

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

19 Jul 82

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

1. FROM (AGENCY OR ESTABLISHMENT)  
NATIONAL ENDOWMENT FOR THE ARTS

2. MAJOR SUBDIVISION  
OFFICE OF ADMINISTRATION

3. MINOR SUBDIVISION  
ADMINISTRATIVE SERVICES

4. NAME OF PERSON WITH WHOM TO CONFER  
Donald L. Case

5. TEL EXT  
634-6378

LEAVE BLANK	
JOB NO	NC1-288-82-1
DATE RECEIVED	July 19, 1982
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.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	11-8-82 <i>[Signature]</i> Archivist of the United States

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 <i>14 July 82</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE Deputy Chairman for Management
------------------------------	---	--

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN																																																				
	<p>The attached RECORDS CONTROL SCHEDULE provides disposition authority for records created by the National Endowment for the Arts except those covered by the General Records Schedules (FPMR 101-11.4).</p> <table border="0"> <tr> <td><u>PART A</u></td> <td align="right"><u>ITEMS</u></td> <td></td> <td></td> </tr> <tr> <td>General Records</td> <td align="right">1 - 15</td> <td></td> <td></td> </tr> <tr> <td><u>PART B</u></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Office of the Chairperson</td> <td align="right">21 - 26</td> <td></td> <td></td> </tr> <tr> <td>Office of the Deputy Chairperson for Programs</td> <td align="right">31 - 55</td> <td></td> <td></td> </tr> <tr> <td>Office of Policy, Planning and Research</td> <td align="right">61 - 67</td> <td></td> <td></td> </tr> <tr> <td>Office of the General Counsel</td> <td align="right">71</td> <td></td> <td></td> </tr> <tr> <td>Public Affairs</td> <td align="right">75</td> <td></td> <td></td> </tr> <tr> <td>Congressional Liaison</td> <td align="right">81 - 83</td> <td></td> <td></td> </tr> <tr> <td>Office of Partnership</td> <td align="right">87</td> <td></td> <td></td> </tr> <tr> <td>Audit</td> <td align="right">91 - 94</td> <td></td> <td></td> </tr> <tr> <td>Budget</td> <td align="right">98 - 99</td> <td></td> <td></td> </tr> <tr> <td>Machine-readable Records</td> <td align="right">103 - 109</td> <td></td> <td></td> </tr> </table>	<u>PART A</u>	<u>ITEMS</u>			General Records	1 - 15			<u>PART B</u>				Office of the Chairperson	21 - 26			Office of the Deputy Chairperson for Programs	31 - 55			Office of Policy, Planning and Research	61 - 67			Office of the General Counsel	71			Public Affairs	75			Congressional Liaison	81 - 83			Office of Partnership	87			Audit	91 - 94			Budget	98 - 99			Machine-readable Records	103 - 109			64 Items	
<u>PART A</u>	<u>ITEMS</u>																																																						
General Records	1 - 15																																																						
<u>PART B</u>																																																							
Office of the Chairperson	21 - 26																																																						
Office of the Deputy Chairperson for Programs	31 - 55																																																						
Office of Policy, Planning and Research	61 - 67																																																						
Office of the General Counsel	71																																																						
Public Affairs	75																																																						
Congressional Liaison	81 - 83																																																						
Office of Partnership	87																																																						
Audit	91 - 94																																																						
Budget	98 - 99																																																						
Machine-readable Records	103 - 109																																																						

*Closed out: 11-24-82: cm*  
*Copies to NCW, NNB, NNF, NNS & Agency*

## PART A

The records described in Part A of this records disposition schedule are commonly found throughout the agency. The series descriptions are generic in that they relate to various records series having similar characteristics. The disposition instructions apply to all such series found in the agency unless otherwise indicated in Part B.

1. General Program Files.

Arranged alphabetically by subject.

Correspondence with Federal agencies, state and local government offices, colleges and universities, and private cultural organizations; copies of policy memoranda prepared by offices within the Endowment and maintained by the operating office for general reference; copies of policy memoranda prepared by the operating office for distribution to other elements within the Endowment; studies and reports; and other background materials relating to all phases of the work of operating offices. These files provide information on the administration of Endowment programs (budget, funding, and travel) as well as information on specific programs developed by the office creating the series. The records are generated in nearly every functional office in NEA and are used primarily for general reference.

