

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED DEC 16 1976	JOB NO. NC 1-355-77-1
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10	
Date	<i>Archivist of the United States</i>

**TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
U. S. Department of Agriculture
2. MAJOR SUBDIVISION
Agricultural Economics
3. MINOR SUBDIVISION
Statistical Reporting Service
4. NAME OF PERSON WITH WHOM TO CONFER
Dona M. Volz
5. TEL. EXT.
447-5671
6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

12/12/76 (Date) *Henry O. Altenberg* (Signature of Agency Representative) Chief, RS&A Branch, ASD (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN										
	<p>Attached is the file outline and proposed Records Control Schedule for the Washington, DC offices of the Statistical Reporting Service (SRS), Department of Agriculture. The Administrator of SRS has formally approved this proposed schedule which will supersede previously approved control schedules:</p> <table border="0"> <tr> <td>NN-163-125</td> <td>April 1963</td> </tr> <tr> <td>NN-162-31</td> <td>May 1962</td> </tr> <tr> <td>349-S234</td> <td>June 1949</td> </tr> <tr> <td>348-S217</td> <td>June 1948</td> </tr> <tr> <td>348-S154</td> <td>April 1948</td> </tr> </table> <p>The agency will offer permanent retention records to the National Archives:</p> <ol style="list-style-type: none"> a. As specified in the control schedule. b. Fifteen years after cut-off, supersession or obsolescence for those not specified in the control schedule. 	NN-163-125	April 1963	NN-162-31	May 1962	349-S234	June 1949	348-S217	June 1948	348-S154	April 1948		
NN-163-125	April 1963												
NN-162-31	May 1962												
349-S234	June 1949												
348-S217	June 1948												
348-S154	April 1948												

SECTION III.

SRS FILES SUBJECT OUTLINE

PART A.

INSTRUCTIONS FOR USING OUTLINE FORMAT

FORMAT:

Column 1 is the numeric code used to identify all files.

Column 2 spells out the file subject and where necessary:

- a. A description of the file,
- b. How filed, and
- c. Special disposition instructions.

Column 3 designates by symbol or brief description the office maintaining the official record copy of material described in Column 2. Below this a letter or number is shown designating the total retention period. The letter "P" means permanent, "S/O" means when superseded or obsolete. A number indicates the years past current or as described in the special disposal instructions in Column 2. This designation does not mean the record office must maintain the record for the entire period. Records can be transferred to the Federal Records Center (FRC) (if retention period after transfer is three years or more from date of transfer), or other storage area until disposal time.

USDA OFFICE SYMBOLS USED IN OUTLINE

ADS	Automated Data Systems
COMM	Office of Communications
EMSC	Economic Management Support Center
NFC	National Finance Center
OMF	Office of Management and Finance

SRS SYMBOLS

OA Office of the Administrator

 OI Information Office

 ODD Office of Division Director (unspecified)

ED Estimates Division

 EMS Methods Staff Office

RD Research Division

 RC (OMB) Clearance Office

 RDB Research and Development Branch Office

 RDNS New Survey Techniques Section

 RDYS Yield Forecasting and Estimating Section

 RSB Sample Survey Branch Office

 RSFS Sampling Frame Section

 RSSS Sampling Studies Section

SD Survey Division

 SDCB Data Collection Branch Office

 SDCSS Economic and Special Survey Section

 SDCMS Objective Yield and Mail Survey Section

 SDSB Data Services Branch Office

 SDFG Forms Group

 SDSPS (Data) Processing Section

 SDSPU Publications Unit

 SSB Systems Branch Office

 SSDS Design and Development Section

 SSPS Production Support Section

Column 4 is the recommended number of years to retain in the office of record before sending to the FRC. It can be sent sooner. The FRC will not accept records that are to be disposed within three years of the date of transfer.

Column 5 The number of years to be retained by all offices other than the office of record.

Column 6 The National Archives and Records Service, GSA, approval authority for disposition of the subject documents(s). Quote this authority if transferring to FRC. A disposal schedule will be forwarded to NARS for approval of those items where "proposed" appears.

SECTION III.

PART B.

MAJOR FILE SUBJECT SERIES

1000

ADMINISTRATION

1300

Management

1500

External Relations

1600

Emergency Preparedness

1700

ADP

2000

ADMINISTRATIVE-MANAGEMENT SERVICES

2100

Records Management

2200

Forms Management

2300

Reports Management

2400

Directives Management

2500

Communications Management

2600

Procurement Management

2700

Property - Space Management

3000

PERSONNEL ADMINISTRATION

3200

General Personnel Procedures

3300

Employment

3400

Employee Performance and Utilization

3500

Position Classification, Pay and Allowances

3600

Attendance and Leave

3700

Personnel Relations and Services

3800

Insurance, Annuities and Safety

3900

General and Miscellaneous

4000

BUDGET AND FINANCE

4100

Budget

4200

Accounting

4300

Expenditures

4400	Billing and Collection
4500	Employee Accounts
4600	Vouchers
4700	Travel and Transportation
4800	Fiscal
4900	Operating Costs
<u>5000</u>	<u>INFORMATION MANAGEMENT</u>
5100	Articles, Lectures and Speeches
5200	Press Releases
5300	History Management
5400	Library Management
5500	Distribution
5600	Publications
5700	Printing
<u>6000</u>	<u>SRS PROGRAM RECORDS</u>
6100	Assistance
6200	Clearance (OMB)
6300	Publications
6400	Research
6500	Studies
6600	Surveys
6700	Estimates
6800	Historical
6900	Training

PART C. FILE OUTLINE AND RECORD CONTROL SCHEDULE
 EMSC 13 2-74 DESCRIPTION AND FILING INSTRUCTIONS

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
1000	<u>ADMINISTRATION</u> Use for all internal management files including functions performed outside the filing agency or office. May include correspondence and material on the broad aspects of assigned functions generally. Records of management and performance of specific assigned functions are filed as a separate series under the appropriate category and code.				
1010	<u>COMMITTEES-MEETINGS</u> Use for materials relating to Committee management and the various meetings held.				
1011	Includes Associations, Boards, Conferences, and Councils as well as Committees. Use for materials concerning committee management, meeting agendas and minutes, reports, recommendations made and member assignments.	OA, Chairman or Sec'y of or- ganiza- tion			
1011-1	Agendas and minutes relating to important actions or conclusions of long term value including program planning and proposed policy and procedures. (Offer to Archives when 10 years past current.)	P	10	Ref	Proposed
1011-2	Agendas and minutes relating to routine actions and having value only for continuity.	10		Ref	Proposed
1012	Use for materials relating to staff meetings and similar official meeting which are held to discuss implementation of established policy/procedure and for information dissemination. <u>File</u> alphabetically by title or subject.	OA/ODD 2		1	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
1300	MANAGEMENT				
1310	<u>ORGANIZATION</u> a. Use for charts of the functions and structure of the organization.	N/A (OMF)		S/O	Proposed
	b. Use for materials relating to potential future changes in organization structure or functional assignments.	OA 5			Proposed
	c. Use for routine documentation concerning organization functions or structure. <u>File by subject.</u>	OA/ODD 1			Proposed
1320	<u>AUTHORITY DELEGATION</u> Use for official delegations of authority.				
	a. To identified positions <u>Dispose 3 years</u> after supersession or obsolescence.	OA/ODD & EMSC 3		S/O	Proposed
	b. Temporary or limited delegations to individual by name	Dele- gating office S/O		S/O	Proposed
1330	<u>OBJECTIVES</u> a. Use for present and future operating plans and projected goals. Includes for example: Statements and final decision reports for proposed research projects, studies and program changes. (See 1343 - CONSULTANT OPINIONS. 1360 - MANAGEMENT IMPROVEMENT, 1700 - ADP for planning and objectives of automated systems, and 4900 - OPERATING COSTS, 6410 - PROJECTS for the conduct and final outcome of approved research, 6510 - STUDIES for background material on special statistical studies.)	OA/ODD P	S/O	S/O	Proposed

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	b. Use for routine documentation on previously established operating plans and organizational goals.	OA/ODD 2		1	Proposed
1340	<u>POLICY AND PRECEDENTS</u> Use for materials which establish official policy and regulate or direct present and future operations.	OA/ODD P	S/O	S/O	Proposed
1341	<u>Regulations</u> Use for comments and other material on proposed and existing regulations originated outside the agency. (See 2410 - DIRECTIVES for internally originated regulations.) <u>File:</u> Alphabetically by originator, then by document number or issue date.	ODD S/O		S/O	Proposed
1342	<u>Decisions</u> Use for material and comments on GAO, OGC, or other formal legal decisions and opinions. a. Pertaining directly to SRS. b. Pertaining to other agencies. <u>File by:</u> Origin, then by number or issue date.	OA/ODD P	S/O	S/O	Proposed
1343	<u>Consultant Opinions</u> Use for the opinions of experts consulted concerning a proposed research project, survey, or other action. Records are included with the proposal on which opinion is sought. a. Pertaining to actions proposed for and by SRS. (See 1330 - OBJECTIVES for proposals and decisions on whether to proceed with program changes, research projects and statistical studies. See 6200 - CLEARANCE for OMB clearance on data submission and record keeping requirements placed on the public as a part of program, project and study needs. See 6410 - PROJECTS for the conduct of ap-	Requesting Office 5		2	Proposed

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	<p>proved research. See 6500 - STUDIES for the conduct of approved statistical studies.)</p> <p>b. Pertaining to opinions issued by SRS personnel at the request of another government agency or private individual, group or institution.</p> <p><u>File by subject.</u></p>			2	Proposed
1344	<p><u>Instructions-Bulletins</u> Use for material published outside the agency or USDA. (See 2410 - DIRECTIVES and 2420 - PROCEDURES-INSTRUCTIONS for EMSC Manual and other EMSC internal operating instructions.)</p> <p><u>File:</u> Alphabetically by origin, then by number or subject and issue date.</p>	N/A		S/O	
1350	<p><u>MANAGEMENT CONTROLS</u> Use for records of controls on overall functional performance by audit, inspection or special review. (See 2300 - REPORTS MANAGEMENT for recurring reports.) (See 3273 - INSPECTION, AUDIT AND SURVEY for records of personnel and position management audits, evaluations and visits.)</p> <p>NOTE: Reports of comprehensive inspections, audits, and surveys of operations will be retained permanently, others will be retained as shown.</p>				
1351	<u>External Audit</u>	OA P	4	2	Proposed
1352	<u>Internal Audit</u>	OA 5	2	2	Proposed
1353	<u>Investigation</u>	OA 5	2	2	Proposed
1354	<u>Special Reviews</u>	OA 5	2	2	Proposed

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1360	<p><u>MANAGEMENT IMPROVEMENT</u> Use for materials on management projects, employee suggestions and studies or surveys. (See 2040 - STUDIES AND SURVEYS for records of paperwork management reports.) (See 3450 - INCENTIVE AWARDS for records of suggestions and tangible benefit incentive award recommendations officially approved or denied.) (See 4910 - WORK MEASUREMENT and 4920 - COST REDUCTION-MANAGEMENT IMPROVEMENT for work analysis and specific operating or functional improvements.)</p>	OA/ODD 3		S/O	Proposed
1500	<p><u>EXTERNAL RELATIONS</u> Use for records involving relations with foreign, state and local governments; other Federal departments; other USDA agencies, and both public and private organizations and institutions. Include material relating generally to legislation and USDA programs such as Cooperation, State Cooperative Agreements and Land-Grant Institution Liaison Staff and material proposed and cleared for Federal Register publication. (See 3300 - EMPLOYMENT for records of student employment and work-study programs, and recruitment programs.) (See 4120 - ENACTMENT for budget legislation. See 4180 - LEGISLATIVE for specific USDA program legislation and reports.)</p> <p><u>File:</u> Within each sub-group alphabetically by geographical location, addressees name, or title.</p>				
1510	<u>CONGRESS</u>	OA 3		2	Proposed
1520	<u>INTERGOVERNMENT</u>	OA 3		2	Proposed
1530	<u>INTERAGENCY</u>	OA 3		2	Proposed
1540	<u>INSTITUTIONS/ORGANIZATIONS</u>	OA 3		2	Proposed

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1600	<p><u>EMERGENCY PREPAREDNESS</u> Use for material relating specifically to the overall program, or too general to be filed under a specific subject.</p>	OA S/O		S/O	Proposed
1700	<p><u>ADP</u> Use for materials relating to electronic automated data systems. Includes for example: Planning, objectives, policies, and program design, development and management.</p>				
1710	<p><u>PLANNING AND OPERATIONS</u> Use for materials documenting the objectives, planning, policy and procedures involved in converting from manual to ADP systems for the processing, storage, and retrieval of data. Includes for example: Recommendations and supporting documents on overall ADP needs, systems design of management and operational supporting systems, equipment selection, standardization, utilization and maintenance, accountability and similar subjects. (See 1330 - OBJECTIVES for general planning materials which may include ADP systems, 2030 - WORD PROCESSING/MICROFILM and 2040 - STUDIES AND SURVEYS.)</p> <p>Offer to National Archives for permanent retention 5 years after supersession or obsolescence of system documented.</p>	OA/ODD P	5	2	Proposed
1720	<p><u>DATA SYSTEMS</u> Use for materials documenting the development and operation of ADP projects within previously established ADP systems.</p>				

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1721	<p><u>Design Projects</u> Use for materials which document the evaluation of each new ADP project from proposal to approval for implementation. Includes for example: Proposal statement, time and cost analysis, objectives; Development, use and specifications and summary of each phase of project development; System design, number of programs, people and costs; Programming, testing and de-bugging; Final project report and processing for approval.</p> <p>File by subject and assigned project number.</p> <p>*Offer to Archives 1 year after system is discontinued, superseded or becomes obsolete.</p>	SSB-SSDS P	I*	S/O	Proposed
1722	<p><u>Project Implementation</u> Use for materials prepared for operation of a new ADP system. Includes for example: specifications, applications program manuals, operating instructions, input/output specifications, user guides and reports.</p> <p>File by subject then by assigned project number.</p> <p>*Offer to Archives 1 year after system is discontinued, undergoes major re-design, or becomes obsolete.</p>	SSB-SSDS P	I*	S/O	Proposed
1723	<p><u>Project Operation</u> Use for materials prepared for regular update or change to an operating system. Includes for example: Punch cards, print-outs and documentation (Except for correspondence and change requests.)</p> <p>(NOTE: Program re-design or change materials prepared by Design and Development Section are transferred to Production Support Section when program is again operational.)</p> <p>(See next page)</p>	SSB-SSDS/ SSPS		S/O	Proposed

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		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
1723	<p><u>Project Operation</u> - (continued)</p> <p>File by subject then by assigned project number.</p> <p>Dispose 1 year after material is superseded or system is discontinued.</p>				
1730	<p><u>ERASABLE MEDIA</u></p> <p>Use for materials which store data in an erasable mode. These include magnetic tape (analog, digital), drums, discs, discs packs, data cells and other devices.</p> <p>Includes: Scratch and test (de-bugging) tapes, program tape or disc pack, raw data input tapes, working (input/output) tapes, valid transaction tapes, master file tapes, publication tapes, print tapes, summary and other data file tapes and security back-up.</p>				
1731	<p><u>Scratch Tape</u></p> <p>New tape or tape not included in tape library control, or files whose retention dates have expired. These are used by console operators or tape handlers to facilitate general computer runs such as sort and merge runs.</p> <p>*Dispose by blanking immediately after use.</p>	SSDS *			GRS 20 Pt 3 Item 1
1732	<p><u>Test Tapes</u></p> <p>Magnetic tape used in testing a proposed system or program.</p> <p>a. Used by programmer for individual run testing and not under library control.</p> <p>*Dispose after system has been accepted or discontinued whichever is sooner.</p> <p>b. Used for system de-bugging or acceptance test data.</p> <p>*Dispose when program is discontinued.</p>	SSDS *			GRS 20 Pt 3 Item 2
		SSDS *			GRS 20 Pt 3 Item 3 & 4

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1733	<p><u>Program Tape Or Disc Pack</u> Material containing sequence of instructions required to accomplish the processing of data or solving a problem.</p> <p>a. Updated.</p> <p>*<u>Dispose</u> after third update cycle.</p> <p>b. Last update of a specific EDP application used in a terminated system/program.</p> <p>*<u>Dispose</u> after agency has exhausted need for tape.</p>	<p>SDSPS/ SSPS</p> <p>*</p> <p>↓</p> <p>←</p> <p>SDSPS/ SSPS</p> <p>*</p> <p>↓</p> <p>←</p>			<p>GRS 20 Pt 3 Item 5</p> <p>GRS 20 Pt 3 Item 6</p>
1734	<p><u>Raw Input Data</u> Tapes containing data abstracted from source documents as other media and entered into the system for the first time.</p> <p>a. Used to update with existing program tape and needed to support reconstruction of master file.</p> <p>*<u>Dispose</u> of first generation data on successful completion of fourth processing machine pass.</p> <p>b. Used for updating with existing program and NOT needed support reconstruction of master file and/or used as input for a one-time study or survey.</p> <p>*<u>Dispose</u> of after raw data is processed into final data and proved satisfactory.</p> <p>c. Officially designated to replace or serve as the basic source data in lieu of the "hard copy" or other input source document.</p> <p>*<u>Dispose</u> as directed for "hard copy" or other files documenting the same process, transaction, or case.</p>	<p>SSPS</p> <p>*</p> <p>↓</p> <p>←</p> <p>SSPS</p> <p>*</p> <p>↓</p> <p>←</p> <p>SSPS</p> <p>*</p> <p>↓</p> <p>←</p>			<p>GRS 20 Pt 3 Item 8</p> <p>GRS 20 Pt 3 Item 9</p> <p>GRS 20 Pt 3 Item 10</p>

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1735	<p><u>Working Tape (Input/Output)</u> Magnetic tape containing output or control within or from one run to a subsequent run that manipulates, sorts and/or moves data through the system(s); includes checkpoint, edit, correction, reject list, unmatched data eliminating error, and re-run tapes.</p> <p>a. Used in an updated system.</p> <p><u>*Dispose</u> after subsequent tapes containing accepted detail data have been created and proved satisfactory.</p> <p>b. Used in a one-time study survey or project.</p> <p><u>*Dispose</u> after master data tape is proved satisfactory.</p>	SSPS *			GRS 20 Pt 3 Item 11
		SSPS *			GRS 20 Pt 3 Item 12
1736	<p><u>Valid Transaction Tapes</u> Magnetic tapes containing valid file of items used with master data tape input file for creation of master data tape output file. Includes:</p> <p>a. Partially valid transaction after all outstanding items are liquidated from current status tapes; valid transaction after cumulative final master tape is prepared and found to be good, and there is no necessity for statistical analysis.</p> <p><u>*Dispose</u> after third update cycle.</p> <p>b. Used for additional statistical analysis.</p> <p><u>Dispose</u> 1 year after last use for this purpose.</p>	SDSPS/ SSPS			GRS 20 Pt 3 Items 13 & 14
		SDSPS/ SSPS			Proposed

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1737	<p><u>System/Program Master Tapes</u> Magnetic media indexes of data created by merging prior master file with valid transaction data to create a new master file. Includes: Information Retrieval, Research project, statistical estimates, economic statistics, published and unpublished survey estimates, (data base) and others.</p> <p>a. Cumulative data.</p> <p>*<u>Dispose</u> after third update cycle.</p> <p>b. Non-cumulative data including data concerning economic census taken during 5 year cycles.</p> <p>*<u>Dispose</u> with "hard copy" source data.</p> <p><u>File</u> by subject and/or in assigned numeric retrieval code order.</p>	SSPS * ↓			GRS 20 Pt 3 Items 16-37
1737-1	<p><u>Security Backup File</u> Magnetic tape identical in format to master tape and retained as security in case master tape is damaged or erased in error.</p> <p>a. Update.</p> <p><u>File</u> by subject or by code (S for security) assigned to the master tape.</p> <p>*<u>Dispose</u> after third update cycle.</p> <p>b. One-time study or survey.</p> <p><u>File</u> by subject or title of study or survey.</p> <p>*<u>Dispose</u> when master tape is blanked.</p>	SSPS * ↓			Proposed
		SDSPS/ SSPS * ↓			GRS 20 Pt 3
		SSDPS/ SSPS * ↓			GRS 20 Pt 3

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1738	<p><u>Data Tape Files</u> Magnetic tapes containing:</p> <p>a. Summary data aggregates of individual observations from valid transaction or master data files that are disaggregates of published data.</p> <p>*<u>Dispose</u> after transaction and/or master data tape has been blanked.</p> <p>b. Sample and sub-sample data tapes containing individual observations selected from a larger census or survey file such as stratified or pure random sample files with or without weighting factors. Used in statistical analysis or program policy formulation models and simulation studies.</p> <p><u>File</u> by general program subject and assigned numeric retrieval code.</p> <p>*<u>Dispose</u> 90 days after purpose for which created has been served or data on tape becomes obsolete.</p>	<p>SDSPS/SSPS</p> <p>*</p> <p>↓</p>			Proposed
		<p>SDSPS/SSPS</p> <p>*</p> <p>↓</p>			Proposed
1739	<p><u>Publication Tape</u> Magnetic tape containing source output data extracted from the system (without destroying source tapes).</p> <p>a. Reproduced and disseminated as a publication or used for reproducing a printed publication.</p> <p><u>File</u> by publication title and assigned numeric retrieval code.</p> <p>*<u>Dispose</u> when recorded in Data Base or if not added to Data Base dispose at end of 5 year census cycle in which data was collected.</p> <p>b. Print tape used for producing required printout of tabulations, tables, registers, and reports.</p>	<p>SSDSPS/SSPS</p> <p>*</p> <p>↓</p>			Proposed
		<p>SDSPS/SSPS</p> <p>*</p> <p>↓</p>			GRS 20 Pt 3 Item 41

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1739	<p><u>Publication Tape</u> - (continued)</p> <p>*<u>Dispose</u> after output has been reviewed, approved and released. (See 5640 and 6300 - PUBLICATIONS for record file of materials produced from tapes. See 6800 - HISTORICAL - DATA BASE for cumulative collection of statistical estimate data both published and unpublished).</p>				
1740	<p><u>NON-ERASABLE MEDIA</u> Use for non-erasable machine readable media materials such as keypunched cards and paper tape.</p>				
1741	<p><u>ADP Program Control</u> Use for materials containing common language source data, coded machine language instructions, utility or processor update and data pertinent to a specific run or cycle for program control.</p> <p><u>File</u> by subject or program title.</p> <p>*<u>Dispose</u> of individual and sets of cards or tapes when superseded or 1 year after applicable program has been discontinued.</p>	SSPS *			GRS 20 Pt 3
1742	<p><u>ADP Source Data</u> Keypunch cards or papertape containing data abstracted or transferred from raw data source documents and used for conversion to magnetic tape or processing on electric accounting machine (EAM) equipment created after January 1, 1970.</p> <p>a. Used as backup to magnetic tape or disc for security.</p> <p><u>File</u> by subject or title of source data and date.</p> <p><u>Dispose</u> 14 months after transfer to magnetic tape.</p>	SSPS 14 mos.			Proposed

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		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
1742	<p><u>ADP Source Data</u> - (continued)</p> <p>b. Used as an interim transfer or abstract of source data from document to magnetic tape for program processing. Includes for example: Survey and Estimate raw data processing.</p> <p><u>Dispose</u> after verification of data on related magnetic tape or disc.</p> <p>(NOTE: Output materials such as print-outs, registers, publications, etc., produced will be filed and disposed with appropriate administrative or program subject categories. Generally print-outs in subject files are of temporary value and can be disposed when superseded or obsolete.)</p>	SSPS *			Proposed
2000	<u>ADMINISTRATIVE-MANAGEMENT SERVICES</u>				
2010	<p><u>PAPERWORK MANAGEMENT</u></p> <p>Use for materials relating to the overall Paperwork Management Program. The program covers interrelated management services such as: Directives, forms, reports and records management, and systems analysis.</p> <p>Includes for example: Correspondence, functional reviews, the analysis and recommendations for potential applications technologies such as word processing and microfilm, and formal study and survey reports.</p> <p><u>File</u>: Case file by subject and alphabetically by Agency.</p> <p><u>Dispose</u> of record copies of such material 3 years after content becomes obsolete due to functional change or reorganization.</p>	EMSC 3		2	NC-83-75-1
2020	<p><u>FUNCTIONAL ASSISTANCE REVIEWS</u></p> <p>Use for reports of brief on-site visits designed to identify problem areas, provide immediate corrective action where possible, or to lay a foundation for indepth study if necessary to promote and improve management of paperwork systems.</p>	EMSC 3		2	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2030	<p><u>WORD PROCESSING/MICROFILM</u> Use for paperwork surveys conducted to evaluate various technological systems, their applications in improving performance as well as feasibility due to cost. Includes for example: Microfilming, word processing and similar processes.</p>	EMSC 3		2	NC-83-75-1
2040	<p><u>STUDIES AND SURVEYS</u> Use for formal reports of indepth paperwork studies and surveys performed to improve procedures, operating performance and effectiveness, and aid management.</p>	EMSC 3		2	NC-83-75-1
2100	<p><u>RECORDS MANAGEMENT</u> Use for material relating to the control, maintenance, disposition and security of official records.</p>				
2110	<p><u>STORAGE LISTS</u> Use for lists of record files stored by or transferred to the Federal Records Center (FRC) since 1964 when OMS became functional.</p> <p><u>File by:</u> Year of transfer and in accession number order.</p> <p><u>Dispose</u> when all items on a list have been destroyed by FRC.</p>	EMSC S/O		S/O	NC-83-75-1
2120	<p><u>FILING SYSTEMS</u> Use for file outlines and approved annual files maintenance plans.</p> <p><u>Case File:</u> Alphabetically by agency.</p>	EMSC S/O		S/O	NC-83-75-1
2130	<p><u>DISPOSITION</u> Use for materials relating to the scheduling of records for disposal, and the disposition of scheduled records on hand in offices, stored in local staging areas or transferred to Federal Records Centers. Includes: Correspondence, proposed and NARS approved disposal schedules and retention plans.</p> <p><u>Case File:</u> Alphabetically by agency.</p>	EMSC S/O		S/O	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2150	<u>SECURITY</u> Use for materials relating to the handling and safeguarding of documents classified under the provisions of Executive Order 10501.	EMSC 2		2	GRS 18-2
2170	<u>MAINTENANCE</u> Use for materials relating to systems and techniques evolved to maintain records for retrieval and scheduled disposal. Includes: Vital Operating Records, microfilm systems, etc. <u>Case File:</u> Alphabetically by agency.	EMSC S/O		S/O	NC-83-75-1
2180	<u>RECORDS REPORTS</u> Use for annual reports of records holdings and other records reports. <u>File:</u> Alphabetically by agency and by year date of reports.	EMSC 3		S/O	GRS 16-6
2190	<u>AVAILABILITY OF INFORMATION</u> Use of materials relating to requests for access to records under the Freedom of Information Act. Includes for example: Correspondence requests for record access and Relative File Subject Indexes. <u>Case File:</u> Alphabetically by agency.	EMSC 5		4	NC-83-75-1
2200	<u>FORMS MANAGEMENT</u> Use for materials relating to the design, development, and printing of new and revised forms. Also, for comments on standard and departmental forms used internally. Includes for example:				
2210	<u>Forms Master File</u> Use for maintaining one master file copy of each new or revised form issued for performance of SRS functions. <u>File</u> by designator and number or alphabetically by title.	SDFG P	2 ↓	S/O	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2210	<p><u>Forms Master File</u> - (continued)</p> <p>Dispose 2 years after forms is superseded or cancelled.</p>				
2220	<p><u>Forms Review</u></p> <p>Use for materials relating to forms effectiveness reviews, recommended design improvements and the design and development of new and revised forms.</p> <p><u>File by</u> subject or title of form.</p> <p>Dispose 5 years after form is superseded or obsolete.</p>	<p>ODD 5</p>		S/O	Proposed
2300	<p><u>REPORTS MANAGEMENT</u></p> <p>Use for materials relating to the Reports Management Program. Includes: correspondence, an annual index of current recurring reports and a control file of all proposed, currently required, cancelled or superseded recurring reports prepared and includes for example: Sample blank reporting forms, reporting instructions, OMB clearance data, and Reports Cost Analyses.</p> <p><u>Case File by:</u> Assigned report Control Symbol (RCS) number, or alphabetically by title.</p> <p>Dispose of a Reports Control File 2 years after the report is discontinued.</p> <p><u>NOTE:</u> File record copies of office prepared reports under the subject which applies. Copies of reports received from outside a filing office may be filed either by subject or in the reference file as appropriate. (See 2180 - RECORDS REPORTS for annual records holdings report records.) (See 2680 - REPORTS for supply requirements and procurement report records.) (See 2722 - Reports for space utilization and parking assignment report records.)</p>	<p>ODD 2</p>		2	GRS 16-8

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2400	<p>(See 3220 - REPORTS for personnel statistical information reports records.) (See 3490 - REPORTS for incentive award program report records.) (See 3610 - TIME AND ATTENDANCE REPORTS.) (See 4160 - REPORTING for budgetary report records.)</p> <p><u>DIRECTIVES MANAGEMENT</u> Use for internal regulations officially published; informal bulletins, instructions-procedures issued for internal operation and functional performance.</p>				
2410	<p><u>DIRECTIVES</u> a. Use for directives, proposed, approved and published in the EMSC Manual. File in number order.</p> <p>b. Use for directive memoranda (Example: CEM, AOM, OM, and TOM) issued by the Administrator's Office and the Crop Reporting Board on basic program functions, responsibilities, policies and procedures.</p> <p>File in alphabetical series by designator, and by number within each series. (See 1341 - <u>Regulations</u> for similar material originated outside EMSC and SRS).</p>	EMSC P	S/O	S/O	NC-83-75-1
2420	<p><u>PROCEDURES-INSTRUCTIONS</u> Use for official material issued as a series for internal operating performance. Includes: Survey Specifications together with Interviewers manuals, Supervisory and Editing manuals and Enumerators and ADP Training Course materials and handbooks.</p> <p><u>NOTE:</u> Non-series and unofficial, informal instructions will be filed under the appropriate subject, or with related record material and disposed as shown for that subject.</p> <p>File by: Number or issue date, subject or title.</p>	Issuing Office P	S/O	S/O	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2500	<p><u>COMMUNICATIONS MANAGEMENT</u> Use for materials on the preparation, control and use of communications. Includes for example: Correspondence, mail, telegraph and telephone.</p>				
2510	<p><u>MAIL</u> Use for materials relating to the prompt delivery of mail and the use of official mail covers. Includes: Postage and Paid. NOTE: The official record copy of the Postage and Fees Paid report is the final computer print-out of the combined biannual reports input.</p>	EMSC 3		S/O	GRS 12-7
2520	<p><u>FTS - TELECOMMUNICATIONS</u> Use for requests, feasibility surveys and recommendations for installation, relocation and removal of all types of telecommunications equipment and services. Includes: Facsimile Transmission, radio, telephone, telegraph, teletype and information dealing with the management and usage controls established for these systems.</p>	EMSC 4		2	NC-83-75-1
2530	<p><u>TELEPHONE</u> Use for requests, service orders, and similar materials relating to the installation, relocation and removal of local commercial telephone equipment and service. Includes: Field offices FTS services and D.C. area commercial services. File: Alphabetically by agency and service order number.</p>	EMSC 2		1	NC-83-75-1
2600	<p><u>PROCUREMENT MANAGEMENT</u> Use for material dealing with purchase and maintenance of equipment, publications, printing, reproduction, services and supplies for internal needs. Includes: Contracts, grants, cooperative arrangements, purchase orders, fedstrips, requisitions, and Bills of Lading.</p>				

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2600	<p><u>PROCUREMENT MANAGEMENT</u> - (continued)</p> <p><u>File:</u> By number.</p> <p>(SEE 4820 - IMPREST FUND for records of available funds, their disbursement and supporting documents.)</p>				
2610	<p><u>PURCHASING</u></p> <p>Use for materials relating to the procurement of supplies and equipment from vendors and GSA.</p> <p>Includes purchase orders, fedstrips, Bills of lading and copies of requisitions received.</p> <p>a. <u>\$10,000 or less transactions</u> Includes non-personal services, such as laundry, duplicating, binding, etc.</p> <p>b. <u>Over \$10,000 transactions</u></p> <p>Includes requisitions on the public printer (GPO).</p>	EMSC 3		2	GRS 3-4a (2)
		EMSC 6	1	2	GRS 3-4a (1)
2620	<p><u>CONTRACTS</u></p> <p>Use for materials relating to contracts, grants and cooperative arrangements.</p> <p>a. No funds obligated.</p> <p>b. \$10,000 or less transactions.</p> <p>c. Over \$10,000 transactions</p>	EMSC S/O		S/O	NC-83-75-1
		EMSC 3		1	GRS 3-4a(2)
		EMSC 6	1	1	GRS 3-4a(1)
2680	<p><u>REPORTS</u></p> <p>Use for materials relating to supply requirements and procurement matters submitted for supply management purposes. Includes for example: Input from other units for internal use or for transmission to higher echelons for consolidation.</p>	EMSC 2		1	GRS 3-5

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2700	<p><u>PROPERTY-SPACE MANAGEMENT</u> Use for materials relating to accountable personal property, office space, and facilities.</p>				
2710	<p><u>PROPERTY</u> Use for records of non-expendable equipment, acquisitions, maintenance, and disposal. These are such items as furniture, office machines, and motor vehicles. Includes: Receipted receiving documents, maintenance and repair cost data, running inventory, periodic physical inventory, reports of lost or stolen property, reports of survey, property transfer and disposal documents. <u>Case File:</u> Alphabetically by Agency, division, city and state. <u>Dispose:</u> 4 years after equipment is disposed.</p>	EMSC 4		S/O	GRS 8 and GRS 10-6
2711	<p><u>Disposal</u> Use for materials relating to the disposal of excess personal property. Includes for example: Reports of excess personal property for sale and disposition reports following GSA sale of the property. <u>Case File:</u> By Disposal report number. <u>Dispose</u> 3 years following date property is disposed. Pending files established prior to sale may be disposed after sale takes place. <u>NOTE:</u> Inventory documents. The running inventory is provided by a quarterly computer listing based on data provided by receipted purchase orders and paid invoices. This listing is disposed when superseded. The biennial physical inventory record becomes part of the property case file for the "station". The computer listing is physically verified and corrected where necessary. The signed document is held 2 years and disposed when superseded.</p>	EMSC 3		I	GRS 4-5
	<p>The biennial physical inventory record becomes part of the property case file for the "station". The computer listing is physically verified and corrected where necessary. The signed document is held 2 years and disposed when superseded.</p>	EMSC 2		S/O	GRS 3-10a

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2712	<p><u>Loss/Theft</u> Use for materials relating to the loss or theft of accountable personal property.</p> <p><u>Case File:</u> Alphabetically by agency, division, city and state.</p> <p><u>Dispose:</u> Following the next physical inventory.</p>	EMSC 2		1	GRS 18-16b
2713	<p><u>Vehicle Operation</u> Use for received reports of vehicle operation and maintenance. (See 3810 - SAFETY for reports and records of motor vehicle accident.)</p> <p><u>File:</u> By vehicle tag number.</p> <p><u>Dispose</u> 3 years after date of report.</p>	EMSC 3		1	GRS 10-4
2720	<p><u>SPACE AND FACILITIES</u> Use for materials relating to the provision and allocation of office space and its alteration and routine maintenance; installation and removal of facilities by contract or job order with GSA or commercial companies. Includes for example: Requests for and assignments of space and its utilization in the metropolitan D.C. area; rental/lease and renewal agreements for field offices; contracts and job orders for alteration or maintenance.</p> <p><u>Field Offices - Case File:</u> Alphabetically by state and city and group files by agency. Include job orders/contracts for alteration, maintenance and facilities.</p> <p><u>D.C. Area - Case File:</u> Alphabetically by agency.</p> <p><u>Dispose</u> 2 years after lease or assignment is terminated.</p>	EMSC 2		1	GRS 11-2
2721	<p><u>Job Orders - D.C.</u> Use for space alteration and maintenance, and facilities installation and removal, etc., job orders issued to GSA.</p>	EMSC 1		1	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
2721	<p><u>Job Orders - D.C. - (continued)</u></p> <p><u>Case File:</u> Alphabetically by agency.</p> <p><u>Dispose</u> at end of fiscal year in which final payment is made and any remaining funds have been withdrawn or reobligated.</p>				
2722	<p><u>Reports</u></p> <p>Use for reports received and submitted concerning space utilization, assignment of parking space, etc.</p>	EMSC 1		S/O	GRS 11-2b(2)
<u>3000</u>	<p><u>PERSONNEL ADMINISTRATION</u></p> <p>Use this series for official correspondence and records of personnel functions and programs as needed and as directed by the Federal and Departmental Personnel Manual.</p> <p>(SEE 1310 - ORGANIZATION for approved official organization charts.)</p> <p>(SEE 1500 - EXTERNAL RELATIONS for intergovernment and interagency appointments, cooperation and other programs.)</p> <p>NOTE: Subjects not covered in the following categories may be filed in logical order in the 3000 group.</p>				
3200	<p><u>GENERAL PERSONNEL PROCEDURES</u></p> <p>Use for material relating to the performance of personnel management functions and programs including agency staffing plans.</p>	EMSC 3		1	GRS 1-3
3220	<p><u>REPORTS</u></p> <p>Use for statistical and information reports prepared for internal use or compilation for interagency submission.</p> <p><u>File by:</u> FPM Bulletin number requiring the report and/or report title.</p>	EMSC 2		1	GRS 1-16
3250	<p><u>PERSONNEL MANAGEMENT</u></p> <p>Use for materials containing instructions and policy development relating to interpretations of Civil Service, Office of Personnel and EMSC Directives on personnel management.</p>	EMSC 2		1	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3271	<p><u>POLICIES, PROCEDURES, PROGRAMS AND STANDARDS</u> Use for materials containing instructions and policy development relating to interpretations of Civil Service, Office of Personnel and EMSC Directives on personnel administration.</p>	EMSC 2		I	Proposed
3273	<p><u>INSPECTION, AUDIT AND SURVEY</u> Use for correspondence, reports, and documents concerning personnel management inspections and surveys, desk and other position audits, and evaluation or assistance visits.</p> <p><u>File by:</u> Subject, alphabetically by agency and/or geographical location.</p> <p><u>Dispose</u> when material filed is superseded by a later report or document, or becomes obsolete due to major reorganization or elimination.</p>	EMSC S/O		S/O	NC-83-75-1
3277	<p><u>APPOINTMENT AUTHORITY DELEGATIONS</u> Use for documents delegating authority to process personnel actions, pay adjustments, prior approvals of personnel actions (i.e. supergrade and Schedule C, etc., appointments,) direct hire appointments and other similar actions.</p> <p><u>File by</u> subject.</p> <p><u>Dispose</u> 1 year after supersession or revocation.</p>	EMSC 1		S/O	Proposed
3279	<p><u>ORGANIZATION PLANNING AND CONTROL</u> Use for materials relating to the functions, development and structure of serviced agencies for position classification, staffing, recruiting and program responsibility.</p> <p><u>File by</u> agency.</p>	EMSC 2		I	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3293	<p><u>OFFICIAL PERSONNEL FOLDERS</u> Permanent-Documents placed on the right side of the folder constitute the permanent record of an employee's status and service, and travels with an employee throughout his Federal career. The documents and their order of filing are prescribed by FPM 293.</p> <p><u>Temporary-Documents</u> leading to a formal action but not constituting a record of the action nor making a substantial contribution to the employees record are temporary records. These are described by FPM Supplement 293-31-S5-7b and are to be placed on the left side of the OPF. These documents include but are not limited to: Personnel action requests, letters of reference, preemployment inquiries, satisfactory performance rating, debt correspondence, admonishments, letters of caution, warning, reprimand, and similar disciplinary action, and extra copies of RIF notices. <u>NOTE:</u> All materials described above and on similar subjects of a potentially derogatory or confidential nature will be disposed of as specified for Temporary OPF records, whether they filed in the OPF or in separate supplementary files.</p>	EMSC	*		GRS 1-1
		EMSC	*		GRS 1-10

*Upon separation, the OPF must be processed and transferred to the National Personnel Records Center without delay as required by FPM Supplement 293-31-S5-15c(1) - (6).

NOTE: FPM Supplement 293-31-15c(5) governs transfer of certain persons repeatedly employed for short time periods, such as Enumerators.

*Dispose of these documents on separation of the employee or his transfer to another agency (except in a transfer of functions), or when material is 1 year old, whichever is earlier. See FPM Supplement 293-31-S5-7b(2).

