

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <u>N1-539-10-1</u>	
1 FROM (Agency or establishment) <u>United States Sentencing Commission</u>		Date Received <u>10/13/09</u>	
2 MAJOR SUB DIVISION		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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disposition request including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4 NAME OF PERSON WITH WHOM TO CONTACT <u>Linda Baltusch, Records Officer</u>	5 TELEPHONE <u>202-502-4506</u>	DATE <u>10/13/09</u>	ARCHIVIST OF THE UNITED STATES <u>[Signature]</u>
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 needed now 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			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <u>10/13/09</u>	SIGNATURE OF AGENCY REPRESENTATIVE <u>[Signature]</u>		TITLE Staff Director
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GFS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached sheets Please see attached		

Final



**UNITED STATES SENTENCING
COMMISSION
COMPREHENSIVE RECORDS
DISPOSITION SCHEDULE**

**April 5, 2010
FINAL DRAFT
(Post NARA Inspection)**

United States Sentencing Commission
Records Disposition Schedule

INTRODUCTION TO THE COMMISSION COMPREHENSIVE RECORDS DISPOSITION SCHEDULE

The Commission Comprehensive Records Disposition Schedule (CCRDS) provides the authorized disposition for all Commission records. The Commission has reviewed and approved each record schedule. Application of the disposition schedules is mandatory and is in accord with commonly accepted Federal records management practices and procedures.

The CCRDS is comprised of 34 Commission Schedules that apply to the Commission's unique programmatic records and a number of General Records Schedules (GRS) that apply to administrative records that are common to most agencies. Records that do not have an applicable disposition schedule must be retained until disposition authority is obtained.

Procedures for establishing new schedules, revising the retention period for existing schedules, and for retiring records to an officially approved records storage facility are provided in the Commission Records Management Handbook.

**United States Sentencing Commission
Records Disposition Schedule**

United States Sentencing Commission
Records Disposition Schedule

TABLE OF CONTENTS

PART I	7
Commission Records	9
Statistical Data Records	20
Legislative and Public Affairs Related Records	30
Outreach Records	38
Program Management Records	44
Research Records	51
PART II	58
PART III	70

**United States Sentencing Commission
Records Disposition Schedule**

United States Sentencing Commission
Records Disposition Schedule

PART I

**UNITED STATES SENTENCING
COMMISSION SPECIFIC RECORDS
DISPOSITION SCHEDULES**

**United States Sentencing Commission
Records Disposition Schedule**

The Commission specific (non-GRS) records schedules consist of 34 Commission Schedules that apply to the Commission's unique programmatic and administrative records. The Commission's file structure is based on file codes. The first part of the Commission file code is an alphabetical code. Below are listed the alpha codes for Commission records.

COM	Commissioner Records
DAT	Statistical Data Records
LEG	Legislative and Public Affairs Records
OUT	Outreach Records
PM	Program Management Records
RES	Research Records

The second half of the code consists of the records disposition schedule and item number for those records.

A listing of the Commission file codes follows. The general division of the Commission's file indicated by the alphabetical codes below are followed by a listing of the file series for Commission records.

**United States Sentencing Commission
Records Disposition Schedule**

Commission Records

Commission records consist of those series maintained by commissioners or created directly in support of the activity of Commissioners. Commission records, referred to as **COM** records, consist of the following series:

COM

- 110 Commissioner Files
- 120 Minutes of Public Meetings of the Commission Files
- 130 Transcripts of Public Hearings of the Commission Files
- 140 Written Testimony Submitted to the Commission Files

- 150 Commission Meeting Materials Files

- 160 Proposed and Final Amendments Files

- 170 Commission Publications Files

- 180 Public Comment Files

- 190 Commission legal briefs on Sentencing Issues Files

- 200 Intergovernmental Correspondence Files

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 110

TITLE: Commissioner Files

DESCRIPTION:

Records of Commissioners¹ of the U.S. Sentencing Commission consisting of but not limited to subject files of major policy areas and correspondence files. As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 2 cubic feet per year.

CURRENT FORMAT: Paper

¹ By statute many Commissioners have served on a part time basis, generally off-site, and all of their records were maintained with their professional files. For example, the records of judges serving on the Commission may be found among their District Court files.

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 120

TITLE: Minutes of Public Meetings of the Commission Files

DESCRIPTION:

The records consist of the minutes recorded during Commission public meetings. The Commission holds public meetings on a published schedule, typically once a month during the Commission's amendment cycle

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 130

TITLE: Transcripts of Public Hearings of the Commission Files

DESCRIPTION:

Transcripts of testimony and discussions occurring during public hearings held by the Commission

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 140

TITLE: Written Testimony Submitted to the Commission Files

DESCRIPTION:

Written testimony submitted in conjunction with oral testimony presented at public hearings held by the Commission

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 150

TITLE: Commission Meeting Materials Files

DESCRIPTION:

Materials presented or discussed at meetings of the Commission, including briefing materials, reports, and memoranda, as well as minutes of hearings

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT. Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time

ESTIMATED VOLUME: 2 cubic feet per year.

CURRENT FORMAT: Paper

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: COM 160

TITLE: Proposed and Final Amendments Files

DESCRIPTION:

Compilations of proposed and final amendments to the sentencing guidelines for the annual cycle.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT. Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 170

TITLE: Commission Publication Files

DESCRIPTION:

a. Final ready for print drafts with instructions to the printer for all Commission publications.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 15 years after cutoff.

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

DESCRIPTION:

b. Final edition of Commission publications

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: COM 180

TITLE: Public Comment Files

DESCRIPTION:

Public comments received from the public as a result of requests for comment such as postings in the Federal Register

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

- a Formal public comment files consisting of comments received from government agencies

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

- b Informal public comment files consisting of comments received from the general public

TEMPORARY: Cut off annually. Destroy/delete 3 years after cutoff

ESTIMATED VOLUME OF PERMANENT: 0.5 cubic foot per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 190

TITLE: Legal Briefs on Sentencing Issues Files

DESCRIPTION:

Amicus briefs researched and written by the Commission and filed in appellate cases.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 0.5 cubic feet per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: COM 200

TITLE: Intergovernmental Correspondence Files

DESCRIPTION:

Records documenting communications between the Sentencing Commission and other federal and state agencies, including private organizations such as the National Association of State Sentencing Commissions (NASC), concerning data, processes, and other significant issues related to the statutory mission of the Sentencing Commission.

If records of communication with these entities concern substantive issues related to the mission of the Commission and were sent directly to or from one or more Commissioners (as opposed to the Commission itself), such records should be included in the COM 110 series

DISPOSITIONS INSTRUCTIONS:

TEMPORARY: Cut off annually Destroy/delete 15 years after cutoff

ESTIMATED VOLUME: 1 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

Statistical Data Records

Statistical Data Records consist of those series related to the Commission's use of Federal Court criminal files to assimilate data to study Federal sentencing practices in support of the Commission's mission: (1) to establish sentencing policies and practices for the federal courts, including guidelines to be consulted regarding the appropriate form and severity of punishment for offenders convicted of federal crimes; (2) to advise and assist Congress and the executive branch in the development of effective and efficient crime policy; and (3) to collect, analyze, research, and distribute a broad array of information on federal crime and sentencing issues, serving as an information resource for Congress, the executive branch, the courts, criminal justice practitioners, the academic community, and the public. Statistical Data Records, referred to as DAT records consist of the following series

DAT

- 210 USSC Criminal Case Files
- 220 USSC Criminal Sentencing Databases (Oracle Software Program)
- 230 Annual USSC Criminal Case Datasets
- 240 Annual USSC Criminal Case Data Program Software Documentation Files
- 250 Criminal Appellate Opinion Files
- 260 Special Data Collection Projects Files
- 270 Statistical Data Collection Administration Files

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: DAT 210

TITLE: USSC Criminal Case Files

DESCRIPTION:

Copies of Criminal Case Files received from the Federal Courts in accordance with provisions of 28 U.S.C. § 994(w) (as amended by section 401(h) of the PROTECT Act, which became effective April 30, 2003). The sentencing court submits a report of sentence to the Commission that includes (1) the judgment and commitment order; (2) the statement of reasons (including the reasons for any departures), (3) any plea agreement, (4) the indictment or other charging document; (5) the pre-sentence report; and (6) copies of any other records the Commission needs. The Commission receives copies of these five documents, as well as copies of similar documents relating to Offender and Organization District Court Criminal Cases and Appeals.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

Paper copies received before July, 2006, and PDF copies received after June, 2006

TEMPORARY: ~~To be retained by the Commission indefinitely.~~ ^{2 Delete/destroy when no longer needed for legal reasons or agency business.}

ESTIMATED VOLUME: 20,000 cubic feet of paper records
CURRENT FORMAT: Paper and electronic
(Altered per discussion w/ agency records officer 6/8/10)

² 28 USC 994 (w)(2) states, "The Commission shall, upon request, make available to the House and Senate Committees on the Judiciary, the written reports and all underlying records accompanying those reports described in this section, as well as other records received from courts;"

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: DAT 220

TITLE: USSC Criminal Sentencing Databases (Oracle Software Program)

DESCRIPTION:

The Commission Criminal Sentencing Databases consist of criminal case documents and information regarding individual offenders, organizational offenders, appeals of offenders, and re-sentencing of convicted criminals. The Commission created the databases to facilitate the compilation and manipulation of statistical data extracted from criminal case documents and Federal Appellate opinions

SYSTEM DESCRIPTION:

The databases are Oracle based programs designed to assist the Commission perform research supporting the Federal sentencing guidelines

a Inputs

Inputs consist of data extracted from criminal case documents provided by the Federal District Courts and from Federal Appellate opinions obtained from either the court of origin, or from the commercial databases of Lexis/Nexis and Westlaw. The databases also serve as a repository for PDF copies of the documents provided by the district courts since June 2006.

*Scheduled in: DAT 210 USSC Criminal Case Files (page 21)
DAT 250 Criminal Appellate Opinion Files (page 26)*

b. Master Data Files.

The master data files consist of all of the accumulated USSC Criminal Case Files and data maintained on the computer server in support of the Commission's mission

c Outputs

On request Commission researchers query the system to obtain data supporting Commission studies of various sentencing issues. These reports are filed in the Commission's research project files

*Delete/destroy
when no longer needed
for legal reasons or
agency
business.*

Annually the Commission produces public versions of the extracted data maintained in the databases. These are available in comma delineated format via tape and the Internet through

United States Sentencing Commission
Records Disposition Schedule

the Inter-University Consortium for Political and Social Research at the University of Michigan (ICPSR) and the Federal Justice Statistics Resource Center Commission datasets can be accessed using the Internet address <http://www.ICPSR.umich.edu/> or <http://fjsrc.urban.org/index.cfm>

Scheduled in: DAT 230, USSC Annual Criminal Case Datasets (pg 24)
See below

d Documentation

System documentation consists of code books, records layout, and other related materials

RES 20.11a per records officer; see page 68

e Scheduling

The data maintained by these databases are scheduled under items DAT 210, Annual USSC Criminal Case Files, and DAT 230, Annual USSC Criminal Case Datasets. Printed copies of reports produced by the database are maintained in Commission research files and scheduled by Commission series RES 610, Litigation Subject Research Project Files; RES 620, Policy Team Study Report & Background Files; RES 630, Special Request Study Files, RES 650, Significant Research Project Files, and RES 660, Other Research Project Files. *Filing Instructions*

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when ~~databases are superseded and all data is~~ migrated to a new system.

no longer needed for legal reasons or agency business (Entered per agency records officer 5/25/10)

CURRENT FORMAT: Electronic

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: DAT 230

TITLE: Annual USSC Criminal Case Datasets

DESCRIPTION:

Annually the USSC produces data in datasets containing case information on all Federal District Court criminal cases. These annual datasets include data extracted from copies of district court case files on sentencing, demographic variables, statutory information, the complete range of court guideline decisions, and departure information. These datasets are released to the public through the Inter-University Consortium for Political and Social Research.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Transfer DAT 230 and DAT 240 simultaneously. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME:

CURRENT FORMAT: Electronic

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: DAT 240

TITLE: Annual USSC Criminal Case Data Program Software Documentation Files

DESCRIPTION:

These files contain the documentation for USSC Criminal Case Datasets, i.e., how the criminal offender, criminal organization, and criminal appellate case data sets were produced and any format or programming changes from the previous year. At a minimum these files consist of all relevant coding manuals with annotated updates.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 15 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

GRS 20-11a(2)

ESTIMATED VOLUME: 1 cubic foot per year

CURRENT FORMAT: Paper .

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: DAT 250

TITLE: Criminal Appellate Opinion Files

DESCRIPTION:

The Commission examines appellate opinions issued for every criminal case. Appellate opinions available on Lexis-Nexis and Westlaw and unpublished opinions received directly from the Federal Circuit Courts for every criminal appeal are reviewed and coded into the USSC Criminal Sentencing Databases.

a. Paper copies of Lexis-Nexis and Westlaw published cases and unpublished cases are maintained as one file through fiscal year 2006.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 5 years after cutoff

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

b. Only unpublished paper copies of court opinions are filed beginning with fiscal year 2007.

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 15 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

CURRENT FORMAT: Paper

VOLUME: 1 cubic foot

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: DAT 260

TITLE: Special Data Collection Projects Files

DESCRIPTION:

Periodic data collection projects that are undertaken in addition to the compilation of the Commission's annual criminal case datasets. These projects do not involve significant data analysis, are not part of policy team work, and are not undertaken in response to a special request. Records include but are not limited to judges packets, periodic releases of data from incomplete annual datasets, and compilations of data from cases that occur after a significant court decision or after a significant amendment to the sentencing guidelines. Most of these projects result in data reports released to the public in electronic or hard copy format and addressed under other items in this schedule.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 10 years after cutoff.

ESTIMATED VOLUME: 2 cubic feet per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: DAT 270

TITLE: Statistical Data Collection Administration Files

DESCRIPTION:

Records created to ensure the quality and completeness of statistical data. Records include but are not limited to quality control reviews of analysed data, notices to the courts concerning cases and documents missing from Commission files, and reviews of court documentation submitted to the Commission to ensure compliance with statutory reporting requirements.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 10 years after cutoff

ESTIMATED VOLUME: 1 cubic foot per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

United States Sentencing Commission
Records Disposition Schedule

Legislative and Public Affairs Records

These files concern Commission interactions with the Congress and executive branch agencies concerned with the work of the Commission. Legislative and Public Affairs related records, referred to as LEG records, consist of the following series.

LEG

- 310 Congressional Publications Files
- 311 Congressional Correspondence - Member and Committee Files
- 312 Legislation - Legislative Updates and Proposed Legislation Files
- 313 Congressional Testimony Files

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: LEG 310

TITLE: Congressional Presentations Files

DESCRIPTION:

Record copy of each Congressional presentation and record copy of each Congressional notification (A copy of all Congressional reports and/or presentations must be provided to the Office of Legislative and Public Affairs for inclusion in the permanent file) Includes a copy of testimony and documents provided to Congress.

DISPOSITION INSTRUCTIONS

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 15 years after cutoff. Transfer a copy of electronic records to the National Archives every five years, with any related documentation and external finding aids, as specified in 35 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot

CURRENT FORMAT: paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: LEG 311

TITLE: Congressional Correspondence - Individual Members and Committee and Sub-Committee Files.

DESCRIPTION:

a. Individual Members.

Correspondence with individual members of the United States Senate and the House of Representatives and related background material.

DISPOSITION INSTRUCTIONS:

PERMANENT Cutoff annually. Transfer non-electronic records to the National Archives 10 years after cutoff. Transfer a copy of electronic records to the National Archives every five years, with any related documentation and external finding aids, as specified in 35 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot

CURRENT FORMAT: paper

b. Committee and Sub-Committees.

DESCRIPTION:

Correspondence with House and Senate Judiciary Committees and Subcommittees, and related background material

DISPOSITION INSTRUCTIONS:

PERMANENT: Cutoff annually. Transfer non-electronic records to the National Archives 10 years after cutoff. Transfer a copy of electronic records to the National Archives every five years, with any related documentation and external finding aids, as specified in 35 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot

**United States Sentencing Commission
Records Disposition Schedule**

CURRENT FORMAT: paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: LEG 312

TITLE: Legislation - Legislative Updates and Proposed Legislation Files

DESCRIPTION:

a Written "legislative updates" presentations at Commission meetings include information on the status of bills and laws, action in Congress, outreach conducted by the Office of Legislative and Public Affairs on Capitol Hill and with various advocacy groups, as well as other information relevant to the Commission's statutory mission of providing assistance to Congress on sentencing matters

The record copy is included in the Commission's monthly materials binder as a permanent record

DISPOSITION INSTRUCTIONS

TEMPORARY Cutoff annually. Destroy/delete 10 years after cutoff.

ESTIMATED VOLUME:

CURRENT FORMAT: paper

b Proposed legislation working papers and technical drafts used in the development of legislation prior to its enactment by Congress.

DISPOSITION INSTRUCTIONS

TEMPORARY: Cutoff annually. Destroy/delete 10 years after cutoff

ESTIMATED VOLUME: 1 cubic foot

**United States Sentencing Commission
Records Disposition Schedule**

CURRENT FORMAT: paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: LEG 313

TITLE Congressional Testimony Files

DESCRIPTION:

Chronological file of testimonies before congressional committees relating to the Commission's programs, activities, functions and confirmation hearings. Included are testimonies, transcripts, and papers on the selection of witnesses to testify before congressional committees. These files are maintained by the office of legislative and public affairs. Files are arranged by date of testimony.

DISPOSITION INSTRUCTIONS:

PERMANENT: Cutoff annually. Transfer non-electronic records to the National Archives 10 years after cutoff. Transfer a copy of electronic records to the National Archives every five years, with any related documentation and external finding aids, as specified in 35 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot

CURRENT FORMAT: paper

**United States Sentencing Commission
Records Disposition Schedule**

**United States Sentencing Commission
Records Disposition Schedule**

Outreach Records

Outreach records consist of certain series related to the Commission's interaction with the public and Federal agencies. Outreach records, referred to as **OUT** records, consist of the following series:

OUT

- 420 Training Files
- 430 Inmate Correspondence Files
- 440 Advisory Group Files
- 450 World Wide Web Files

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: OUT 420

TITLE: Training Files

DESCRIPTION:

a. Training records

Records related to the planning, scheduling, and evaluating Commission training courses on the application of the Sentencing Guidelines and other related specialized subject areas. Records include but are not limited to one copy of all the files created for a training session, including audiovisual and electronic media, the training requisition forms, staff assignment form, training evaluations, and correspondence.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 10 years after cutoff.

CURRENT FORMAT: Paper

ESTIMATED VOLUME: 2 cubic feet

DESCRIPTION:

b. Agendas of Annual National Seminars

The Annual National Seminar is sponsored by the Sentencing Commission and has been conducted annually since 1996. Program topics have included guidelines training, statutory

**United States Sentencing Commission
Records Disposition Schedule**

sentencing issues, and other issues related to judges, attorneys and probation officers. The agendas include topics and speakers.