Break files annually. DESTROY when 5 years old.

2. Background Files on Cultural Organizations.

Arranged alphabetically by organization.

Publications, brochures, catalogs, and publicity materials received by Endowment offices from organizations participating in NEA programs. These files are used for general reference by staff members and are frequently updated.

DESTROY superseded or outdated items annually.

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 various conferences and meetings held by the Endowment.

Break Files annually. DESTROY when 5 years old.

4. Panel and Council Books

Duplicate copies of panel and Council books maintained by program offices for convenient reference. (See Item 64).

DESTROY when 5 years old.

5. Chronological, Reading, or Day Files.

Arranged chronologically by date.

Carbon or electrostatic 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 since record copies of the correspondence or memoranda are found in other Endowment files.

Break files annually. DESTROY when 3 years old.

6. Press Clippings Files.

Copies of press clippings normally received from a clippings service and maintained to monitor the reception of various Endowment programs by the news media.

DESTROY when all administrative needs have ended.

7. Rejected Grant Applications.

Application folders consisting of the official application with supporting materials and general correspondence between the program office and the applicant including the rejection letter.

DESTROY when 3 years old. (GRS 3, Item 14a)

8. Grant Case Files.

Arranged by grant case number.

Official case files for awarded grants consisting of the original application, general correspondence with the grantee concerning program and fiscal matters, grant award contract, approved budget with any amendments, final narrative and expenditure reports, final grant products (including audiovisual records), financial data sheet, evaluative materials from reviewers and panelists, newspaper clippings, and other background materials received from the grantee. Although each program office and the Grants Office maintain separate sets of the grant case files, these two sets of case files are consolidated when the grant is completed. If physically separated, the disposition of audiovisual materials such as 16mm motion picture films and video recordings must conform to the standards described below unless separately identified in items listed under Part B.

- a. Unique grant case files selected by Endowment officers because they meet one or more of the following criteria:
- (1) the grant established a precedent for changing Endowment procedures,
  - (2) the grant was the subject of extensive litigation,
  - (3) the grant received widespread attention from the news media,
  - (4) the grant was widely recognized for its excellence by scholars and others active in the arts, or
  - (5) the grant was reviewed at length in the narrative portions of the Endowment's annual report.

Break files on completion of the grant. Consolidate program office and Grants Office folders. Destroy all duplicates. PERMANENT. Transfer to Records Holdings Area. Offer to NARS when 10 years old.

*in 5 year blocks*

b. All other grant case files.

Close file upon completion of the grant. Consolidate program office and Grants Office folders. DESTROY all duplicates. Transfer to the Washington National Records Center when 5 years old. DESTROY when 15 years old.

9. End Product Files.

Play scripts, manuscripts, motion picture film, slides, music scores, video recordings, published books, and catalogs produced by a grantee. These records are often maintained separately from the related grant case files because of their size.

DESTROY when 15 years old unless scheduled for permanent retention under Item 8a or under items listed in Part B, (NEA may request permission to donate records per FPMR 101-11.406-9c.)

10. 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.

DESTROY when the records for which the index was prepared are destroyed.

11. General Grant Reference Files.

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

DESTROY when all administrative needs have ended.

12. On-Site Visit Reports.

Reports of on-site visits made to determine the quality of an event of a performing organization. Grants are sometimes awarded based on the results of these visits.

DESTROY when 5 years old.

13. Still Photograph File, 1967-forward.

Arranged by subject, and thereunder chronologically.

Annual rate of accumulation is about 2 feet.

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.

PERMANENT. Break file every 5 years. Offer to NARS *in 5 year blocks* 5 years after file break or when no longer needed for administrative use *and in accordance with GRS 71.*

14. Television Public Service Announcements, 1978-forward.

Unarranged.

Annual rate of accumulation is negligible.

16mm and 8mm loop color motion picture film spot announcements which publicize the work of the Endowment.

PERMANENT. Offer to NARS *in 5 year blocks* 5 years after date of broadcast or when no longer needed for administrative use.

15. Public Information Motion pictures, 1969-forward.

Arranged by title.

Annual rate of accumulation is negligible.

16mm color motion pictures which acquaint the public with the work of various agency programs including Design Arts, Expansion Arts, and Artists-in-Schools.

PERMANENT. Break file every 10 years. Offer to NARS *in 5 year blocks* 10 years after file break or when no longer needed for administrative use.

16.-20. Items 16-20 are reserved.

PART B

This portion of the records disposition schedule describes specific series of records created by various Endowment offices. Many of these have been designed for transfer to the National Archives for permanent retention to document the history of the agency. Retention periods assigned to the temporary records vary according to the reference needs of the creating office.

OFFICE OF THE CHAIRPERSON

21. General Correspondence File.

Arranged alphabetically by correspondent (4cf/yr).

Original letters received from and carbon or electrostatic copies of letters sent to members of Congress, Council members, heads of Federal agencies, state and local officials, consultants, college and university presidents, and directors of art organizations. Subjects include prospective grant applications, nominations to the National Council on the Arts, government-wide activities, as well as specific program areas.

PERMANENT. Offer to NARS all General Correspondence created by the incumbent Chairperson 5 years after leaving office.

22. Telephone Message File.

Records of incoming telephone calls received by the Chairperson's office and subsequently returned.

DESTROY when 1 year old.

23. White House Correspondence Working Files.

Drafts and copies of final correspondence and messages prepared for the White House concerning ceremonies relating to the arts. The records are maintained by a staff assistant to the Chairperson.

DESTROY when 2 years old.

24. Speeches of the Chairperson.

Arranged chronologically (6in/yr).

One record copy of all remarks, addresses, and speeches made by the Chairperson before professional groups, during interviews, in Congress, at award ceremonies, and similar occasions.

PERMANENT. Offer to NARS all Speeches created by the incumbent Chairperson 5 years after leaving office.

25. Internal Endowment Memoranda.

Arranged alphabetically by program (1cf/yr).

Memoranda with attachments exchanged between the Chairperson and his senior advisors concerning specific program areas of the Endowment.

PERMANENT. Offer to NARS all Memoranda created by the incumbent Chairperson 5 years after leaving office.

26. General Subject Files.

Arranged alphabetically by subject (2cf/yr).

Combined project and correspondence files. Project files include publications and minutes of meetings and concern such matters as the Olympic Cultural Committee, Federal Design Asembly, and Endowment anniversary programs. Correspondence files include internal memoranda exchanged between the Chairperson and the Endowment's administrative offices such as Congressional Liaison and the General Counsel. Correspondence found in this series is not duplicated in Item 21.

PERMANENT. Offer to NARS all General Subject Files created by the incumbent Chairperson 5 years after leaving office.

27.-30. Items 27-30 are reserved.



OFFICE OF THE DEPUTY CHAIRPERSON FOR PROGRAMS

31. General Program Correspondence.

Arranged alphabetically by Endowment program (3cf/yr).

Correspondence with the directors of each program area of the NEA concerning topics such as budget matters, policy issues, meetings, and specific grants. Also includes correspondence with the Directors for Program Coordination and Publications as well as with the NEA's twelve regional representatives.

PERMANENT. Offer to NARS all records created by the incumbent Deputy Chairperson 5 years after leaving office.

32. General Correspondence with Federal Agencies and Organizations.

Arranged alphabetically by title of agency or organization (9 in/yr).

Correspondence with other Federal agencies such as the Smithsonian Institution and the National Endowment for the Humanities and with private organization's such as the American Film Institute and the National Opera Institute concerning coordination with the NEA.

PERMANENT. Offer to NARS all records created by the incumbent Deputy Chairperson for Program 5 years after leaving office.

33. General Subject Files.

Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Deputy Chairperson for Programs. These offices include the Chairperson, Public Affairs, Congressional Liaison, General Counsel, and the Deputy Chairperson for Policy and Planning. These records are maintained for convenience of reference.

DESTROY when 5 years old.

34. General Records on Program Panels.

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.

DESTROY when 5 years old.

35. Trip Files.

Agendas, expenses, invitations, and related records concerning trips taken by the Deputy Chairperson for Programs.

DESTROY when 5 years old.

36. Miscellaneous Correspondence.

Correspondence with private act organizations, thank you notes, and other records not related to specific NEA programs.

DESTROY when 2 years old.

37. Literature Grant Case Files.

Arranged by grant case number.

