

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-101-83-01

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This authority has been superseded by N1-101-90-002.

Date Reported: 3/17/2022

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION**  
(See Instructions on reverse)

**DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NCI-101-83-1

DATE RECEIVED

8-12-83

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

*June 29, 1984* *Robert K. Wams*  
Date Archivist of the United States

TO GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1 FROM (AGENCY OR ESTABLISHMENT)

Comptroller of the Currency

2 MAJOR SUBDIVISION

Office of Management Resources

3 MINOR SUBDIVISION

Administrative Services Division

4 NAME OF PERSON WITH WHOM TO CONFER

Jeff Boswell

5 TEL EXT

447-1738

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 116 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C DATE

4/15/83

D. SIGNATURE OF AGENCY REPRESENTATIVE

*Jeff Boswell*

E TITLE

Manager, Records Management Branch

7  
ITEM NO

8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9  
SAMPLE OR  
JOB NO

10  
ACTION TAKEN

Office of the Comptroller of the Currency Comprehensive  
Records Disposition Schedule

Supersedes: Office of the Comptroller of the Currency  
Comprehensive; Part III; Retention/Disposition Records  
Schedule; Subschedules A through N.

Reference: NN-169-64 NCI-101-80-1  
NN-172-94 NCI-101-80-2  
NN-171-110  
NN-172-78  
NN-171-39

*MASS DATA CHANGE SHEET ATTACHED*

*483 items*  
*Series*

*Agency sent 7-18-84 by DMW.  
All FRE's sent 7-17-84 by DMW.*

OCC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE

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Subschedule A: Records Common to Most Offices

This subschedule provides disposition instructions for series of records found in many offices.

1. Office Working Files.

Non-essential working papers retained by staff members for reference purposes. Included are extra copies of official correspondence, supporting or background material used in developing official files, but not needed for the official file, studies or other materials not acted upon, papers used as internal administrative aids, and any documents which do not serve as the basis for official action (excludes program and administrative correspondence identified elsewhere in this manual).

Disposition:

Destroy when two years old, or when no longer needed for reference, whichever is earlier.

2. Reading or Chronological Files.

Extra copies of correspondence prepared and maintained by the originating office and used only as a reading or reference file for staff convenience.

Disposition:

Cut off at close of Calendar Year (CY). Destroy after one year, or when no longer needed for reference, whichever is earlier.

3. Suspense Files.

Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or a transitory paper being held for reference may be destroyed on a given date. Examples of papers in suspense files are:

- a. A note or other reminder to submit a report or to take some other action.

Disposition:

Destroy after action is taken.

- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Disposition:

Withdraw papers when reply is received. If suspense copy is an extra copy, destroy; if it is the file copy, place with other papers for file.

- c. Papers which may be destroyed in 30 days or less because they have no further value.

Disposition:

Destroy on date for which they are suspended.

4. Transitory Files.

Papers of short-term interest which have no record value and normally need not be kept more than 90 days. Examples of transitory correspondence are:

- a. Requests for information or publications. Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.
- b. Letters of transmittal. Letters of transmittal that do not add information to that contained in the transmitted material.
- c. Quasi-official notices. Memorandums and other papers that do not serve as the basis of official actions, such as notices of holidays or charity or welfare fund appeals, bond campaigns, and similar papers.

Recordkeepers should combine the types of temporary material described above into one transitory file arranged chronologically. If more than one folder is needed, four folders labelled as follows may be used:

Transitory (JAN-MAY-DEC)

Transitory (FEB-JUN-OCT)

Transitory (MAR-JUL-NOV)

Transitory (APR-AUG-DEC)

A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.

Disposition:

Destroy all items listed above when 90 days old.

5. Files Maintenance and Disposition Plans.

Documents which provide information concerning file categories, disposal instructions, and other matters regarding the files maintained in particular offices.

Disposition:

Destroy when a revised plan is received.

6. Office Organization Reference Files.

Documents relating to the organization and functions of an office. Included are copies of organization and functional charts and functional statements; documents relating to office staffing, documents concerning functional assignments and changes. Included also are documents reflecting minor changes in the office organization or functional assignments that are made by the office supervisor.

Disposition:

Destroy when superseded, obsolete, or no longer needed for reference.

7. Policy and Precedent Reference File.

Copies of documents establishing policy or precedents relating to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. These files consist of non-record copies maintained only for convenience of reference. Original or official record copies will NOT be placed in this file.

Disposition:

Destroy when obsolete or when no longer needed for administrative purposes.

8. Employee Travel Files.

Correspondence, requests, travel authorizations and orders, itineraries, and similar papers pertaining to employee travel, exclusive of records maintained for accounting purposes.

Disposition:

Cut off at close of CY and destroy two years thereafter.

9. Office General Personnel Files.

Documents that relate to the daily administration of personnel in individual offices. Included are papers that relate to attendance, copies of reports of attendance and overtime, notices of holidays and hours worked; notices and lists of persons who attend training sessions; papers concerning participation in employee and community affairs campaign drives; and similar materials.

NOTE: No Privacy Act materials should be filed under this item.

Disposition:

See Subschedule F, Item 21.

10. Position Description Files.

Documents which describe positions available in an office and which are used for administrative purposes. Official copies are maintained in Human Resources.

Disposition:

Destroy when position is abolished, job description is superseded, or when no longer needed for reference (See Subschedule F, Item 9b).

11. Reference Publications Files.

Copies of OGC directives and publications, other agency publications, and publications of non-Federal organizations. These files are used for reference purposes. Record copies of publications are NOT included under this item. See Subschedule J for disposition instructions for the record copy item.

Disposition:

Destroy when superseded, obsolete, or when no longer needed for reference.

12. Temporary Commissions, Committees and Boards Records.

Files created by a temporary commission, committee, board, conference, task force, or similar organization. Included are the agenda, minutes of meetings, correspondence, published reports, news releases, speech files and related materials. (GRS 16, Item 12)

- a. Documents which issue policy, prescribe procedures, or affect organizational structures; provide executive direction or document major functions; pertain to relations with the other Federal financial institutions, the White House, the Executive Office of the President, Congress, or the public; prescribe budgetary policy; pertain to precedential legal opinions; and relate to major agency programs and plans.

Disposition:

PERMANENT. Transfer to the local Federal records center three years after termination of the project. Offer to NARS when ~~20~~ 30 years old.

- b. Documents of a routine, administrative, or non-policy nature and all files not covered by "a" above.

Disposition:

Transfer to the local Federal records center three years after termination of the project. Destroy when seven years old.

13. Mailing Lists.

Lists of individuals and organizations that are to receive copies of agency issuances. (GRS 13, Item 5)

Disposition:

Destroy when obsolete, superseded, or on termination.



Subschedule B - Executive Offices

Subschedule B covers records of the Office of the Comptroller; the Office of the Senior Advisor to the Comptroller; the Offices of the Special Assistants to the Comptroller; the Offices of the Senior Deputy Comptrollers for Bank Supervision , National Operations, and Policy and Planning; the Office of Chief Counsel; all Deputy Comptrollers; the Chief National Bank Examiner; the Deputy Chief Counsel; Division Heads; and all District Administrators, Counsels, and Directors.

1. Official Correspondence File of the Comptroller of the Currency and the Policy Group.

Official record copies of correspondence and associated background materials (copies of incoming memorandums, comments, drafts, and similar documents) of the Comptroller and members of the Policy Group. Included are documents submitted for review and/or approval with notes to the file made by the Comptroller and the Policy Group.

Disposition: \*

- a. Documents which: (1) issue policy, prescribe procedures, or affect organizational structures; (2) provide executive direction or document major functions; (3) pertain to relations with the White House, Executive Office of the President, Congress, or the public; (4) prescribe budgetary policy (5) pertain to litigation and formal legal opinions; and (6) relate to major agency programs and plans.

PERMANENT. Transfer to Washington National Records Center (WNRC) three years after annual cut off. Offer to NARS when ~~20~~<sup>30</sup> years old.

- b. Documents of a routine, administrative, or non-policy nature and all files not covered by "a" above.

Transfer to WNRC three years after annual cut off. Destroy when seven years old.

2. Official Correspondence Files of OCC Components.

Official correspondence, reports, forms, and other records pertaining to the administration and operation of the OCC organizational components subordinate to the Comptroller and the Policy Group. Included are all Deputy Comptrollers, the Chief National Bank Examiner, the Deputy Chief Counsel, Division Heads, and all District Administrators, Counsels and Directors.

- a. Program Correspondence Files relate directly to the primary mission of the OCC component office and document the policies, programs, and organizational structure established to fulfill the primary mission.

Disposition:

PERMANENT. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when ~~20~~ 30 years old.

- b. Administrative Correspondence Files relate to administrative support activities, internal management functions, and other subjects for which the primary program responsibility is elsewhere.

Disposition:

Cut off at close of the CY. Hold three years or until volume warrants and transfer to WNRC. Destroy when seven years old.

- c. District Correspondence Files relate to the administration and operation of OCC activities on the district level.

Disposition:

1. Official record copies of program and administrative correspondence. Forward to Washington Office.
2. Extra or duplicate copies of program and administrative correspondence. Cut off at the close of the CY. Destroy when three years old.

NOTE: The official record copies of correspondence should be centralized at the division level or above for Washington offices.

3. Office Working Files.

Non-essential working papers retained by staff members for reference purposes. Included are extra copies of official correspondence, supporting or background material used in developing official files, but not needed as part of the official file, studies or other material not acted on, papers used as internal administrative aids, and any documents which do not serve as the basis for official action. These records are generally maintained below the division level or by individual staff members.

Disposition:

See Subschedule A, Item 1.

4. Conflict of Interest Case Files.

Statements of employment and financial interests and related records.

Disposition:

Destroy two years after separation of employee or two years after employee leaves the position for which the statement is required.

### Subschedule C - Bank Administration

This subschedule covers records relating to the legal authority of the Comptroller of the Currency to execute all laws of the United States relating to the organization, operation, regulation and supervision of the national banking system.

#### 1. Corporate (Licensing) Files.

Records relating to the organization and structure of a national bank, interim national bank or a national bank limited to trust powers. Included are files pertaining to the establishment of a Federal branch and a Federal agency of a foreign bank, conversions, fiduciary powers, establishment of domestic branches and seasonal agencies, establishment of customer-bank communication terminal (CBCT) branches, mergers, consolidations, purchase and assumption information, establishment of domestic operating subsidiaries, changes in location, changes in corporate title, changes in capital structure, voluntary liquidation, receivership and conservatorship, changes in bank control, employee stock option and stock purchase plans and all other corporate activities described at 12 C.F.R. 5.

##### Disposition:

- a. Washington. Record copy. PERMANENT. Retain in central records repository until bank becomes inactive. Retire to WNRC when inactive. Offer to NARS 30 years after retirement to WNRC.
- b. District offices. Forward record copy to Washington. Destroy when no longer needed for reference.
- c. Rejected or abandoned applications for corporate activities.
  - (1) Washington. Record copy. Retain in central records repository. Transfer to WNRC one year after date of rejection/abandonment. Destroy five years after date of rejection/abandonment.
  - (2) District offices. Forward record copy to Washington. Destroy when no longer needed for reference.

#### 2. Administrative Staff Manuals and Instructions.

Handbooks containing selected statutes, regulations, rulings and procedures frequently referred to by examiner staff as a reference tool. Examples include, but are not limited to the Comptroller's Manual for National Banks and the Comptroller's Handbook for National Trust Examiners.

##### Disposition:

- a. Office of origin. Record set. PERMANENT. Transfer sections/handbooks to WNRC when superseded. Offer to NARS when 30 years old.

- b. All other copies. Destroy sections/handbooks when superseded, obsolete or no longer needed for administrative purposes.

3. Reports of Examination.

Reports of examinations conducted by the Comptroller of the Currency in evaluating the soundness of national banks, the quality of their management, and the identification of those areas where corrective action is required to improve performance and to ensure compliance with applicable laws, rulings and regulations. Included are all general and complementary specialized examinations (e.g. Annual Review and Visitation, Special Supervisory, and Community Bank Examination) and related visitation memoranda, pertaining to all phases of banking activity within a particular bank ( e.g. Commercial department, Trust department, Electronic Data Processing (EDP) department, International operations, Consumer affairs and EDP Servicers). The components of the report of examination include, but are not necessarily limited to: the District Deputy Comptroller's (Regional Administrator's) Letter, Statistical Data Sheet, Cover Page, Index, Letter to the Board of Directors, Comment Section, Appendix, and the Confidential Section.

Disposition:

- a. Reports of examination dated prior to and including the year 1939.  
  
PERMANENT. Offer to NARS when 30 years old.
- b. Reports of examination dated on or after January 1, 1940.
  - 1. Washington. Record copy. Maintain in central records repository. Transfer to WNRC when three years old. Destroy when 30 years old.
  - 2. District offices. Forward one record copy to Washington. Maintain one copy of last full and/or comprehensive specialized examination in active file. Destroy when no longer needed for reference, or when three years old, whichever is earlier.
  - 3. All other copies. Destroy when no longer needed for reference.

4. Combined Reports of Examination.

Records relating to reports of examination identified in Item 3 above, in which the Trust, EDP, International and Consumer examinations are conducted concurrently with the Commercial examination.

Disposition:

Apply the provisions of Item 3 above.

5. Working Papers.

Documentation of the procedures followed and the conclusions reached during the examination of a national bank. These papers include, but are not necessarily limited to, the examination and program memoranda, schedules, questionnaires, checklists, abstracts of bank documents and analyses prepared or obtained by examiners to support information and conclusions contained in the related report of examination.

Disposition:

Destroy when superseded, obsolete or no longer needed for administrative purposes.

Note: Refer to PPM-5000-5 for the policy relating to retention of working papers.

6. Supplemental Examination Files.

Included are Transmittal letter to Board of Directors (not page from ROE), Examiners Board Memo, and Board Minutes.

Disposition:

Apply the provisions of Item 3 above.

7. Official Correspondence File.

Official record copies of correspondence relating to the administration of the national banking system.

- a. Correspondence that documents OCC policies, procedures, and objectives.

Disposition:

PERMANENT. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to local records center. Offer to NARS when 30 years old.

- b. Correspondence of a routine, administrative, or non-policy nature.

Disposition:

Hold three years and transfer to local records center. Destroy when seven years old.

8. Interagency Correspondence.

Files which document liaison between the OCC and other Federal agencies, including the FFIEC, concerning the national banking system.

Disposition:

Apply provisions of Item 7 above.

9. State Banking Authorities Correspondence.

Files which document liaison between the OCC and state banking authorities concerning the national banking system.

Disposition:

Apply provisions of Item 7 above.

10. Bank Accounting Files.

OCC records pertaining to bank accounting practices and reporting requirements. Included are accounting opinions, memoranda and related correspondence.

- a. Files which issue policy, prescribe procedures, or document bank accounting practices.

Disposition:

- (1) Washington. Office of origin. PERMANENT. Transfer to WNRC when five years old. Offer to NARS when 30 years old.
- (2) All other copies. Destroy when no longer needed for reference.

- b. Documents of a routine, administrative, or non-policy nature and all files not covered by "a" above.

Disposition:

- (1) Washington. Office of origin. Record copy. Transfer to WNRC when three years old. Destroy when seven years old.
- (2) All other copies. Destroy when three years old or when no longer needed for reference, whichever is earlier.

11. Investment Securities Files.

Records relating to the purchase, sale, dealing in, underwriting and holding of investment securities by national banks pursuant to 12 CFR 1, and ; municipal securities dealers (Forms MSD-4, -5) pursuant to 12 CFR 10; and related correspondence.

Disposition:

- (1) Washington. Record copy. PERMANENT. Transfer to WNRC when inactive or no longer needed for reference, whichever is earlier. Offer to NARS when 30 years old.
- (2) District offices. Forward record copy to Washington. Destroy when inactive or no longer needed for reference.
- (3) Rejected or abandoned applications for investment securities activities.
  - (a) Washington. Record copy. Transfer to WNRC one year after date of rejection or abandonment. Destroy five years after date of rejection or abandonment.
  - (b) District offices. Forward record copy to Washington. Destroy when no longer needed for reference.

NOTE: All securities-related records created by another agency and not requiring substantive input by the OCC are nonrecord material and may be destroyed at the user's discretion.

12. Trust Department Analysis Files.

Forms, correspondence and memoranda comprising summarized case histories of national banks with trust powers which duplicates the information content of records included in Items 3, 4, 6, 7 and 13 of this subschedule. This file is a policy and precedent file maintained for convenience of reference.

Disposition:

Apply provisions of Subschedule A, Item 7.



13. Trust Division Policy and Interpretation Files.

Precedent letters, correspondence and memoranda documenting OCC regulations, rulings and opinions affecting the trust departments of national banks.

Disposition:

- (1) Office of origin. Record copy. PERMANENT. Transfer to WNRC when superseded, obsolete or no longer needed for reference. Offer to NARS when 30 years old.
- (2) All other copies. Destroy when superseded, obsolete or no longer needed for reference, whichever is earlier.

14. Collective Investment Fund File.

Records pertaining to the collective investment and reinvestment of funds held by the bank as fiduciary. Included are Collective Investment Fund Plans, letters of approval, changes in plans and related correspondence. Excludes records described elsewhere in this subschedule.

Disposition:

- a. Washington. Record copy. PERMANENT. Retain in central records repository until bank becomes inactive. Transfer to WNRC when bank becomes inactive. Offer to NARS ten years after transfer.
- b. District offices. Forward record copy to Washington. Destroy when no longer needed for reference.

15. Trust Examinations Card Files.

Ready reference index card files listing all national banks with trust powers; approved common trust funds held by State or National banks; and national banks with trust powers which have merged, consolidated or liquidated.

Disposition:

Destroy when obsolete or no longer needed for reference.

16. National Bank Surveillance Files.

Records pertaining to the computerized screening of national banks to detect trends and changes in the banking system which warrant supervisory attention. Included are uniform Bank Performance Reports (BPR); Bank Holding Company (BHC) Performance Reports; Action Control Files; and Anomaly Severity Ranking System Production Runs.

Disposition:

(1) Washington.

- a. NBSVDS Record copy. PERMANENT. Transfer to WNRC when superseded, obsolete or no longer needed for reference. Offer to NARS when 30 years old.
- b. All other copies. Destroy when superseded or no longer needed for reference.

(2) District offices. Destroy when superseded or no longer needed for reference.

NOTE: FDIC News Release PR-29-79 (3-26-79), states that the Federal Deposit Insurance Corporation will assume responsibility for receiving, editing and processing Call Report data. All Call Reports issued after this date, including Reports of Income, Reports of Condition, Trust Asset Survey Records, and related supervisory documents, are nonrecord OCC material and may be destroyed at the user's discretion. No formal approval to destroy is required. The disposition of all Call Reports dated prior to March 26, 1979 should be referred to the OCC Records Officer.

17. Special Projects Case Files.

Case files developed in executing formal and informal statutory enforcement actions against national banks pursuant to the Financial Institutions Supervisory Act of 1966 and the Financial Institutions Regulatory and Interest Rate Control Act of 1978 (12 U.S.C. 1818). Included are correspondence, Progress Reports, Special Projects Memoranda (Forms CC-9060-04, 05, and 06), History (Top) Sheets, briefs, depositions, examination reports, and other relevant documents.

- a. Files pertaining to formal administrative actions including Agreements, Cease and Desist Orders, Civil Money Penalty Orders, Deposit Insurance Terminations, Suspension Orders, and Removal Orders involving significant legal or policy issues resolved by litigated enforcement proceedings.

Disposition:

- (1) Washington. Record copy. PERMANENT. Transfer to WNRC four years after termination of action or when volume warrants. Offer to NARS when 30 years old.
- (2) District offices. Forward record copy to Washington. Destroy two years after termination of action.
- (3) All other copies. Destroy one year after termination of action, or when no longer needed for reference, whichever is earlier.

- b. Files pertaining to informal remedial actions through use of Memoranda of Understanding and related documentation.

Disposition:

- (1) Washington. Record copy. PERMANENT. Transfer to WNRC two years after termination of action or when volume warrants. Offer to NARS when 30 years old.
- (2) District offices. Forward record copy to Washington. Destroy two years after termination of action.
- (3) All other copies. Destroy one year after termination of action.

- c. Files pertaining to special supervision of banks where formal or informal administrative action has been waived.

Disposition:

- (1) Washington. Record copy. PERMANENT. Transfer to WNRC two years after termination of action or when volume warrants. Offer to NARS when 30 years old.
- (2) District offices. Forward record copy to Washington. Destroy two years after termination of action.
- (3) All other copies. Destroy one year after removal from Special Projects.

18. Criminal Reports.

Records maintained pursuant to the authority conferred upon the Comptroller of the Currency by Section 3 of the Bank Protection Act of 1968 (82 stat. 295) and the regulations contained in 12 CFR 21.

- a. Compliance reports filed by banks.

Disposition:

District offices. Record copy. Destroy when two years old.

- b. Internal and external crime reports.

Disposition:

District offices. Record copy. Transfer to local records center when two years old. Destroy when five years old.

19. Special Projects Banks Ratings Files.

Weekly, monthly and quarterly listings of national banks entering and leaving the special projects program classified according to asset size, geographical location and composite uniform interagency rating system rating.

Disposition:

- a. Washington. Record copy. Cut off at the end of CY. Transfer to WNRC when three years old. Destroy when ten years old.
- b. District offices. Destroy when no longer needed for reference.

20. Covered Banks (Critical File).

Weekly narrative reports submitted to senior management relating to the condition of all "5" rated and critical "4" rated banks.

Disposition:

- a. Washington. Record Copy. PERMANENT. Cut off at the end of CY. Transfer to WNRC when two years old or when volume warrants. Offer to NARS when 30 years old.
- b. District offices. Destroy when no longer needed for reference.

21. Country Exposure Reports.

Quarterly report submitted by all banks to foreign branches, EDGE Corps or IBPS and exposure of \$100MM, which detail transfer risk by country.

Disposition:

Destroy when one year old.

22. Overseas Investment Files.

Files containing Regulation K applications.

Disposition:

PERMANENT. Cut off at the end of CY. Transfer to WNRC four months after investment has been divested. Offer to NARS when 30 years old.

23. Performance Analysis Report (PAR) Data Base.

Quarterly financial data compiled from SEC 10-K; 10-Q and annual reports.

Disposition:

Destroy when one year old.

24. Data Base for MBD Financial Models.

SEC 10-K, 10-Q and annual report data spread to produce PAR data base.

Disposition:.

PERMANENT. Apply provisions of Subschedule C, Item 16.

25. Multinational Bank Analysis Files.

Visitations, financial analysis, analytical reports and related information maintained on all multinational banks.

Disposition:

PERMANENT. Transfer to WNRC when two years old or when volume warrants. Offer to NARS when 30 years old.

Subschedule D - Chief Counsel

This subschedule covers records relating to legal matters arising in the administration of laws, rulings and regulations governing national banks.

1. Legal Opinion Precedent File.

Precedential legal opinions issued by the Office of Chief Counsel for application to programs throughout OCC. Included are legal opinions, directly related memorandums, copies of laws, and related documents.

Disposition:

- a. Record copy. PERMANENT. Cut off at the close of the CY. Transfer to WNRC when 30 years old. Offer to NARS when 30 years old.
- b. All other copies. Destroy when no longer needed for reference.

2. Litigation Case Files.

Files consist of court pleadings, correspondence, memorandums, studies, appraisals, court decisions, and similar documents.

Disposition:

- a. Washington. (1) Cases which are determined to have precedential value for other litigation cases. Transfer to WNRC two years after termination of case or when volume warrants. Destroy 25 years after termination. (2) All other cases after litigation is terminated, retain case file as long as administratively useful or for two years, whichever is earlier. Transfer to WNRC. Destroy five years after termination.
- b. District offices. Forward record copy of litigation case file material to Washington. Destroy extra or duplicate copies two years after termination of the case.

3. Administrative Hearing Files.

Case files accumulated in documenting OCC administrative hearings not covered by Subschedule C, Item 17. These files include, but are not limited to hearing transcripts, legal briefs, and affidavits.

Disposition:

Apply provisions of Subschedule C, Item 17.

4. OCC Draft Legislation Files.

Case files on the development of OCC legislation presented or intended for presentation to Congress. Included are internal memoranda, documentation on the complete legislative history, OCC positions, enrolled bill reports, and related correspondence.

Disposition:

Transfer to WNRC two years after end of Congressional session.  
Destroy 10 years after close of file.

5. Non-OCC Draft Legislation Files.

Case files of bills on which OCC comment is requested. These files include draft bills from other Federal agencies and bills drafted in OCC for individual members of Congress as technical assistance.

Disposition:

Apply provisions of Item 4 above.

6. Numbered Bill Files.

Consists of correspondence, reports to Congress, and other documentation on the legislative history of bills introduced in Congress, but not enacted.

Disposition:

Apply provisions of Item 4 above.

7. Public Law Files.

Consists of correspondence, copies of the enacted bills, reports, and documentation on the legislative history of bills that are enacted into law.

Disposition:

Apply provisions of Item 4 above.

8. Testimonies and Statements.

Testimonies and statements of OCC officials before Congressional committees. In many cases, the testimonies are published in Congressional reports. Files may relate to "oversight hearings" in which no specific bill is involved or to hearings on specific bills.

Disposition:

- a. If filed as a separate series. Destroy two years after the end of the Congressional session, or when no longer needed for administrative purposes, whichever is later.

- b. If filed in a correspondence or case file. Destroy in accordance with the disposition instructions of that file.
- c. Reference copies maintained for public affairs purposes. Destroy when no longer needed for administrative purposes.

9. FEDERAL REGISTER Regulations Files.

Copies of OCC regulations and supporting background materials pertaining to regulations that are published in the Federal Register. The Communications Division is the office of primary responsibility.

Disposition:

- (1) Office of primary responsibility. Destroy 15 years after the publication of the regulation, or when no longer needed for administrative purposes, whichever is earlier.
- (2) Other offices. Destroy when no longer needed for reference.

10. Securities Disclosure Files.

Records pertaining to the registration of securities by national banks pursuant to the Securities Exchange Act of 1934 (15 U.S.C. 78). Included are Forms F-1 through F-13 and Form, F-20.

Disposition:

- (1) Washington. Record copy. PERMANENT. Transfer to WNRC when bank becomes inactive. Offer to NARS ten years after transfer.
- (2) District offices. Information copies received from Washington. Destroy when no longer needed for reference.

11. Official Reports (Public File).

Records made available to the public for inspection and copying. Included are final orders made in the adjudication of cases, final opinions, statements of general policy, administrative staff manuals and instructions, annual reports to stockholders, proxy solicitation materials, Forms F-1 through F-13 and F-20, ownership reports and records pursuant to the SEC Act of 1934, and related materials pursuant to 12 CFR 4.14-4.16.

Disposition:

Destroy when superseded or no longer needed for reference, whichever is earlier.



