

Request for Records Disposition Authority

Records Schedule Number DAA-0297-2014-0010
Schedule Status Approved

Agency or Establishment Library of Congress
Record Group / Scheduling Group Records of the Library of Congress
Records Schedule applies to Agency-wide
Schedule Subject Library, Archives, and Research
Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
23	2	21	0

GAO Approval

Outline of Records Schedule Items for DAA-0297-2014-0010

Sequence Number	
1	Acquisitions Documentation Files
1.1	Files for Materials Acquired Through Purchase
1.1.1	Files Concerning Purchases \$1,000 or More Disposition Authority Number: DAA-0297-2014-0010-0001
1.1.2	Files Concerning Purchases \$999.99 or Less Disposition Authority Number: DAA-0297-2014-0010-0002
1.2	Files for Materials Acquired through Non-Purchase Means (Gift, Exchange, Deposit)
1.2.1	Non-Routine Gifts and Other Types of Non-Purchase Items (i.e. Exchange and Deposit) Disposition Authority Number: DAA-0297-2014-0010-0003
1.2.2	Routine Gifts Disposition Authority Number: DAA-0297-2014-0010-0004
2	Collection Documentation Files Disposition Authority Number: DAA-0297-2014-0010-0005
3	Inventory Control Records
3.1	Collection Processing Records Disposition Authority Number: DAA-0297-2014-0010-0006
3.2	Collection Finding Aids Disposition Authority Number: DAA-0297-2014-0010-0007
4	Preservation Research and Testing Files
4.1	Final Reports Disposition Authority Number: DAA-0297-2014-0010-0008
4.2	All Other Preservation Research and Testing Records Disposition Authority Number: DAA-0297-2014-0010-0009
5	Preservation Environmental Monitoring Reports Disposition Authority Number: DAA-0297-2014-0010-0010
6	Preservation Emergency Incident Reports Disposition Authority Number: DAA-0297-2014-0010-0011
7	Preservation Project Case Files Disposition Authority Number: DAA-0297-2014-0010-0012
8	Binding Slips Disposition Authority Number: DAA-0297-2014-0010-0013
9	Reader Application Forms
9.1	Readers Registering to Use Special Collections

9.2	Disposition Authority Number: DAA-0297-2014-0010-0014 Readers Registering to Use All Other Collections Disposition Authority Number: DAA-0297-2014-0010-0015
10	Reader Registration Logs
10.1	Logs Documenting Special Collections Access Disposition Authority Number: DAA-0297-2014-0010-0016
10.2	Logs Documenting All Other Collections Access Disposition Authority Number: DAA-0297-2014-0010-0017
11	Call Slips
11.1	Call Slips for Special Collections Items Disposition Authority Number: DAA-0297-2014-0010-0018
12	Inter-library Loan Files Disposition Authority Number: DAA-0297-2014-0010-0019
13	Collection Loan Agreement Files Disposition Authority Number: DAA-0297-2014-0010-0020
14	Reference Service Files Disposition Authority Number: DAA-0297-2014-0010-0021
15	Research Services Files
15.1	Research Products Disposition Authority Number: DAA-0297-2014-0010-0022
15.2	Background Files Disposition Authority Number: DAA-0297-2014-0010-0023

Records Schedule Items

Sequence Number					
1	Acquisitions Documentation Files				
1.1	Files for Materials Acquired Through Purchase a. Files associated with the purchase of materials by the Library of Congress from commercial and non-commercial firms and organizations. These files include requests for acquisition, memoranda of recommendation, deduction letters, business guidelines, and shipping guidelines.				
1.1.1	Files Concerning Purchases \$1,000 or More Disposition Authority Number DAA-0297-2014-0010-0001 (1) See LCR 318-1, Section 6: Acquisition of Collection Materials by Purchase. The recommending officer shall prepare a written memorandum of recommendation to purchase materials valued at a \$1000 or more. Final Disposition Temporary Item Status Active Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? No				
	<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>1201a1</td> <td>Library of Congress Records Schedule (LRS)</td> </tr> </tbody> </table>	Manual Citation	Manual Title	1201a1	Library of Congress Records Schedule (LRS)
Manual Citation	Manual Title				
1201a1	Library of Congress Records Schedule (LRS)				
	Disposition Instruction Retention Period DESTROY at end of fiscal year in which Library deaccessions item.				
	Additional Information GAO Approval Not Required				
1.1.2	Files Concerning Purchases \$999.99 or Less Disposition Authority Number: DAA-0297-2014-0010-0002				

(2) See LCR 318-1, Section 6: Acquisition of Collection Materials by Purchase. The recommending officer shall also prepare a written memorandum of recommendation to purchase materials valued at less than \$1000 when required by the Chief of the appropriate acquisition division.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1201a2	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at end of fiscal year in which related work is completed.