Official case files for awarded literature grants consisting of the original applications, general correspondence with the grantee concerning program and fiscal matters, grant award contract, approved budget with any amendments, final narrative and expenditure reports, final grant products (magazine and letter press items), financial data sheets, evaluative materials from reviewers and panelists, newspaper clippings, and other background materials received from the grantee. Although the Literature Program Office and the Grants Office maintain separate sets of the grant case files, these two sets of case files are consolidated when the grant is completed.

a. Unique Literature grant case files selected by Endowment officers because they meet one or more of the following criteria:

- (1) the grant established a precedent for changing Endowment procedures,

- (2) the grant was the subject of extensive litigation,
- (3) the grant received widespread attention from the news media,
- (4) the grant was widely recognized for its excellence by scholars and other active in the arts, or
- (5) the grant was reviewed at length in narrative portion of the Endowment's annual report.

Break files on completion of the grant. Consolidate Literature Program Office and Grants Office folders and duplicative materials. PERMANENT. Transfer to Records Holding Area. Offer to NARS when 10 years old. *in 5 year blocks*

- b. All other Literature grant case files.

Close file upon completion of the grant. Consolidate Literature Program Office and Grants Office folders. DESTROY when 15 years old. (NEA may request permission to donate records per FPMR 101-11.406-9c.)

38. NEA Publications.

Arranged by publication

One record copy of each publication printed by the NEA including such items as the Cultural Post, the Endowment's Annual Report, Guide to Programs, and individual program guidelines.

PERMANENT. Offer to NARS in 5 year blocks when 10 years old.

39. Publication Working Files.

Artwork, drafts, approvals, and similar background records relating to the preparation of NEA publications.

DESTROY 1 year after publication.

40. Original Artwork and Camera-ready Copy.

Annual rate off accumulation is about 1 foot.

Material prepared for publication.

DESTROY one year after final publication.

41. 35mm Color Slides of Design Arts Program and General Endowment Activities.

Arranged by subject area.

Annual rate of accumulation is negligible.

PERMANENT. Break file every 5 years. Offer to NARS *in 5 year blocks*  
5 years after file break or when no longer needed for  
administrative use *and in accordance with GRS 21.*

42. 35mm Color Slides Used for Slide Shows and Exhibits.

Arranged by subject area.

Annual rate of accumulation is 6 inches.

Art photography created for use in Design Arts slide shows, exhibits, and other projects.

DESTROY when no longer needed for administrative use.

Dance

43. Final Grant Products of the "Dance/Film/Video" Program

Unarranged.

Annual rate of accumulation is one cubic foot.

16mm color films and 3/4-inch videocassettes intended to preserve and document major works or experiments in extending the art of dance.

~~a. PERMANENT. Offer to NARS when 10 years old a sample of no more than 10% of each year's grants products in addition to grant products selected in Part I, item 8a.~~ *in 5 year blocks*

*under item 8a:*  
b. Records not selected, DESTROY when 15 years old. (NEA may request permission to donate records per FPMR 101-11.406-9c.)

*EB 10/14/82*

FOLK ARTS

44. Audiovisual Final Products of "Documentation of Traditional Arts" Grants.

Unarranged.

Annual rate of accumulation is one cubic foot.

Sound and video recordings of television and radio series, published disc recordings, and films which document folk arts from specific communities or regions.

~~a. PERMANENT. Offer a sample of no more than 10% of each years grant products in addition to grant products selected in Part I, item 8a to NARS when 10 years old.~~

*FB 10/14/82*

*under item 8a: in 5 year blocks*  
b. Records not selected, DESTROY when 15 years old.  
(NEA may request permission to donate records per FPMR 101-11.406-9c.)

45. American Authors Motion Picture Films.

Unarranged.

Approximately one cubic foot (closed).

Videotape and 16mm film copies of the "Writer in America" series broadcast over PBS and funded by the Literature Program.

PERMANENT. Offer to NARS in 1985.

46. Posters Produced Under the Poetry on the Buses and Subways Program.

Unarranged.

Annual accumulation is negligible.

Posters intended to display poetry on public transportation.

PERMANENT. Break file every 5 years. Offer to NARS when 5 years old *and in accordance with GRS 21.*

MEDIA ARTS

47. Final Grant Products of Media Arts Grants, 1974-present.

Arranged alphabetically by title of production.

Annual rate of accumulation is 3 cubic feet.