As these records may be maintained in different media format, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS PERMANENT Cutoff annually Transfer non-electronic records to the National Archives 10 years after cutoff Transfer a copy of electronic records to the National Archives every five years, with any related documentation and external finding aids, as specified in 35 CFR 1235 44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot every 6 years

CURRENT FORMAT: paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: OUT 430

TITLE: Inmate Correspondence Files

DESCRIPTION:

Correspondence with Federal inmates, including but not limited to inquiries from Federal inmates, their families, and their friends, along with Commission responses to the inquiries

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually Destroy/delete 3 years after cutoff.

ESTIMATED VOLUME: 5 cubic feet

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: OUT 440

TITLE: Advisory Group Files

DESCRIPTION:

Advisory groups support the Commission by providing different viewpoints on areas the Commission is studying. These files include minutes of meetings, written reports, position papers and other materials.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 15 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: OUT 450

TITLE: World Wide Web Files

DESCRIPTION:

The United States Sentencing Commission (USSC) website on the www.ussc.gov server is the primary tool for USSC to inform the general public of its mission and activities. At the direction of the Staff Director, the Office of Legislative and Public Affairs develops, maintains and authorizes the posting of information to the Web site, and the IT Department administers the site.

The USSC disseminates information through www.ussc.gov such as: Commission meeting information, press releases, guideline manuals and amendments, reports to congress, federal sentencing statistics, annual reports and statistical sourcebooks, research reports and other publications, education and training material, advisory groups, and other material relating to the Commission's directive and mission.

1. Content Records

Documents published on the website are covered elsewhere in this records schedule and are published in a variety of formats including html-encoded pages, PDF, and common templates. Content is removed from the website when it is superseded, obsolete, or no longer needed for agency business.

DISPOSITION: Delete/Destroy 2 years after suspended, obsolete, or no longer needed for agency business.

2. Backup Tapes

Content is copied to tape on a daily basis. These tapes are created for potential site restoration in the event of a failure or unintended loss of content.

DISPOSITION: Delete/Destroy tapes when superseded by a full backup, or when no longer needed for site restoration, whichever is later (GRS 24.4(a)(1))

3. Web Management Records

A. Content management records provide the context and structure of the content such as design records, templates which determine the placement of content on a page, standards which describe the look and “feel” of the site, and policies which describe the process by which information is added, changed, and/or deleted from the site.

DISPOSITION: Delete/destroy 2 years after superseded, obsolete, or no longer needed for agency business.

B. Search results and traffic logs reports provide a list of search terms entered by visitors to the web site. Traffic logs do not reveal personally identifiable information about individual visitors. These reports are run on an as-needed basis, but at least annually as part of the Commission’s Annual Report.

DISPOSITION: Delete/destroy 2 years after superseded, obsolete, or no longer needed for agency business.

United States Sentencing Commission
Records Disposition Schedule

Program Management Records

Program management records consist of series created mainly by Commission staff managers as they perform their program and administrative duties in support of the mission of the Commission. Program management records, referred to as **PM** records, consist of the following series.

PM

- 510 Significant Mission-Related Program Management Subject Files
- 520 Other Program Management Subject Files
- 530 Litigation (v the Commission) Files

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: PM 510

TITLE: Significant Mission-Related Program Management Subject Files

DESCRIPTION:

Subject files concerning programs, projects, issues, and meetings and other communications relating directly to the statutory mission of the Commission and which are created or received in support of mission-related activities. Generally, these files exist at the level of the staff director, deputy staff director, or an office director. Such records include but are not limited to significant correspondence, reports, memoranda, and other documents that provide evidence as to how and why significant Commission actions are taken and decisions are made. Such records should be scheduled in PM510 only if they provide evidence of the decisional process of one or more Commissioners related to the statutory mission of the Commission. Records reflecting decisional processes of staff – as opposed to Commissioners – ordinarily should be scheduled in PM 520.

Staff should be careful not to include records under this series that belong in other “permanent” record series.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 5 cubic feet per year

**United States Sentencing Commission
Records Disposition Schedule**

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: PM 520

TITLE: Other Program Management Subject Files

DESCRIPTION:

Subject files concerning programs, projects, issues, and meetings and other communications relating directly to the statutory mission of the Commission and which are created or received in support of mission-related activities. Generally, these files exist at the level of the staff director, deputy staff director, or an office director. Such records include but are not limited to significant correspondence, reports, memoranda, and other documents that provide evidence as to how and why significant Commission actions are taken and decisions are made. Such records should be scheduled in PM520 only if they provide evidence of the decisional process of Commission staff as opposed to Commissioners. Such records that provide evidence of the decisional processes of Commissioners ordinarily should be scheduled in PM 510.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 30 years after cutoff.

ESTIMATED VOLUME: 10 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

**United States Sentencing Commission
Records Disposition Schedule**

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: PM 530

TITLE: Litigation (v. the Commission) Files

DESCRIPTION:

Records relating to litigation brought against the Commission.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off annually. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 2 cubic feet per year.

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

Research Records

Research records consist of series created as the Commission performs research to acquire the knowledge base to support the development of appropriate criminal sentencing guidelines. Research records, referred to as RES records, consist of the following series.

