

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-539-98-1</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>6-26-98</i>	
1. FROM (Agency or establishment) <i>United States Sentencing Commission</i>		NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Gail E. Sneed</i>	5. TELEPHONE <i>(202) 273-4576</i>	DATE	ARCHIVIST OF THE UNITED STATES WITHDRAWN
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 <i>51</i> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>4-3-98</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Gail E Sneed</i>	TITLE <i>Office Manager</i>	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<i>Comprehensive Schedule (see attached pages)</i>		

UNITED STATES SENTENCING COMMISSION

RECORDS MANAGEMENT

SCHEDULE

March 1998

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RECORDS PROGRAM

1. Purpose.

The purpose of the Records Disposition Program are to ensure:

- a. The preservation of records of permanent value;
- b. The appropriate disposition of other records as soon as they have served the purpose for which they were created; and
- c. The removal of records from office space to less expensive storage facilities, thereby reducing records maintenance cost and creating more available local storage and filing space.

2. Scope.

Records disposition encompasses the systematic disposal, by destruction or donation, or records no longer needed; the retirement of inactive records to inexpensive storage space provided by the Federal Records Centers (FRCs); the transfer of records determined to have sufficient historical or other value to warrant permanent retention to the custody of National Archives; and the transfer of records to another Federal agency. Upon the expiration of the retention periods prescribed by the schedules, the FRCs will arrange for the disposal of records by destruction or accession into the National Archives for permanent retention. Prior to the destruction of any records, the FRCs will notify the Commission, and the Commission may require a further retention period for legal reasons.

The attached disposition schedules and implementing procedures cover the records of the United States Sentencing Commission. The schedules for the disposition of records do not supersede any statute pertaining to the retention or disposition of specific documents or records.

3. Authority.

The disposition of the records covered in the schedule is to be accomplished in the manner provided in Chapter 33, title 44 of the United States Code. The programs of the National Archives and Records Administration (NARA) are authorized by 44 U.S.C. Section 2907.

4. **Responsibilities.**

- a. Each office is responsible for the care, security, timely transfer, or disposal in compliance with the requirements of this program.
- b. Each office is responsible for ensuring that only essential information goes into the files that will ultimately be stored in the records centers and that the files are free of duplicate paper.
- c. The Office of Administration is responsible for designating a Records Officer and administering the records disposition program and coordinating with the National Archives and Records Administration (NARA) and the Federal Records Centers.
- d. The Records Officer is responsible for all aspects of the Commissions records management program including records disposition and records scheduling. The Records Officer is also responsible for ensuring that records disposition program and records schedules are provided to all personnel who handle records and that Commission staff who need records management training.

5. **Definitions.**

- a. **Disposable Records.** Disposable records are records that shall be disposed of upon the expiration of the retention periods specified in the schedules with the approval of the NARA.
- b. **Duplicate Records.** Duplicate records are paper copies of official records retained permanently elsewhere (such as court documents).
- c. **Permanent Records.** Permanent records are records determined by the NARA to have sufficient value to justify permanent archival preservation pursuant to 44 U.S.C. sections 2103, 2104, 2105 and 3303(a).
- d. **General Record Schedules (GRS).** The GRS are issued by the National Archives and Records Administration (NARA) to provide disposition authorization for records common to several or most agencies of the Federal Government. Copies of the GRS are available from the NARA Records Administration Information Center.

6. **Procedures Governing Records Retention at the U.S. Sentencing Commission.**

- a. **Filing and Storage of Records.** All records shall be maintained in a manner that allows access and retrieval while in the physical custody of the agency and facilitates transfer to the NARA for ultimate disposition.
- b. **Permanent Records.** Records classified as "Permanent" may not be destroyed under any circumstances. They may be transferred to the legal custody of NARA, when the agency no longer has administrative, fiscal, or legal need for them. Records accessioned by NARA will not be destroyed or otherwise disposed of without the written consent of the agency that transferred them. The agency should work closely with local FRC and the National Archives personnel to identify and preserve any permanent records which may have been retired to the FRC as temporary records.
- c. **Disposal Not Authorized.** These records may be retained at the agency, if space permits, or sent to the Federal Records Center (FRC) for storage. These records may not be destroyed.
- d. **Disposable Records.** Disposable records should be transferred periodically to the Federal Records Center (FRC), for retention there until the expiration of their retention period.
- e. **Duplicate Records.** Duplicate copies of official records should be destroyed by the office where they are maintained when no longer needed; such files may not be transferred to the FRC.

7. **Procedures for Packing and Documentation for Transfer of Records to the Records Center.**

- a. **Identifying Records.** Offices planning to retire or destroy records must consult the records schedules. The schedules list the various categories of records maintained by the Commission and the period of time each category of record must be maintained. The length of time that records are retained prior to transfer is determined by each office. Generally, inactive records should be transferred to the FRC no more than five years after they become inactive. Records eligible for disposal in less than three years should not be transferred to FRC.

b. Retrieval and Disposal Requirements. All files transferred to the FRC must be arranged, packaged, and documented so that FRC employees can;

- (1) Comply with future retrieval requests by readily locating, removing, and later returning records to storage.
- (2) Dispose of records at the appropriate time in individual boxes or packages without the necessity of further screening.

c. Packing for Transfer. Files and other records must be packaged and documented in a logical series and sequence for transfer to the FRC so that records may be disposed or retained in packaged units without the need to select individual records from record boxes, cartons, packages. Records requiring separate packaging are:

- (1) Records identified as "Permanent."

Records to be transferred to the FRC must be boxed in standard records cartons. When the total number of boxes has been determined, the transferring office should contact the Administrative Staff to obtain the accession number(s) for the transfer of the material. An accession number may be assigned for groups of 1 to 50 boxes; however, each accession may only contain records covered by the same disposal authority. In some cases (such as financial management records), they also must come under the same fiscal year.

Boxes must be legibly marked, with a black felt tip marker. The accession number should be written in the upper left corner of the front of each box. Boxes should be numbered consecutively, e.g. 1/25, 2/25, 3/25, etc., in the upper right corner, beginning with the box containing the oldest file on record in the group. All marking should be a least 2 inches high. A short description of the contents of each box should also be included on each box.

d. Authorization for Transfer. The transfer of Commission's records to the record center must be authorized by the Office Manager.

e. Documentation for Transfers: Standard Form 153, Records Transmittal and Receipts (SF 135).

- (1) Prepare an original and three copies of the SF 135 for each shipment. (See Exhibit A-1.) Use a continuation sheet, SF 135-A, if needed. (See Exhibit A-2.) Retain one copy and forward the original and three copies to the Office of Administration. They will verify that the information on the form is complete and forward the documentation to the FRC to arrive at least two weeks before the desired date of shipment of the records.
- (2) The Suitland FRC will review the SF 135 for completeness and to determine the propriety of the transfer. If the transfer is approved, the records center will return two stamped copies of the SF 135 to the Office of Administration.
- (3) Upon receipt of the approved SF 135 from the records center, the Office of Administration will schedule a pickup of the records, place one copy of the approved SF 135 in the first box (e.g. 1 of 25) of each accession, and file the second copy of the approved SF 135.
- (4) When the Suitland FRC the records shipment, the boxes are matched against the copy of the SF 135 submitted with the accession. Upon receipt of the shipment, the FRC will remove a copy of the SF 135 contained in the first box of the shipment, note thereon the final shelf location, and return it to the Office of Administration, which will provide the originating office with a copy for its files.

f. Shipment of Records.

- (1) Ship the records to be transferred to the records center with 90 days after receipt of the approved copies of the SF 135. A delay in shipment of more than 90 days will result in the return by the NARA of the original SF 135, requiring the resubmission of the required documents.
- (2) Boxes must be sealed with pressure sensitive tape, no flap inter-folded.
- (3) The Shipper's and addressee's complete address must be placed on top of the shipping box or record carton.
- (4) The most economical means available should be used to ship records to the records center. Large shipment of records (over 20 boxes) should generally be done via freight using a Government Bill of Lading (GBL). The Operations Branch of the records center must be called before every delivery. This instruction must be noted on the bill of lading.

- (5) When the records center receives a shipment, the boxes are matched against the copy of the SF 135 submitted with the accession. Upon receipt of the shipment, the FRC will remove a copy of the SF 135 contained in the first box of the shipment, note thereon the final shelf location, and return that copy to the Commission for filing. This is the only receipt the records center will provide for transferred material.

g. Maintenance of Files Concerning Records Transferred.

The Office Manager will maintain a file of SF 135s indicating the final location of records retired to the FRC. Each of these SF 135s should be maintained for 50 years. The Office Manager will update the location information on their SF 135s when they receive National Archives Form 13016, Notice of Accession Location Change. When permanent records are transferred to NARA's legal custody, the SF 258 that effects the transfer should be filed in this records transmittal file.

h. Assistance with Records Transfer and Retrieval Problems.

The Office Manager will resolve all problems relating to the acceptance or retrieval of records with officials at the records center. Detailed instructions relating to shipping materials, packaging, and documentation may be found in the records management handbook provided by the Office Manager.

i. Availability of Forms and Containers.

Supplies of SF 135, SF 135A, Optional Form 11 and Federal Record Center boxes may be obtained from the Office Services Staff.

8. Procedures for Monitoring Retrieval of Records from Records Center.

Requests to recall records previously transferred for the FRC should be submitted to the Office of Administration. Requesting offices must provide the accession numbers, box numbers (1 of 20, 2 of 20, etc.), location codes, and contents description for each records requested. The Office of Administration will specify the record desired by completing a form OF 11, Reference Request-Federal Records Centers, and forwarding it to the FRC. Unless otherwise specified, the entire box containing the desired record will be returned by the FRC. Individuals folders of files within a box may be requested, but only if they are clearly marked and separated within the box. FRC personnel will not randomly search for documents or unspecified files within a box.

Returning a Record. When a record retrieved from the records center is no longer needed by the Commission, it should be returned to the records center with a copy of the optional form 11 for reinsertion under the original accession number.

9. Disposition of Records After Expiration of Retention Period.

Upon expiration of the retention period specified in the records disposition schedule, the FRC will destroy disposable records in their custody in accordance with applicable provisions of law. The FRC will notify the Office of Administration at least 90 days in advance of the date records are to be destroyed by transmitting NA Form 13001, Notice of Intent to Destroy Records. The Office of Administration will notify the originating office. If no objection is raised by the originating office, the records will be destroyed as scheduled. If there is a need to retain the records longer, the originating office may request an extension by providing written justification and a new disposal date on NA Form 13001. If the FRC denies the request for extension and the originating office does not want the records destroyed, the records will be returned to the originating office.

**RECORD CATEGORIES COMMON TO
MOST OFFICE**

Most offices create and maintain records which fall in the following categories. The disposition periods for these records are set forth in the General Records Schedules (GRS).

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
1.	<u>Office Administrative Files.</u> Records relating to internal administration or housekeeping activities. Disposition: Dispose when 2 years old or when no longer needed, whichever is sooner.	GRS 23 Item 1
2.	<u>Suspense Files.</u> Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. Disposition: Dispose after action is taken.	GRS 23 Item 3
3.	<u>Transitory Files.</u> Paper of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Working files generally fall into this category. Disposition: Dispose when 3 month old or when no longer needed, which-ever is sooner.	GRS 23 Item 4

**Item
No.**

Description of Item

**Disposition
Authority**

4.