### Subschedule E: Administrative Management

The records described in this section relate generally to management, budget, personnel, organization and planning and administrative services. In some cases these records do not exist as separate series since they are filed in the office correspondence file. If volume warrants and if information retrieval purposes are better satisfied, the records should be filed separately according to the series identified below.

#### 1. Directives Record Set.

Official file copies of OCC policy and procedural issuances (PPM), banking bulletins, banking circulars and related types of records. (GRS 16, Item 1)

##### Disposition:

- a. Washington. Record copy. PERMANENT. Place in an inactive file when the directive is rescinded, superseded, or obsolete. Cut off inactive file at the close of the CY. Hold three years or until volume warrants and retire to WNRC. Offer to NARS when 20 years old *in 5 year blocks.*
- b. All other copies. Destroy three years after supersession.

#### 2. Directive Case History Files.

Documents relating to the preparation, review, clearance, publication, and distribution of OCC issuances. Includes materials on the clearance and concurrence of draft issuances and other coordinated actions, revisions, and cancellations, and a copy of the final issuance. (GRS 16, Item 1)

##### Disposition:

- a. Washington. Record set. Place in an inactive file when the directive is rescinded, superseded, or obsolete. Cut off inactive file at the close of the CY. Hold three years or until volume warrants and retire to WNRC. Destroy when 20 years old.
- b. All other copies. Destroy three years after supersession.
- c. Working papers and background material. Records that do not document important aspects of the development of the issuance. Destroy one year after issuance of directive or when no longer needed for reference, whichever is earlier.

3. Publication Master Files.

Official file copies of each publication, special or periodic report for which the OOC has primary responsibility. Excludes publications described elsewhere in this schedule. (GRS 16, Item 2)

Disposition:

- a. Publications of a program or informational nature. PERMANENT. Place in an inactive file when publication is issued. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when 20 years old.
- b. Publications of a short-term administrative nature. Cut off at the close of the CY in which issued. Destroy five years after issuance, or when no longer needed for administrative purposes, whichever is earlier.
- c. District offices. Destroy when superseded or obsolete.
- d. Background materials for publications documenting important aspects of the development of the publication. Hold three years or until volume warrants and retire to WNRC. Destroy when 20 years old.
- e. Background materials for publications which do not document important aspects of the development of the issuance. Destroy one year after issuance or when no longer needed for reference, whichever is earlier.

4. Delegation of Authority File.

Program and administrative delegations of authority (continuing) and revocations of those authorities.

Disposition:

- a. Washington. Record copy. Place in an inactive file upon revocation or supersession. Cut off inactive file after five years and transfer to WNRC. Destroy when 20 years old.
- b. Other offices. Destroy when superseded, obsolete or no longer needed for reference purposes.

5. Organization Analysis Files.

Records which effect substantive changes in the organization, functions, or relationships of OCC components. Included are approved/disapproved organizational and staffing plans and charts, reorganization plans, functional mission statements, and directly related papers.

Disposition:

- a. Office with Bureau-wide organization planning responsibility. Place in an inactive file when superseded. Cut off inactive file when five years old and transfer to WNRC. Destroy when 20 years old.
- b. Other offices. Destroy when no longer needed for reference.

6. Management Objectives File.

Documents created and maintained in developing management objectives for the OCC. Included are documents reflecting the establishment of schedules to achieve objectives, the formulation of new concepts and requirements for planning purposes, and the evaluation of accomplishments in meeting the objectives established in the plan.

Disposition:

- a. Washington office responsible for preparation of the plan. Cut off at the close of the CY in which plan is superseded. Hold three years or until volume warrants and retire to WNRC. Destroy 10 years after cut off.
- b. Contributing, commenting, or coordinating offices. Cut off at close of CY in which plan is superseded. Destroy two years after cut off or when no longer needed for reference.

7. Management Study Case files.

Documentation on the inception, scope, findings, and accomplishments of management study, appraisal or survey projects. In general, projects relate to the review and evaluation of organizational structures, operating procedures, and management practices. Included are records reflecting the request and authorization to undertake the project, project plans, the final project report, follow up reports, and related materials.

Disposition:

- a. Offices responsible for the project. Destroy five years after completion of the final report.
- b. Other offices. Destroy two years after completion of the final report, or when no longer needed for reference, whichever is earlier.

8. Management Study Working Files.

Working papers accumulated in the preparation, clearance, and issuance of final project records. Included are notes, drafts, feeder reports, statistical listings, clearance comments, and similar files.

Disposition:

Destroy five years after completion of the final report.

9. Project Control Files.

Memoranda, reports and other records documenting assignments, progress or completion of projects. (GRS 16, Item 7)

Disposition:

Destroy one year after the year in which the project is closed.

10. Reports Control Files.

Case files maintained for each OCC report created, cancelled or superseded. (GRS 16, Item 8)

Disposition:

Destroy two years after the report is discontinued.

11. Conference Planning Files.

Files accumulated in planning for interagency, advisory, international, national and regional conferences for which OCC has primary responsibility. Included in these files are documents relating to establishment, organization, membership and procedures.

Disposition:

- a. Office of primary responsibility. Destroy five years after the close of the CY in which conference is held.
- b. Other offices. Destroy when two years old.

12. Conference Records.

Records documenting the actual workings of specific OCC conferences. Included are agenda, minutes, and reports highlighting the significant conclusions, recommendations, opinions, and action items which result from the conferences.

Disposition:

- a. Records of conferences which have significant implications for OCC or departmental policies, programs, or functions. PERMANENT. Place in an inactive file at the close of the CY in which conference is held. Cut off inactive file after three years and transfer to WNRC. Offer to NARS when <sup>25</sup>~~30~~ years old.
- b. Other conference records. Transfer to WNRC three years after conference. Destroy when seven years old.

13. Records Management Files.

Reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the OCC records management program. Includes the management of files, forms, correspondence, mail, reports, microfilm, vital records and related materials not covered elsewhere in this schedule. Office of Record is the Division of Administrative Services. (GRS 16, Item 11)

Disposition:

- a. Record copy of files. Destroy when six years old.
- b. Other copies. Destroy when no longer needed for reference or administrative purposes.

14. OCC Forms File.

Case files containing copies of each OCC form, requests for approval and justification, copies of prescribing issuance, clearance authorization, and related correspondence. ~~Office of Record for Item 14a below is the Division of Administrative Services.~~ (GRS 16, Item 4)

Disposition:

Destroy five years after form is discontinued, superseded, or cancelled.

15. Form Registers.

A register or card system used to record and control the assignment of OOC form numbers. Office of Record is the Division of Administrative Services.

Disposition:

Destroy particular register sheets when all entries are cancelled, superseded, or transferred to a new sheet or when no longer needed, whichever is earlier.

16. Records Disposition Files.

Descriptive inventories, disposal authorizations, schedules and reports for OOC records. Office of Record is the Division of Administrative Services. (GRS 16, Item 3)

- a. Basic documentation of records description and disposition programs. Examples include Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Records Transmittal and Receipt and related documentation.

Disposition:

Forward record copy to Washington. Destroy when related records are destroyed, or when no longer needed for reference.

- b. Extra copies and routine correspondence and memoranda.

Disposition:

Destroy when no longer needed for reference.

- c. Working papers and background material.

Disposition:

Destroy six months after final action on project report or three years after completion of report if no final action is taken.

17. Records Holdings File.

Statistical reports of agency records holdings required by the General Services Administration (GSA), including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer. Office of Record is the Division of Administrative Services. (GRS 16, Item 6)

Disposition:

- a. Record copy. Destroy when three years old.
- b. Other copies. Destroy when one year old.

18. Mail and Messenger Service Files.

OCC Mail and Messenger Service daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules and related records. Office of Record is the Division of Administrative Services. (GRS 12, Item 1)

Disposition:

Destroy when two months old.

19. Postal Records.

U.S. Postal Service (U.S.P.S) forms and supporting papers. Included are records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts. Also included are applications for postal registration and certificates of declared value of matter subject to postal surcharge, and; reports of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter. Office of Record is the Division of Administrative Services. (GRS 12, Item 5)

Disposition:

Destroy when one year old.

20. Mail and Delivery Service Control Files.

- Documents used to monitor agency mail delivery service. Office of Record is the Division of Administrative Services. (GRS 12, Item 6)

- a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, Federal Express and the Washington office commercial courier.

Disposition:

Destroy when one year old.

- b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (e.g. special delivery, foreign, registered, certified, and parcel post or packages over four pounds).

Disposition:

Destroy when six months old.

- c. Statistical reports and data relating to handling of mail and volume of work performed.

Disposition:

Destroy when one year old.

- d. Records relating to checks, cash, stamps, money orders or any other valuables remitted to the agency by mail.

Disposition:

Destroy when one year old.

- e. Records of and receipts for mail and packages received through the USPS Official Mail and Messenger Service.

Disposition:

Destroy when six months old.

- f. General files including correspondence, memoranda, directives, and guides relating to the administration of OCC mail room operations.

Disposition:

Destroy when one year old or when superseded or obsolete, whichever is applicable.

- g. Locator cards, directories, indexes, and other records relating to mail delivery to agency employees.

Disposition:

Destroy five months after separation or transfer of individual or when obsolete, whichever is applicable.

21. Penalty Mail Report Files.

Official penalty mail reports and all related papers. Office of Record is the Division of Administrative Services. (GRS 12, Item 7)

Disposition:

Destroy when six years old.

22. Postal Irregularities File.

Memoranda, correspondence, reports and other records relating to irregularities in the handling of OCC mail, such as loss or shortage of checks, cash, stamps, money orders, etc., or loss or destruction of mail. Office of Record is the Division of Administrative Services. (GRS 12, Item 8)

Disposition:

Destroy three years after completion of investigation.



23. OCC Energy Audit Reports.

Quarterly reports outlining OCC energy use and conservation measures submitted to the Department of the Treasury. Office of Record is the Division of Administrative Services.

Disposition:

Destroy five years after submission.

24. Procurement Policy Case Files.

Files documenting OCC policies on contracts and general procurement activities. Office of Record is the Division of Administrative Services.

Disposition:

- a. Office of primary responsibility. Transfer to WNRC when obsolete or superseded. Destroy 15 years after supersession or obsolescence.
- b. Other offices. Destroy five years after supersession or obsolescence, or when no longer needed for administrative purposes, whichever is earlier.

25. Routine Procurement Files.

Contract, requisition, purchase order, and equipment lease records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. Office of Record is the Division of Administrative Services. (GRS 3, Item 4)

Disposition:

- a. Procurement copy and related papers.

- (1) Transactions of more than \$10,000 and all construction contracts exceeding \$2,000.

Disposition:

Place in inactive file on final payment. Transfer to Federal Records Center after two years. Destroy six years and three months after final payment.

- (2) Transactions of \$10,000 or less and construction contracts under \$2,000.

Disposition:

Close file at the end of the calendar year (files on which actions are pending shall be brought forward to the next calendar year's files for destruction therewith). Destroy three years after final payment.

- b. Obligation copy.

Disposition:

Destroy when funds are obligated.

- c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Disposition:

Destroy upon termination or completion.

26. Unique Procurement Files.

Procurement files (as in Item 25, above) documenting the initiation and development of transactions that deviate from established precedents with respect to general OCC procurement policy and procedures. Office of Record is the Division of Administrative Services. (GRS 3, Item 1)

Disposition:

Apply the provisions of Item 25 above.

27. Procurement General Correspondence Files.

Correspondence files of operating procurement and contracting unit concerning internal operation and routine administrative matters. Office of Record is the Division of Administrative Services. (GRS 3, Item 3)

Disposition:

Destroy when two years old.

28. Bid Files.

Files documenting invitations for bids to procure OCC supplies, equipment and services. Office of Record is the Division of Administrative Services. (GRS 3, Item 6)

- a. Successful bids and proposals.

Disposition:

Destroy with related contract case files. See Item 25 above.

- b. Solicited and unsolicited unsuccessful bids and proposals.

(1) When filed separately from contract case files.

Disposition:

Destroy when related contract is completed.

- (2) When filed with contract case files.

Disposition:

Destroy with related contract case files (See Item 25 above).

c. Cancelled solicitation files.

- (1) Formal solicitations of offers to provide products or services (e.g. Invitations for Bids, Requests for Proposals) which were cancelled prior to award of a contract. Includes all presolicitation documentation on the requirement offers which were opened prior to cancellation, documentation on action up to the time of cancellation, and evidence of cancellation.

Disposition:

Destroy five years after date of cancellation.

- (2) Unopened Bids.

Disposition:

Return to bidder.

d. Lists or Card Files of Acceptable Bidders.

Disposition:

Destroy when superseded or obsolete.

29. Supply Management Files.

Memorandums, correspondence, project reports and other records relating to routine internal OCC supply management operations. Office of Record is the Division of Administrative Services. (GRS 3, Item 5)

Disposition:

- a. Record copy. Destroy when two years old.
- b. Other copies. Destroy when one year old.

30. Inventory Requisition File.

Copies of Requisition for Office Supplies Form, (Form CC-6053-06). Office of Record is the Division of Administrative Services. (GRS 3, Item 9)

Disposition:

- a. Stockroom copy. Destroy two years after completion or cancellation of requisition.
- b. All other copies. Destroy when six months old.

31. Supply Inventory Files.

Inventory lists, cards, survey reports and other documents related to controlling the level of expendable supply items. Office of Record is the Division of Administrative Services. (GRS 3, Item 10)

Disposition:

- a. Inventory lists and cards. Destroy two years after discontinuance of item; or stock balance is transferred to new list, card, or classification; or equipment is removed from agency control.
- b. Survey reports and other papers used for adjustment of inventory records. Destroy two years after date of survey action or implementation of new inventory control medium.