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS. (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3296	<p><u>PERSONNEL ACTIONS</u> Use for the chronological journal file of notification of personnel action forms returned by NFC. This journal file facilitates regulatory audit and/or personnel management evaluation, and the compilation of data for statistical reports.</p> <p><u>File:</u> Copies chronologically by time-period (pay period, month) and by type of action such as accession, change and separation, etc. File copies as they are received in ascending order by date.</p> <p><u>NOTE:</u> Forms covered by a CSC management inspection may be placed in an inactive file pending completion of the retention period.</p>	EMSC 2		1	GRS 1-14
3300	<p><u>EMPLOYMENT</u> Use for correspondence and documents concerning general employment programs and functions. Include: Experts and consultants; student employment and work-study programs; veterans programs; overseas employment; reemployment rights; employee transfer and detail. Also includes:</p>	EMSC 3		2	GRS 1-3
3306	<p><u>SELECTIVE PLACEMENT PROGRAMS</u> Use for material relating to Employment of the Handicapped, Upward Mobility and similar programs.</p> <p><u>File:</u> Alphabetically by title.</p>	EMSC 3		2	GRS 1-3
3312	<p><u>POSITION MANAGEMENT</u> Use for the organization copy of active position descriptions used in classification work and employment control. For purposes of job restoration and other employee rights needs, retain 1 copy of each description for 5 years after the position has been abolished or superseded.</p> <p><u>File</u> in assigned position number order.</p>	EMSC 5		S/O	GRS 1-7

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3330	<u>RECRUITMENT</u> Use for correspondence and documents concerning recruiting programs conducted to meet agency staffing needs. Includes records of qualifying tests given for this purpose as authorized by the CSC.	EMSC 2		1	GRS 1-15
3332	<u>CERTIFICATES</u> Use for requests for and reports of CSC certificates of eligibles. <u>File by:</u> Certificate number.	EMSC 2			GRS 1-5
3335	<u>PROMOTION</u> Use for merit promotion cases. <u>File:</u> Case files in case number order.	EMSC 2		1	NC-83-75-1
3351	<u>REDUCTION-IN-FORCE (RIF)</u> Use for correspondence and documents such as retention registers from which RIF actions have been taken.	EMSC 2		1	GRS 1-17
3400	<u>EMPLOYEE PERFORMANCE AND UTILIZATION</u> Use for correspondence and documents relating to the development of employees through training, job enrichment or upward mobility programs including Executive Development. Also includes:				
3410	<u>TRAINING</u> Use for materials relating to the availability of training and education courses and the selection and scheduling of employees for specific courses. <u>NOTE:</u> The record of satisfactory course completion is kept in the OPF (permanent). <u>File by:</u> Course subject or alphabetically by agency as applicable.	EMSC 1		1	GRS 1-18

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3410-1	<p><u>REPORTS</u> Use for received and prepared reports on various aspects of the employee training program.</p> <p><u>File by:</u> Consecutive assigned number order.</p>	EMSC 1		1	NC-83-75-1
3411	<p><u>UPWARD MOBILITY PROGRAM</u> Use for correspondence, training plans and similar materials relating to the over all program.</p> <p><u>File by:</u> Subjects.</p>	EMSC 1		1	NC-83-75-1
3412	<p><u>EXECUTIVE DEVELOPMENT PROGRAM</u> Use for materials relating to the over all program. Includes for example: Course schedules, training plans and similar items.</p> <p>(NOTE: Recommendations for employee inclusion in the program, training courses completed, etc., will be officially filed in the OPF of each employee involved in the program.)</p> <p><u>File by:</u> Subject.</p> <p><u>Dispose</u> of program materials 1 year after the end of the scheduled training period.</p>	EMSC 1		1	Proposed
3430	<p><u>PERFORMANCE EVALUATION</u> Use for annual employee performance evaluation forms and career conference review case files.</p> <p><u>File:</u> Alphabetically by surname and by year date.</p>	EMSC 2		S/O	GRS 1-24

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3451	<p><u>INCENTIVE AWARDS</u> Use for correspondence and records of beneficial suggestions and other tangible benefit award recommendations.</p> <p><u>File by:</u> Subject award, alphabetically by surname and by year date of award.</p>	EMSC 2		1	GRS 1-2
3451-1	<p><u>REPORTS</u> Use for records of reports pertaining to the incentive awards program.</p> <p><u>File by:</u> Title in ascending date order.</p>	EMSC 3		1	GRS 1-13
3500	<p><u>POSITION CLASSIFICATION, PAY AND ALLOWANCES</u> Use for material relating to position classification functions. Also, use for pay administration, allowances, differentials, and travel.</p> <p>(See 3312 - POSITION MANAGEMENT for organization copies of position descriptions).</p>				
3511	<p><u>CLASSIFICATION</u> Use for materials containing instructions and policy developments relating to interpretations of Civil Service, Office of Personnel and EMSC directives on position classification.</p>	EMSC 2		1	Proposed
3550	<p><u>PAY ADMINISTRATION</u> Use for materials containing instructions and policy development relating to interpretations of CSC and OP directives on pay administration.</p>	EMSC 2		1	Proposed
3571	<p><u>TRAVEL</u> Use for material on authorized payment for travel and transportation of employees for recruitment and training purposes.</p> <p><u>File by:</u> Subject and year. (See 4700 - TRAVEL AND TRANSPORTATION for other types of travel material).</p>	EMSC 1		1	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3731	<p><u>SUITABILITY</u> Use for material relating to administratively confidential materials referring to the character, reputation and fitness of the person under consideration and required for employment by the Government. For pre-employment inquiries and reports see 3293 (Temp.)</p> <p><u>File:</u> Alphabetically by surname and separate from the OPF to avoid unintentional disclosure. After appointment medical data files are transferred to the Health Unit, and derogatory data files are transferred to EDR.</p>	EMSC		1	NC-83-75-1
		1*			
		*Per FPM 731-3-2 jurisdiction time limits expire automatically at the end of 1 year after appointment effective date except in cases involving intentional false statement, deception or fraud in examination or appointment.			
3732	<p><u>PERSONNEL SECURITY AND FOREIGN TRAVEL</u> Use for temporary record materials.</p> <p>a. Travel authorization and medical abstracts.</p> <p>b. Copies of security clearance request, NAC inquiries submitted, etc.</p> <p><u>File:</u> Alphabetically by surname and dispose when action is complete. Record copies are located in the OPF, OP Security Office and Investigation records at the CSC.</p>	EMSC 2		1	NC-83-75-1
		EMSC 5		1	NC-83-75-1
3735	<p><u>EMPLOYEE CONDUCT AND DISCIPLINE</u> Temporary OPF records filed apart from the OPF (See 3293 - OFFICIAL PERSONNEL FOLDERS) may be filed in this category. Retention and disposal for temporary OPF left side of folder materials apply for such records.</p>	EMSC 1		1	GRS 1-10

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS. (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3735-1	<p><u>EMPLOYMENT AND FINANCIAL INTEREST STATEMENTS</u> Use for filing administratively confidential statements required of certain classes of Federal employees by Subpart D of Part 735 of Title 5, CFR, to meet administrative needs if conflict of interest questions arise.</p> <p><u>File:</u> Alphabetically by Surname.</p> <p><u>Dispose</u> 2 years after employee leaves position in which statement is required or the agency, whichever is earlier.</p>	EMSC 2		1	GRS 1-26
3750	<p><u>COMPLAINTS AND GRIEVANCES</u> Use for grievance and complaint materials, other than EEO, which have not been formally submitted above the supervisory level for adjudication and decision.</p> <p><u>File:</u> Alphabetically by surname.</p> <p><u>Dispose:</u> 1 year after date of final decision.</p>	EMSC 1		1	NC-83-75-1
3752	<p><u>ACTION AND APPEALS</u> Use for action case files, other than EEO, of background materials such as investigative reports, correspondence and reports from operating officials, supervisors and other employees, and material collected through the final adjustment reports or withdrawal notice. Includes for example: Complaints and Grievances formally submitted above the supervisory level for adjudication and decision; adverse actions and appeals; accident and injury compensation, and other similar actions.</p> <p><u>File by:</u> Surname or by case number as applicable.</p> <p><u>Dispose</u> of cases resolved within the agency of origin 1 year after employee leaves the agency.</p>	EMSC 1		1	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OF FICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3752	<p><u>ACTION AND APPEALS - (continued)</u></p> <p>Dispose of cases submitted to Civil Service Commission for adjudication 1 year after employee leaves agency. (See 3713 - EQUAL EMPLOYMENT OPPORTUNITY for similar materials on equal opportunity.)</p>	EMSC ← 1		1	NC-83-75-1
3800	<p><u>INSURANCE, ANNUITIES AND SAFETY</u></p> <p>Use for correspondence and documents relating to injury compensation, retirement, and life and health benefit insurance programs.</p>	..			
3810	<p><u>SAFETY</u></p> <p>Use for correspondence, documents, and reports relating to the Safety Program. Includes occupational health, motor vehicle accident reports, personal injury reports and reports of compensation.</p> <p><u>File:</u> Alphabetically by surname or by subject.</p> <p>Dispose 2 years after year date of material, closure or final decision. (See 2713 - <u>Vehicle Operation</u> for motor vehicle records.) (See 3752 - <u>ACTIONS AND APPEALS</u> for injury compensation case files, and See 3930 - <u>MOTOR VEHICLE OPERATOR PROGRAM</u> for applications, permits issued, etc.)</p>	EMSC 2 ↓ ←		1	NC-83-75-1
3831	<p><u>RETIREMENT</u></p> <p>Use for correspondence, reports and documents accumulated prior to official retirement personnel action.</p> <p><u>File:</u> Alphabetically by surname.</p> <p>Dispose after the official retirement personnel action is filed in the OPF.</p>	EMSC 6 mos. ↓ ←		1	NC-83-75-1
3870	<p><u>LIFE INSURANCE</u></p> <p>Use for computer printout reports.</p> <p><u>File by:</u> Pay period and dispose when superseded.</p>	NFC		S/O	GRS 1-20

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
3890	<u>HEALTH BENEFITS</u> a. Use for correspondence relating to the program. <u>File by:</u> Subject. b. Use for computer printout report. <u>File by:</u> Pay period and dispose when superseded.	EMSC I		I	NC-83-75-1
3900	<u>GENERAL AND MISCELLANEOUS</u> Use for correspondence and documents relating to specific functions or programs not covered in preceding categories. NOTE: Use 3000 folder for material relating to 2 or more of the above 3000 series subjects or the overall personnel program.				
3930	<u>MOTOR VEHICLE OPERATOR PROGRAM</u> Use for records of operator identification card numbers issued, applications for government vehicle operator permits and their cancellation, reissue, or renewal. <u>File by:</u> Identification number and dispose when superseded or obsolete.	EMSC S/O		S/O	NC-83-75-1
4000	<u>BUDGET AND FINANCE</u>				
4010	<u>WORKING CAPITAL FUND</u>	OMF		4	
4100	<u>BUDGET</u> Use for all records relating to performance of budget and appropriation functions. <u>File by:</u> Fiscal year.				
4110	<u>DEVELOPMENT</u> Use for records of initial preparation and development of budget estimates and the presentation and justification to approval authority. (Note: See next page.)				

