

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
NATIONAL IMAGERY AND MAPPING AGENCY (NIMA)

2. MAJOR SUBDIVISION
CORPORATE AFFAIRS

3. MINOR SUBDIVISION
b(3)

4. NAME OF PERSON WITH WHOM TO CONFER
(b)(3)

5. TELEPHONE
(b)(3)

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-537-98-3

DATE RECEIVED

01/21/00

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

3-1-00

ARCHIVIST OF THE UNITED STATES

John W. Carl

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 30 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE

21 Jan 2000

SIGNATURE OF AGENCY REPRESENTATIVE

Joseph W. Carl

TITLE

b(3)

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR
SUPERSEDED
JOB CITATION

10. ACTION
TAKEN (NARA
USE ONLY)

The National Imagery and Mapping Agency (NIMA) is developing its Records Schedule and resubmits Series 400, Legal Services Files, for approval by the Archivist of the United States.

Disposition instructions in the General Records Schedule (GRS) have been applied to NIMA records where possible.

The attached 400 Series (Enclosure 1) has been coordinated with NIMA General Counsel. Enclosure 2 is a conversion table of Defense Mapping Agency (DMA) approved file numbers to the proposed NIMA file numbers.


NIMA records (formerly Defense Mapping Agency and others) will continue to be transferred to a Federal Records Center or other NARA approved records storage facility for storage as appropriate.

NIMA Records Schedule
400 Series - LEGAL SERVICES

This series covers legal services and the Freedom of Information Act and Privacy Act programs of the General Counsel Office. Included are subject and case files of general legal services such as claims investigations, patent, copyright, and trademark, international and national planning, and standards of conduct files.

401 Series - GENERAL LEGAL FILES

These files relate to legal opinions, legal assistance, employment, financial interest statements, and related legal records.

 Series	Type of File	Disposition
401-01	LEGAL OPINION PRECEDENT Legal opinions concerning interpretations of statutes, laws, regulations, investigations, and similar legal matters, exclusive of documents relating to a specific claim, investigation, or case. a. Recordkeeping copies (paper, electronic, or both). b. Paper records maintained separately from the recordkeeping system. c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	PERMANENT a. Cut off when obsolete or on discontinuance. Make two copies on archival media. Forward one copy to GC library and retire one copy to a records storage facility or NARA as appropriate. TEMPORARY b. Destroy when 2 years old. c. Destroy/delete within 180 days after recordkeeping copy has been produced.
401-02	IG INVESTIGATIVE/IG COMPLAINT LEGAL REVIEW Data received from the IG office that relates to investigations, complaints, and inquiries conducted by Inspectors General. Included are reports of investigation or inquiry, statements, correspondence, and	TEMPORARY

NIMA Records Schedule

related records.

a. Recordkeeping copies (paper, electronic, or both).

b. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

a. Destroy/delete when 3 years old.

b. Destroy/delete within 180 days after recordkeeping copy has been produced.

401-03

PROCUREMENT AND CONTRACT LEGAL REVIEW

TEMPORARY

Documents used in reviewing contracts for legal sufficiency such as fraud, misconduct, criminal conduct, or suspected fraud or misconduct in procurement matters, decisions of appeal, transcripts of testimony, settlement proposals, and related records.

a. Recordkeeping copies (paper, electronic, or both).

a. Cutoff after final action or completion of contract and retire to a records storage facility. Destroy/delete 6 years after final action or completion of contract.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

401-04

ENVIRONMENTAL LEGAL REVIEW

Data used in reviewing legal implications of environmental and related records.

Disposition not authorized.

402 Series - CLAIMS INVESTIGATING AND PROCESSING FILES

These files relate to the investigation, damage, loss or destruction of property, accidents, tort claims, real estate claims, or personal property claims which may result in favor of or against the Government.