Technical Reference Files.

Copies of documents retained for informational purposes, such as periodicals, books and catalogs.

Disposition: Review annually and dispose of material of no further reference value.

GRS 23
Item 6

5.

Personnel Correspondence Files.

Correspondence and other records relating to the general administration of personnel functions.

Disposition: Dispose when 3 years old.

GRS 1
Item 3

6.

Interview Records.

Correspondence, reports and other records relating to interviews with employees.

Disposition: Dispose 6 month afer transfer or separation of employee.

GRS 1
Item 8

7.

Employee Awards Files.

Case files including recommendations approved awards, memorandums and correspondence.

Disposition: Dispose 2 years after approval or disapproval.

GRS 1
Item 12

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
8.	<u>Employment Applications.</u> Standard form 171/612 and related records. Disposition: Dispose when 2 years old	GRS 1 Item 15
9.	<u>Supervisor's Personnel Files.</u> Correspondence and other records relating to positions, authorizations, pending actions; copies of position descriptions and other records on individual employees. Disposition: Review annually and dispose of superseded documents; or dispose of all documents relating to an individual employees one year after separation or transfer.	GRS 1 Item 18a
10.	<u>Performance Appraisal Records.</u> Summary performance appraisal records including performance appraisals and job elements and standards upon which they are based. Disposition: Dispose 3 years after date of appraisal.	GRS 1 Item 23
11.	<u>Employee Training.</u> Correspondence, reports, and other records relating to availability of training and employee participation in training programs. Disposition: Dispose when 5 years old or when superseded, whichever is sooner.	GRS 1 Item 31a

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
12.	<u>Grievance and Appeals Files.</u> Records originating in the review of grievance and appeals raised by agency employees. Disposition: Dispose 3 years after case is closed.	GRS 1 Item 31a
13.	<u>Adverse Action Files.</u> Case files and related records created in reviewing and adverse action. Disposition: Dispose 4 years after the case is closed.	GRS 1 Item 31b
14.	<u>Time and Attendance Reports Files.</u> Used as the basis for timekeeping and payroll preparation. Disposition: Dispose after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 3
15.	<u>Leave Application Files.</u> SF 71 or equivalent form and supporting papers relating to requests for and approval or taking leave. Disposition: Dispose after GAO audit or when 3 years old, whichever is sooner.	GRS 2 Item 8

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
16.	<u>Budget Background Records.</u> Working papers and cost statement used to prepare annual budget estimates. Disposition: Dispose 1 year after the close of the fiscal year covered by the budget.	GRS 5 Item 4
17.	<u>Travel Files.</u> Records relating to the reimbursement of individuals for travel, such as travel orders, per diem vouchers, and supporting papers. Disposition: Dispose when 3 years old.	GRS 9 Item 4
18.	<u>Organizational Files.</u> Organizational charts, reorganization studies, functional statements, and selected background materials. Disposition: Permanent. Transfer to the FRC when no longer needed for reference. Offer to NARA in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995)	GRS 16 Item 13

OFFICE OF GENERAL COUNSEL

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
19.	<u>Legal Opinion Subject Files.</u> Legal opinions and support material, arranged by subject, concerning the policies and operations of the U.S. Sentencing Commission. Permanent and temporary material are segregated within each file folder. Disposition: Permanent. Review file annually and purge material which is outdated or unneeded. Transfer to the PRC when no longer needed for reference. Offer permanent portions of file to National Archives in 5 year blocks when 30 years old.	
20.	<u>Files Documenting Suits.</u> Files Concerning suits brought against judicial officers sued in their official capacity. Disposition: Dispose of 3 years after the case is closed.	
21.	<u>Caselaw Files.</u>	
22.	<u>Guideline/Amendment Files.</u>	

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
23.	<u>Memoranda.</u>	
	Informational memoranda concerning the status of legislation.	
	Disposition: Review annually and destroy material of no further reference value.	
24.	<u>Congressional Correspondence.</u>	
	a. Correspondence with individual members of the United States Senate and the House of Representatives and related background material.	
	Disposition: Dispose of file 10 years after member leaves office. Do not transfer to FRC.	
	b. Correspondence with House and Senate Judiciary Committee and subcommittees and related background material.	
	Disposition: Permanent. Offer one copy in 10 year block to the National Archives when 25 years old. All other copies may be destroyed when no longer needed for reference.	
25.	<u>Subject Files.</u>	
	General background information and working paper relating to a variety of matters e.g. ethics, use of commission resources, financial disclosure, GAO, GSA, etc.	
	Disposition: Review annually and destroy material of no further value.	

**Item
No.**

Description of Item

**Disposition
Authority**

26.

Legislative History.

History of Congressional legislation which has been developed by the Commission or that has an impact on the Commission.

Disposition: Permanent. Hold in office 10 years, then send to FRC. Offer original to the National Archives when 30 years old in 10 year blocks. All other copies may be destroyed when no longer needed for reference.

27.

Proposed Legislation.

Working paper used in the development of legislation prior to its enactment by Congress.

Disposition: Review annually and dispose of material of no further reference value. When legislation is enacted, review material and include appropriate reference papers in legislative history. Dispose of all other material.