32. Supply Requisition Authorization Card File.

Copies of the Supply Requisition Authorization Card (Form CC-6053-29) used by unit heads as the official means of authorizing personnel to order supplies. Office of Record is the Division of Administrative Services.

Disposition:

Destroy all authorization cards when superseded or obsolete.

33. Printing and Reproduction Correspondence Files.

Correspondence files pertaining to the administration and operation of the OCC unit responsible for printing, binding, duplication, and distribution matters and related papers. Office of Record is the Division of Administrative Services. (GRS 13, Item 2)

Disposition:

Destroy when two years old.

34. Printing and Reproduction Project Files.

Job or project records containing all papers and data pertaining to the planning and execution of OCC printing, binding, duplication, and distribution jobs. Office of Record is the Division of Administrative Services. (GRS 13, Item 3)

Disposition:

- a. Files pertaining to the accomplishment of the job. Included are requisitions, bills, samples, manuscript clearances, and related papers excluding (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency. Destroy one year after completion of the job.
- b. Files pertaining to planning and other technical matters. Destroy when three years old.

35. Printing and Reproduction Control Files.

Control registers pertaining to requisitions and work orders. Office of Record is the Division of Administrative Services. (GRS 13, Item 4)

Disposition:

Destroy one year after close of CY in which compiled or one year after filling of register, whichever is applicable.

36. Printing and Reproduction Mailing Lists.

Correspondence, request forms and other records relating to changes in printing and reproduction mailing lists. Also included are card, plate or stencil mailing lists. Office of Record is the Division of Administrative Services. (GRS 13, Item 5)

Disposition:

Destroy after appropriate revision of mailing list or after three months, whichever is earlier. Destroy individual cards, plates or stencils when cancelled or revised.

37. JCP Reports Files.

OCC reports to the Joint Committee on Printing (JCP) regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage, and related work papers. Office of Record is the Division of Administrative Services. (GRS 13, Item 6)

Disposition:

- a. Record copy. Destroy when three years old.
- b. Other copies and related work papers. Destroy one year after date of report.

38. Printing and Reproduction Internal Management files.

Records relating to internal management and operation of the OCC printing and reproduction unit. Office of Record is the Division of Administrative Services. (GRS 13, Item 7)

Disposition:

Destroy when two years old.

39. Printing and Reproduction Contractor Files.

Job or project records containing all papers and data pertaining to the planning and execution of OCC printing, binding, and duplication jobs obtained outside the agency. Office of Record is the Division of Administrative Services. (GRS 3, Item 7)

Disposition:

- a. Printing and procurement units' copies of requisitions, invoices, specifications, and related papers. Destroy three years after completion or cancellation of requisition.
- b. Accounting office copy of requisition. Destroy three years after period covered by related account.

40. Motor Vehicle Correspondence Files.

Correspondence in the operating unit responsible for maintenance and operation of agency-owned motor vehicles. Office of Record is the Division of Administrative Services. (GRS 10, Item 1)

Disposition:

Destroy when two years old.

41. Motor Vehicle Operation and Maintenance

Motor vehicle operation and maintenance records. Office of Record is the Division of Administrative Services. (GRS 10, Item 2)

- a. Operating records including those relating to gas and oil consumption, dispatching and scheduling.

Disposition:

Destroy when three months old.

- b. Maintenance records, including those relating to service and repair.

Disposition:

Destroy when one year old.

42. Motor Vehicle Cost Files.

Motor vehicle ledger and work sheets providing cost and expense data. (GRS 10, Item 3)

Disposition:

Destroy three years after discontinuance of ledger or date of work sheet.

43. Motor Vehicle Report Files.

Reports on motor vehicles (other than accident, operating and maintenance reports). Office of Record is the Division of Administrative Services. (GRS 10 Item 4)

Disposition:

Destroy three years after date of report.

44. Motor Vehicle Accidents Files.

Records relating to agency motor vehicle accidents. Office of Record is the Division of Administrative Services. (GRS 10, Item 5)

Disposition:

Destroy six years after case is closed.

45. Motor Vehicle Release Files.

Records relating to transfer, sale, donation or exchange of agency vehicles. Office of Record is the Division of Administrative Services. (GRS 10, Item 6)

Disposition:

Destroy four years after vehicle leaves agency custody.

46. Individual Motor Vehicle Operator Files.

Records relating to individual OCC employee operation of Government-owned vehicles. Included are driver tests, authorization to use, safe driving awards, and related correspondence (GRS 10, Item 7).

Disposition:

Destroy three years after separation of employee or three years after revocation of permit to operate Government-owned vehicle, whichever is sooner.

47. Design and Construction Drawings and Related Records.

Preliminary drawings, presentation drawings and models pertaining to the design process, and; intermediate, prefinal, final, "as built", shop, repair and alteration, contract, and standard drawings; project specification and; space assignment plans relating to the construction process.

Disposition:

See Subschedule O.

48. OCC Lease Files.

Files documenting the lease of OCC office space. Office of Record is the Division of Administrative Services.

Disposition:

- a. Office of primary responsibility. Transfer to WNRC when obsolete or superseded. Destroy 15 years after supersession or obsolescence.
- b. Other offices. Destroy five years after supersession or obsolescence, or when no longer needed for administrative purposes, whichever is earlier.

49. Space and Maintenance General Correspondence Files.

Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. Office of Record is the Division of Administrative Services. (GRS 11, Item 1)

Disposition:

Destroy when two years old.

50. OCC Space Files.

Records relating to the allocation and use of space under agency control. Office of Record is the Division of Administrative Services. (GRS 11, Item 2)

- a. Building plan files and related agency records utilized in space planning, assignment, and adjustment.

Disposition:

Destroy two years after termination of assignment or when lease is cancelled, or when plans are superseded or obsolete.

- b. Correspondence with and reports to other agencies relating to OCC space holdings and requirements.

Disposition:

Record copy. Destroy when two years old. Other copies. Destroy when one year old.



51. Credentials Files.

OCC identification credentials and related papers. (GRS 11, Item 4)

- a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicle, and property, visitors passes and other identification credentials.

Disposition:

Destroy credentials three months after return to issuing office.

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

Disposition:

Destroy after all listed credentials are accounted for.

52. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies. Office of Record is the Division of Administrative Services. (GRS 11, Item 5)

Disposition:

Destroy three months after work performed or requisition cancelled.

53. Personal Property Inventory Files.

Inventory lists, cards, survey reports and other documents relating to the acquisition, accountability, and disposition of OCC personal property (e.g. non-expendable office machines and equipment, furniture, and certain furnishings). Office of Record is the Division of Administrative Services. (GRS 3, Item 10)

Disposition:

- a. Inventory lists and cards. Destroy two years after discontinuance of item; or transfer of item to new classification; or equipment is removed from agency control.
- b. Survey reports and other papers used for adjustment of inventory records. Destroy two years after date of survey action or implementation of new inventory control medium.

54. Surplus Personal Property Disposal Case Files.

Case files on sales of surplus OCC personal property. Included are invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence. Office of Record is the Division of Administrative Services. (GRS 4, Item 6)

- a. Transactions subsequent to July 25, 1974, of more than \$10,000; and transactions prior to July 26, 1974, of more than \$2,500.

Disposition:

Place in inactive file on final payment. Transfer to Federal Records Center two years thereafter. Destroy six years after final payment.

- b. Transactions subsequent to July 25, 1974, of \$10,000 or less; and transactions prior to July 26, 1974, of \$2,500 or less.

Disposition:

Close file at the end of each calendar year (files on which actions are pending will be brought to the next calendar year's files for disposal therewith). Destroy three years after final payment.

55. Surplus Real Property Disposal Case Files.

Case files on the disposal of surplus real and related personal property. Office of Record is the Division of Administrative Services. (GRS 4, Item 2)

Disposition:

Transfer to WNRC one year after close of file. Destroy six years after transfer of file.

56. Excess Property Reports.

Reports of excess personal and real property. Office of Record is the Division of Administrative Services. (GRS 4, Items 3 and 5)

Disposition:

- a. Excess personal property reports. Destroy when three years old.
- b. Excess real property reports. Destroy when five years old, subject to approval of the Office of Chief Counsel.

57. Real Property Files

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, blue prints, building and equipments management and maintenance records, etc., Office of Record is the Division of Administrative Services. (GRS 4, Item 7)

Disposition:

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

58. Telecommunications Correspondence, Reports and Reference Files.

Correspondence, reports and related records pertaining to OCC telecommunications. Office of Record is the Division of Administrative Services. (GRS 12, Item 2)

- a. Correspondence and related records pertaining to internal administration and operation.

Disposition:

- (1) Washington. Record set. Destroy when two years old.
- (2) District offices. Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

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

Disposition:

- (1) Washington. Record set. Destroy when three years old.
- (2) District offices. Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

- c. Telecommunications statistical reports including cost and volume data.

Disposition:

- (1) Washington. Record set. Destroy when one year old.
- (2) District offices. Forward record copy to Washington. Destroy when six months old or when no longer needed for reference, whichever is earlier.

d. Telecommunications reference voucher files.

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

Disposition:

a. Washington. Record set. Destroy when one fiscal year old.

b. District offices. Destroy when six months old or when no longer needed for reference, whichever is earlier.

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

Disposition:

a. Washington. Record set. Destroy one year after audit or when three years old, whichever is sooner.

b. District offices. Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Disposition:

(1) Washington. Record set. Destroy two years after expiration or cancellation.

(2) District offices. Forward record copy to Washington. Destroy one year after expiration or cancellation or when no longer needed for reference, whichever is earlier.

59. Telecommunication Operational Files.

Messages and message control records. (GRS 12, Item 3)

a. Message registers, logs, performance reports, daily load reports and related records.

Disposition:

Destroy when six months old.

b. Copies of incoming and original copies of outgoing messages, including Standard Form 14, Telegraphic Message.

Disposition:

Destroy when two months old.

- c. Machine copies (hard copies), discs, and tapes of outgoing messages.

Disposition:

Destroy after transmission.

60. Telephone Summaries.

Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense vouchers. Office of Record is the Division of Administrative Services. (GRS 12, Item 4)

Disposition:

- (1) Washington. Record set. Destroy after the close of the CY in which audited.
- (2) District offices. Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

61. Telephone Records.

Telephone statements and toll slips. (GRS 3, Item 11)

Disposition:

- (1) Washington. Record set. Destroy three years after period covered by related account.
- (2) District offices. Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

## Subschedule F - Personnel

OCC personnel records relating to the supervision and management of agency employees. The Human Resources Division and the Equal Employment Opportunity Office are the Offices of Record for the majority of files included in this subschedule.

### 1. Official Personnel Folders.

Records maintained according to the Office of Personnel Management's OPM Federal Personnel Manual Supplement 293-31 on the right side of the Official Personnel Folder (OPF). (GRS 1, Item 1)

- a. Folders covering periods of employment terminated prior to January 1, 1921.

#### Disposition:

Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri. NPRC Will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained.

- b. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service (NARS) for permanent retention.

- (1) Transferred employees.

#### Disposition:

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

- (2) Separated employees.

#### Disposition:

Transfer folder to National Personnel Records Center (CPR), St. Louis, Missouri, 30 days after separation. Destruction by NPRC will be the same as that described in 1(a) above.

### 2. Temporary Individual Employee Records.

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31. (GRS 1, Item 10)

#### Disposition:

Destroy upon separation or transfer of employee or when one year old, whichever is sooner.

3. District/Field Office Personnel Folders.

Records maintained by District/Field offices relating to the supervision over and management of employees.

- a. Records duplicating material contained in the Official Personnel Folder (OPF) on file in the Washington office.

Disposition:

Destroy one year after separation or transfer of employee.

- b. OPF records not duplicated in Washington office and those not covered by other items in this subschedule.

Disposition:

Apply provisions of Item 1 above.

Note: Approval from Washington should be obtained prior to destruction.

4. Service Record Cards.

Service Record Card (Standard Form 7 or its equivalent). (GRS 1, Item 2)

- a. Cards for employees separated or transferred on or before December 31, 1947.

Disposition:

Transfer to NPRC (CPR) St. Louis, Missouri. Destroy 60 years after earliest personnel action date.

- b. Cards for employees separated or transferred on or after January 1, 1948.

Disposition:

Destroy three years after separation or transfer of employee.

5. Personnel Correspondence and Subject Files.

- a. Files relating to the general administration and operation of personnel functions and including college programs, selective placement programs (handicapped, veterans, and ex-offenders), special careers programs (Summer Aid, Intergovernmental Affairs Fellowship, Stay in School, etc.), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this subschedule, excluding those at agency staff planning levels. (GRS 1, Item 3)

Disposition:

Destroy when three years old.

- b. Correspondence, reports, memoranda, and other records relating to employment programs and function, manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions. (GRS 1, Item 3)

Disposition:

Destroy when five years old.

6. Offers of Employment Files.

Correspondence, letters, and telegrams offering appointments to potential employees. (GRS 1, Item 4)

- a. Accepted offers.

Disposition:

Destroy immediately.

- b. Declined offers.

- (1) Names received from certificate of eligibles.

Disposition:

Return to OPM with reply and application.

- (2) Temporary or excepted appointment.

Disposition:

File inside application (see Item 17 of this Subschedule).

- (3) All others.

Disposition:

Destroy immediately.

7. Certificates of Eligibles Files.

Certificates of eligibles with related requests, forms, correspondence, and statement of reason for passing over a preference eligible and selecting a nonpreference eligible. (GRS 1, Item 5)

Disposition:

Destroy when two years old.