Transfer to Inactive Storage TRANSFER to RMS 3 years after cutoff.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

1.2

Files for Materials Acquired through Non-Purchase Means (Gift, Exchange, Deposit)

b. Files associated with materials procured by the Library of Congress through gift, exchange and deposit. Included are memoranda of recommendation, vendor correspondence, background papers, original deeds, instruments of gifts, and exchange agreements. These documents describe commitments assumed in accepting gifts, such as processing work, storage space, preservation treatment, packing/shipping and administration of terms or conditions associated with a gift. Also included are correspondence and legal documents between the Library and commercial firms, universities and other libraries, and government agencies concerning restrictions and conditions for exchange, gift and deposit agreements.

1.2.1

Non-Routine Gifts and Other Types of Non-Purchase Items (i.e. Exchange and Deposit)

Disposition Authority Number DAA-0297-2014-0010-0003

(1) See LCR 316: Acquisition of Collection Materials by Exchange and LCR 317-2: Acquisition of Collection Materials by Deposit. Per LCR 317-1: Acquisition of Collection Materials by Gift, any gift requiring a formal written agreement is "non-routine." The Library's recommending officer must prepare a memorandum recommending acceptance of non-routine gifts. All non-routine gifts with terms or conditions attached are to be memorialized in a gift agreement signed by all parties. The chief of the U.S./Anglo Division acknowledges all non-routine gifts with a letter of appreciation.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1201b1	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY at end of fiscal year in which Library deaccessions item.

Additional Information

GAO Approval Not Required

Routine Gifts

Disposition Authority Number DAA-0297-2014-0010-0004

(2) Per LCR 317-1: Acquisition of Collection Materials by Gift, "routine" gifts are those that have little or no impact on the collections in terms of access restrictions, organization/processing work, storage space, preservation treatment, etc., from the geographic or subject areas covered by their divisions/offices.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in

1.2.2

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1201b2	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction **CUTOFF** at end of fiscal year in which related work is completed.

Transfer to Inactive Storage **TRANSFER** to RMS 3 years after cutoff.

Retention Period **Destroy** 6 year(s) after cutoff.

Additional Information

GAO Approval **Not Required**

Collection Documentation Files

Disposition Authority Number **DAA-0297-2014-0010-0005**

Records created to document collection items. Includes case files/accumulated in soliciting, promoting, and administering collection items, if records are not included in Acquisitions Documentation Files; project files for individual archival or collection projects including documentation of history, provenance, access, automation, and publication; and other related records.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1206	Library of Congress Records Schedule (LRS)

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3.1

Disposition Instruction

Retention Period **DESTROY at end of fiscal year in which Library deaccessions item, or OFFER to recipient at Library's discretion after RMS obtains written approval from NARA per 36 CFR 1226.26.**

Additional Information

GAO Approval **Not Required**

Inventory Control Records

Collection Processing Records

Disposition Authority Number **DAA-0297-2014-0010-0006**

a. Collection processing records that do not need to be kept for as long as items are in the collections. Includes shelving accuracy checksheets, batch processing forms, quality assurance daily reports, and shelf lists.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1207a	Library of Congress Records Schedule (LRS)

3.2

Disposition Instruction

Retention Period **DESTROY when no longer needed for reference.**

Additional Information

GAO Approval **Not Required**

Collection Finding Aids

Disposition Authority Number **DAA-0297-2014-0010-0007**

b. Library catalog entries, bibliographic/reference reports, and other finding aids.

Final Disposition **Temporary**

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1207b	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY at end of fiscal year in which Library deaccessions described items.

Additional Information

GAO Approval Not Required

Preservation Research and Testing Files

Final Reports

Disposition Authority Number DAA-0297-2014-0010-0008

a. Final reports or outcomes of preservation research and testing projects.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1211a	Library of Congress Records Schedule (LRS)

Disposition Instruction

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4.1

Transfer to the National Archives for Accessioning **TRANSFER to NARA when 15 years old, or when no longer needed for reference, whichever is later.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown
To Be Determined**

How frequently will your agency transfer these records to the National Archives? **Unknown
To Be Determined**

4.2

All Other Preservation Research and Testing Records

Disposition Authority Number **DAA-0297-2014-0010-0009**

b. Includes laboratory notebooks, project requests overview and progress, quality assurance reports, quality assurance specifications, and other related records.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1211b	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period **DESTROY when no longer needed for reference.**

Additional Information

GAO Approval **Not Required**

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Preservation Environmental Monitoring Reports

Disposition Authority Number **DAA-0297-2014-0010-0010**

Documents created to record environmental conditions in LC holding areas. For conditions in storage spaces as well as exhibit cases.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1212	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY when no longer needed for reference.

Additional Information

GAO Approval Not Required

Preservation Emergency Incident Reports

Disposition Authority Number DAA-0297-2014-0010-0011

Reports created to document emergency incidents in which Library collections were damaged or otherwise affected. These documents report on the cause of the incident, extent of damage, and response to the incident.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1213	Library of Congress Records Schedule (LRS)

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Disposition Instruction

Retention Period **DESTROY when no longer needed for reference.**

Additional Information

GAO Approval **Not Required**

Preservation Project Case Files

Disposition Authority Number **DAA-0297-2014-0010-0012**

Case files that document preservation projects undertaken for individual items, selected groupings, or whole collections of accessioned materials. Included are: preservation or conservation assessment, evaluation, housing, and treatment proposals and plans; conservators' condition reports and treatment reports; housing and storage documentation; photographs and digital images; forms used to document work completed; stabilization work for exhibitions and digital projects; reports on special consultations; copies of contracts; and records related to special projects, pilots, and feasibility studies and research studies other than those managed by the Preservation Research and Testing Division (PRTD).