ADMINISTRATION

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
28.	<p><u>Legal Opinions.</u></p> <p>Legal opinions rendered by the Office of General Counsel relating to administrative matters.</p> <p>Disposition: Dispose when superseded by subsequent opinion. Do not transfer to the FRC.</p>	
29.	<p><u>Organizational Records.</u></p> <p>Record copies of official organizational charts and related records which document the organization and functions of the Commission.</p> <p>Disposition: Permanent. Offer to National Archives when 25 years old. All other copies may be destroyed when superseded or obsolete.</p>	
30.	<p><u>Report Working Paper.</u></p> <p>Working papers including background and supporting records such as analysis, notes, drafts, edits, interim reports, statistical data, and related correspondence.</p> <p>Disposition: Dispose of these records when subsequent management report is issued.</p>	

**Item
No.**

Description of Item

**Disposition
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31.

Management Reports.

Report each management review conducted, documenting the findings and recommendations of the reviewers. These reports are considered closed when the final report is issued.

Disposition: Permanent. Transfer to the FRC after year of issuance. Offer to the National Archives when 25 years old.

32.

Freight Files.

Records relating to freight, memorandum copies of Government or commercial bills of lading and all supporting documents, including records relating to the shipment of household goods.

Disposition: Disposes 3 years after the period of the account.

GRS 9
Item 1

33.

Lost or Damaged Shipment Files.

Schedules of valuables shipped, and other records relating to the administration of the Government Losses in Shipment Act.

Disposition: Dispose when 3 years old.

GRS 9
Item 2

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
34.	<u>Formal Directives and Routine Issuances.</u>	
	Formal directives distributed as orders announcing changes in policies or procedures.	
	a. Issuances related to program functions.	
	Disposition: Permanent. Transfer to the FRC when no longer needed for reference. Offer to the National Archives in 5 year blocks when 20 years old.	GRS 16 Item 1a
	b. Issuances related to routine administrative functions	
	Disposition: Dispose when superseded or obsolete.	GRS 16 Item 1C
35.	<u>Records Disposition Files.</u>	
	Descriptive inventories, disposal authorizations, schedules, and reports. (SF-115, SF135 or equivalent forms).	
	Disposition: Dispose when related records are disposed of or when no longer needed for administrative reference purposes.	GRS 16 Item 3a
36.	<u>Records Management Files.</u>	
	Correspondence, reports, authorizations and other records relating to records management not covered elsewhere in this schedule.	
	Disposition: Dispose when 6 years old. Earlier disposal is authorized if records are superseded or no longer needed for reference.	GRS 16 Item 11

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
37.	<u>Records Management Files.</u> Correspondence, reports, authorizations, and other records relating to records management not covered elsewhere in this schedule. Disposition: Dispose when 6 years old. Earlier disposal is authorized if records are superseded or no longer needed for reference.	GRS 16 Item 11
38.	<u>Public Printer Files.</u> Records relating to requisitions on the Printer and all supporting papers. Disposition: Dispose 3 years after completion or cancellation of requisition.	GRS 3 Item 7a
39.	<u>Printing- Project Files.</u> Project records containing all data pertaining to printing, binding, and distribution jobs. a. Files pertaining to the accomplished of the job. Disposition: Dispose 1 year after completion of job.	GRS 13 Item 3a
	b. Files pertaining to planning and other technical matters. Disposition: Dispose when 3 years old.	GRS 13 Item 3b

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
40.	<p><u>Control Files.</u></p> <p>Control registers pertaining to requisitions and work orders.</p>	<p>Disposition: Dispose 1 year after close of fiscal year in which compiled.</p> <p>GRS 13 Item 4</p>
41.	<p><u>Mailing List.</u></p> <p>Correspondence, request forms, and other records relating to changes in mailing lists.</p>	<p>Disposition: Dispose after appropriate revision of mailing list.</p> <p>GRS 13 Item 5a</p>
42.	<p><u>Postal Records</u></p> <p>Post office forms and supporting papers.</p> <p>a. Records relating to registered mail and special delivery mail, including receipts and return receipts.</p> <p>b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.</p> <p>c. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.</p>	<p>GRS 12 Item 5a</p> <p>GRS 12 Item 5b</p> <p>Disposition: Dispose when 1 year old.</p> <p>GRS 12 Item 5c</p>

**Item
No.**

Description of Item

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43.

Credential Files.

Identification credentials and related papers.

a. Identification credentials including but not limited to property passes.

Disposition: Dispose of credentials 3 months after return to issuing office.

GRS 11
Item 4a

b. Receipts, indices, listings, and accountable records.

Disposition: Dispose after all listed credentials are accounted for.

GRS 11
Item 4b

44.

Messenger Service Files.

Daily logs, assignment records, and instructions, delivery receipts, and related records.

Disposition: Dispose when 2 months old.

GRS 12
Item 1

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
45.	<u>Mail and Delivery Service Control File.</u>	
	a. Records of receipt and routing of incoming and outgoing mail and other items handled by private delivery companies.	
	Disposition: Dispose when 1 year old.	GRS 12 Item 6a
	b. Records of and receipt for mail and packages received through the official mail system.	
	Disposition: Dispose when 6 months old.	GRS 12 Item 6f
	c. General files, including correspondence and guides relating to mail operations.	
	Disposition: Dispose when 1 year old or when superseded, whichever is applicable.	GRS 12 Item 6g
46.	<u>Postal Irregularities File.</u>	
	Memoranda, correspondence, reports, and other records relating to irregularities in the handling of mail.	
	Disposition: Dispose 3 years after completion of investigation.	GRS 12 Item 8

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
47.	<u>Real property (fixed Assets) Files.</u>	
	a. Title papers for property acquired other than abstract or certificate of title.	
	Disposition: Dispose 10 years after unconditional sale or release by the government of conditions, mortgages or other liens.	GRS 3 Item 2b
	b. Abstract or certificate of title.	
	Disposition: Transfer to purchaser after unconditional sale or release by the government of conditions, mortgage or other liens.	GRS 3 Item 2c
48.	<u>Routine Procurement Files.</u>	
	Contract, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in item 17).	
	a. Procurement or purchase organization copy and related papers.	
	(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.	
	Disposition: Dispose 6 years and 3 months after final payment.	GRS 3 Item 3a (1)
	(2) Transactions of \$25,000 or less and construction contracts under \$2,000.	
	Disposition: Dispose 3 years after final payment.	GRS 3 Item 3a (2)

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
	b. Obligation copy.	
	Disposition: Dispose when funds are obligated.	GRS 3 Item 3b
	c. Other copies of records described above used for administrative purposes.	
	Disposition: Dispose upon termination or completion.	GRS 3 Item 3c
49.	<u>Supply Management Files.</u>	
	Files of reports on supply requirements and procurement matters submitted for supply management purposes.	
	Disposition: dispose when 2 years old.	GRS 3 Item 4a
50.	<u>Solicited and Unsolicited Bids and Proposals Files.</u>	
	a. Successful bids and proposals.	
	Disposition: Dispose with related contract case files.	GRS 3 Item 5a
	b. Solicited and unsolicited unsuccessful bids and proposals.	
	Disposition: Dispose with related contract case files. Dispose 1 year after date of award or final payment whichever is later.	GRS 3 Item 5b

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
	c. Canceled solicitation files.	
	(1) Formal solicitations of offers to provide products or services which were canceled prior to award of a contract.	
	Disposition: Dispose 5 years after date of cancellation.	GRS 3 Item 5c (1)
	(2) Unopened bids.	
	Disposition: Return to bidder.	GRS 3 Item 5c (2)
51.	<u>Inventory Files.</u>	
	a. Inventory lists.	
	Disposition. Dispose 2 years from date of preparation of list.	GRS 3 Item 9a
	b. Inventory cards.	
	Disposition: Dispose 2 years after discontinuance of item or 2 years after stock balance is transferred to a new card, or 2 years after equipment is removed from AO control.	GRS 3 Item 9b
52.	<u>Contract Appeals Case Files.</u>	
	Contract appeals case files consisting of notices of appeal and acknowledgments thereof and all other related papers.	
	Dispose 10 years after final action or decision.	GRS 3 Item 19
53.	<u>Property Disposal Case Files.</u>	
	Disposition: Dispose of 7 years after property is disposed of.	

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
54.	<u>Surplus Property Case Files.</u>	
	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, and related correspondence.	
	a. Transactions after July 25, 1974, of more than \$10,000; and transactions before July 26, 1974, of more than \$2,500.	
	Disposition: Dispose 6 years after final payment.	GRS 4 Item 6a
	b. Transactions after July 25, 1974, of \$10,000 or less; and transactions before July 26, 1974, of \$2,500 or less.	
	Disposition: Dispose 3 years after final payment.	GRS 4 Item 6b
55.	<u>Communications Correspondence, Reports, Reference Files.</u>	
	a. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	
	Disposition: Dispose when 3 years old.	GRS 12 Item 2b
	b. Telecommunications statistical reports, including cost and volume data.	
	Disposition: Dispose when 1 year old.	GRS 12 Item 2c

**Item
No.**

Description of Item

**Disposition
Authority**

c. Telecommunications reference
voucher files.

(1) Reference copies of vouchers,
bills, invoices, and related records.

Disposition: Dispose when 1 fiscal
year old.

GRS 12
Item 2d (1)

(2) Records relating to installation,
change, removal, and servicing of
equipment.

Disposition: Dispose 1 year after audit or
when 3 years old, whichever
is sooner.

GRS 12
Item 2d (2)

d. Copies of agreements with background data
and other records relating to agreements for
telecommunication services.

56.

Space Files.

Records relating to the allocation and utilization of space,
floor plans, and related agency records utilized in space
planning, assignment, and adjustment.

Disposition: Dispose 2 years after termination of assignment,
or when plans are superseded or obsolete.

GRS 11
Item 2a

57.

Directory Service Files.

Correspondence, forms, and other records relating to
the compilation of directory service listings.

Disposition: Dispose 2 months after
issuance.

GRS 11
Item 3

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
58.	<u>Building and Equipment Service Files.</u> Requests for building and equipment maintenance services, excluding financial copies. Disposition: Dispose 3 months after work performed or requisition cancelled.	GRS 11 Item 5
59.	<u>Telephone Records.</u> Telephone statements and toll slips. Disposition: Dispose 3 years after period covered by related account.	GRS 3 Item 11
60.	<u>Budget Policy Files.</u> Records which document policy and procedures governing budget administration. Disposition: Permanent. Transfer to the FRC when no longer needed for reference. Offer to the National Archives when 25 years old in 10 year blocks.	
61.	<u>Budget Estimates and Justification Files.</u> Copies of budget estimates and justifications prepared for consideration by Congress. included are appropriate language sheets, narrative statements, and related schedules and data. Disposition: Dispose of office copy when no longer needed for reference.	
62.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. Disposition: Dispose when 2 years old.	

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
63.	<u>Budget Reports Files.</u>	
	Periodic reports on the status of funds.	
	a. Annual report (end of fiscal year).	
	Disposition: Dispose when 5 years old.	GRS 5 Item 5a
	b. All other reports.	
	Disposition: Dispose 3 years after the end of the fiscal year.	GRS 5 Item 5b
	c. Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.	
	Disposition: Dispose 6 Years and 3 months after the close of the fiscal year involved.	GRS 7 Item 3
65.	Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	
	Disposition: Dispose when 3 years old.	GRS 6 Item 5b
66.	<u>Expenditure Accounting Posting and Control Files.</u>	
	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.	
	Disposition: Dispose when 3 years old.	GRS 7 Item 4a

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
67.	<u>Passenger Transportation Files.</u> Memorandum copies of transportation requests, travel authorizations, transportation request registers, and all supporting papers. Disposition: Dispose when 3 years old.	GRS 9 Item 3a
68.	<u>Certificates Settlement Files.</u> Copies of certificates and settlement of accounts of accountable officers, statement of differences, and related records. a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements. Disposition: Dispose 2 years after date of settlement.	GRS 6 Item 3a
	b. Certificates covering period settlements. Disposition: Dispose when subsequent certificate of settlement is received.	GRS 6 Item 3b
69.	<u>Temporary Individual Employee Records.</u> All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31. Disposition: Dispose upon separation or transfer of employee or when 1 year old, whichever is sooner.	GRS 1 Item 10

**Item
No.**

Description of Item

**Disposition
Authority**

70.