RES

- 610 Litigation Subject Research Project Files
- 620 Policy Team Study Reports
- 630 Policy Team Background Files
- 640 Special Request Study Files
- 650 Significant Research Project Files
- 660 Other Research Project Files

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: RES 610

TITLE: Litigation Subject Research Project Files

DESCRIPTION:

Legal research files maintained as project files primarily by the General Counsel. The files pertain to ongoing research or research subjects that are of continuous interest to the Congress, or to the Commissioners.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral)

DISPOSITION INSTRUCTIONS:

TEMPORARY: : Cut off annually Destroy/delete 30 years after cutoff

ESTIMATED VOLUME: 5 cubic feet per year.

CURRENT FORMAT: Paper

United States Sentencing Commission
Records Disposition Schedule

SERIES CODE: RES 620

TITLE: Policy Team Study Reports

DESCRIPTION:

Final reports of the policy teams resulting from such research of any significance are scheduled as permanent and found in the files of the Staff Director, the General Counsel, the Office of Research and Data or the Office of Legislative Affairs

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

PERMANENT: Cut off files annually upon termination of interest in the research topic. Transfer non-electronic records to the National Archives 30 years after cutoff. Transfer a copy of electronic records to the National Archives every 5 years, with any related documentation and external finding aids, as specified in 36 CFR 1235.44 or standards applicable at the time.

ESTIMATED VOLUME: 1 cubic foot per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: RES 630

TITLE: Policy Team Background Files

DESCRIPTION: These files include documentary materials assembled and used by policy teams doing research they include, but are not limited to notes, computer printouts, precedents noted in legal research, the final report, and early drafts of reports and memorandums. Normally policy team chairs maintain these background materials in binders, one or more binders for each policy team.

DISPOSITION INSTRUCTIONS:

TEMPORARY: : Cut off annually Destroy/delete 30 years after cutoff

ESTIMATED VOLUME: 5 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: RES 640

TITLE: Special Request Study Files

DESCRIPTION:

Background materials relating to research undertaken in response to Congressional, Judicial, or Commission staff. Record copies of final products resulting from such research of any significance are scheduled as permanent and found in the files of the Staff Director, the General Counsel, the Office of Research and Data or the Office of Legislative Affairs

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually Destroy/delete 5 years after cutoff.

ESTIMATED VOLUME: 2 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: RES 650

TITLE: Significant Research Project Files

DESCRIPTION:

Background materials relating to significant research projects that involve subject areas of continuing interest to the Commission, including but not limited to amicus briefs, special legal research topics, and Commission policies and procedures. Final products relating to significant research projects may also be contained in this schedule. Record copies of final products resulting from such research of any significance are scheduled as permanent and found in the files of the Staff Director, the General Counsel, the Office of Research and Data or the Office of Legislative Affairs.

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: : Cut off annually Destroy/delete 30 years after cutoff

ESTIMATED VOLUME: 2 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

SERIES CODE: RES 660

TITLE: Other Research Project Files

DESCRIPTION:

Reports, memorandums, correspondence, and background materials and papers containing statistical data relating to routine research projects. These are projects that are not particularly significant in that: the records do not relate to topics likely to be re-visited by the Commission; or that only contain part of the record of the research and a more complete record is maintained elsewhere or that are unnecessary to document the research project because the final product speaks for itself

As these records may be maintained in different media formats, this schedule is written to authorize the disposition of the records in any media (media neutral).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Cut off annually. Destroy/delete 5 years after cutoff.

ESTIMATED VOLUME: 2 cubic feet per year

CURRENT FORMAT: Paper

**United States Sentencing Commission
Records Disposition Schedule**

**United States Sentencing Commission
Records Disposition Schedule**

PART II

**COMMISSION RECORDS COMMON TO
MOST FEDERAL AGENCIES**

**Approved by the Commission from the
General Records Schedules (GRS)**

United States Sentencing Commission
Records Disposition Schedule

GRS 1.1 Official Personnel Folders (OPFs)

Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF) Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention

DISPOSITION INSTRUCTIONS:

~~**TEMPORARY:** *Maintain electronically in accordance with government-wide procedures. File all scanned paper copies or printed paper copies in the local personnel folder (GRS 1 18b) and follow the disposition of the local folder.*~~ ^{GRS 1.1 b} ^{GRS 1.18b}

GRS 1.3 Personnel Correspondence Files

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at Commission staff planning levels.

DISPOSITION INSTRUCTIONS:

~~**TEMPORARY:** *Maintain in the local personnel folder (GRS 1 18b) and follow the disposition of the local folder.*~~ ^{maintain according to GRS 1.3. All local copies should be}

³Disposition instructions in italics indicate citations that vary from the GRS, requiring longer retentions, because of unique Commission requirements

United States Sentencing Commission
Records Disposition Schedule

GRS 1.4 Offers of Employment Files

Correspondence, including letters and telegrams, offering appointments to potential employees

- a Accepted offers.

DISPOSITION INSTRUCTIONS:

maintain according to GRS 1.4. All local copies should be
TEMPORARY: *Maintain in the local personnel folder (GRS 1 18b) and follow the disposition of the local folder.*

- b Declined offers

- (1) When name is received from certificate of eligibles

DISPOSITION INSTRUCTIONS:

maintain according to GRS 1.4b. Local copies should be
TEMPORARY: *Destroy/delete when three years old.*

- (2) Temporary or excepted appointment.

DISPOSITION INSTRUCTIONS:

File with application

- (3) All others

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete immediately.

GRS 1.7 Position Classification Files

⁴Id.

[□] Id

[□] Id

United States Sentencing Commission
Records Disposition Schedule

Correspondence and other records relating to the development of standards for classification of positions peculiar to the Commission, and OPM approval or disapproval.

DISPOSITION INSTRUCTIONS:

TEMPORARY: ~~Maintain indefinitely~~

Destroy when 5 years old or when no longer needed for agency business, whichever is later (per email w/ records officer 10/25/10)

GRS 1.10 Temporary Individual Employee Records

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping.

DISPOSITION INSTRUCTIONS:

Maintain according to GRS 1.10. All local copies should be
TEMPORARY: *File in the local folder upon separation from the Commission (GRS 1.18b) and follow the disposition of the local folder⁸*

GRS 1.18a Supervisors' Personnel Files

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Review annually and destroy/delete superseded or obsolete documents, or destroy/delete file relating to an employee within 1 year after separation or transfer.

GRS 1.18b Local Personnel Files

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule

⁸ Id

⁹ Id

United States Sentencing Commission
Records Disposition Schedule

DISPOSITION INSTRUCTIONS:

Destroy when 30 years old or when no longer needed for legal reasons or agency business, whichever is earlier.
(per email from agency records officer 10/25/10)

TEMPORARY: ~~Maintain indefinitely~~

GRS 1.21 Employee Medical Folder (EMF)

DISPOSITION INSTRUCTIONS:

TEMPORARY: ~~Maintain indefinitely~~ " see below

GRS 2.6 Leave Application Files

SF 71 or equivalent plus any supporting documentation of requests and approvals of leave

DISPOSITION INSTRUCTIONS:

TEMPORARY: *If employee's records are in the electronic system, cut off paper record at the end of the leave year. Destroy it three years after cutoff. Retain all paper copies that are not in the electronic system.*

GRS 2.7 Time and Attendance Source Records

All time and attendance records upon which leave input data is based, such as time or sign-in sheets, time cards (such as Optional Form (OF) 1130), flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

DISPOSITION INSTRUCTIONS:

9Id

10Id

11Id

GRS 1.21 Employee Medical Folder
a. Long-term medical records as defined in 5 CFR Part 293 Subpart E
(1) Transferred employees
See 5 CFR 293 Subpart E for instructions (NI-GRS 86-4 item 21a1)
(2) Separated employees
Transfer to NPRC, St Louis, MO 30 days after separation.
NPRC will destroy 75 years after birth date of employee, 60 years after date of earliest document, if birth date cannot be ascertained, or 30 years after latest separation, whichever is later. (NI-GRS-86-4 item 21a2)

(per email w/agency RO 10/25/10)

United States Sentencing Commission
Records Disposition Schedule

TEMPORARY: *If employee's records are in the electronic system, cut off paper record at the end of the leave year. Destroy it three years after cutoff. Retain all paper copies that are not in the electronic system.*

GRS 3.a1 Routine Procurement Files

Procurement or purchase organization copy, and related papers that utilize other than small purchase procedures and all construction contracts exceeding \$2,000

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 6 years and 3 months after final payment.

GRS 5.1 Budget Correspondence Files

Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to Commission policy and procedure maintained in formally organized budget offices.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy when 2 years old.

GRS 5.2 Budget Background Records

Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when no longer needed¹³

GRS 5.3 Budget Reports

Destroy when 5 years old or when no longer needed for legal reasons or agency business, whichever is later (per email from agency RO 10/25/10)

¹³ Id

**United States Sentencing Commission
Records Disposition Schedule**

Periodic reports on the status of appropriation accounts and apportionment

- a Annual report (end of fiscal year).

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when 5 years old.

- b. All other reports.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 3 years after the end of the fiscal year

GRS 5.4 Budget Apportionment Files

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

DISPOSITION INSTRUCTIONS:

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

GRS 7.2 General Accounting Ledgers

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 6 years and 3 months after the close of the fiscal year involved.

GRS 7.3 Appropriation Allotment Files

Allotment records showing status of obligations and allotments under each authorized appropriation

United States Sentencing Commission
Records Disposition Schedule

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 6 years and 3 months after the close of the fiscal year involved.

GRS 7.4 Expenditure Accounting Posting and Control Files

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

a Original records

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when 3 years old.

b. Copies.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when 2 years old.