Series	Type of Files	Disposition
402-01	CLAIM OPERATION POLICY Policy books and standard operating procedures on the handling of claims.	TEMPORARY
	a. Recordkeeping copies (paper, electronic, or both).	a. Destroy/delete 5 years after superseded, obsolete or discontinued.
	b. Paper records maintained separately from the recordkeeping system.	b. Destroy on obsolescence or when 2 years old, whichever is sooner.
	c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	c. Destroy/delete within 180 days after recordkeeping copy has been produced.
402-02	CONTRACT CLAIM FILES Documents used for recording pertinent information on each event relating to an actual or possible claim, and cross-indexes of incidents entered in the claims journal.	TEMPORARY
	a. Recordkeeping copies (paper, electronic, or both).	a.
	(1) Contract claims files.	(1) Retire to a records storage facility when 3 years old. Destroy/delete 6 years after completion of claim.
	(2) All others.	(2) Destroy/delete when 3 years old unless litigation is pending.
	b. Paper records maintained separately from	b. Destroy when 2 years old.

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the recordkeeping system.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

402-03

PERSONAL PROPERTY CLAIM

TEMPORARY

Case files relating to claims against the Government by NIMA personnel for damage, loss, or destruction of personal property incident to their service.

a. Disapproved claims and claims involving a minor:

a.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Retire to a records storage facility when 3 years old.
Destroy/delete 10 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Approved claims:

b.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Retire to a records storage facility when 3 years old.
Destroy/delete 5 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

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recordkeeping copies.

402-04

TORT CLAIM

TEMPORARY

Case files relating to tort claims for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omission of acts by NIMA personnel.

a. Disapproved claims and claims involving personal injury or a minor:

(1) Recordkeeping copies (paper, electronic, or both).

(2) Paper records maintained separately from the recordkeeping system.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

b. Approved claims:

(1) Recordkeeping copies (paper, electronic, or both).

(2) Paper records maintained separately from the recordkeeping system.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

a.

(1) Cutoff and retire to a records storage facility 3 years after final action on the case. Destroy/delete 10 years after final action on the case.

(2) Destroy when 2 years old.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b.

(1) Cutoff and retire to a records storage facility 3 years after final action on the case. Destroy/delete 5 years after final action on the case.

(2) Destroy when 2 years old

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

402-05

NONAPPROPRIATED FUND CLAIM

TEMPORARY

Claims against nonappropriated fund

NIMA Records Schedule

activities for damage, loss, or destruction of property and personal injury or death.

a. Disapproved claims and claims involving personal injury or a minor: a.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Cutoff and retire to a records storage facility 3 years after final action on the case. Destroy/delete 15 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Approved claims:

b.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Cutoff and retire to a records storage facility 2 years after final action. Destroy/delete 5 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

402-06

FOREIGN CLAIM

Claims against the U. S. Government by inhabitants of a foreign country or by a foreign government or a political subdivision thereof, or arising in foreign countries. Claims regard damage, loss, or destruction of public or private property, personal injury or death caused by NIMA

TEMPORARY

NIMA Records Schedule

personnel stationed in the country concerned, or in connection with claims that cannot be settled under DoD regulations; therefore, must be settled under local laws, regulations, or agreements.

a. Disapproved claims and claims involving personal injury or a minor: a.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Cutoff and retire to a records storage facility 2 years after final action on the case. Destroy/delete 15 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Approved claims:

b.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Cutoff and retire to a records storage facility 2 years after final action. Destroy/delete 5 years after final action on the case.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

402-07

REAL ESTATE REIMBURSEMENT CLAIMS

TEMPORARY

Adjudicated real estate claim files relating to the Agency Permanent Change of Station program.

NIMA Records Schedule

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|---|---|
| a. Recordkeeping copies (paper, electronic, or both). | a. Cutoff and retire to a records storage facility when 2 years old. Destroy/delete when 5 years old. |
| b. Paper records maintained separately from the recordkeeping system. | b. Destroy when 2 years old. |
| c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies. | c. Destroy/delete within 180 days after recordkeeping copy has been produced. |

403 Series - PATENT, COPYRIGHT, AND TRADEMARK FILES

These files relate to patent, copyright, trademark, proprietary, proffers of license, and related intellectual property activities, or data rights. Included are investigation, processing, and settlement of license proffers and administrative claims pursuant to Section IX, Defense Acquisition Regulation (DAR), and support furnished the Department of Justice in defense of suits by or against the United States. Normally, these files are accumulated by the office of Counsel or an equivalent office.

Series	<u>Type of Files</u>	<u>Disposition</u>
403-01	INTELLECTUAL PROPERTY OPINION Documents interpreting or rendering opinions on all matters relating to invention, patent, copyright, data, and other intellectual property rights which are not described elsewhere in this series. a. Recordkeeping copies (paper, electronic, or both). b. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	TEMPORARY a. Destroy/delete when superseded or obsolete. b. Destroy/delete within 180 days after recordkeeping copy has been produced.
403-02	INVENTION RIGHTS/DISCLOSURE Documents relating to the administration of policy for disposition of rights in inventions by Government employees pursuant to E.O. 10096, 23 January 1950, as changed by E.O. 10930, 24 March 1961, or any other provisions of laws or regulations. Also, documents relating to invention disclosures submitted by Government employees and contractors or sources outside the Government on which a patent application may be filed. Included are appeals or reconsiderations of Agency determinations or decisions of the Commissioner of Patents. a. Recordkeeping copies (paper, electronic,	TEMPORARY a. Cut off on expiration of appeal

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or both).

period or after receipt of confirmatory license or assignment. Retire to a records storage facility 3 years thereafter. Destroy/delete when 25 years old.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

403-03

COPYRIGHT, PATENT, AND TRADEMARK LICENSE

TEMPORARY

Documents reflecting interests of the Government in or under copyrights procured or obtained on behalf of the DoD whether or not recorded in the office of the Registrar of Copyrights. Also documents relating to all phases of the granting of licenses on Government-owned copyrights, patents, trademarks, service marks, and related items. Included are copies of copyright licenses and assignments, copies of license grants, coordinating or follow-up actions taken by the Government relating to licensing arrangements, opinions expressed that licenses are not required or that the use of certain material or procedures will not infringe on Government-regulated rights, and other instruments.

a. Recordkeeping copies (paper, electronic, or both).

a. Destroy/delete when 56 years old or on expiration if not renewed.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

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recordkeeping copies.

403-04

**GOVERNMENT-ASSERTED CLAIM/INFRINGEMENT
ALLEGATION**

TEMPORARY

Claims by the Government regarding the improper or unauthorized use of Government-owned rights in intellectual property. Included are claims against indemnifiers for recoupment of patent infringement liabilities and documents reflecting actions taken to prevent or stop improper use of DoD or Government copyrights, trademarks, service marks, and similar correspondence. Also allegations of infringement or misuse of patents, copyrights, claims under DAR, Section IX. Included are inquiries, investigations, reports, and communications concerning the allegations.

a. Recordkeeping copies (paper, electronic, or both).

a. Retire to a records storage facility when 5 years old. Destroy/delete when 25 years old.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

403-05

PATENT APPLICATION/ISSUED

TEMPORARY

Documents reflecting application to the U.S. Patent Office for a patent. Included are the applications with the related invention disclosure claims and all amendments, petitions, appeals, and related correspondence. Also documents relating to patents issued but not to inventions patented by contractors.

NIMA Records Schedule

- | | |
|---|---|
| a. Recordkeeping copies (paper, electronic, or both). | a. Cut off annually after issuance of the patent. Destroy/delete when 25 years old. |
| b. Paper records maintained separately from the recordkeeping system. | b. Destroy when 2 years old. |
| c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies. | c. Destroy/delete within 180 days after recordkeeping copy has been produced. |

403-06

TRADEMARK SOLICITING AND OPPOSITION

TEMPORARY

Documents relating to actions intended to bar the solicitation, registration, or grant of a trademark, service mark, trade name collective mark, or certification mark, and thus prevent future opposition to DoD use of the mark. Included are communications with the Trademark Examiner, U.S. Patent Office, and private concerns and individuals regarding the use of such marks and related records.

- | | |
|---|---|
| a. Recordkeeping copies (paper, electronic, or both). | a. Retire to a records storage facility when 5 years old. Destroy/delete when 25 years old. |
| b. Paper records maintained separately from the recordkeeping system. | b. Destroy when 2 years old. |
| c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies. | c. Destroy/delete within 180 days after recordkeeping copy has been produced. |

403-07

PATENT INFRINGEMENT LITIGATION

TEMPORARY

Documents relating to litigation by or against the U.S. in the Court of Claims, District Courts, or other courts on claims for patent infringement, misuse of patents, or enforcement of agreements and other

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claims arising from patent problems regardless of cause. Included are reports to the Department of Justice and other documents concerned with providing information to the DoD for prosecution of the suit.

a. Recordkeeping copies (paper, electronic, or both).

a. Cut off annually following termination of litigation. Retire to a records storage facility 3 years thereafter. Destroy/delete when 30 years old.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been produced.

404 Series - FREEDOM OF INFORMATION ACT (FOIA) FILES

[illegible]

NIMA Records Schedule

(b) Requests appealed.

(b) GRS 14/11a(3)(b) and GRS 14/37

b. Official file copy of requested records.

b. (GRS 14/11b) and GRS 14/37

404-03

FOIA APPEALS

TEMPORARY

Administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

a. GRS 14/12a and GRS 14/37

b. Official file copy of records under appeal.

b. GRS 14/12b and GRS 14/37

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405 Series - INTERNATIONAL AND NATIONAL PLANNING FILES

These files relate to the formulation of NIMA relationships and policies as they affect national defense and planning for military operations. They also relate to the NIMA relationship with the Planning Board of the National Security Council (NSC) and to matters to be considered by that agency. (These files are General Council specific. Program offices of International and National Planning will maintain their files in other series.)

Series	Type of Files	Disposition
405-01	INTERNATIONAL CONFERENCE Data pertaining to the view of the NIMA relating to the participation of United States representatives at international conferences and NIMA representatives on inter-American and international agencies. They relate to the development of basic data for background and guidance and attendance of NIMA personnel at conferences, and control over the appropriation Inter-American Relations, National Imagery and Mapping Agency.	Disposition not authorized.
405-02	INTERNATIONAL TREATY Documents resulting from the drafting of military treaties, international agreements, or other instruments which have international military, military-economic, or military-political implications. They also include documents reflecting military considerations in the relationship of the United States to the United Nations.	Disposition not authorized.
405-03	OVERSEAS BASE RIGHT Data relating to the determination of the requirements for military base rights in foreign countries and NIMA's participation in negotiations leading to agreements for the acquisition of base rights. Included are communications and staff studies concerning overseas base rights requirements, proposed agreements, and	Disposition not authorized.

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related documents.

405-04

NATIONAL SECURITY COUNCIL REFERENCE

Documents or extracts of documents reflecting decisions of the National Security Council maintained for purposes of reference, including correspondence related to the distribution of these records.

Disposition not authorized.

405-05

NATIONAL INTELLIGENCE ESTIMATE REFERENCE

Data of national intelligence estimates and special national intelligence estimates, including correspondence.

Disposition not authorized.

406 Series - LITIGATION FILES

These files concern actual or potential litigation in which the United States has an interest before civil courts, administrative tribunals, and regulatory bodies. They pertain to the release of information from NIMA records and to the appearance of NIMA personnel as witnesses in private litigation and litigation in which the United States has an interest.

Series	Type of Files	Disposition
406-01	LITIGATION CASE FILES Data relating to actual or potential legal proceedings in which NIMA has an interest. Included are advisory, investigative, and litigation reports; copies of processes and pleadings; communications with other agencies, the Department of Justice, United States Attorneys, and individuals both in and out of the Federal Government; litigation before Equal Employment Opportunity Commission, Office of Review and Appeals, MSPB, FLRA, ASBCA, GSBGA and GAO; and related records.	
	a. Recordkeeping copies of those cases mentioned in the annual report of the U.S. Attorney General; heard by the Supreme Court; or designated as dealing with precedence, key issues, policy, or significant developments (paper, electronic, or both).	PERMANENT a. Cutoff 3 years after completion of litigation. Retire to a records storage facility on cutoff. Transfer to NARA 25 years after cutoff.
	b. Recordkeeping copies of all other cases not mentioned in 'a.' above (paper, electronic, or both).	TEMPORARY b. Cutoff 3 years after completion of litigation. Retire to a records storage facility on cutoff. Destroy/delete when 30 years old.
	c. Paper records maintained separately from the recordkeeping system.	c. Destroy/delete when 2 years old.
	d. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	d. Destroy/delete within 180 days after recordkeeping copy has been produced.