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1214	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period **DESTROY at end of fiscal year in which Library deaccessions described items.**

Additional Information

GAO Approval **Not Required**

Binding Slips

Disposition Authority Number **DAA-0297-2014-0010-0013**

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Binding Slips containing information relating to binding of Library materials by an outside vendor.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1215	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at end of fiscal year or as space requires, whichever occurs first.
 Transfer to Inactive Storage TRANSFER to RMS at cutoff.
 Retention Period Destroy 2 year(s) after the end of the related binding contract span.

Additional Information

GAO Approval Not Required

Reader Application Forms

Readers Registering to Use Special Collections

Disposition Authority Number DAA-0297-2014-0010-0014

a. For readers registering to use Special Collections.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

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Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1221a	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period **Destroy 20 year(s) after end of the fiscal year in which the reader registered.**

Additional Information

GAO Approval **Not Required**

Readers Registering to Use All Other Collections

Disposition Authority Number **DAA-0297-2014-0010-0015**

b. For readers registering to use all other Collections.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1221b	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction **CUTOFF at end of fiscal year.**

Transfer to Inactive Storage **TRANSFER TO RMS at cutoff.**

Retention Period **Destroy 5 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

9.2

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Reader Registration Logs

10.1

Logs Documenting Special Collections Access

Disposition Authority Number DAA-0297-2014-0010-0016

a. Documenting Special Collections access.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1222a	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period Destroy 20 year(s) after end of the fiscal year in which the log was closed.

Additional Information

GAO Approval Not Required

10.2

Logs Documenting All Other Collections Access

Disposition Authority Number DAA-0297-2014-0010-0017

b. Documenting all other Collections access.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1222b	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY when 5 years old or when no longer needed for reference, whichever is earlier.

Additional Information

GAO Approval Not Required

Call Slips

Call Slips for Special Collections Items

Disposition Authority Number DAA-0297-2014-0010-0018

a. For Special Collections items.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1223a	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period Destroy 20 year(s) after end of the fiscal year in which the call slip was created.

Additional Information

GAO Approval Not Required

Inter-library Loan Files

Disposition Authority Number DAA-0297-2014-0010-0019

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Records tracking inter-library loans.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1224	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at end of fiscal year in which loaned materials are returned.
 Transfer to Inactive Storage TRANSFER to RMS at cutoff.
 Retention Period Destroy 2 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Collection Loan Agreement Files

Disposition Authority Number DAA-0297-2014-0010-0020

Files associated with contractual agreements the Library of Congress has to loan collections. Does not include inter-library loan records.

Final Disposition Temporary
 Item Status Active
 Is this item media neutral? Yes
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
 Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title

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1225	Library of Congress Records Schedule (LRS)
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Disposition Instruction

Retention Period DESTROY at end of fiscal year in which Library deaccessions described items.

Additional Information

GAO Approval Not Required

Reference Service Files

Disposition Authority Number DAA-0297-2014-0010-0021

Reference correspondence including copies of outgoing letters.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1231	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY when 5 years old or when no longer needed for reference, whichever is later.

Additional Information

GAO Approval Not Required

Research Services Files

Research Products

Disposition Authority Number DAA-0297-2014-0010-0022

a. These records include products prepared to address specific issues of concern to Congress and other requestors. The products may include, but are not limited

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15.1

to, policy analyses, statistical reviews, economic studies, and fact sheets which are widely distributed to Congress. Also includes tracking information and finding aids for the products.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1232a	Library of Congress Records Schedule (LRS)

Disposition Instruction

Transfer to the National Archives for Accessioning **TRANSFER to NARA when 15 years old, or when no longer needed for reference, whichever is later. Note: Access Restrictions - Access to records is restricted until records are 30 years old.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown
To Be Determined**

How frequently will your agency transfer these records to the National Archives? **Unknown
To Be Determined**

15.2

Background Files

Disposition Authority Number **DAA-0297-2014-0010-0023**

b. Research/background materials used to create mission-specific reports, issue briefs, memoranda, briefings, seminars, and training. Files consist of correspondence, web records (content, technical documentation, drafts), product working drafts, and final, pre-publication versions of products.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1232b	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period **DESTROY** when no longer needed for reference.

Additional Information

GAO Approval **Not Required**

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
01/27/2014	Certify	John Nave	Chief, Office System Services	OSS - OSS
03/07/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/26/2014	Submit For Certification	Ashley Davies	Records Management Specialist	OSS - RMS
06/26/2014	Certify	Ashley Davies	Records Management Specialist	OSS - RMS
07/28/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/01/2014	Submit For Certification	Ashley Davies	Records Management Specialist	OSS - RMS
08/01/2014	Certify	Ashley Davies	Records Management Specialist	OSS - RMS
11/05/2014	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/10/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
11/12/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/13/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist