings, briefs, courts, discovery documents and other court records related to specific law suits. <i>cut off file when case is closed.</i> <u>Temporary.</u> DESTROY when 10 years old, unless litigation is still pending.	
93.	<b>PROGRAM FILES.</b>  Arranged by Program.  Inquiries, internal memoranda to and from program offices, generally concerning specific grant issues.  <u>Temporary.</u> DESTROY when 5 years old or when all administrative needs have been met.	NC1-288-82-1, item 71
	<b><u>LEGISLATION FILES.</u></b>	
94.	<b>REAUTHORIZATION.</b>  Record copies of Reauthorization bills; correspondence with Congressional Liaison, Chairman and other Endowment staff concerning reauthorization.  <u>Permanent.</u> Transfer to the National Archives 10 years after Reauthorization.	Annual accumulation _____ Volume on hand _____
95.	<b>APPROPRIATION.</b>  Copies of annual Endowment appropriation bills, including subcommittee and committee drafts and reports.  <u>Temporary.</u> DESTROY when 5 years old or when all administrative needs have been met.	

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition</u>
96.	<p><b>ETHICS, POLICY, AND LEGAL ADVICE FILES.</b></p> <p>Subject files documenting Endowment policy and procedures governing standards of conduct and ethics for staff and panelists. Correspondence with Office of Government Ethics, General Accounting Office, agency staff, panelists, council members, applicants, and grantees on ethics issues.</p> <p><u>Temporary.</u> Destroy when 5 years old.</p>	
97.	<p><b>LEGAL COUNSEL TO THE INSPECTOR GENERAL CASE FILES.</b></p> <p>Correspondence, internal memoranda, and other records related to cases referred to the General Counsel's Office by the Inspector General.</p> <p><u>Temporary.</u> Destroy when all administrative needs have been met.</p>	
98.	<p><del><b>FREEDOM OF INFORMATION ACT CONTROL FILES.</b></del></p> <p><del>Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.</del></p> <p><del>NOTE: For other files related to FOIA, see GRS 14 Items 11-15.</del></p> <p><u>Temporary.</u> Cut off files annually. Destroy when 6 years old.</p>	GRS 14: 11-15

OFFICE OF THE INSPECTOR GENERAL  
Items 99-101

Item No.      Records Description & Disposition      Disposition Authority

~~99.      **AUDIT, SURVEY, AND INDIRECT COST CASE FILES.**~~

~~Records relating to the Endowment's audits and surveys of grantees including evaluations of indirect costs related to individual grantees. The audits and surveys are usually conducted on-site by Endowment personnel. Records consist of final reports, supporting workpapers, and follow-up files documenting the Endowment's efforts to monitor implementation of the recommendations made in the reports.~~

~~Temporary. Cut off file at end of fiscal year in which case is closed. DESTROY 8 years after cut off.~~

GRS 22, Item 2

~~100.      **COGNIZANT AGENCY AUDIT FILES.**~~

~~Copies of reports, workpapers, and follow-up documentation received from college and university grantees and sent to the Endowment for information. These records are maintained for only those grants in which the Endowment is not the primary "cognizant" grantor, but has awarded some funds.~~

~~Temporary. Cut off file 1 year after recommendations have been resolved. DESTROY when all administrative needs have ended.~~

NC1-288-82-1, item 93

~~101.      **SPECIAL PROJECT CASE FILES.**~~

~~Working project files concerning special attention actions such as new directives from the General Accounting Office and the Office of Management and Budget and proposed new audit procedures.~~

~~Temporary. Cut off file upon completion of project. DESTROY when all administrative needs have ended.~~

NC1-288-82-1, item 94

OFFICE OF THE CONGRESSIONAL LIAISON  
Items 102-105

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
<del>102.</del>	<del><b>CORRESPONDENCE WITH MEMBERS OF CONGRESS.</b>  Arranged by Member of Congress.  Mail received from Senate and House members concerning specific grants or artists and arts organizations. Responses prepared for the Endowment's Chairperson are included.  <u>Temporary.</u> DESTROY one year after Congressperson has left office.</del>	<del>NC1-288-82-1, item 81</del>
103.	<b>BACKGROUND FILES ON LEGISLATION.</b>  Copies of legislation and related hearings on Endowment bills for annual appropriations and periodic reauthorization.  <u>Permanent.</u> Transfer to the National Archives in 5 year blocks when 10 years old.	
<del>104.</del>	<del><b>CONGRESSIONAL BRIEFING BOOKS.</b>  Background reports including statistics prepared for hearings before congressional committees.  <u>Temporary.</u> DESTROY when 2 years old or when no longer needed.</del>	<del>NC1-288-82-1, item 83</del>
105.	RESERVED	

PUBLIC AFFAIRS  
Items 106-115

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
<del>106.</del>	<del><b>ENDOWMENT PUBLICATIONS.</b>  Alphabetically arranged by publication title.  Record copy of each Endowment publication including the <i>Annual Report, Guide to Programs, Artifacts</i>, and individual program guidelines.  <u>Permanent.</u> Transfer to the National Archives in 5 year blocks when 10 years old.  Yearly accumulation: c.f. Volume on hand:</del>	<del>NC1-288-82-1, item 38</del>
<del>107.</del>	<del><b>PUBLICATION WORKING FILES.</b>  Artwork, drafts, approvals, and similar background records relating to the preparation of Endowment publications.  <u>Temporary.</u> DESTROY 1 year after publication or when no longer needed, whichever is later.</del>	<del>NC1-288-82-1, item 39</del>
<del>108.</del>	<del><b>ORIGINAL ARTWORK AND CAMERA-READY COPY.</b>  Artwork and camera-ready copy material prepared for publication.  <u>Temporary.</u> Destroy one year after publication or when no longer needed for publication or reprinting.</del>	<del>GRS 21, Items 6, 7</del>
<del>109.</del>	<del><b>STILL PHOTOGRAPH FILE.</b>  Arranged by subject, chronologically therein.  Record set of black-and-white photographs of the Chairperson in official activities, Endowment-supported artists and activities, National Council on the Arts, and other significant agency events. File includes prints, contact sheets, and some negatives.  <u>Permanent.</u> Cut off file every 5 years. Transfer to the National Archives in 5 year blocks 5 years after cut off. Print copies of significant still photographs will be maintained at the Endowment for reference purposes.  Yearly accumulation: 2 c.f. Volume on hand:</del>	<del>NC1-288-82-1, item 13</del>



OFFICE OF THE DEPUTY CHAIRMAN FOR MANAGEMENT  
Item 116

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
116.	<p><b>GENERAL SUBJECT FILES.</b></p> <p>Arranged alphabetically by subject.</p> <p>Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Deputy Chairperson for Management. These records are maintained for convenience of reference.</p> <p><u>Temporary.</u> DESTROY when 5 years old.</p>	<p>GRS 23, item 7 NEI-288-82-1</p>
	<p>GRANTS OFFICE Item 117</p>	
117.	<p><b>GRANTS OFFICE CASE FILES.</b></p> <p>Arranged by grant case number.</p> <p>Official Grants Office case file for awarded grants consisting of the original application, general correspondence with grantee concerning fiscal matters, grant award contract, revised and approved budgets, amendments to the grant, requests for advance or reimbursement of monies, final reports and file closeout forms.</p> <p><b>Privacy Act Systems:</b> NEA-5, NEA-6, NEA-8.</p> <p><u>Temporary.</u> Cut off files on completion of grant. Transfer to Federal Records Center when volume warrants. DESTROY 7 years after closeout of Grant Case File.</p>	<p>NI-288-92-1, item 116</p>
	<p>CONTRACTS OFFICE Item 118</p>	
118.	<p><b>CONTRACTS OFFICE COOPERATIVE AGREEMENT CASE FILES.</b></p> <p>Arranged by DCA number.</p> <p>Official Contracts Office case file for awarded cooperative agreements consisting of the original application, general correspondence with the institution or individual awarded cooperative agreement concerning fiscal matters, contract, revised and approved budgets, final reports and file closeout forms.</p> <p><u>Temporary.</u> Cut off files upon completion of cooperative agreement. Transfer to Federal Records Center when volume warrants. DESTROY 6 years, 3 months after closeout.</p>	<p>GRS 6, item 1 a</p>
119-120.	<p>RESERVED</p>	

INFORMATION MANAGEMENT DIVISION  
MACHINE READABLE ELECTRONIC RECORDS  
Items 121-130

<u>Item No.</u>	<u>Records Description &amp; Disposition</u>	<u>Disposition Authority</u>
121.	<p><b>GRANTS MANAGEMENT SYSTEM.</b></p> <p><b>Privacy Act Systems:</b> NEA-5, NEA-6, NEA-8.</p> <p>a. Application File.</p> <p>A system of machine-readable records which document key descriptive elements of a grant applicant (organization or individual), applying to the Endowment for financial assistance, in a specific grant category, in a given fiscal year. The application file is part of a Grants Management System, and is used in the general administration of the grant review process, statistical research, congressional oversight and analysis of trends. Some data elements include: application year, application number, applicant name, project director, application program and category codes, amount requested, project start and end dates, and Council meeting number.</p> <p><u>Permanent.</u> Cut off annually. Transfer annually to the National Archives in 1 year blocks when 7 years old.</p> <p>b. Grant File.</p> <p>A system of machine-readable records which document the life cycle of grant awards (approximately 80% to organizations and 20% to individuals) from initial input as grant applications to projects' ending and completion dates. The grant file is a part of a Grants Management System, and is used in the general administration of the grant review and award process, statistical research, congressional oversight, and analysis of trends. Pertinent descriptive data elements on each grant include: fiscal year of grant, grant number, grantee name, project director, application program and category codes, amounts requested and recommended, project start and end dates, Council meeting number, grant amendment number, geographic codes, accounting code and project description lines.</p> <p><u>Permanent.</u> Cut off annually. Transfer to the National Archives on an annual basis file of 7 year-old closed-out grants.</p>	<p>NC1-288-82-1, item 103</p> <p>NC1-288-82-1, item 103</p>

122.      **DESIGN ARTS PROGRAM GRANTS DATA BASE.**

Developed in 1978, this data base is a computerized listing of all grants awarded by the Endowment's Design Arts Program since 1966. Its purpose is to cost effectively house, code and disseminate information on projects funded by the program and to make available a rapid response system for filling all requests for information from the Endowment and the field. Each grant has a computerized file containing, but not limited to, the grantee, contact name and address, grant number, amount of money awarded, fiscal year, titles and types of final and supplemental reports, and whether any films or other graphic material was submitted. A 3-15 line abstract describes the scope and purpose of each grant and each grant is indexed by subject areas from a list of over 375 key words.

Temporary. DESTROY individual data elements when superseded or no longer required for program use.

NC1-288-82-1, item 104

123.      **AUTOMATED PANEL BANK SYSTEM FILE.**

The machine-readable records in this file contain information on grant or policy panelists, and period of service on advisory panels to the Endowment. It is used by Endowment staff responsible for locating and placing qualified individuals on peer review panels. Pertinent descriptive data elements on each panelist include name, title, address, arts field and expertise, qualifications, ethnicity, panel service history, gender, and social security number.

Temporary. DESTROY individual data elements when superseded or no longer required for program use.

NC1-288-82-1, item 106