8. Employee Record Cards.

Employee record cards used for informational purposes outside personnel offices (such as SF 7-B). (GRS 1, Item 6)

Disposition:

Destroy on separation or transfer of employee.



9. Position Classification Files.

a. Position Classification Standards Files.

- (1) Standards. OPM standards used to classify and evaluate title, series, and grade based on duties, responsibilities, and qualifications requirements. (GRS 1, Item 7)

Disposition:

Destroy when superseded or obsolete.

- (2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions specific to the OCC and OPM approval or disapproval. (GRS 1, Item 7)

a. Case File.

Disposition:

Destroy five years after position is abolished or description is superseded.

b. Review File.

Disposition:

Destroy when two years old.

b. Position Descriptions.

Files describing established positions including information on title, series, grade, duties and responsibilities. (GRS 1, Item 7)

- (1) Record Copy.

Disposition:

Destroy five years after position is abolished or description is superseded.

- (2) All other copies.

Disposition:

Destroy when position is abolished or description is superseded.

c. Survey Files.

(1) Classification Survey Reports.

Survey reports on various positions prepared by classification specialists including periodic reports. (GRS 1, Item 7)

a. Office of Origin.

Disposition:

Destroy when three years old or two years after regular inspection whichever is sooner.

b. Inspection, Audit and Survey Files.

Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.

Disposition:

Destroy when obsolete or superseded.

d. Appeals Files

Case files relating to classification appeals. (GRS 1, Item 7)

Disposition:

Destroy three years after case is closed.

10. Interview Records.

Correspondence, reports and other records relating to interviews with employees. (GRS 1, Item 8)

Disposition:

Destroy six months after transfer or separation of employee.

11. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews. (GRS 1, Item 9)

Disposition:

Destroy one year after case is closed.

12. Position Identification Strips.

Strips such as Standard Form 7D, used to provide summary data on each position occupied. (GRS 1, Item 11)

Disposition:

Destroy when position is cancelled or new strip is prepared.

13. Employee Awards Files.

a. General awards records.

- (1) Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbook pertaining to agency-sponsored cash and non-cash awards. Included are incentive awards, within-grade merit increases, suggestions, and outstanding performance. (GRS 1, Item 12)

Disposition:

Destroy two years after approval or disapproval.

- (2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.

Disposition:

Destroy when two years old.

b. Length of Service and Sick Leave Awards File.

Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees. (GRS 1, Item 12)

Disposition:

Destroy when one year old.

c. Letters of Commendation and Appreciation.

Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. EXCLUDES copies filed in the Official Personnel Folder. (GRS 1, Item 12)

Disposition:

Destroy when two years old.

d. Lists or Indexes to Agency Award Nominations.

Lists of nominees and winners and indexes of nominations. (GRS 1, Item 12)

Disposition:

Destroy when superseded or obsolete.

e. Departmental Level Awards Files.

Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.) EXCLUDES copies filed in Official Personnel Folder. (GRS 1, Item 12)

Disposition:

Destroy when two years old.

14. Incentive Awards Program Reports.

Reports pertaining to the operation of the OCC Incentive Awards Program. (GRS 1, Item 13)

Disposition:

Destroy when three years old.

15. Request for Personnel Action (SF-52).

Standard Form 52 documenting requests for reassignment, resignation, retirement, termination, administrative pay increase, change in tour of duty and all other individual personnel actions. (GRS 1, Item 1, 10)

a. Copies maintained on the right side of the Official Personnel Folder (OPF).

Disposition:

See Item 1 of this Subschedule.

b. Copies maintained on the left side of the OPF or in the OCC Employee Appraisal File (EAF).

Disposition:

Destroy upon separation or transfer of employee or when one year old, whichever is earlier.

c. All other copies.

Disposition:

Destroy when no longer needed for administrative purposes.

16. Notifications of Personnel Action (SF 50).

Standard Form 50 documenting initial employment, promotion, transfers, in or out, separation and all other individual personnel actions. EXCLUDES those in Official Personnel Folders. (GRS 1, Item 14)

- a. Chronological file copies, including fact sheets, maintained in personnel offices.

Disposition:

Destroy when two years old.

- b. All other copies.

Disposition:

Destroy when one year old.

17. Employment Applications (SF 171).

Applications (Standard Form 171) and related records. EXCLUDES records pertaining to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see Item 1 of this Subschedule). (GRS 1, Item 15)

Disposition:

Destroy upon receipt of OPM inspection report or when two years old, whichever is earlier, provided the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.

18. Personnel Operations Statistical Reports.

Statistical reports in the operating personnel office and subordinate units relating to personnel. (GRS 1, Item 16)

Disposition:.

Destroy when two years old.

19. Correspondence and Forms Files.

Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this subschedule. (GRS 1, Item 17)

- a. Correspondence and forms relating to pending personnel actions.

Disposition:

Destroy when action is completed.

- b. Retention Registers.

- (1) Registers from which reduction-in-force actions have been taken.

Disposition:

Destroy when two years old.

- (2) Registers from which no reduction-in-force actions have been taken.

Disposition:

Destroy when superseded or obsolete.

- c. All other correspondence and forms.

Disposition:

Destroy when six months old.

20. Time Reporting System (TRS) Forms.

Time Reporting System (TRS) Report Form CC-6020-06 and related records.

- a. Time Report Form CC-6020-06 (Rev. 12/82).

- (1) Office copy (white copy) forwarded to Human Resources Division.

Disposition:

Destroy when superseded by consolidated report printouts.

- (2) District/Regional copy (yellow copy) retained by operating office.

Disposition:

Destroy upon receipt of corrected white copy returned by Human Resources.

- (3) Employee copy (blue copy).

Disposition:

Destroy when no longer needed for reference or when six months old, whichever is sooner.

- b. Consolidated Time Reports Printouts.

- (1) Office with agencywide responsibility for Time Reporting System. Record copy.

Disposition:

Destroy when two years old.

- (2) All other copies.

Disposition

Destroy when one year old.

Note: OCC Form CC-6020-06 Rev. 12/82 "Time Report" superseded Form CC-6020-06 Rev. 8/80 "Time Utilization Report." The same disposition instructions apply to both the old and new forms.

21. Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.

a. Supervisor's Personnel Files.

Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder. (GRS 1, Item 18)

Disposition:

Review annually. Destroy superseded or obsolete documents. Destroy all documents relating to an individual employee one year after separation or transfer.

b. Duplicate Documentation.

Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this subschedule. (GRS 1, Item 18)

Disposition:

Destroy when six months old.

22. Individual Employee Health Case File.

Forms, correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatments received in the HUD Health Unit. EXCLUDES pre-employment physical examinations, disability retirement, and fitness for duty examinations which are filed in the Official Personnel Folder (OPF) upon separation of employee (Ref: FPMS 293-31). (GRS 1, Item 21)

Disposition:

Destroy six years after latest entry.

Note: Those health records not required for filing in the OPF, may be transferred to the local records center. Under no circumstances should these files be sent to the National Personnel Records Center (CPR).

23. Personal Injury Files.

Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made. EXCLUDES copies filed in the Official Personnel Folder (OPF) and copies submitted to the Department of Labor. (GRS 1, Item 32)

Disposition:

Destroy when five years old.

24. Performance Appraisal Records.

Files relating to the appraisal of OCC employees. (GRS 1, Item 23)

a. Non-SES appointees (as defined in 5 USC 4301(2)).

- (1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and related documents.

Disposition:

Destroy after the employee completes one year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.

- (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition:

Destroy upon supersession.

- (3) Performance-related records pertaining to a former employee.

Disposition:

Destroy when three years old or when no longer needed, whichever is earlier.

- (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Disposition:

Destroy three years after date of appraisal.

- (5) Supporting documents.

Disposition:

Destroy three years after date of appraisal or when no longer needed, whichever is earlier.



b. SES appointees (as defined in 5 USC 3132a(2)).

- (1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Disposition:

Destroy upon supersession.

- (2) Performance-related records pertaining to a former SES appointee (excluding Presidential appointees).

Disposition:

Destroy when five years old or when no longer needed, whichever is earlier.

- (3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.

Disposition:

Destroy five years after date of appraisal, exclusive of any interim service as a Presidential appointee.

- (4) Supporting documents.

Disposition:

Destroy five years after date of appraisal or when no longer needed, whichever is earlier.

c. Presidential appointees.

Disposition:

Destroy all performance records, including appraisals and supporting documents when seven years old.

25. Merit Promotion Cases Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates. EXCLUDES any records that duplicate information in the promotion plan, in the Official Personnel Folders, or in other personnel records. (GRS 1, Item 33)

Disposition:

Destroy two years after the personnel action or after the action has been audited by OPM, whichever is sooner.

26. Personnel Counseling Records.

Counseling files including reports of interviews with employees, analyses and related records. Included memorandums of counseling, leave restriction memoranda, letters of reprimand and notices of opportunity to improve performance. (GRS 1, Item 27)

Disposition:

Destroy three years after termination of counseling.

27. Personnel Counseling Program Records.

Records created in planning, coordinating and directing the OCC Alcohol and Drug Abuse program. (GRS 1, Item 27)

Disposition:

Destroy when three years old.

28. Standards of Conduct Files.

Correspondence, memoranda and other records relating to agency and departmental codes of ethics and standards of conduct. (GRS 1, Item 28)

Disposition:

Destroy when obsolete or superseded.

29. Grievance, Disciplinary and Adverse Action Files.

Records relating to grievances, defined as the right of an agency employee to request personal relief in a matter of concern or dissatisfaction which is subject to the control of Department of the Treasury or OCC management in accordance with 5 C.F.R. 771 and the Federal Personnel Manual; and adverse actions, including removal from employment with the OCC, suspension from employment, furlough without pay, or reduction in grade, rank, or pay, as further defined at 5 C.F.R. 752. (GRS 1, Item 31)

- a. Grievance, Appeals Case Files. Records originating in the review of grievance and appeals raised by agency employees, excluding EEO complaints. Included are statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Disposition:

Destroy three years after case is closed.

- b. General Grievance Files. Records originating in the review of grievances raised by agency employees in which no action is taken beyond the "informal step" or initial stage of the grievance procedure. Included are files pertaining to the filing of the grievance, identification of issues, exploration and deliberation and the decision on the informal step.

Disposition:

Destroy three years after termination of grievance activity.

- c. Adverse Action Case Files. Case files and related records created in reviewing an adverse action against an employee. Included are a copy of the proposed adverse action with supporting papers, statements of witnesses, employee's reply, hearing notices, reports and decisions, reversal of action and appeal records. EXCLUDES letters of reprimand (see item 26).

Disposition:

Destroy four years after case is closed.

- d. General Adverse Action Files. Records relating to adverse actions terminated because of sufficient improvement in performance. Included are the notice of proposed action, employee's response, notice of improved performance and related correspondence.

Disposition:

Destroy one year after date of the notice of proposed action.

30. Labor Management Relations Records.

- a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups. (GRS 1, Item 29)

(1) Office negotiating agreement.

Disposition:

Destroy when five years old.

(2) Other offices.

Disposition:

Destroy when superseded or obsolete.

- b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.

Disposition:

Destroy five years after final resolution of case.

31. Training Records.

- a. Training Aids. (GRS 1, Item 30)

- (1) Record copy of each manual, syllabus, textbook, and other training aid developed by the agency.

Disposition:

Cut off at the close of the CY in which the training aid is issued. Transfer to WNRC when five years old. Destroy when ten years old.

- (2) Other offices.

Disposition:

Destroy when no longer needed for administrative purposes.

- (3) Training aids from other agencies or private institutions.

Disposition:

Destroy when obsolete or superseded.

- b. General file of agency-sponsored training. (GRS 1, Item 30)

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

Disposition:

Destroy when five years old or five years after completion of a specific training program.

- (2) Background and workpapers.

Disposition:

Destroy when three years old.

c. Employee training.

Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions. (GRS 1, Item 30)

Disposition:

Destroy when five years old or when superseded or obsolete, whichever is sooner.

d. Course Announcement Files. (GRS 1, Item 30)

Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.

Disposition:

Destroy when superseded or obsolete.

32. Individual Development Plans.

Individual development plan forms (CC-6022-11) and related correspondence.

Disposition:

Destroy when superseded or three years old, whichever is earlier.

33. Equal Employment Opportunity Records.

- a. Official Discrimination Complaint Case Files. Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 5 C.F.R. 713.222. (GRS 1, Item 26)

- (1) Cases resolved within the OCC.

Disposition:

Destroy four years after resolution of case.

- (2) Cases resolved by the Treasury Department.

Disposition:

These files are controlled by and the responsibility of the Treasury Department.

- (3) Cases resolved by the Equal Employment Opportunity Commission (EEOC)

Disposition:

These files are controlled by and the responsibility of the EEOC.

- b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in the Official Discrimination Complaint Case Files. (GRS 1, Item 26)

Disposition:

Destroy one year after resolution of case.

- c. Background Files. Background records not filed in the Official Discrimination Complaint Case File. (GRS 1, Item 26)

Disposition:

Destroy two years after final resolution of case.

- d. Compliance Records. (GRS 1, Item 26)

- (1) Compliance Review Files. Reviews, background papers and correspondence relating to contractor employment practices.

Disposition:

Destroy when seven years old.

- (2) EEO Compliance Reports.

Disposition:

Destroy when three years old.

- e. Employment Statistics Files. Employment statistics relating to race, age and sex. (GRS 1, Item 26)

Disposition:

Destroy when five years old.

- f. EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting records including minutes and reports. (GRS 1, Item 26)

Disposition:

Destroy when three years old, or when superseded or obsolete, whichever is applicable.