Offers of Employment Files.

Correspondence offering appointments to potential employees.

a. Accepted offers.

Disposition: Dispose immediately.

GRS 1
Item 4a

b. Declined offers.

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

Disposition: Return to OPM
with reply and
application.

GRS 1
Item 4b (1)

(2) Temporary or excepted appointment.

Disposition: File inside application.

GRS 1
Item 4b(2)

(3) All others.

Disposition: Dispose immediately.

GRS 1
Item 4b(3)

**Item
No.**

Description of Item

**Disposition
Authority**

71.

Position Classification Files.

a. Position Classification Standards Files.

- (1) Standards and guidelines issued or reviewed by OPM or other agencies in the Judiciary and used to classify and evaluate positions.

Disposition: Dispose when superseded. GRS 1
Item 7a(1)

- (2) Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

(a) Case File.

Disposition: Dispose 5 years after position is abolished or description is superseded. GRS 1
Item 7a(2)a

(b) Review File.

Disposition: Dispose when 2 years old. GRS 1
Item 7a(2)b

b. Position Descriptions.

Files describing established positions, including information on title, series, grade, duties, and responsibilities.

- (1) Record copy.

Disposition: Dispose 5 years after position is abolished or description is superseded. GRS 1
Item 7b(1)

**Item
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Authority**

(2) All other copies.

Disposition: Dispose when position is
abolished or description
superseded.

c. Survey Files.

(1) Classification Survey Reports.

Disposition: Dispose when 3 years old or
2 years after regular inspection,
whichever is sooner.

GRS 1
Item 7c(1)

(2) Inspection, Audit, and Survey Files.

Disposition: Dispose when obsolete or
superseded.

GRS 1
Item 7c(2)

d. Appeals Files.
Case files relating to
classification appeals.

Disposition: Dispose 3 years after case
is closed.

GRS 1
Item 7d

72. Incentive Awards.

Correspondence, files and reports pertaining to the
operation of the Incentive Awards Program.

Disposition: Dispose when 3 years old.

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
73.	<p><u>Notification of Personnel Actions,</u></p> <p>Standard Form 50 and Form AO 250 documenting initial employment, promotions, transfers in and out, and all other individual personnel actions, exclusive of those in Official Personnel Folders.</p> <p>a. Chronological file copies, including fact sheeting, maintained in personnel office.</p> <p>Disposition: Dispose 2 years after employee separation.</p> <p>b. All other copies maintained in personnel office.</p> <p>Disposition: Dispose 2 years after employee separation.</p>	<p>GRS 1 Item 14a</p> <p>GRS 1 Item 14b</p>
74.	<p><u>Individual employee Health Case File.</u></p> <p>Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, excluding preemployment physical examinations. Under no circumstances should these files be sent to the National Personnel Records Center.</p> <p>Disposition: Dispose 6 years after last entry.</p>	<p>GRS 1 Item 21</p>
75.	<p><u>Personnel Counseling Records.</u></p> <p>a. Counseling Files.</p> <p>Reports of interviews, analyses, and related records.</p> <p>Disposition: Dispose 3 years after termination of counseling.</p>	<p>GRS 1 Item 27a</p>

**Item
No.**

Description of Item

**Disposition
Authority**

b. Employee Assistance or
Alcohol and Drug Abuse Program.

Records created in planning, coordinating,
and directing an employee assistance or alcohol
and drug abuse program.

Disposition: Dispose when 3 years old.

GRS 1
Item 27b

75.

In-service Training Records.

a. Training Aids.

One copy of each manual, syllabus, textbook, and
other training aid developed by the agency.

Disposition: Dispose when obsolete or superseded.

GRS 1
Item 30a(2)

b. General File of Agency Sponsored Training.

(1) Correspondence, memoranda, agreements,
authorizations, reports, requirement reviews,
plans, and objectives relating to the establishment
and operations of training courses, and conferences.

Disposition: Dispose when 5 years old or 5 years after
completion of a specific training program.

GRS 1
Item 30b(1)

(2) Background and workpapers.

Disposition: Dispose when 3 years old.

GRS 1
Item 30b(2)

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
	c. Course Announcement Files.	
	Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government organizations.	
	Disposition: Dispose when superseded or obsolete.	GRS 1 Item 30d
75.	<u>Personal Injury Files.</u>	
	Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim compensation was made, excluding copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	
	Disposition: Dispose when 5 years old.	GRS 1 Item 32
76.	<u>Retirement Files.</u>	
	a. Reports and Registers.	
	Disposition: Dispose when 3 years old.	GRS 2 Item 21a
	b. Assistance Files.	
	Disposition: Dispose when 1 year old.	GRS 2 Item 21b
77.	<u>Payroll Correspondence Files.</u>	
	General correspondence files sent to payroll units pertaining to payroll preparation and processing.	
	Disposition: Dispose when 2 years old.	GRS 2 Item 2