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4110	<u>DEVELOPMENT - (continued)</u> Includes for example: Planning, estimates, and supplementary material such as explanatory notes, narrative and program performance, etc.; AID, Gold, Rolling and Printed Budgets plus supplementary or amended budget material. <u>File:</u> Alphabetically by agency.				
4111	<u>Planning</u>	EMSC 1		1	GRS 3-4
4112	<u>Estimates</u>	EMSC P	3	3	NC-83-75-1
4120	<u>ENACTMENT</u> Use for records pertaining to the process of legislative determination and approval of the Budget Plan. Includes Congressional Hearings, bills, reports, proceedings, and debates and the Public Laws relative to the Agricultural appropriations. <u>File:</u> May be case filed by subject when feasible.	EMSC 2		2	GRS 5-6
4130	<u>EXECUTION</u> Use for records of approved budget implementation and the maintenance of financial controls over appropriated funds. Includes for example: Apportionment, allocation, allotments and workplans, obligations and outlays, ceilings, requirements, reimbursements and non-appropriated funds. Also includes status reports of appropriated fund accounts and apportionments:	EMSC 2		2	GRS 5-6
4131	<u>Interim</u>	EMSC 4		S/O	GRS 3-5
4132	<u>Year-End</u>	EMSC 5		3	GRS 3-5

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4160	<p><u>REPORTING</u> Use for budgetary report records. Includes analyses, measuring and reporting on financial results of the work program carried out under the approved budget. (See 4180 - LEGISLATIVE for legislative reports.)</p> <p>NOTE: Reports concerning highlights of significant accomplishments in budgetary and financial management such as consolidation of individual agency obligations and accounting systems into a single operating system, and the automation of fiscal and account maintenance are retained permanently.</p>	EMSC 3		1	NC-83-75-1
4180	<p><u>LEGISLATIVE</u> Use for material relating to proposed and enacted legislative programs exclusive of budget appropriations. Includes Congressional Records, Congressional queries and replies, Congressional studies, legislative reports and reports of fund outlay by State. (See 1500 - EXTERNAL RELATIONS for general records on legislation and programs.) (See 4120 - ENACTMENT for records of proposed and enacted budget appropriation legislation.)</p>	N/A		S/O	
4200	<p><u>ACCOUNTING</u> Use for records of financial administration, control and operation which support, and maintain the integrity of allocated funds.</p>				
4210	<p><u>ALLOCATIONS</u> Use for records of appropriated funds receipt and their allotment.</p>	NFC 4		2	GRS 6-5
4220	<p><u>ALLOTMENTS</u> Use for the summary records of allotments obligation status ("7M" reports) which immediately support the general ledger. These are GAO record documents. (See 4390 - GENERAL LEDGER.)</p>	NFC 10	3	2	GRS 7-3

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4230	<u>OBLIGATIONS</u> Use for routine accounting records of allotted fund obligations subsidiary to the summary allotment status records. Include obligation estimates paid and unpaid, classified expenditure listings ("IW" reports) and similar materials.	NFC 4		2	GRS 6-5
4260	<u>CONTRACTS</u>	NFC 4		2	GRS 6-1b
4270	<u>REIMBURSEMENTS</u> Use for summary records of transferred and received funds deposited for goods or services and claims. (See 4400 - BILLING AND COLLECTION.)	NFC 4		2	GRS 6-5
4300	<u>EXPENDITURES</u> Use for records of fund disbursement and expenditure accounting. Include payments, non-expenditure fund transfer and related subjects.				
4310	<u>DISBURSEMENTS</u> Use for records of allotted fund disbursement and those used as posting and control media supporting the general ledger.	NFC 4		2	GRS 7-4
4311	<u>Schedules</u> Record copies of SF-1166 listings of Department of Treasury checks issued as payment for purchased goods and services, contracts, etc. These listings are GAO record documents. (See 4620 - PAID - COMPLETED VOUCHERS for paid disbursement vouchers and supporting papers.)	NFC 10	3	2	
4320	<u>CHECKS</u> Use for records of checks (other than payroll) issued, stolen, misplaced, mutilated or destroyed.	NFC 4	1	2	GRS 6-6
4390	<u>GENERAL LEDGER</u> Use for expenditure summary records for allotment accounts. (See 4400 - BILLING AND COLLECTION for payment and collection General Ledger.)	NFC 10	3	3	GRS 7-2

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4400	<u>BILLING AND COLLECTION</u> Use for records of billing, payment, collection and deposit. (See 4640 - ERRONEOUS BILLING and 4820 - IMPREST FUND.)				
4410	<u>BILLING</u> Use for records of billing operation. Includes fees, charges, rates; agreements obligations; Bills open and closed and Register.	NFC 4		2	GRS 6-5
4420	<u>COLLECTION</u> Use for records of payment accruals, deposits and related matters. NOTE: The original copy of collection schedules and vouchers with attached supporting papers are GAO record documents. (See 4620 - PAID - COMPLETED VOUCHERS for completed collection vouchers and supporting papers.)	NFC, 4		2	GRS 6-5
430	<u>GENERAL LEDGER</u>	NFC 10	3	3	GRS 7-2
4500	<u>EMPLOYEE ACCOUNTS</u> Use for records of leave and payroll. Includes salary payment, leave usage, claims and similar employment data.				
4510	<u>TIME, ATTENDANCE AND SALARY</u> Use for machine processed records of Input reports used to issue checks and personnel data reports. (See 3610 - TIME AND ATTENDANCE REPORTS for timekeepers record copies.)	NFC		S/O	
4520	<u>CHECKS - PAYROLL</u> Use for records of checks issued, stolen, misplaced, mutilated or destroyed.	NFC 4	1	2	GRS 6-6b
4530	<u>SALARY AND LEAVE</u> Use for records of employee salary payment and leave usage.	NFC 4	1	2	GRS 6-6b
4600	<u>VOUCHERS</u> Use for records of certified fund disbursements. Includes for example: Property, supplies and services received.				

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4610	<u>DOCUMENTS</u> Use for copies of documents held for completion or receipt.	N/A			
4620	<u>PAID - COMPLETED VOUCHERS</u> Use for receipted or completed documents, accrual vouchers and certification for fund disbursement, (GAO record documents.) (See 4310 - DISBURSEMENTS and 4420 COLLECTION for schedules reflecting payment of disbursement vouchers and receipt as completion of collection vouchers.)	NFC 10	3		(GAO) (NN-171-4#1)
4630	<u>UNPAID VOUCHERS</u> Use for documents on which exception is made or which cannot be certified for payment.	NFC 1 after GAO clears			GRS 6-2
4640	<u>ERRONEOUS BILLING</u>	NFC 4		2	GRS 6-6b
4650	<u>REFUND/ADJUSTMENT</u>	NFC 4		2	GRS 6-6b
4660	<u>AUDIT (ADMINISTRATIVE)</u> (See 1350 - MANAGEMENT CONTROLS for External and Internal Audit report records.)	NFC 4		2	GRS 6-6b
4700	<u>TRAVEL AND TRANSPORTATION</u> Use for records relating to the request, authorization, approval and review of travel by all methods. (See 4400 - BILLING AND COLLECTION.)	NFC			
4710	<u>TRAVEL</u>	NFC		1	
4720	<u>ADVANCE FUNDS</u>	NFC		1	
4730	<u>ALLOWANCES</u> (Per diem, mileage, etc.)	NFC		1	
4740	<u>SPECIAL PROVISIONS</u>	NFC		1	
4750	<u>REQUEST-ACCOUNTABILITY</u>	NFC 1		1	GRS 9-5b
4760	<u>TRANSPORT - USDA PROPERTY AND EQUIPMENT</u>	NFC		1	

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
4800	<u>FISCAL</u> Use for records concerning accounting functions involving imprest fund, etc. (See 4400 - BILLING AND COLLECTION.)				
4820	<u>IMPREST FUND</u> Use for records of funds available, disbursement and supporting documents. Includes for example: Routine internal audit and inspection, registers and fiscal control material. (See 1320 - AUTHORITY DELEGATION for records of authority to receive funds.)	EMSC 4		2	GRS 6-6b
4900	<u>OPERATING COSTS</u> Use for records of current operating costs and relationship of costs to functions, and performance. Includes cost reduction and improved effectiveness in operation. (See 1360 - MANAGEMENT IMPROVEMENT for administrative records relating to this subject.)				
4910	<u>WORK MEASUREMENT</u> Use for records of workload and manhour expenditure for assigned functions.	EMSC 2		1	GRS 6-6a
4920	<u>COST REDUCTION - MANAGEMENT IMPROVEMENT</u> Use for records of savings achieved directly in appropriated funds and indirectly through cost avoidance and improved effectiveness. a. Copies of feeder reports analyses and backup on Department program reported to OMB. b. Record copies of Agency program reports not required by Department or above. (See 1360 - MANAGEMENT IMPROVEMENT for administrative records on this subject including employee suggestions).	N/A		4	
		EMSC S/O	3	2	NC-83-75-1