- g. EEO Affirmative Action Plans (AAPs). (GRS 1, Item 26)

- (1) OCC copy of consolidated AAP(s).

Disposition:

Destroy five years from date of plan.

- (2) OCC feeder plan to consolidated AAP(s).

Disposition:

Destroy five years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

Subschedule G - Payroll and Pay Administration

Records relating to disbursements to OCC employees for personal services. The Division of Financial Operations is the Office of Record for payroll files.

1. Individual Accounts Files.

Individual earning and service cards, such as Standard Form 1127 or equivalent. (GRS 2, Item 1)

Disposition:

Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. If filed in Official Personnel Folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF (see Subschedule F, Item 1). If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.

2. Payroll Correspondence Files.

General correspondence files maintained by payroll units pertaining to payroll preparation and processing. (GRS 2, Item 2)

Disposition:

Destroy when two years old.

3. Time and Attendance Report files.

a. Standard Form 1130 or equivalent. (GRS 2, Item 3)

(1) Office of Record.

Disposition:

Destroy after GAO audit or when three years old, whichever is sooner.

(2) All other copies.

Disposition:

Destroy six months after the end of the pay period.

b. Flexitime Attendance Records.

Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.

Disposition:

Destroy after GAO audit or when three years old, whichever is earlier.



4. Individual Authorized Allotments Files.

U.S. Savings Bond Authorization, Standard Form 1192 or equivalent, authorization for individual allotment to the Combined Federal Campaign, and all other authorizations, including union dues and savings. (GRS 2, Item 4)

- a. Maintained on earning record card.

Disposition:

Destroy when superseded or after separation of employee. If employee transfers within an agency or between agencies, these authorizations must also be transferred (Ref: Treasury Fiscal Requirements Manual, para. 6020.20e for instructions relating to savings bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions relating to CFC authorizations).

- b. If record is not maintained elsewhere.

Disposition:

Destroy three years after supersession or separation of employee.

5. Bond Registration Files.

Issuing agent's copies of bond registration stubs. (GRS 2, Item 5)

Disposition:

Destroy when two years old.

6. Bond Receipt and Transmittal Files.

Receipts for and transmittals of U.S. Savings Bonds and checks. (GRS 2, Item 6)

Disposition:

Destroy three months after date of receipt.

7. Bond Purchase Files.

Forms and reports with related papers pertaining to desposits and purchases of bonds. (GRS 2, Item 7)

Disposition:

Destroy when three years old.

8. Leave Application Files.

Application for Leave, SF 71, and supporting papers relating to requests for and approval of taking leave. (GRS 2, Item 8)

- a. Timecard(s) initialed by the employee.

Disposition:

Destroy at the end of the applicable pay period.

- b. Timecard(s) not initialed by the employee.

Disposition:

Destroy after GAO audit or when three years old, whichever is sooner.

9. Leave Record Cards.

Leave record cards such as OF 1137 or equivalent maintained separately from pay and earnings records, and OF 1130F when used as a leave record. (GRS 2, Item 9)

- a. Pay or fiscal copies.

Disposition:

Destroy when three years old.

- b. Other copies.

Disposition:

Destroy three months after the end of the period covered.

10. Leave Data Files.

Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3. (GRS 2, Item 10)

- a. Original copy of SF 1150.

Disposition:

File on right side of Official Personnel Folder. See Subschedule F, Item 1.

- b. Agency copy.

Disposition:

Destroy when three years old.

11. Notification of Personnel Action Files.

Copies of SF 50 or equivalent, not filed in the Official Personnel Folder. (GRS 2, Item 11)

- a. Pay or fiscal copy.

Disposition:

Destroy when related pay records are audited by GAO or when three years old, whichever is sooner.

- b. All other copies.

Disposition:

Destroy when one year old (see Subschedule F, Item 16).

12. Budget Authorization Reference Files.

Copies of budget authorizations in the operating payroll unit used to control OCC personnel ceilings and personnel actions. (GRS 2, Item 12)

Disposition:

Destroy when superseded.

13. Payroll Files.

Memorandum copies of OCC payroll, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents. (GRS 2, Item 13)

- a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.

Disposition:

Destroy when Federal records center receives second subsequent payroll or check list covering the same payroll unit.

b. All other copies.

(1) If earning record card is maintained.

Disposition:

Destroy after GAO audit or when three years old, whichever is earlier.

(2) If earning card is not maintained.

Disposition:

Transfer to NPRC, St. Louis, Missouri when three years old.  
Destroy when ten years old.

14. Payroll Control Files.

Payroll control registers such as SF 1125A. (GRS 2, Item 14)

Disposition:

Destroy after GAO audit or when three years old, whichever is sooner.

15. Payroll Change Files.

Payroll change slips, exclusive of those of the OPF, such as SF 1126.  
(GRS 2, Item 15)

a. Copy used in GAO audit.

Disposition:

Destroy when related pay records are audited by GAO or when three years old, whichever is sooner.

b. Disbursing officer copy used in preparing checks.

Disposition:

Destroy after preparation of check.

c. All other copies.

Disposition:

Destroy one month after the end of the pay period.

16. Fiscal Schedules Files.

Memorandum copies of fiscal schedules used in the payroll process.  
(GRS 2, Item 16)

- a. Copy used in GAO audit.

Disposition:

Destroy after GAO audit or when three years old, whichever is sooner.

- b. All other copies.

Disposition:

Destroy one month after the end of the pay period.

17. Administrative Payroll Report Files.

Reports, statistics, and related records pertaining to payroll operations and pay administration. (GRS 2, Item 17)

- a. Reports and data used for workload and personnel management purposes.

Disposition:

Destroy when two years old.

- b. All other reports and data.

Disposition:

Destroy when three years old.

18. Tax Files.

- a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms. (GRS 2, Item 18)

Disposition:

Destroy four years after form is superseded or obsolete.

- b. Returns on income taxes such as IRS Form W-2. (GRS 2, Item 18)

Disposition:

Destroy when four years old.

- c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports pertaining to income and social security taxes. (GRS 2, Item 18)

Disposition:

Destroy when four years old.

19. Retirement Files.

- a. Reports and registers or other control documents relating to retirement, such as SF 2807 or equivalent. (GRS 2, Item 21)

Disposition:

Destroy when three years old.

- b. Assistance files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. (GRS 2, Item 21)

Disposition:

Destroy when one year old.

- c. Deduction files. SF 2806 or equivalent and other records used to document retirement deductions of individual employees. (GRS 2, Item 21)

Disposition:

Send to OPM in accordance with FPM Supplement 831-1, Subchapter 522-3.

20. Insurance Deduction Files.

Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions. (GRS 2, Item 22)

Disposition:

Destroy when three years old.

21. Levy and Garnishment Files.

Official Notice of Levy or Garnishment (IRS Form 668A or equivalent) change slip, workpapers, correspondence, release and other forms and records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees. (GRS 2, Item 23)

Disposition:

Destroy when three years old.

22. Wage Survey Files.

Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). (GRS 2, Item 24)

Disposition:

Destroy after completion of second succeeding wage survey.

Subschedule H - Budget

Records created in the preparation and administration of the OCC budget. The Office of Record is the Division of Financial Operations.

1. Budget Policy Files.

Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. (GRS 5, Item 1)

a. Record copy.

Disposition:

PERMANENT. Cut off at the close of the calendar year (CY). Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when ~~30~~ <sup>30</sup> years old.

b. All other copies.

Disposition:

Destroy when obsolete, superseded or no longer needed for reference.

2. Budget Estimates and Justifications.

a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau level. Included are operating plans and budgets approved by the Policy Group/Comptroller and incorporated into the final budget submitted to Treasury. (GRS 5, Item 2)

Disposition:

PERMANENT. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when ~~30~~ <sup>30</sup> years old.

b. Copies of budget estimates and justifications prepared as feeder material for the consolidated budget in Item "a" above.

Disposition:

Destroy when three years old or no longer needed for reference, whichever is earlier.



3. Budget Correspondence Files.

Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this subschedule. (GRS 5, Item 3)

Disposition:

Destroy when two years old.

4. Budget Background Records.

Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in Item 2 above. (GRS 5, Item 4)

Disposition:

Destroy one year after the close of the calendar year covered by the budget.

5. Budget Reports Files.

Periodic reports on the status of expenditure accounts. Included are budget performance reports (BPR), BPR detailed listings, significant variance reports and related records. (GRS 5, Item 5)

a. Annual reports.

(1) Office of primary responsibility.

Disposition:

Destroy when five years old.

(2) All other offices.

Disposition:

Destroy when three years old.

b. All other reports.

Disposition:

Destroy three years after the end of the calendar year.

### Subschedule I - Accounting

This subschedule includes accountable officers' accounts records; expenditure accounting records; stores, and cost accounting records, and; travel and transportation files. The Office of Record is the Division of Financial Operations.

Accountable officers' accounts include record copies of all files relating to the accounting for, availability, and status of public funds.

#### 1. Accountable Officers' Files.

- a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors. Included are statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers exclusive of freight and payroll records. (GRS 6, Item 1)

##### Disposition:

Destroy six years and three months after the period of the account.

- b. Memorandum or extra copies of the accountable officers' returns and related records cited in Item 1(a) above. (GRS 6, Item 1)

##### Disposition:

Destroy three years after the period of the account.

#### 2. GAO Exceptions Files.

General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence. (GRS 6, Item 2)

##### Disposition:

Destroy one year after exception has been reported as cleared by GAO.

3. Certificates Settlement Files.

Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records. (GRS 6, Item 3)

- a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Disposition:

Destroy two years after date of settlement.

- b. Certificates covering periodic settlements.

Disposition:

Destroy when subsequent certificate of settlement is received.

4. Accounting Administrative Files.

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. (GRS 6, Item 5)

- a. Files used for workload and personnel management purposes.

Disposition:

Destroy when two years old.

- b. All other files.

Disposition:

Destroy when three years old.

5. Gasoline Sales Tickets.

Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline. (GRS 6, Item 7)

- a. Washington. Record set.

Disposition:

Destroy after GAO audit or when three years old, whichever is sooner.

- b. District offices.

Disposition:

Forward record copy to Washington. Destroy when one year old or when no longer needed for reference, whichever is earlier.

6. Telephone Toll Tickets.

Originals and copies of toll tickets filed in support of telephone toll call payments. (GRS 6, Item 8)

Disposition:

Apply provisions of Item 5 above.

7. Telegrams.

Original and copies of telegrams filed in support of telegraph bills. (GRS 6, Item 9)

Disposition:

Apply provisions of Item 5 above.

Expenditures accounting records including the ledgers and related documents maintained by the OCC to show in summary fashion how its funds are spent and the sources and nature of any receipts.

8. Expenditures Accounting General Correspondence and Subject Files.

Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. (GRS 7, Item 1)

Disposition:

Destroy when two years old.

9. General Accounting Ledgers.

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary. (GRS 7, Item 2)

Disposition:

Destroy ten years after the close of the calendar year involved.

10. Expenditure Accounting Posting and Control Files.

Records used as posting and control media, subsidiary to the general ledger, and not elsewhere covered in this schedule. (GRS 7, Item 4)

a. Original records.

Disposition:

Destroy when three years old.

b. All other copies.

Disposition:

Destroy when two years old.

Stores accounting records maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials.

11. Stores Invoice Files.

Invoices or equivalent papers used for stores accounting purposes. (GRS 8, Item 3)

Disposition:

Destroy when three years old.

12. Stores Accounting Files.

Stores accounting returns and reports. (GRS 8, Item 4).

Disposition:

Destroy when three years old.

13. Stores Accounting Work Papers.

Work papers used in accumulating stores accounting data. (GRS 8, Item 5).

Cost accounting records designed to accumulate and show data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions.

14. Cost Accounting Reports.

- a. Copies in units receiving reports. (GRS 8, Item 7)

Disposition:

Destroy when three years old.

- b. Copies in reporting units, and related work papers.

Disposition:

Destroy when three years old.

15. Cost Report Data Files.

Ledgers, forms, and machine-records used to accumulate data for use in cost reports. (GRS 8, Item 8)

- a. Ledgers and forms.

Disposition:

Destroy when three years old.

- b. Machine records.

- (1) Detail cards.

Disposition:

Destroy when six months old.

- (2) Summary cards.

Disposition:

Destroy when six months old.

- (3) Tabulations.

Disposition:

Destroy when one year old.

Travel and transportation records pertaining to the movement of goods and persons under Government orders.

16. Freight Files.

Records relating to freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods. (GRS 9, Item 1)

- a. Issuing office memorandum copies excluding records on international shipments of household goods moved by freight forwarders (See Item 16d below).

Disposition:

Destroy when three years old.

- b. All other copies.

Disposition:

Destroy when one year old.

- c. Registers and control records.

Disposition:

Destroy when three years old.

- d. Records on international shipments of household goods moved by freight forwarders.

Disposition:

Destroy six years after the period of the account.

17. Lost or Damaged Shipments Files.

Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act. (GRS 9, Item 2)

Disposition:

Destroy when three years old.

18. Passenger Transportation Files.

Memorandum copies of vouchers (SF 1113A or equivalent), memorandum copies of transportation requests (SF 1169 or equivalent), travel authorizations, transportation request registers, and all supporting papers. (GRS 9, Item 3)

- a. Issuing office memorandum copy.

Disposition:

Destroy when three years old.

- b. Obligation copy.

Disposition:

Destroy when funds are obligated.

- c. Unused ticket redemption forms, such as SF 1170.

Disposition:

Destroy when no longer needed for administrative use.

19. Passenger Reimbursement Files.

Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel. (GRS 9, Item 4)

- a. Travel administrative office file.

Disposition:

Destroy when three years old.

- b. Obligation copies.

Disposition:

Destroy when funds are obligated.



20. General Travel and Transportation files.

- a. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. (GRS 9, Item 5)

Disposition:

Destroy when two years old.

- b. Accountability records. (GRS 9, Item 5)

Disposition:

Destroy one year after all entries are cleared.

### Subschedule J - Public Affairs

This subschedule covers certain records pertaining to informational services performed by the OCC in its day to day affairs and in its relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. The Office of Record for these files is the Deputy Comptroller for Industry and Public Affairs.

#### 1. Information Files.

Complete set of formal informational releases and publications. Included are press releases, press conference transcripts, official speeches, and indexes thereto. (GRS 14, Item 1)

##### a. Record set.

###### Disposition:

PERMANENT. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when 20 years old *in 5 year blocks.*

##### b. All other copies.

###### Disposition:

See Subschedule E, Item 3.

#### 2. Information Subject Files.

Subject files of formally designated informational offices, not covered elsewhere in this subschedule. (GRS 14, Item 2)

###### Disposition:

Destroy when no longer needed for reference.

#### 3. Information Requests Files.

Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research. Also included are requests for and transmittals of publications, photographs and other informational literature. (GRS 14, Item 3)

###### Disposition:

Destroy three months after transmittal or reply (See Subschedule A, Item 4a).

4. Acknowledgement Files.

Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply. (GRS 14, Item 4)

Disposition:

Destroy three months after acknowledgement and referral.

5. Press Service Files.

Press service teletype news and similar materials. (GRS 14, Item 5)

Disposition:

Destroy when three months old.

6. Information Project Files.

Informational services project case files maintained in formally designated informational offices. (GRS 14, Item 6)

Disposition:

Destroy one year after close of file or completion of project.

7. Indexes and Check Lists.

Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (See Item 1). (GRS 14, Item 8)

Disposition:

Destroy when superseded or obsolete.

8. Publication Clearance Files.

Documents pertaining to the clearance of publications and audiovisual materials for issuance and distribution. EXCLUDES record set of publications (See Item 1).

Disposition:

Destroy when five years old, or when no longer needed for administrative purposes, whichever is earlier.

9. OCC Informational Materials.

Issuances that are used primarily for employee information or for briefings relating to ongoing events throughout the OCC. Included are copies of the Daily News Digest, Library News, National Trust Examiner, and National Operations Newsletter (See Subschedule E, Item 3).

a. Record set.

Disposition:

Place in inactive file after issuance. Cut off inactive file after close of CY. Destroy when five years old, or when no longer needed for reference, whichever is earlier.

b. Reference copies.

Disposition:

Destroy when no longer needed for reference.

10. Articles Master File.

Articles that the Comptroller, members of the Policy Group, or other major departmental officials have written for magazines and trade journals. Included are the request for the article, drafts, and a copy of the published article.

a. Record set.

Disposition:

Destroy when five years old.

b. Reference copies.

Disposition:

Destroy when no longer needed for reference.

11. Biographies Files.

Personal data sketches, photographs, newspaper clippings, copies of press releases, and similar materials pertaining to senior OCC officials.

a. Record set.

Disposition:

Cut off at close of the CY in which the individual leaves OCC. Destroy five years after cutoff.

b. Reference copies.

Disposition:

Destroy when no longer needed for reference.

12. Conference and Public Hearings Files.

Files containing information about conferences or hearings. Included are agenda, announcements of the conference, press releases, listings of participants, conference summaries, and copies of publications and speeches.

Disposition:

See Subschedule E, Item 12.

13. Itineraries of Visits Files.

Files pertaining to speaking engagements and visits of the Comptroller and other major OCC officials, not covered elsewhere in this schedule.

a. Record set.

Disposition:

Destroy when official leaves OCC, or earlier if not needed for administrative purposes.

b. Reference copies.

Disposition:

Destroy when no longer needed for reference.

14. Photographs, Motion Pictures, and Sound/Video Recordings Files.

Still photographs, motion pictures, and sound or video recordings maintained by formally designated OCC informational offices that provide documentation on the organization, functions, policies, procedures and essential transactions of OCC. (GRS 21, Item 1 - 5)

a. Record set.

Disposition:

See Subschedule N.

b. Recordings and related records not included in "a" above.

Disposition:

See Subschedule N.

15. Commendation/Complaint Correspondence Files.

Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken, and those incorporated into individual personnel records. (GRS 14, Item 7)

Disposition:

Destroy when three months old.

Note: See Subschedule F, for records relating to commendation/complaint correspondence incorporated into personnel records and Subschedule K for records relating to complaints by consumers or organizations.

16. Freedom of Information Act (FOIA) Requests Files.

Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of the requested record or copy thereof. (GRS 14, Item 16)

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

- (1) Granting access to all the requested records.

Disposition:

Destroy two years after date of reply.

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

- (a) Request not appealed.

Disposition:

Destroy two years after date of reply.

- (b) Request appealed.

Disposition:

Destroy as authorized under Item 17 below.

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

- (a) Request not appealed.

Disposition:

Destroy five years after date of reply.

- (b) Request appealed.

Disposition:

Destroy as authorized under Item 17 below.

- b. Official file copy of requested records.

Disposition:

Dispose of in accordance with OCC disposition instruction for the related records, or with the related FOIA request, whichever is later.

17. FOIA Appeals Files.

Files created in responding to administrative appeals under the FOIA for release of information denied by the OCC, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof. (GRS 14, Item 17)

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

Disposition:

Destroy four years after final determination by agency or three years after final adjudication by courts, whichever is later.

- b. Official file copy of records under appeal.

Disposition:

Dispose of in accordance with approved OCC disposition instructions for the related record, or with the related FOIA requests, whichever is later.

18. FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requestor. (GRS 14, Item 18)

- a. Registers or listing.

Disposition:

Destroy five years after date of last entry.



- b. Other files.

Disposition:

Destroy five years after final action by the agency or after final adjudication by courts, whichever is later.

19. FOIA Reports Files.

Recurring reports and one-time information requirements relating to OCC implementation of the Freedom of Information Act, including annual reports to Treasury. (GRS 14, Item 19)

- a. Annual reports at the agency level.

Disposition:

PERMANENT. Offer to NARS with related agency records approved for permanent retention in OCC records control schedule or when 15 years old, whichever is sooner.

- b. Other reports.

Disposition:

Destroy when two years old or sooner if no longer needed for administrative use.

20. FOIA Administrative Files.

Records relating to the general OCC implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. (GRS 14, Item 20)

Disposition:

Destroy when two years old or sooner if no longer needed for administrative use.

21. Privacy Act Requests Files.

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. (GRS 14, Item 25)

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

- (1) Granting access to all the requested records.

Disposition:

Destroy two years after date of reply.

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

- (a) Requests not appealed.

Disposition:

Destroy two years after date of reply.

- (b) Requests appealed.

Disposition:

Destroy as authorized under Item 22.

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

- (a) Requests not appealed.

Disposition:

Destroy five years after date of reply.

- (b) Requests appealed.

Disposition:

Destroy as authorized under Item 22.

- b. Official file copy of requested records.

Disposition:

Dispose of in accordance with approved OCC disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d) (2); to the individual's request for a review of OCC'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 OCC as provided under 5 U.S.C. 552a(g). (GRS 14, Item 26)

- a. Requests to amend agreed to by OCC. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Disposition:

Dispose of in accordance with the approved disposition instructions for the related subject individual's record or four years after OCC's agreement to amend, whichever is later.

- b. Requests to amend refused by OCC. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Disposition:

Dispose of in accordance with the approved disposition instructions for the related subject individual's record; four years after final determination by OCC or three years after final adjudication by courts, whichever is later.

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

Disposition:

Dispose of in accordance with the approved disposition instructions for related subject individual's record or three years after final adjudication by courts, whichever is later.

23.      Privacy Act Accounting of Disclosure Files.

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable. (GRS 14, Item 27)

Disposition:

Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or five years after the disclosure for which the accountability was made, whichever is later.

24.      Privacy Act Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor. (GRS 14, Item 28)

- a.      Registers or listings.

Disposition:

Destroy five years after date of last entry.

- b.      Other files.

Disposition:

Destroy five years after final action by the OCC or final adjudication by courts, whichever is later.

25. Privacy Act Reports Files.

Recurring reports and one-time information requirement relating to OCC implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. (GRS 14, Item 29)

- a. Annual reports at the agency level.

Disposition:

PERMANENT. Offer to NARS with related agency records approved for permanent retention in OCC records control schedule or when 15 years old, whichever is sooner.

- b. Other reports.

Disposition:

Destroy when two years old.

26. Privacy Act General Administrative Files.

Records relating to the general OCC implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. (GRS 14, Item 30)

Disposition:

Destroy when two years old or sooner if no longer needed for administrative use.

Subschedule K - Consumer Affairs

This schedule covers records relating to consumer protection, community reinvestment and fair lending. The Offices of Record are the Office of the Deputy Comptroller for Industry and Public Affairs and the Office of the Chief National Bank Examiner.

1. Official Correspondence File.

Correspondence, reports, forms, and other records pertaining to the administration and operation of OCC consumer protection, community lending and fair lending programs.

Disposition:

See Subschedule B, Item 2.

2. Federal Liaison Files.

Files which document liaison between the OCC and other Federal financial institutions (e.g. FED, FDIC, NCUA, and FHLBB) involving consumer matters. This file should serve as an information file. Any documents that are appropriate for filing under Item 1 above should be removed from this file and placed under the appropriate subject of the Official Correspondence File above.

Disposition:

Destroy when five years old or when no longer needed for administrative purposes, whichever is earlier.

3. State/Local Consumer Information File.

Consists of routine correspondence with state and local organizations on consumer affairs. Correspondence relating to policy should be removed from this file and placed in Item 1 above.

Disposition:

Destroy when five years old or when no longer needed for administrative purposes, whichever is earlier.

4. Consumer Complaints File.

General correspondence relating to specific complaints of individual consumers or organizations. Included are the incoming letter, OCC response, CRA comments, CRA press releases, and related materials.

- a. Consumer complaint correspondence that requires administrative action which may or may not result in formal investigations and/or litigation.

Disposition:

- (1) Washington. Record set. PERMANENT. Cut off at the close of the CY. Hold three years or until volume warrants and transfer to WNRC. Offer to NARS when ~~30~~<sup>30</sup> years old.
- (2) District offices. Forward record copy to Washington. Destroy when three years old or when no longer needed for reference, whichever is earlier.

- b. Active or closed consumer complaint correspondence of a routine nature.

Disposition:

- (1) Washington. Retain record copies at the District level.
- (2) District offices. Record set. Hold two years and transfer to local records center. Destroy when five years old.

5. Special Studies and Projects File.

Reports or publications reflecting special consumer studies directly related to the mission of the OCC and pertinent background materials.

Disposition:

See Subschedule E, Item 3.

6. Press Releases and Speeches.

Official speeches and record copies of press releases relating to consumer affairs.

Disposition:

See Subschedule J, Item 1.

### Subschedule L - Security

This subschedule covers records relating to the administration of OCC security and protective services programs. Included are classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning. The Offices of Record are the Divisions of Data Processing, (facilities security and protective services) Administrative Services (emergency operations), and Human Resources (personnel security clearance). Classified information accounting and control is a function shared by all offices.

#### Security and Protective Services Program Records

Records accumulated relating to agency-wide responsibility for administration of security and protective services programs.

1. Security Policy Files.

Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and direction of the OCC security and protective services programs. (GRS 18, Item 1)

Disposition:

Transfer to WNRC three years after annual cutoff. Destroy when 15 years old.

#### Classified Information Accounting and Control Records

Records accumulating from measures taken by the OCC to protect classified information from unauthorized disclosure in accordance with Executive Order 10501, other Executive Orders, statutory or regulatory requirements.

2. Classified Documents Administrative Correspondence Files.

Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, not covered in Item 1 or elsewhere in this subschedule. (GRS 18, Item 2)

Disposition:

Destroy when two years old.

3. Document Receipt Files.

Classified documents receipts, relating to the receipt and issue of classified documents. (GRS 18, Item 3)

Disposition:

Destroy when two years old.



4. Destruction Certificates.

Certificates relating to the destruction of classified documents. (GRS 18, Item 4)

Disposition:

Destroy when two years old.

5. Classified Document Inventory Files.

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents. Excludes classified document receipts, destruction certificates, and documents relating to "Top Secret" material covered elsewhere in this subschedule.

Disposition:

Destroy when two years old.

6. Top Secret Accounting and Control Files.

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. (GRS 18, item 6)

Disposition:

Destroy five years after documents shown on forms are downgraded, transferred, or destroyed.

- b. Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. (GRS 18, Item 6)

Disposition:

Destroy when related document is downgraded, transferred, or destroyed.

7. Access Request Files.

Requests and authorizations for individuals to have access to classified files. (GRS 18, Item 7)

Disposition:

Destroy two years after authorization expires.

8. Classified Document Container Security Files.

Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. (GRS 18, Item 8)

Disposition:

Destroy when superseded by a new form or list, or upon turn-in of containers.

Facilities Security and Protective Services Records

Records relating to measures taken for the protection of agency-leased facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

9. Security and Protective Services Administrative Correspondence Files

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered by Item 1 or elsewhere in this subschedule. (GRS 18, Item 9)

Disposition:

Destroy when two years old.

10. Survey and Inspection Files (privately owned facilities leased by OCC).

Reports of surveys and inspections of privately owned facilities leased by OCC and assigned security cognizance by Government agencies, and related papers. (GRS 18, Item 11)

Disposition:

Destroy when four years old or when security cognizance is terminated, whichever is sooner.