GRS 9.3 Noncommercial, Reimbursable Travel Files

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete when 6 years old.

GRS 18.22 Personnel Security Clearance Files

Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal Commission under contract, who require an approval before having access to Government facilities or to sensitive

United States Sentencing Commission
Records Disposition Schedule

data

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

GRS 20.1 Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records

Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete after information has been transferred to the master file and verified

GRS 20.11a Documentation

- a Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

GRS 23.7 Transitory Files

**United States Sentencing Commission
Records Disposition Schedule**

Records of short-term (180 days or less) interest, including in electronic form (e.g., email and voice message(s)), which have minimal or no documentary or evidential value

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy within 180 days or less.

GRS 23.1 Office Administrative Files.

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records, day to day administration of office personnel including training and travel, supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy when 2 years old.

GRS 24.11 IT Infrastructure Design and Implementation Files

Records of individual projects designed to provide and support new Commission IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results

**United States Sentencing Commission
Records Disposition Schedule**

- a Records for projects that are not implemented

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 1 year after final decision is made.

- b. Records for projects that are implemented.

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 5 years after project is terminated.

- c Installation and testing records

DISPOSITION INSTRUCTIONS:

TEMPORARY: Destroy/delete 3 years after final decision on acceptance is made.

**United States Sentencing Commission
Records Disposition Schedule**

**United States Sentencing Commission
Records Disposition Schedule**

PART III

DISPOSITION OF NONRECORDS

NON RECORD MATERIALS

DEFINITION OF NONRECORD MATERIALS

Nonrecord materials are those Commission-owned informational materials that do not meet the definition of records or that have been excluded from coverage by that definition. Nonrecords consist of the following.

DISPOSITION OF NONRECORD MATERIALS

TEMPORARY: Destroy/delete when no longer needed.

EXAMPLES OF NON RECORD MATERIALS

Technical Reference Materials

Technical or general reference files which are maintained by individuals or program offices to enable the person or program office to perform its mission and which are kept only for reference. Collections may be on general environmental research topics or issues, the program mission, or management and administrative questions. Files or collections may consist of items such as technical publications, manuals, extra copies of issue papers, reports and studies originated by or for the program, information copies of studies and reports produced by other programs, journal articles, books, video tapes, photographs, vendor catalogs, electronic files, and other materials regardless of medium.

News Clippings

Clippings of news stories, which have no documentary or evidential value, from newspapers and other publications.

**United States Sentencing Commission
Records Disposition Schedule**

Convenience Copies

Extra copies of documents preserved only for convenience of reference. Includes information copies of correspondence, directives, and other documents on which no administrative or mission-related action is recorded or taken. Also includes copies other than the record copy where there is no recordkeeping requirement for multiple record copies.

Stocks of Forms, Publications, and Processed Documents

Extra copies of printed or processed materials for which complete record sets exist (such as current and superseded manuals, brochures, pamphlets, handbooks, posters, and maps) maintained inside or outside the office responsible for maintaining the record set.

Materials Not Appropriate for Preservation

Catalogs, trade journals, and other publications or documentary materials that are received from other government agencies, commercial firms, private institutions, or individuals and that require no action, are not part of a case on which action is taken, and are not essential to the business of the Commission or to the Commission's legal responsibilities.

Library or Museum Materials

Library or museum materials intended solely for reference or exhibit. Includes physical exhibits, artifacts, and other material objects lacking evidential value.

Working Papers and Drafts

Document such as rough notes, calculations, or preliminary drafts which are assembled or created and used to prepare or analyze other documents and which meet all of the following criteria: (1) They were not circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow up, or to communicate with Commission staff about Commission business; (2) They do not contain unique information, such as substantive annotations or comments included therein, that adds to a proper understanding of the Commission's formulation and execution of basic policies, decisions, actions, or responsibilities; (3) They are not needed for purposes of adequate and proper documentation of the decisionmaking process; and, (4) They are not described elsewhere under a Commission-wide or

**United States Sentencing Commission
Records Disposition Schedule**

Commission organization-specific requirement to retain the documents for a specific period of time.

GUIDANCE

Determining record value

Consideration should be given to determining the record value of materials such as working papers, drafts, and notes which document an activity up to the point in time when those materials are created. Until a subsequent activity occurs which causes them to become superseded or obsolete, the materials could warrant record status and be appropriate for preservation. Designating materials as nonrecords in anticipation of their being superseded or obsolete, rather than at the point when they are actually superseded or obsolete, can be premature in some instances. When it is difficult to decide whether certain materials are records or nonrecords, they should be treated as records

Access restrictions

Nonrecord materials should not contain any security classified or administratively controlled information.

Removal of nonrecords from the Commission

Nonrecord materials should not be removed from the Commission except with the Commission's approval

Short-term documentary materials

Nonrecords, along with personal papers, and short-term records, comprise a broad category of materials that are not needed as part of the long-term documentation of Commission activities.