16mm motion pictures; 1/2-inch and 3/4-inch open reel and videocassette recordings; 1/4-inch open reel audio cassettes and 12-inch disc recordings produced under Radio Production, Film/Video Production, and AFI Independent Filmmaker grants.

a. PERMANENT. Offer a sample of no more than 10% of each year's grant products in addition to grant products selected in Part I, items 8a, to NARS when 10 years old.

*in 5 year blocks*

b. Records not selected. DESTROY when 15 years old. (NEA may request permission to donate records per FPMR 101-11.406-9c.)

MUSIC

48. Sound Recordings of Final Products of Jazz Program Grants, 1975-present.

Unarranged.

Annual accumulation is about one cubic foot.

Reel-to-reel audio tapes and cassettes submitted to the office in accordance with program guidelines.

~~a. PERMANENT. Offer a sample of no more than 10% of each year's grant products in addition to grant products selected in Part I, item 8a, to NARS when 10 years old.~~

*10/14/82*

*in 5 year blocks*

*under item 8a:*

~~b. Records not selected. Destroy when 15 years old. (NEA may request permission to donate records per FPMR 101-11.406-9c.)~~

49. The American Music Center's NEA (Composer/Librettist) Program Collection, 1979-present.

Arranged alphabetically by name of fellowship recipient (composer).

Annual accumulation is undetermined.

Sound recordings, scores, librettos, biographical information and documents related to works written by recipients of Endowment fellowships under this program. Published catalog produced by the Center also available.

DISPOSAL NOT AUTHORIZED, Submit SF115, Request for Records Disposition Authority, to NARS when grant is ~~transmitted~~ *terminated.*

VISUAL ARTS

50. ~~Photography Survey Program Final Reports, 1975-present.~~

Non-record exhibit materials

Mounted black and white and color prints submitted as part of the commissioned investigatory documentation project on American culture produced under Photography Survey grants.

*WITHDRAWN*

~~DESTROY. Return to submitters, deposit in appropriate repository, or destroy immediately.~~

51. Slides accompanying Photographers' Fellowship, Artists' Fellowship, and Craftsmen's Fellowship Final Reports, 1975-present.

Arranged by type of fellowship, thereunder by year of grant award, and thereunder alphabetically by name of grantee.

Annual rate of accumulation is 2 cubic feet.

Notebooks and folders of slide sleeves containing 35mm color slides which illustrate photography, painting, sculpture, drawings, prints, crafts and other artwork produced by grantees under these Visual Arts program fellowships and accompanying computer-generated inventory.

PERMANENT. Break file every 5 years. Offer to NARS *in 5 year blocks when 5 years old and in accordance with GRS 21.*

52. Videotapes accompanying Video Artists' Final Reports, 1975-present.

Arranged chronologically by year of grant award and thereunder alphabetically by name of grantee.

Annual rate of accumulation is 2 cubic feet.

3/4-inch, 1/2-inch, beta VHS videocassettes which document artist's work during the fellowship period.

~~a. PERMANENT. Offer to NARS, when 5 years old 10% of each year's grants products in addition to grant products selected in Part I, item 8a.~~

*in 5 year blocks*

*JB 10/14/82*

*under item 8a:*  
b. Records not selected, DESTROY when 15 years old (NEA may request permission to donate records per FPMR 101-11.406-9c.)

53. ~~Bicentennial Project Photographs, c. 1975-1976.~~

Non-record exhibit materials.

Original photography submitted to the Visual Arts Program for a never completed bicentennial project.

*WITHDRAWN*

~~DESTROY. Return to artists and photographers who submitted them or deposit in a appropriate art museum or gallery, or destroy immediately.~~

54. ~~Posters Produced under Visual Arts in the Performing Arts Program 1973-1978.~~

Non-record exhibit materials.

Theatrical posters submitted as part of the final report of this now defunct program; file contains signed originals and printed reproductions.

*WITHDRAWN*

~~DESTROY. Return to submitters, deposit in appropriate repository, or destroy immediately.~~

55. Slide Reference Files of Art-in-Public Places and Crafts-in-Public-Places, 1979-present.

Arranged by program and thereunder, alphabetically by name of artist or craftsman.

35mm color slides stored in slide sleeves documenting the work of artists and craftsmen of potential interest to the NEA Art-in-Public-Places, the GSA Art-in-Architecture, and other commissioned programs.

PERMANENT. Break file every 10 years. Offer to NARS *in 5 year blocks* 10 years after file break or when no longer needed for administrative use *and in accordance with GRS 21.*

56.-60. Items 56-60 are reserved.