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)	OTHER OFFICES (5)	AUTHORITY (6)
5000	<p><u>INFORMATION MANAGEMENT</u> Materials relating to the management of information, its collection, printing, reproduction, publication and distribution. Includes for example: History, Libraries, Publications, press releases, articles, lectures and speeches, and other aspects of public relations.</p>				
5100	<p><u>ARTICLES, LECTURES AND SPEECHES</u> <u>File:</u> Alphabetically by title or subject. One copy master set only is subject to permanent retention. Copies of such materials which are published are not subject to such retention and may be destroyed 3 years after issue. (See 5510 - DEVELOPMENT for articles collected for publication.)</p>	<p>OA/ODD/ OI P ↓</p>	3	3	Proposed
5200	<p><u>PRESS RELEASES</u> <u>File:</u> Numerically by FY. <u>NOTE:</u> Office of Communication has master record set.</p>	N/A		2	
5300	<p><u>HISTORY MANAGEMENT</u> Use for materials reflecting information of continuing interest concerning the organization and its structure, functional responsibilities and their performance. Also, similar subjects such as statistical contributions to the national or world agricultural economy. <u>Case File:</u> By subject. *Offer to Archives in cubic foot increments when material has served agency purposes. (See 6800 - HISTORICAL for published and unpublished SRS program statistical data deriving from surveys.)</p>	<p>OI P ↓</p>		*	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION:			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
5400	<p><u>LIBRARY MANAGEMENT</u> Use for the management of libraries of material collected centrally for reference.</p> <p><u>File:</u> Alphabetically by title and/or subject. (NOTE: The materials kept by a library are references not records.)</p>	OA/ODD 3		1	Proposed
5500	<p><u>DISTRIBUTION</u> Use for mailing lists of addresses receiving memoranda, directives, newsletters, publications and other information materials.</p> <p><u>File:</u> by subject or title of material distributed or by assigned list code.</p>	Distributing Office S/O		S/O	Proposed
5600	<p><u>PUBLICATIONS</u> Use for the development, clearance, comments received on issued publications, and one copy master files of published information.</p>				
5610	<p><u>DEVELOPMENT</u> Use for materials related to the development of publications for printing and distribution. Includes for example: Collection of information, and publication format.</p> <p><u>File:</u> by subject.</p> <p>(NOTE: Arts and graphics are usable for more than one publication and should be filed as reference materials by subject.)</p>	01/SDSB/ Issuing Office 1		1	Proposed
5620	<p><u>CLEARANCE</u> Use for materials related to the approval processing of materials for publication, printing and distribution.</p> <p><u>File:</u> by subject then by title of publication cleared if needed.</p>	01/SDSE /Issuing Office 1		1	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
5630	<p><u>COMMENTS</u> Use for correspondence containing comments or suggestions concerning published materials.</p> <p>File: By subject, then by title of publication if needed.</p>	01/ SDSB/ Issuing Office 1		1	Proposed
5640	<p><u>MASTER FILE</u> Use for one copy sets of each publication issued.</p> <p>File: Alphabetically by title then in ascending issue date order.</p> <p>Offer to Archives for permanent retention in cubic foot increments containing approximately 3 years accumulation. (See 6300 - PUBLICATIONS for SRS published information.) (See 6430 - REPORTS for unpublished SRS reports of research project findings.)</p>	01/ SDSB/ Issuing Office P	3	S/O	Proposed
5700	<p><u>PRINTING</u> Use for materials relating to the contract, purchase or other methods of having information printed and if necessary bound for distribution.</p> <p>File: By subject, then by title of publications to be printed or by name of printing facility as needed.</p> <p>(See 2620 - CONTRACTS for records of contracts let.) (See 2610 - PURCHASING for records of Purchase Orders Issued for printing and binding.)</p>	Issuing Office 2		2	Proposed
6000	<p><u>SRS PROGRAM RECORDS</u> Use for materials relating to the development and performance of programs designed to accomplish the functions assigned to the Statistical Reporting Service Agency.</p> <p>(Note: See next page.)</p>				

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (8)	AUTHORITY (9)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6000	<p><u>SRS PROGRAM RECORDS</u> - (continued)</p> <p>File: Records under the appropriate subject code and category included in this services. (See 1010 - COMMITTEES for records of Advisory Boards and Program planning committee meetings.) (See 1330 - OBJECTIVES for agency program planning records.)</p>				
6020	<p><u>PROGRAM DEVELOPMENT</u></p> <p>Use for collection of materials relating to the development of:</p> <p>a. A potential or proposed new program and submission for approval;</p> <p>b. Proposed major modification of an existing program. Includes for example: Correspondence, data, report, and other documents originated outside the agency, submission to the Program Planning Committee and the Committee decision.</p> <p><u>Case File</u> alphabetically by subject.</p> <p>Transfer to FRC 5 years after date of last item filed.</p>	<p>OA/ODD P</p>	<p>5</p>		Proposed
6100	<p><u>ASSISTANCE</u></p> <p>Use for materials relating to assistance provided to other countries through USAID programs. Includes for example: Training, statistical surveys and studies and reports concerning foreign agricultural economy.</p> <p>File alphabetically by country then by subject and/or project title. (See 1500 - EXTERNAL RELATIONS for administrative materials relating to International assistance.)</p>	N/A		2	

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6200	<p><u>CLEARANCE (OMB)</u> Use for materials relating to OMB statistical review and clearance required when a burden is imposed on the public. Data collection or record keeping by the public constitutes such a burden. Includes for example: Forms, regulations, and statistical programs or projects.</p>				
6210	<p><u>DOCKETS</u> Use for materials submitted for clearance processing. Includes for example: Transmittal forms, supporting documents detailing the purpose, estimated cost, and data collection or record keeping requirements involved, etc. Attached may be forms, contracts or regulations describing data collection or record keeping required of the public.</p> <p>File alphabetically by submitting agency then by date received for processing.</p> <p>Dispose 7 years after form or plan becomes closed, discontinued, expired or obsolete.</p>	RC 7		3	Proposed
6220	<p><u>INDEX</u> Use for SRS-2 card forms prepared detailing pertinent information on each docket received.</p> <p>File: Alphabetically by agency then in OMB assigned number order.</p> <p>Dispose 7 years after form or plan becomes closed, discontinued, expired or obsolete.</p> <p>(See 1343 - CONSULTANT OPINIONS for opinions prepared or obtained concerning proposed form, program or project.) (See 6400 - RESEARCH and 6220 - SURVEY DESIGN for projects and materials on which clearance is required.)</p>	RC 7		N/A	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6300	<p><u>PUBLICATIONS</u> Use for periodically SRS published data and reports of statistical estimates, research project findings and studies. These are publications which are printed and issued to the public, federal, state and local government offices and agencies. (See 5500 - PUBLICATIONS for administration and management of information and publications generally.)</p>				
6310	<p><u>AGRICULTURAL SITUATION</u> Use for monthly publication prepared by SRS and issued by USDA.</p>	COMM		S/O	
6320	<p><u>SUMMARY</u> Annual, or less frequent, summaries of interim publications, such as: Agricultural Prices, Crop Production, Field Crops, Fresh Fruit and Vegetable Prices, Livestock Slaughter, Manufactured Dairy Products, Vegetable and Fruit Marketing, Western Europe Agricultural Situation, and others. Also, use for periodic publications for which no summary is issued, and one-time published reports.</p> <p>File single copy record sets in year and census groups alphabetically by title then in ascending issue date order. Transfer items issued during one 5-year census period at end of the next census year.</p>	SDSPU P	5	S/O	Proposed
6330	<p><u>INTERIM</u> Use for publications issued at scheduled intervals and summarized annually or less often.</p> <p>File single copy record sets in year and census cycle groups alphabetically by title then in ascending issue date order. Transfer items issued during one census cycle as a group at the end of the cycle plus revision period.</p> <p>Upon completion of a current census review, records for year(s) prior to the most recent census may be transferred to the FRC.</p>	SDSPU 7	*	7	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (8)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6340	<p><u>RESEARCH REPORTS</u> Use for published reports of completed in-house research projects distributed to private research groups, institutions and to federal and state government agencies.</p> <p>File alphabetically by title. (See 6430 - REPORTS for unpublished reports of completed in-house research projects.)</p>	RD P	2	S/O	Proposed
6400	<p><u>RESEARCH</u> Use for materials relating to approved proposed research projects and their design, development, modification and testing. Also, for materials relating to the maintenance and operation of research programs. These evolve from projects and are not fully operational. Includes: Area-Frame, Sampling Frame, Sampling Studies, New Survey Techniques, Field Forecasting and others.</p> <p><u>PROJECTS</u> Use for materials relating to the proposal of new research projects, and processing for approval. Includes: Proposed Project Statement, approval clearance, design, development progress reports and final project reports. Projects include: Cooperative and in-house research.</p> <p>(See 1330 - OBJECTIVES for records of project proposal and final decision report on whether to proceed.)</p>				
6411	<p><u>COOPERATIVE</u> Use for materials relating to research projects conducted cooperatively with educational institutions or other outside research groups. Also, use for reimbursable projects conducted by or for other government agencies. Includes for example: Proposed project statement, approval, clearance, signed cooperative or inter-agency agreement, progress reports, periodic payment authorizations or receipt notices, and final project reports.</p> <p>(Note: See next page.)</p>	RDB/RSB 10	3	2	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			AUTHORITY (6)
		RECORD OFFICE OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)	OTHER OFFICES (5)	
6411	<p><u>COOPERATIVE</u> - (continued)</p> <p>File alphabetically by name of group, Institution or agency, then by project title.</p> <p>Dispose 10 years after project is completed and fully operational, or has been discontinued. (See 6200 - CLEARANCE for records of SRS/OMB clearance action needed for certain projects.)</p> <p>(See 2620 - CONTRACTS for records of approved cooperative agreements.)</p>				
6412	<p><u>In-House</u></p> <p>Use for materials relating to research projects conducted by the SRS research staff. Includes for example: Proposed project statement, approval, clearance (if required), development progress reports and final project reports.</p> <p>File alphabetically by project title, then by subject if needed.</p> <p>Dispose 10 years after project has been discontinued or becomes fully operational without further major modification. (See 6200 - CLEARANCE for records of SRS/OMB clearance actions needed for certain projects.)</p>	<p>RDNS/ RSFS/ RSSS/ RDYS 10</p>	3	2	Proposed
6420	<p><u>PROGRAMS</u></p> <p>Use for materials relating to the construction and maintenance of programs which evolve from research projects. These are semi or fully operational but are often subject to modification. Includes for example: Area/Sampling Frame, Aerial Photos and Maps.</p> <p>File alphabetically by program title then by subject and/or geographical area.</p> <p>(See 6020 - PROGRAM DEVELOPMENT.)</p>	<p>RSFS 1</p>		1	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6421	<p><u>Aerial Photos</u> Use for aerial photos used for stratification and allotment of land areas for survey.</p> <p><u>File</u> alphabetically by geographical area.</p> <p><u>Dispose</u> 1 year after the sample frame covered by the photo has been replaced by another.</p>	RSFS ↓		S/O	Proposed
6422	<p><u>Area/Sampling Frames</u> Use for materials relating to U.S. land area identification by usage for Agriculture or other purposes. Also, use for stratification, apportionment, selection and rotation of land areas for probability sample survey to estimate agricultural production.</p> <p><u>File</u> by subject then by geographical area or year data is applied or was collected.</p> <p><u>Dispose</u> 1 year after area frame is restructured.</p> <p>(NOTE: The area frame retains the same structure for 10 years then is restructured. The selected sample frame is rotated and replaced at 20% of the sample area per year.)</p>	RSFS ↓		S/O	Proposed
6423	<p><u>Maps</u> Use for U.S. land area maps identifying land use. Materials are used in sample survey site selection, apportionment, rotation, and to relate sample survey data with land use.</p> <p><u>File</u> alphabetically by geographical area shown.</p> <p><u>Dispose</u> 1 year after area frame is restructured.</p>	RSFS ↓		S/O	Proposed
6430	<p><u>REPORTS</u> Use for unpublished reports of research project findings.</p> <p>(Note: See next page.)</p>	RD P	3	2	Proposed