11. Investigative Files.

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing to other agencies. Also included are reports and related papers concerning occurrences of such a minor nature that they are settled internally without referral. (GRS 18, Item 12)

Disposition:

Destroy when two years old.

12. Property Pass Files.

Property pass files, authorizing removal of OCC property or materials.  
(GRS 18, Item 13)

Disposition:

Destroy three months after expiration or revocation (See  
Subschedule E, Item 51).

13. Guard Assignment Files.

Files relating to guard assignments and strength. (GRS 18, Item 14)

a. Ledger records.

Disposition:

Destroy three years after final entry.

b. Requests, analyses, reports, change notices, and other papers  
relating to post assignments and strength requirements.

Disposition:

Destroy when two years old.

14. Police Functions Files.

Files relating to exercise of police functions. (GRS 18, Item 15)

a. Ledger records of arrest, cars ticketed, and outside police  
contracts.

Disposition:

Destroy three years after final entry.

b. Reports, statements of witnesses, warning notices, and other case  
papers relating to arrest, commitments, and traffic violations.

Disposition:

Destroy when three years old.

c. Reports on contact of outside police with building occupants.

Disposition:

Destroy when one year old.

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.  
(GRS 18, Item 16)

a. Ledger files.

Disposition:

Destroy three years after final entry.

b. Reports, loss statements, receipts and other papers relating to lost and found articles.

Disposition:

Destroy when one year old.

16. Key Accountability Files.

Files relating to accountability for keys issued. (GRS 18, Item 17)

Disposition:

For areas under maximum security, destroy three years after turn-in of key. For other areas, destroy six months after turn-in of key.

17. Visitor Control Records.

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas. (GRS 18, Item 18)

Disposition:

For areas under maximum security, destroy five years after final entry or five years after date of document, as appropriate. For other areas, destroy two years after final entry or two years after date of document, as appropriate.

18. Facilities Checks Files.

Files relating to periodic guard force facility checks. (GRS 18, Item 19)

a. Data sheets, door slip summaries, check sheet, and guard reports on security violations (except copies in files of agency security office covered by Item 24 of this schedule).

Disposition:

Destroy when one year old.

- b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 24 of this schedule.

Disposition:

Destroy when one month old.

19. Guard Service Control Files.

- a. Control center key or code records, emergency call cards, and building record and employee identification cards. (GRS 18, Item 20)

Disposition:

Destroy when superseded or obsolete.

- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets. (GRS 18, Item 20)

Disposition:

Destroy when one year old.

- c. Automatic machine patrol charts and registers of patrol and alarm services. (GRS 18, Item 20)

Disposition:

Destroy when one year old.

- d. Arms distribution sheets, charge records, and receipts. (GRS 18, Item 20)

Disposition:

Destroy three months after return of arms.

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule. (GRS 18, Item 21)

Disposition:

Destroy two years after final entry.

Personnel Security Clearance Records

Records accumulating from investigations of personnel conducted under Executive Order 10450, other Executive Orders, statutory or regulatory requirements.

21. Security Clearance.

Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered by Item 1 or elsewhere in this schedule. (GRS 18, Item 22)

Disposition:

Destroy when two years old.

22. Personnel Security Clearance Files.

Personnel security clearance case files and related indexes maintained by the Human Resources Division. (GRS 18, Item 23)

- a. Case files documenting the processing of investigations on OCC employees or applicants for employment, whether or not a security clearance is granted, and other persons, such as those performing work for the OCC under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Disposition:

Destroy upon notification of death or not later than five years after separation or transfer of employee or no later than five years after contract relationship expires, whichever applicable.

- b. Investigative reports and related papers furnished to the OCC by investigative organizations for use in making security/suitability determinations.

Disposition:

Destroy in accordance with the investigating agency instructions.

- c. Index to the Personnel Security Case File.

Disposition:

Destroy with related case file.

23. Personnel Security Clearance Status Files.

Lists or rosters showing the current security clearance status of individuals. (GRS 18, Item 24)

Disposition:

Destroy when superseded or obsolete.

24. Non-Felonious Security Violation Files.

Case files relating to investigation of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders. (GRS 18, Item 25)

Disposition:

Destroy two years after completion of final corrective or disciplinary action.

25. Felonious Security Violation Files.

Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies exclusive of files placed in the official personnel folders. (GRS 18, Item 26)

Disposition:

Destroy three years after completion of investigation.

Emergency Planning Records

Records accumulated from the formulation and implementation of plans for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files.

Correspondence files relating to administration and operation of the emergency planning program, not covered by Item 1 or elsewhere in this subschedule. (GRS 18, Item 27)

Disposition:

Destroy when two years old.

27. Emergency Planning Case Files.

Case files accumulated by the office responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers. See Subschedule E, Item 1. (GRS 18, Item 28)

Disposition:

PERMANENT. Transfer to WNRC when superseded or obsolete. Offer to NARS when ~~25~~ <sup>15</sup> years old *in 10 year blocks.*

28. Emergency Directives Reference Files.

Copies of plans and directives, other than those maintained in case files described in Item 27 above. (GRS 18, Item 29)

Disposition:

Destroy when superseded or obsolete.

29. Emergency Planning Reports.

Reports of operations tests, consisting of consolidated or comprehensive reports reflecting results of agency-wide tests conducted under emergency plans. (GRS 18, Item 30)

Disposition:

PERMANENT. Transfer to WNRC when five years old. Offer to NARS when ~~25~~ <sup>15</sup> years old *in 10 year blocks.*

30. Emergency Operations Tests Files.

Papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests by communications and facilities, and retained copies of reports. (GRS 18, Item 31)

Disposition:

Destroy when three years old.



NOTICE

Subschedule M - Machine-Readable is currently under review by the National Archives and has not been approved for use by this agency. All questions concerning the disposition of machine-readable records should be referred to the OCC Records Officer.

### Subschedule N - Audiovisual

This subschedule covers audiovisual and related records created by or for the OCC as well as those acquired in the course of business. Audiovisual records more than 30 years old must be offered to the National Archives and Records Services (NARS) before applying disposition instructions set forth in this schedule.

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

#### Still Photography

##### Record Elements

- (a) Black-and-white and color negative photography: the original negative, a captioned print, and, for color negative photography, a duplicate negative if one exists;
  - (b) Color transparency and slide photography: the original and a duplicate;
  - (c) Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.
1. Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency. (GRS 21, Item 1)

##### Disposition:

Destroy when one year old or when no longer needed.

2. Personnel identification or passport photographs. (GRS 11, Item 4)

##### Disposition:

See Subschedule E, Item 51a.

3. Internal OCC personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the agency. (GRS 21, Item 3)

##### Disposition:

Destroy one year after completion of training program.

4. Official portraits of senior agency officials. (GRS 21, Item 5)

##### Disposition:

PERMANENT. Break file into five year groups. Offer to NARS ten years later or when no longer needed.

Graphic Arts

Record Elements

- (a) posters: 2 copies
- (b) original art: original and a photographic copy, if one exists

5. Viewgraphs. (GRS 21, Item 9)

Disposition:

Destroy one year after use or when no longer needed.

6. Routine artwork for handbills, flyers, pamphlets, posters, letterhead, and other graphics. (GRS 21, Item 10)

Disposition:

Destroy one year after final publication or when no longer needed.

7. Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction. (GRS 21, Item 11)

Disposition:

Destroy when no longer needed for publication or reprinting.

8. Line copies of graphs and charts. (GRS 21, Item 12)

Disposition:

Destroy one year after final production or when no longer needed.

9. Posters distributed agencywide or to the public. (GRS 21, Item 13)

Disposition:

- a. Routine artwork. Destroy one year after final publication or when no longer needed.
- b. Original artwork of unusual or outstanding merit.  
PERMANENT. Break file into five year groups. Offer to NARS ten years later or when no longer needed.

10. Original artwork of unusual or outstanding merit. (GRS 21, Item 14)

Disposition:

PERMANENT. Break file into five year groups. Offer to NARS ten years later or when no longer needed.

Motion Pictures

Record Elements

- (a) Agency-sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording;
  - (b) Acquired films: two projection prints or one projection print and a video recording;
  - (c) Unedited footage: the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described.
11. Films acquired from outside sources for personnel and management training. (GRS 21, Item 15)

Disposition:

Destroy one year after completion of training program.

12. Films acquired from outside sources for personnel entertainment and recreation. (GRS 21, Item 16)

Disposition:

Destroy when no longer needed.

13. Agency-sponsored films intended for public distribution (including informational, educational, and recruiting films). (GRS 21, Item 20)

Disposition:

Offer to the National Archives when no longer needed.

14. Agency-sponsored training films that explain agency functions or activities intended for internal or external distribution. (GRS 21, Item 23)

Disposition:

Offer to the National Archives when no longer needed.

15. Films acquired from outside sources (other than those identified in Item 11 and 12 of this subschedule) that document or are used to carry out agency programs. (GRS 21, Item 25)

Disposition:

Offer to the National Archives when no longer needed.

Video Recordings

Record Elements

The original or earliest generation of a recording, and a dubbing if one exists.

16. Programs acquired from outside sources for personnel and management training. (GRS 21, Item 28)

Disposition:

Destroy one year after completion of training program.

17. Programs acquired from outside sources for personnel entertainment and recreation. (GRS 21, Item 29)

Disposition:

Destroy when no longer needed.

18. Rehearsal or practice tapes. (GRS 21, Item 30)

Disposition:

Destroy immediately.

19. Internal personnel and administrative training programs that do not reflect the mission of the agency (included are "role-play" sessions, management and supervisory instruction, etc.). (GRS 21, Item 31)

Disposition:

Destroy one year after completion of training program.

20. Recordings that document routine meetings and award presentations. (GRS 21, Item 34)

Disposition:

Destroy when no longer needed.

21. Agency-sponsored video productions intended for public distribution (including informational, educational and recruiting productions). (GRS 21, Item 36)

Disposition:

Offer to the National Archives when no longer needed.

22. Agency-sponsored training programs that explain agency functions or activities (other than those identified in Item 19 of this subschedule) intended for internal or external distribution. (GRS 21, Item 39)

Disposition:

Offer to the National Archives when no longer needed.

23. Recordings of public meetings or speeches, agency-sponsored conferences, guest speakers, and testimony of agency officials before the Congress and at other hearings. (GRS 21, Item 41)

Disposition:

Offer to the National Archives when no longer needed.

24. Programs acquired from outside sources (other than those identified in Items 16 and 17 of this subschedule) that document or are used to carry out agency programs. (GRS 21, Item 43)

Disposition:

Offer to the National Archives when no longer needed.

25. Media appearances by top agency officials. (GRS 21, Item 44)

Disposition:

Offer to the National Archives when no longer needed.

Sound Recordings

Record Elements

- (a) Conventional mass-produced, multiple copy disc recordings; the master tape, matrix or stamper, and one disc pressing.
  - (b) Magnetic audio tape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation of each recording, and a dubbing, if one exists.
26. Recordings of meetings made exclusively for notetaking or transcription. (GRS 21, Item 46)

Disposition:

Destroy immediately after use.

27. Dictation belts or tapes. (GRS 21, Item 47)

Disposition:

Destroy immediately after use.

28. Agency-sponsored radio programs, news releases or information programs intended for public broadcast. (GRS 21, items 52 and 53)

Disposition:

Offer to the National when no longer needed.

29. Internal management news or information programs. (GRS 21, Item 55)

Disposition:

Offer to the National Archives when no longer needed.

30. Recordings of public meetings or speeches, agency-sponsored conferences, guest speakers, and testimony of agency officials before the Congress and at other hearings. (GRS 21, Item 56)

Disposition:

Offer to the National Archives when no longer needed.

31. Oral history collections. (GRS 21, Item 57)

Disposition:

Offer to the National Archives when no longer needed.

32. Recordings or programs acquired from outside sources that document or are used to carry out agency programs. (GRS 21, Item 59)

Disposition:

Offer to the National Archives when no longer needed.

33. Media appearances by top agency officials. (GRS 21, Item 60)

Disposition:

Offer to the National Archives when no longer needed.

Audiovisual Documentation

34. Production files or similar files that document origin, development, acquisition, use, and ownership (also includes scripts, contracts, transcripts, releases, etc.). (GRS 21, Item 62)

Disposition:

Dispose of according to instructions covering the related audiovisual records.

35. Finding aids for identification, retrieval, or use (including indexes, catalogs, shelf lists, log books, etc. in text, card, microform or machine-readable format). (GRS 21, Item 63)

Disposition:

Dispose of according to instructions covering the related audiovisual records.



Subschedule O - Design and Construction

This subschedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by the OCC in connection with its official activities.

Drawings are defined as all graphic and engineering records that depict conceptual as well as precise measured information essential for the planning and construction of static structures and miscellaneous engineering projects.

The Office of Record for the files contained in this subschedule is the Division of Administrative Services.

1. OCC Layout Files.

Preliminary and presentation drawings and models of OCC office renovation projects.

- a. Files selected for architectural, historical, and technological significance. Includes drawings and models.

Disposition:

Destroy when five years old or when no longer needed.

- b. Files not included under Item 1a of this subschedule.

Disposition:

Dispose of when no longer needed for administrative purposes.

2. OCC Office Renovation Files.

Project specifications with documents relating to their preparation; and space assignment plans of OCC structures. (GRS 22, Item 2)

Disposition:

Dispose of when no longer needed.

3. Finding Aids.

Indexes and other finding aids to OCC design files.

Disposition:

Dispose of when no longer needed.

## OCC RECORDS SCHEDULE

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