OFFICE OF POLICY, PLANNING AND RESEARCH

61. General Program Correspondence.

Arranged by program office and thereunder by subject.

Annual rate of accumulation is 3 cubic feet.

Correspondence with directors of program areas concerning administrative and policy matters, grants, consultants, Congressional contacts, meetings, agreements, and other miscellaneous matters.

PERMANENT. Offer to NARS all records created by the incumbent Director 5 years after leaving office.

62. General Subject Files.

Correspondence and internal memoranda with offices within the Endowment which are not under the supervision of the Director of Policy, Planning and Research. These offices include the Chairperson, the Deputy Chairperson for Programs, the Office for Partnership, and the Federal Council on the Arts and Humanities.

DESTROY when 5 years old.

63. Minutes of the National Council on the Arts.

Arranged chronologically by meeting (3 in/yr).

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.

PERMANENT. Offer to NARS <sup>in 5 year blocks</sup> when 10 years old.

64. Council Meeting Books.

Arranged chronologically by meeting (1cf/yr).

Each meeting book includes agenda, policy papers, grants under review, and other background materials.

PERMANENT. Offer to NARS <sup>in 5 year blocks</sup> when 10 years old.

65. General Council and Panel Meetings Files.

Correspondence with members and panelists, news releases, extra copies of agenda and minutes, reports to GSA on advisory committee activities, and similar records.

DESTROY when 5 years old.

66. Council Member Files.

Correspondence with members of the National Council on the Arts, biographies, letters of recommendation, internal memoranda, and related records.

DESTROY when 5 years old.

67. Sound Recordings of National Council of the Arts. Policy and Planning Committee Meetings, 1979-present.

Arranged chronologically.

Annual rate of accumulation is  $\frac{1}{2}$  cubic foot.

$\frac{1}{2}$  inch cassettes of meeting discussions attended by the Chairperson, Deputy Chairperson and program directors.

ERASE or DESTROY 5 years after meeting date or when no longer needed for administrative use.

68.-70. Items 68-70 are reserved.

71. OFFICE OF THE GENERAL COUNSEL

General Program Files.

Correspondence, internal memoranda, copies of grant applications, brochures, copies of legislation, news clippings and other records related to the functions of the General Counsel as senior legal advisor to the NEA.

DESTROY when 5 years old.

72.-74. Items 72-74 are reserved.

75. PUBLIC AFFAIRS

Press Releases.

Arranged chronologically by date (6 in/yr).

One record copy of each announcement issued by NEA concerning grant awards, major staff changes, and events concerning the Chairperson.

PERMANENT. Offer to NARS in 5 year blocks when 20 years old.

76.-80. Items 76-80 are reserved.

CONGRESSIONAL LIAISON OFFICE

81. Correspondence with Members of Congress.

Routine referral mail received from Senate and House members concerning specific grants or art groups and organizations. Responses prepared for NEA's chairperson are included.

a. Correspondence with the Senate.

DESTROY when 6 years old.

b. Correspondence with the House of Representatives.

DESTROY when 4 years old.

82. Background Files on Legislation.

Copies of legislation and related hearings on NEA bills for appropriations and re-authorization.

DESTROY when 5 years old.

83. Congressional Briefing Books.

Background reports including statistics prepared for hearings before Congressional committees.

DESTROY when 5 years old.

84.-86. Items 84-86 are reserved.

OFFICE FOR PARTNERSHIP

87. General Program Files.

Correspondence, internal mem<sup>o</sup>randas, copies of grant making instructions, state program panel agenda, reports, biographical materials and other records documenting functions of the Office For Partnership.

DESTROY when 5 years old.

88.-90. Items 88-90 are reserved.

## AUDIT

### 91. 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 conducted on-site by NEA personnel.

- a. Final Reports.
- b. Workpapers documenting the report.
- c. Follow-up files documenting the Endowment's efforts to monitor implementation of the recommendations made in the reports.

Break file 1 year after recommendations have been resolved. DESTROY 6 years after resolution of recommendations.

### 92. Negotiation Agreements.

Non-record copies of agreements negotiated with hospitals, colleges, and universities concerning indirect costs on grants.

Maintain in binders. DESTROY when all administrative needs have ended.

### 93. 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.

Break file 1 year after recommendations have been resolved. DESTROY 6 years after resolution of recommendations.