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
78.	<u>Individual Authorized Allotments Files.</u>	
	a. Copies of U.S. Savings Bond Authorization SF 1192 or equivalent, and authorization for individual allotment to the Combined Federal Campaign.	
	Disposition: Dispose when superseded or after separation of employee.	GRS 2 Item 4a(1)
	b. Copies of all other authorizations, including union dues and savings.	
	Disposition: Dispose when superseded or after separation of employee.	GRS 2 Item 4b(1)
79.	<u>Leave Record Cards Maintained Separately From Pay and Earnings Records.</u>	
	a. Pay or fiscal copies.	
	Disposition: Dispose when 3 years old.	GRS 2 Item 9a
	b. Other copies.	
	Disposition: Dispose 3 months after the end of the period covered.	GRS 2 Item 9b
80.	<u>Notification of Personnel Action Files</u>	
	Copies of SF 50 or equivalent, not filed in the Official Personnel Folder.	
	Disposition: Dispose when related pay records are audited by GAO or when 3 years old, whichever is sooner.	GRS 2 Item 11

**Item
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Description of Item

**Disposition
Authority**

81.

Payroll Files

Copies of payroll control sheets, checklists,
and related certification sheets, such as
SF 1013A, SF 1128A, or equivalents.

Disposition: Cut off files annually.
Dispose when 5 years old.

82.

Communication Correspondence, Reports, and Reference Files.

- a. Telecommunications general files, including
plans, reports, and other records pertaining to
equipment requests, telephone service, and like matters.

Disposition: Dispose when 3 years old.

GRS 12
Item 2b

- b. Telecommunications statistical reports,
including cost and volume data.

Disposition: Dispose when 1 year old.

GRS 12
Item 2c

- c. Telecommunications reference voucher files.

- (1) Reference copies of vouchers, bills, invoices,
and related records.

Disposition: Dispose when 1 fiscal year old

GRS 12
Item 2d(1)

<u>Item No.</u>	<u>Description of Item</u>	<u>Disposition Authority</u>
	(2) Records relating to installation, change, removal, and servicing of equipment.	
	Disposition: Dispose 1 year after audit or when 3 years old, whichever is sooner.	GRS 12 Item 2d(2)
	d. Copies of agreements with background data and other records relating to agreement for telecommunications services.	
	Disposition: Dispose 2 years after expiration or cancellaton of agreement.	GRS 12 Item 2e
83.	<u>Project Control Files.</u>	
	Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	
	Disposition: Dispose 1 year after the year in which the project is closed.	GRS 16 Item 7
84.	<u>Working Papers.</u>	
	Project background records, such as studies, analyses, notes, drafts, and interim reports.	
	Disposition: Destroy 6 months after final action on project report or 3 years after completion of report d no final action is taken.	GRS 16 Item 10

**Item
No.**

Description of Item

**Disposition
Authority**

85. Feasibility Studies.

Studies conducted before the installation or any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and systems analysis for the initial establishment and major changes or these systems.

Disposition: Destroy 6 months after final action on project GRS 16
 report or 3 years after completion of report if Item 12
 no final action is taken.

86. Subject Files.

Contain information and correspondence related to budget, administration, personnel, financial, and other administrative matters.

Disposition: Cutoff files annually. Destroy
 3 years after files cutoff.

87. Procedural Manuals.

Files of reference material from individual courts.

Disposition: Dispose when superseded or no longer needed for reference purposes.

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88. Conference, Seminar, and Official Meeting Files.

Original agenda items, minutes of meetings, transcripts of public hearings, reports of the U.S. Sentencing Commission and other records relating to conferences, seminars, and meetings.

Disposition: Permanent. Transfer to the FRC when no longer needed for reference. Offer one copy to the National Archives when 25 years old. All other copies may be destroyed when no longer needed for reference.

89. Informational Memoranda.

Disposition: Review annually and dispose of superseded memoranda. Retain one copy for reference. Do not transfer to the FRC.

90. Complaints from the Public.

Complaints from the Congress and individuals concerning the United States Sentencing Commission.

Disposition: Maintain file on unresolved matters. Review annually and dispose of all material relating to matters which have been resolved. Do not transfer to FRC.

**Item
No.**

Description of Item

**Disposition
Authority**

91.

Employment Applications Files.

a. Excepted Positions Applications.

Disposition: Destroy when 6 months old.

b. All others.

Disposition: Destroy upon receipt of OPM
inspection, or when 2 years old,
whichever is earlier.

**CHAIRMAN'S OFFICE AND THE
STAFF DIRECTOR'S OFFICE**

1. Program Correspondence and General Subject Files.

Record copies of incoming and outgoing correspondence, reports, memoranda, and similar material of a general nature pertaining to the substantive or program activities of the U.S. Sentencing Commission. Excluded are duplicate material and copies of correspondence kept for reference use and administrative files as described in item 2 below.

For disposition instructions see the item descriptions in the separate records series listing for the offices.

2. Publications.

- a. One copy of each official publication prepared, including -reports, handbooks, manuals, pamphlets, posters, and brochures, etc. Arranged by publication type and chronologically thereunder.

Disposition: Permanent. Cut off files annually and retire to NRC when 8 years old. Offer to the National Archives when 20 years old.

- b. Reference Publications: copies of internal or external publications maintained for reference.

Disposition: Destroy when 3 years old or sooner if purpose is served.

3. Policy and Procedures Files.

Documents establishing policy and procedure.

- a. Files maintained in the division for which the policy is a program function.

Disposition: See disposition instructions for Subject Files listed for offices.

- b. Copies of operating policy and procedure for convenience of reference.

Disposition: Destroy when 2 years old or sooner if purpose is served.

4. **Policy and Procedures Files**

Documents establishing policy and procedure.

- a. Files maintained in the division for which the policy or procedure is a program function.