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406-02

LEGAL REPRESENTATION

Data relating to assistance given the Department of Justice in the defense of NIMA personnel against civil or criminal proceedings arising out of omissions or acts committed by them in the course of their official duties, but not proceedings against the United States or its instrumentalities. For example: advisory, investigative, and litigation reports; pleadings, communications with the Department of Justice and United States Attorneys; and communications with other organizations, agencies, and individuals, both within and without the Federal Government; and related records.

a. Cases involving litigation.

(1) Recordkeeping copies (paper, electronic, or both).

(2) Paper records maintained separately from the recordkeeping system.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

b. Other cases.

(1) Recordkeeping copies (paper, electronic, or both).

(2) Paper records maintained separately from the recordkeeping system.

(3) Electronic copies of records

TEMPORARY

a.

(1) Retire to a records storage facility when 5 years old. Destroy/delete when 15 years old.

(2) Destroy when 2 years old.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b.

(1) Retire to a records storage facility 5 years after date of accident or incident. Destroy/delete 10 years after date of accident or incident.

(2) Destroy when 2 years old.

(3) Destroy/delete within 180 days

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created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

after recordkeeping copy has been produced.

406-03

JUDICIAL INFORMATION RELEASE

TEMPORARY

Data regarding release of information for use in litigation in response to subpoenas, court orders, or requests. Included are requests, subpoenas, court orders, recommendations concerning releases, memoranda of law, coordinating actions, and related records.

a. Safeguarded information.

a.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Retire to a records storage facility when 5 years old.
Destroy/delete when 10 years old.

(2) Paper records maintained separately from the recordkeeping system.

(2) Destroy when 2 years old.

(3) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(3) Destroy/delete within 180 days after recordkeeping copy has been produced.

b. Non-safeguarded information.

b.

(1) Recordkeeping copies (paper, electronic, or both).

(1) Destroy/delete when 2 years old.

(2) Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

(2) Destroy/delete within 180 days after recordkeeping copy has been produced.

406-04

COURT APPEARANCE

TEMPORARY

Data relating to the appearance of NIMA personnel as counsel or witness before civil courts, administrative tribunals, regulatory bodies, or Government agencies. Included

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are requests, background data, coordination actions, and related records.

a. Recordkeeping copies (paper, electronic, or both).

a. Destroy/delete when 2 years old.

b. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

b. Destroy/delete within 180 days after recordkeeping copy has been produced.

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407 Series - LEGISLATIVE AND CONGRESSIONAL LIAISON FILES

These files relate to the initiation, processing, and coordination of legislation, executive orders, and proclamations of interest to NIMA. They include replies to congressional inquiries, liaison with congressional committees investigating NIMA activities; and similar matters of a legislative or congressional nature.

Series	Type of Files	Disposition
407-01	<p>LEGISLATIVE</p> <p>Data relating to the preparation and processing of legislation, executive orders, proclamations, and reports on legislation proposed by or of interest to NIMA, but exclusive of appropriation bills. Included are communications and drafts of legislation proposed by NIMA, reports to congressional committees on introduced legislation; comments on legislative proposals and reports on legislation proposed by or under the responsibility of the Secretary of Defense, Navy, Army, or Air Force; reports to the Bureau of the Budget on legislation proposed by agencies outside the Department of Defense; coordinating actions; and related records. Also included are documents reflecting comments on proposed legislation, executive orders, proclamations, and reports. Files accumulated by operating offices of the NIMA will be filed in the appropriate functional files.</p>	
	<p>a. Recordkeeping copies (paper, electronic, or both).</p> <p>b. Paper records maintained separately from the recordkeeping system.</p> <p>c. Electronic copies of records created using word processing systems and electronic</p>	<p>PERMANENT</p> <p>a. Cutoff when 3 years old and retire to a records storage facility. Transfer to NARA when 25 years old.</p> <p>TEMPORARY</p> <p>b. Destroy when 2 years old.</p> <p>c. Destroy/delete within 180 days after</p>

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mail and used solely to generate
recordkeeping copies.

recordkeeping copy has been produced.