(1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			AUTHORITY (6)
		RECORD OFFICER'S OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)	OTHER OFFICERS (5)	
6430	<p><u>REPORTS</u> - (continued)</p> <p><u>File</u> alphabetically by project title or subject.</p> <p>(See 6340 - PUBLICATIONS - RESEARCH for records of published (In-house) re-search project findings.) (See 4410 - BILLING for records of funded research project billings.)</p>				
6500	<p><u>STUDIES</u></p> <p><u>Use</u> for materials relating to special studies and reports. These may pertain to any phase of the agricultural economy such as: farm life; housing, labor, or expenditure; commodities (ex: corn, cotton, hogs, etc.). Also, may pertain to the public acceptance, value and/or improvement of survey techniques and SRS functions, operating procedures and similar matters. Includes for example: Reimbursable studies and reports, special one-time surveys, and sampling procedure studies.</p> <p><u>File</u> alphabetically by subject.</p> <p>(See 1330 - OBJECTIVES for the records of study proposal statement for studies conducted for SRS, also the record copy of the final decision report on whether to proceed.)</p> <p>(NOTE: Records of work performed on a reimbursable basis are the property of the requestor. Copies kept by SRS are for reference only and may be destroyed when they have no further value for this purpose.)</p>	SDCSS RSSS P	5	5	Proposed
6600	<p><u>SURVEYS</u></p> <p><u>Use</u> for materials relating to the preparation for and performance of surveys. They are conducted to determine the condition of the Agricultural economy for a specific time period. Such surveys include but are not limited to such elements as: (1) the acreage, production and yield of CROPS (fiber,</p> <p>(Note: See next page.)</p>				

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		RECORD OFFICE		OTHER OFFICES (6)	AUTHORITY (6)
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6600	<p><u>SURVEYS - (continued)</u></p> <p>fruit, grain, hay, seeds, vegetables and others); (2) Cold storage; (3) dairy products (Butter, cheese, milk, etc.); (4) farm labor; (5) fertilizer (distribution, manufacture, stocks, etc.); (6) livestock; (7) poultry; (8) prices (paid and received, etc.); (9) slaughter. Collected data is processed and summarized by geographical area, state or in some instances by commodity, product or economic element. Summaries are then processed to provide indications which are the basis for state and national forecasts and estimates. (See 6700 - ESTIMATES for national summary materials and final processing of survey data.) (See 6300 - PUBLICATIONS for the statistical estimates of survey data published and distributed to the public.)</p> <p><u>SURVEY DESIGN</u></p> <p>Use for materials produced for use in performing area, enumerative, mail, multi-frame and other types of surveys. Includes for example: Survey specifications; forms and manuals for the collection and processing of survey data.</p> <p>File alphabetically by commodity or title of survey.</p> <p>(See 2210 - FORMS for master file record copies of survey forms designed for data collection.) (See 2420 - PROCEDURES - INSTRUCTIONS for records of survey specifications and manuals distributed for the collection, processing and editing of survey data.) (See 6200 - CLEARANCE for record- of OMB clearance on forms).</p> <p>(NOTE: At the end of the 5 year retention period survey design records may be destroyed if component records referenced above are complete.)</p>	SDCB 5		S/O	Proposed

6610

(1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			
		RECORD OFFICE OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)	OTHER OFFICES (5)	AUTHORITY (6)
6620	<p><u>DATA COLLECTION</u> Use for materials containing collected, tabulated, processed and summarized raw survey data. Includes for example: Questionnaires (enumerative interview and sample survey data sheets, etc.), manual and mechanical data tabulations, forecast indications, survey comments, and summary sheets.</p>				
6621	<p><u>Questionnaires</u> Use for materials containing raw input survey data collected by interview, mail and/or sampling techniques. File in groups, alphabetically by survey subject, commodity and/or product. Dispose 2 years after year of accumulation or 2 years after re-survey if survey is not repeated annually.</p>	Surveying Office 2		N/A	Proposed
6622	<p><u>Tabulations</u> Use for materials containing raw input survey data transcribed from questionnaires for manual or computer processing. Includes for example: Listing and tabulation sheets, and computer print-outs. File in groups by month and year of survey and alphabetically by survey subject, commodity or product. Dispose 14 months after processing. (See 1742 - ADP SOURCE DATA for tab cards or similar input transcribing raw data for computer processing).</p>	Surveying Office 14 mos.		S/O	Proposed
6623	<p><u>Summaries</u> Use for materials containing summarized raw survey data by geographical area (county, district or sample strata). These serve as the basis for aggregate survey indications. Includes for example: Computations, national summaries, crop reporting board recommendations and work sheets, state summaries and/or shuttle sheets, change slips, etc.</p>	Surveying Office 7	*	7	Proposed

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		RECORD OFFICE		OTHER OFFICES (5)	AUTHORITY (6)
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6623	<p><u>Summaries - (continued)</u></p> <p>File in groups for each census, alphabetically by geographical area title, then by survey subject, commodity or product.</p> <p>Upon completion of a current census review, records for year(s) prior to the most recent census may be transferred to the FRC</p>				
6323-1	<p><u>National Summaries</u></p> <p>Use for print-out materials which contain principle survey results for each by commodity.</p> <p>File alphabetically by state.</p> <p>Upon completion of a current census review, records for year(s) prior to the most recent census may be transferred to the FRC.</p>	SDSB 7	*	7	Proposed
6323-2	<p><u>State Summaries</u></p> <p>Use for materials containing computed output tables for each commodity and agricultural element surveyed. Includes: Enumerative (Area-Frame), Multi-frame, and Objective Yield surveys.</p> <p>File by alphabetically title and date of survey.</p> <p>Upon completion of a current census review, records for year(s) prior to the most recent census may be transferred to the FRC.</p>	Surveying Office 7	*	7	Proposed
6630	<p><u>COMMENTS/RECOMMENDATIONS</u></p> <p>Use for materials containing comments and recommendations concerning summarized survey data, indications and forecast indicators.</p> <p>Upon completion of a current census review, records for year(s) prior to the most recent census may be transferred to the FRC.</p>	Surveying Office 7	*	7	Proposed

CODE (1)	DESCRIPTION AND FILING INSTRUCTIONS (2)	DISPOSITION			AUTHORITY (6)
		RECORD OFFICE		OTHER OFFICES (5)	
		OFFICE SYMBOL & FINAL DISP. (3)	TO FRC (4)		
6700	<p><u>ESTIMATES/INDICATIONS</u> Use for materials relating to official statistical forecasts and estimates. These are based on survey indications and analysis, comments and recommendations. May also be based on computations for certain commodities, products or other economic elements. They reflect projected total production, yield, grade, price, sales, damage, disposition and other statistics for various commodities, products and other elements of the agricultural economy for individual states and/or the nation as a whole. Includes for example: Documents used to record official estimates and survey indications.</p> <p>File alphabetically by commodity, product or subject then by state or geographical area.</p> <p>Transfer document records of official estimates and survey indications after input to Data Base.</p> <p>(NOTE: Record documents for official estimates and survey indications not input to Data Base will be retained in-house permanently for day-to-day use and cannot be retired.)</p> <p>(See 6300 - PUBLICATIONS for records of published estimate material.) (See 6600 - SURVEYS for records of surveys conducted through which raw data is obtained.) (See 6800a - HISTORICAL DATA - Data Base for estimates and survey indications maintained in the Data Base System.)</p>	SDSB/ ED P	*		Proposed
6800	<p><u>HISTORICAL</u> Use for automated and hard copy collections of published and unpublished collections of data.</p> <p>(See 5300 - HISTORY MANAGEMENT for administrative records and other historical materials).</p> <p>(Note: See next page.)</p>				

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6800	<p><u>HISTORICAL</u> - (continued)</p> <p>a. <u>Data Base</u> Magnetic media containing cumulative statistical indicators and estimates relating to surveys of commodities and other elements of the agricultural economy. (See 1738 - DATA TAPE FILE).</p> <p>Transfer data eligible for retirement to the National Machine Readable Archives on magnetic tape. Insure that program documentation for retrieval of data from transferred Data Base are transferred with the data tape(s).</p> <p>b. <u>Manual</u> Hard copy collections of published statistical estimates relating to commodity and product surveys.</p> <p><u>File</u> by commodity then by state.</p> <p>These collections are used in day-to-day work by commodity statisticians for reference. They include all data published since such statistics were issued. As reference need is continuous they are not eligible for retirement. (See 6300 - PUBLICATIONS for records of publications from which this material, is collected.)</p>	SDSB P	10	N/A	Proposed
		Esti- mating Offices P	*	S/O	Proposed
6900	<p><u>TRAINING</u> Use for materials prepared by SRS and used in training SRS personnel in such subjects as Survey methods, and Statistical Computation methods as well as others. Includes: Course materials for classes and self-study such as manuals, films, testing materials, etc.</p> <p><u>File</u> by subject of training, then by training course number and/or date if applicable. (See 3410 - TRAINING for personnel records of employees receiving training.)</p>	Office Conduct- ing Training and SSRS/ S/O		S/O	Proposed