### 94. 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.

Break file on completion of project. DESTROY when all administrative needs have ended.

### 95.-97. Items 95-97 are reserved.

## BUDGET

### 98. 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 have been scheduled for permanent retention by OMB.

DESTROY when all administrative needs have ended.

### 99. Budget Policy Files.

Subject files in the Budget Office documenting NEA policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. Budget policy records are maintained permanently in the program correspondence files of the Chairperson and the Deputy Chairperson for Programs.

DESTROY when all administrative needs have ended.

### 100.-102. Items 100-102 are reserved.

PROGRAM RELATED MACHINE-READABLE RECORDS

103. Grants Management System

a. Application File

A system of machine-readable records which document key descriptive elements of a grant applicant (organization or individual), applying to the NEA 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 no., applicant name, project director, application program and category codes, amount requested, project start and end dates, and Council Meeting no.

PERMANENT. Cut off annually. Hold one year in agency. Transfer to the National Archives.

b. Grant File

A system of machine-readable records which documents the life cycle of grant awards (approximately 80% to organizations and 20% to individuals) from initial input as grant applicants 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: application year, application no., applicant name, project director, application program and category codes, amounts requested and recommended, project start and end dates, Council Meeting no., grant amendment no., geographic codes, accounting code and project description lines.

PERMANENT. Cut off annually. Hold one year in agency. Transfer to the National Archives.

104. DESIGN ARTS PROGRAM GRANTS DATA BASE

Developed in 1978, this data base is a computerized listing of all grants awarded by NEA's Design Arts

104.  
(cont.d)

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 and address, grant number, amount of money awarded, fiscal year and grant category, geographic location, titles and types of final and supplemental reports, whether any films or other graphic material was submitted, and any press coverage the project received. In addition, 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 300 key words.

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

105. CONSULTANTS NETWORK DATA BASE

Developed in 1979, this data base is a computerized resource network of experts in the design disciplines and other, allied endeavors for Endowment use as well as Contractor use in filling information requests from the public. The Contractor researches nominees by soliciting individuals' interest and permission to join the network and collecting relevant data as to the individual's qualifications and special interests. The data base includes, but is not limited to, name and address, geographic location, qualifications and memberships, sex, race, previous Endowment associations and a 6-15 line abstract on his/her career history and accomplishments.

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

106. PANEL LISTING FILE

The machine-readable records in this file contain information on grant or policy panelists, and period of service on advisory panels to the National Endowment for the Arts. It is used by the Council and Panel



106. Operations Office which is responsible for coordinating panel meetings. Pertinent descriptive data elements on each panelist include name, title, address, program, panel serving on, and starting and ending dates.

This file was developed in 1979 and has only been used periodically.

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

107. 1978 NATIONAL CRAFTS MEMBERSHIP ORGANIZATIONS SURVEY DATA FILE

This file contains records for 947 respondents to a survey of crafts membership organizations conducted by Mathematica Policy Research, Inc., under contract NEA-PC 77-39 with the Research Division of the National Endowment for the Arts. The 1978 survey was conducted by mail and asked information about membership characteristics, organizational structure, purposes or activities, funding, and problems of crafts membership organizations. The response rate to the survey was about 78 percent of the estimated universe.

Destroy when program use ceases.

108. 1970 PUBLIC USE SAMPLE EXTRACT FILES

The files contain data gathered by the Bureau of the Census and processed by a research contractor for the National Endowment for the Arts. Information from the 1970 Census Public Use Sample was condensed by Data Use and Access Laboratories (DUALabs) into two extract files. These files contain comparative data on all professional, technical, and kindred workers as well as data on people in artist occupations. As with all sample surveys, the extract files are estimates subject to sampling variability. Twelve (12) separate data sets have been created.

Destroy when program use ceases.

109. 1976 SURVEY OF INCOME AND EDUCATION EXTRACT FILE

The file contains data gathered by the Bureau of the Census and processed by a research contractor for the National Endowment for the Arts. Information from the 1976 Survey of Income and Education (SIE) was condensed by Data Use and Access Laboratories (DUALabs) into an extract file. The file contains comparative data on all professional, technical, and kindred workers as well as data on people in artist occupations. As with all sample surveys, the extract file is an estimate subject to sampling variability. Nine (9) separate data sets have been created.

Destroy when program use ceases.