407-02

LEGISLATION COMMENT

TEMPORARY

Documents reflecting comments on proposed
legislation, executive orders,
proclamations, and reports.

a. Recordkeeping copies (paper, electronic,
or both).

a. Delete/destroy when 10 years old.

b. Paper records maintained separately from
the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created
using word processing systems and electronic
mail and used solely to generate
recordkeeping copies.

c. Destroy/delete within 180 days after
recordkeeping copy has been produced.

407-03

CONGRESSIONAL CORRESPONDENCE

TEMPORARY

Documents relating to congressional
inquiries on all matters within the scope
and activity of NIMA, except in areas
affecting budgets, appropriations, and
related financial matters, or concerning the
release of safeguarded information.

a. Recordkeeping copies (paper, electronic,
or both).

a. Retire to a records storage facility
when 3 years old. Destroy/delete when 5
years old.

b. Paper records maintained separately from
the recordkeeping system.

b. Destroy when 2 years old.

c. Electronic copies of records created
using word processing systems and electronic
mail and used solely to generate
recordkeeping copies.

c. Destroy/delete within 180 days after
recordkeeping copy has been produced.

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408 Series - PRIVACY ACT FILES

These files relate to implementing and administering the Privacy Act of 1974 and providing or refusing access to or amendment of records in response to requests from individuals to whom the records pertain.

Series	<u>Type of Files</u>	<u>Disposition</u>
408-01	PRIVACY ACT GENERAL ADMINISTRATIVE a. Records relating to internal Agency implementation and administering of the Privacy Act, including notices, memoranda, routine correspondence, and related records, print-out of NIMA systems of records, inventories and changes thereto. b. Recurring reports and one-time information requirements relating to agency implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at all levels.	TEMPORARY a. GRS 14/26 and GRS 14/37 b. GRS 14/23 and GRS 14/37
408-02	PRIVACY ACT AMENDMENT CASE FILES Data relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C.522a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g). a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. b. Requests to amend refused by agency. includes individual's requests to amend and to review refusal to amend, copies of	TEMPORARY a. GRS 14/22a and GRS 14/37 b. GRS 14/22b and GRS 14/37

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agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

c. GRS 14/22c and GRS 14/37

408-03

PRIVACY ACT REQUESTS

TEMPORARY

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C.552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

a.

(1) Granting access to all the requested records.

(1) GRS 14/21a(1) and GRS 14/37

(2) Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(2)

(a) Requests not appealed.

(a) GRS 14/21a(2)(a) and GRS 14/37

(b) Requests appealed.

(b) GRS 14/21a(2)(b) and GRS 14/37

(3) Denying access to all or part of the records requested.

(3)

(a) Requests not appealed.

(a) GRS 14/21a(3)(a) and GRS 14/37

NIMA Records Schedule

(b) Requests appealed.

(b) GRS 14/21a(3)(b) and GRS 14/37

b. Official file copy of requested records. b. GRS 14/21b and GRS 14/37

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409 Series - STANDARDS OF CONDUCT/ETHICS FILES

These files relate to the management and training of agency personnel in Standards of Ethical Conduct.

Series	Type of Files	Disposition
409-01	FINANCIAL DISCLOSURE SYSTEM (Privacy Act Applies) Reports of financial interests of personnel required to file such statements. Such as: public and private financial disclosure reports, supplementary statements, reports of change, review comments and related records.	TEMPORARY GRS 1/24b and 14/37
409-02	STANDARDS OF CONDUCT TRAINING Training plans, schedules, rosters and associated records. a. Recordkeeping copies (paper, electronic, or both). b. Paper records maintained separately from the recordkeeping system. c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	TEMPORARY a. Destroy/delete when superseded or obsolete. b. Destroy when 2 years old or when superseded or obsolete, whichever is first. c. Destroy/delete within 180 days after recordkeeping copy has been made.
409-03	CONFLICT OF INTEREST Decisions, opinions, advice and information on conflict of interest issues. a. Recordkeeping copies (paper, electronic, or both). b. Paper records maintained separately from the recordkeeping system.	TEMPORARY a. Destroy/delete when superseded or obsolete. b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