Disposition: See disposition instructions for Subject Files listed for offices.

- b. Copies of operating policy and procedure for convenience of reference.

Disposition: Destroy when 2 years old or sooner if purpose is served.

5. **Subject**

Correspondence, reports, and other documentation pertaining to the policies and operation of USSC programs. The files are subdivided into the following subject areas and arranged by subject thereunder.

- a. General: Subjects pertaining to general sentencing matters, legislation, and other subjects not listed below.
- b. Guidelines and Amendments (including Working Group Reports).
- c. Guideline Application.
- d. Research.
- e. Training

Disposition: Permanent. Cut off files annually and retire to NRC when 4 years old. Offer to the National Archives when 20 years old.

6. **Speeches and Published Articles Files.**

Copies of speeches given and articles written and published by officials of the FJC, FJC Board members, and others relevant to FJC activities. Arranged alphabetically by name of speaker.

Disposition: Permanent. Cut off files annually and retire to NRC when 4 years old. Offer to the National Archives when 20 years old.

7. **Chairman's and Staff Director's Chronological Files.**

Disposition: Permanent. Cut off files annually and retire to NRC when 4 years old.
offer to the National Archives when 20 years old.

8. **Negative**

Photographic negatives for production of printing plates used for FJC publications.

Disposition: Destroy when no longer needed for printing.

TRAINING AND TECHNICAL ASSISTANCE

See A. RECORDS COMMON TO MOST USSC OFFICES for administrative (housekeeping) files, chronological files, publications, electronic records and any other documentary material not specifically listed below.

1. Subject Files

Correspondence, reports, and other documentation of a general nature pertaining to policy and procedural aspects of the Office's educational programs. Arranged by subject.

Disposition: Permanent. Cut off files annually and retire to NRC when 4 years old. offer to the National Archives when 20 years old.

2. Training and Education Files.

These files pertain to training activities provided for Federal Probation Officers and other Court or criminal justice agency staffs through the use of workshops and seminars. Arranged chronologically and thereunder by training titles.

a. One copy of each syllabus, curriculum package, lesson plan, brochure, manual, pamphlet, instructor's script, and student/participant handouts prepared and used for each training program.

Disposition: Permanent. Cut off files annually and retire to NRC when 4 years old. Offer to the National Archives when 20 years old.

b. One reference copy of records described in 2a above.

Disposition: Destroy when 10 years old or sooner if administrative needs have been served.

3. Training Support Files.

Documentation pertaining to planning and execution of the individual training programs including but not limited to correspondence, reports, enrollment lists and records, and copies of financial documents.

Disposition: Cut off files annually. Destroy when 5 years old or sooner if administrative needs have been served. Retire to NRC when 3 years old if volume warrants retirement.

4. **Workshop/Seminar Files.**

Documentation pertaining to individual workshops and seminars provided by USSC.

- a. Administrative files consisting of financial authorizations, invitations, purchase orders for payment of honorariums, and other documentation pertinent to the workshop/seminar presentation.

Disposition: Cut off annually. Retire to NRC when 3 years old. Destroy when 10 years old.

- b. One copy of each syllabus, curriculum package, lesson plan, brochure, manual, pamphlet, instructor's script, and student participant handouts prepared and used for each training program. Arranged chronologically and thereunder by workshop/seminar presentation.

Disposition: Permanent.

Cut off files annually and retire to NRC when 4 years old. Offer to the National Archives when 20 years old.

- c. One reference copy of records described in 2b above.

Disposition: Destroy when 5 years old or sooner if administrative needs have been served.

RESEARCH AND MONITORING

See A. RECORDS COMMON TO MOST USSC OFFICES for administrative (housekeeping) files, chronological files, publications, electronic records and any other documentary material not specifically listed below.

1. Office Subject Files.

Correspondence and other documentation of a policy and procedural nature pertaining to the overall research activities of the division. Arranged by subject.

Disposition: Permanent. Cut off files annually
and retire to NRC when 4 years old.
Offer to the National Archives when
20 years old.

2. Statistical Analysis and Reports.

- a. Summary listings and tabulations of statistical data showing criminal and case Disposition, and probation statistics and related judicial procedural data.

Disposition: Dispose after 5 years.

3. U.S. District Criminal Court

Docketed criminal case files, containing copies of presentence reports, judgement of conviction orders, statement of reasons and other cases filed during the court year.

Disposition: Permanent. Cut off files annually.
Transfer to off-site when 1 year old;
destroy after 3 years, when electronic
records schedule has been approved.

4. **Research Project Files**

Files consist of all documentation for individual projects from initiation to company on. Included is pertinent correspondence, project survey and design documentation, other related records, and a copy of the final report Arranged chronologically and by project thereunder.

- a. One copy of each final project report and any supporting documentation integral to each project.

Disposition: Permanent. Cut off files annually and retire to NRC when 5/8(?) years old. Offer to the National Archives when 20 years old.

- b. Other supporting documentation (e.g., surveys, notes, etc.)

Disposition: Cut off completed files annually and retire to NRC when 3 years old. Destroy when 10 years old.

5. **Project Data File.**

Electronic data files containing relevant information pertaining to individual research projects. Arranged by project tire.

Disposition: Permanent. Offer to the National Archives in accordance with transfer requirements as stated in 36 CFR ch. 12.

6. **Integrated Database Files.**

This file is based on converted copies of the Administrative Office EBCDIC tapes pertaining to Federal Court activity (civil and criminal trial data and appellate cases). These raw data are then processed by Research Division programs into a standard multi-year form to form an integrated database for use on the VAX system in the Research Division.

Disposition: Permanent. Offer to the National Archives in accordance with transfer requirements as stated in 36 CFR ch. 12.