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c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

409-04

GIFTS

TEMPORARY

Decisions, opinions, advice and information on receipt or giving of gifts.

a. Recordkeeping copies (paper, electronic, or both).

a. Destroy/delete when superseded or obsolete.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

409-05

POST EMPLOYMENT

TEMPORARY

Decisions, opinions, advice and information on activities of former government employees.

a. Recordkeeping copies (paper, electronic, or both).

a. Destroy/delete when superseded or obsolete.

b. Paper records maintained separately from the recordkeeping system.

b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

409-06

OUTSIDE EMPLOYMENT

TEMPORARY

Decisions, opinions, advice and information pertaining to outside employment of current

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government employees.

a. Recordkeeping copies (paper, electronic, or both).

b. Paper records maintained separately from the recordkeeping system.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

a. Destroy/delete when superseded or obsolete.

b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

409-07

OFFICE OF GOVERNMENT ETHICS

Correspondence, surveys and reports.

TEMPORARY

a. Recordkeeping copies (paper, electronic, or both).

b. Paper records maintained separately from the recordkeeping system.

c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.

a. Destroy/delete when superseded or obsolete.

b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

409-08

POLITICAL ACTIVITY (HATCH ACT)

Decisions, opinions, advice and information on political activity.

TEMPORARY

a. Recordkeeping copies (paper, electronic, or both).

b. Paper records maintained separately from the recordkeeping system.

c. Electronic copies of records created using word processing systems and electronic

a. Destroy/delete when superseded or obsolete.

b. Destroy when 2 years old or when superseded or obsolete, whichever is first.

c. Destroy/delete within 180 days after recordkeeping copy has been made.

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mail and used solely to generate recordkeeping copies.

409-09	ACTIVITIES WITH NON-FEDERAL ENTITIES Decisions, opinions, advice and information on interaction and activities with non-federal entities.	TEMPORARY
	a. Recordkeeping copies (paper, electronic, or both).	a. Destroy/delete when superseded or obsolete.
	b. Paper records maintained separately from the recordkeeping system.	b. Destroy when 2 years old or when superseded or obsolete, whichever is first.
	c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	c. Destroy/delete within 180 days after recordkeeping copy has been made.
409-10	MISUSE OF POSITION AND GOVERNMENT RESOURCES Decisions, opinions, advice and information on the misuse of government positions or government resources, including e-mail.	TEMPORARY
	a. Recordkeeping copies (paper, electronic, or both).	a. Destroy/delete when superseded or obsolete.
	b. Paper records maintained separately from the recordkeeping system.	b. Destroy when 2 years old or when superseded or obsolete, whichever is first.
	c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies.	c. Destroy/delete within 180 days after recordkeeping copy has been made.
409-11	ENFORCEMENT Decisions, opinions, advice and information.	TEMPORARY
	a. Recordkeeping copies (paper, electronic, or both).	a. Destroy/delete when superseded or obsolete.

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|---|---|
| b. Paper records maintained separately from the recordkeeping system. | b. Destroy when 2 years old or when superseded or obsolete, whichever is first. |
| c. Electronic copies of records created using word processing systems and electronic mail and used solely to generate recordkeeping copies. | c. Destroy/delete within 180 days after recordkeeping copy has been made. |

Redactions have been made to this record control schedule pursuant to 5 U.S.C. 552(b)(3) with the corresponding statute 10 U.S.C. 424, which protects from disclosure the "organization or any function of, and certain information pertaining to, employees of the National Geospatial- Intelligence Agency (formerly National Imagery and Mapping Service)." You will need to submit a Freedom of Information Act (FOIA) request to the Office of the General Counsel for the withheld information.

<http://www.archives.gov/foia/>