

National Archives



Archivist of the United States

Washington, DC 20408

January 16, 1997

Dr. John H. Gibbons
Assistant to the President and Director,
Office of Science and Technology Policy
Washington, DC 20502

Dear Dr. Gibbons:

This responds to Jonathan Foster's letter dated January 15, 1997, regarding the disposition schedule for the Office of Science and Technology Policy (OSTP), No. N1-359-96-1. In accordance with 44 U.S.C. § 2909 and 36 C.F.R. § 1228.52, I have concluded that it would be in the best interests of the government to withdraw from OSTP the disposal authorizations contained in that schedule and I hereby do so.

We look forward to working with OSTP to develop a new schedule for the Compaq System PRO/XI, and subsequent systems computer tapes.

Sincerely,

JOHN W. CARLIN
Archivist of the United States

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D C 20502



January 15, 1997

Mr. John W. Carlin
Archivist of the United States
National Archives and Records Administration
8601 Adelphi Road
College Park, MD 20740-6001

Re: Disposition Schedule N1-359-96-1

Dear Mr. Carlin:

This is submitted on behalf of the Office of Science and Technology Policy (OSTP), Executive Office of the President (EOP), to request that the Archivist exercise his authority under 36 CFR 1228.52 to withdraw the disposition authority contained in the above-referenced schedule. This schedule was approved by you on December 13, 1996, and covers the disposition of the Compaq System PRO/XL and subsequent systems tapes that include word processing and electronic mail materials.

OSTP takes this step reluctantly. As you and your staff are aware, OSTP wishes to lawfully dispose of these tapes. For a small agency such as OSTP, maintaining several hundred computer tapes indefinitely is an undue burden -- particularly given that the permanently valuable record materials on these tapes have been separately preserved in paper or electronic form and have already been transferred to NARA to be retained permanently.

Accordingly, to properly dispose of these tapes we propounded the above-referenced disposition schedule, which relies in part on the authority of General Records Schedule (GRS) 20. As you are aware, however, the recently-filed complaint in Public Citizen v. Carlin seeks a declaration that GRS 20 is null and void, and an injunction that would prevent OSTP, as an EOP agency, from relying on GRS 20 to dispose of these tapes. While OSTP is confident that GRS 20 was properly propounded and will eventually be upheld, it is clear to OSTP that the question of whether GRS 20 provides lawful authority to dispose of these tapes could be the subject of lengthy litigation.

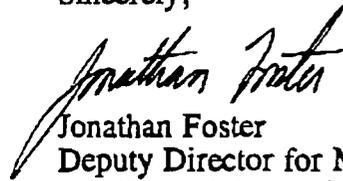
In the interest of moving forward toward our goal of lawfully disposing of these materials, OSTP wishes to withdraw the present disposition schedule, and to cease its reliance on GRS 20. Instead, OSTP proposes to follow an alternative route -- to seek authority to dispose of these tapes through submission of a Form 115, which requires individualized appraisal of their contents by the Archivist, followed by public notice and comment. OSTP will not rely on GRS 20 in seeking such authority.

Mr. John W. Carlin, Archivist
January 15, 1997
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We are hopeful that this alternative route may lead more promptly to the lawful disposition of these records.

Thank you for your assistance in connection with this matter.

Sincerely,



Jonathan Foster
Deputy Director for Management
and General Counsel

cc: Records Management, Office of Administration

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-359-96-1</i>	DATE RECEIVED <i>12-20-95</i>
1 FROM (Agency or establishment) EXECUTIVE OFFICE OF THE PRESIDENT		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION OFFICE OF ADMINISTRATION		In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION RECORDS MANAGEMENT OFFICE			
4 NAME OF PERSON WITH WHOM TO CONFER Nell Doering	5 TELEPHONE (202) 395-6471	DATE <i>12-13-96</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

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

is not required, is attached, or has been requested

DATE 12/18/95	SIGNATURE OF AGENCY REPRESENTATIVE <i>Nell Doering</i>	TITLE EOP RECORDS MANAGEMENT OFFICER
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Executive Office of the President, Office of Science and Technology Policy, Compaq System PRO/XL and subsequent systems, records schedule attached.		

RECEIVED

JAN 17 1997 *copy to: NW DDB*
NWRE

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY

This schedule applies to the Compaq System PRO/XL and subsequent systems in the Office of Science and Technology Policy (OSTP), Executive Office of the President.

CC:MAIL APPLICATIONS

The following applies to the records created or received on OSTP's electronic communication system **after July 14, 1994.**

1. **E-Mail Records.** E-mail messages created or received on the electronic communications system that have been determined to be Federal records. E-mail records include transmission data (identities of sender and recipient(s) and the date of transmittal) and receipt data (when necessary). The records consist of the message and any attachments. Messages designated as nonrecord material will be deleted after monitoring. Federal records will be transferred to an electronic recordkeeping system for preservation.
 - A. **Master Data File of all E-Mail Records Data.** (Not authorized for disposal by the General Records Schedules - see Information Note, item 1, on page 4 of this schedule).

Inclusive Dates: July 15, 1994 and thereafter.

Arrangement Statement: E-mail messages are arranged chronologically.

Statement of Restrictions: Some of the records may be restricted under the Freedom of Information Act.

Current Volume: 10 1/4 inch tapes (100MB of mail each); 130 4mm DAT tapes (100MB of mail each); 14 GB of Internet messages.

Estimate of Annual Accumulation: 12GB of electronic CC:mail and 18GB of Internet mail to be saved to CD-ROM.

DISPOSITION: PERMANENT

Transfer data file to NARA at the end of each Presidential Administration on CD-ROM in accordance with NARA procedures and with 36 CFR 1228.

- B. E-Mail Records Documentation.** The documentation for each data file will include any additional information about the format of the data file and/or the context in which the data file was created.

Inclusive Dates: July 15, 1994 and thereafter.

Current Volume: Less than one cubic foot.

DISPOSITION: PERMANENT

Transfer a copy of the electronic mail records documentation to NARA with the records described in 1.A. above. Transfer any updates to the documentation with subsequent transfers of records.

NOTE: All transfers of documentation will conform with requirements of 36 CFR 1228 and NARA procedures.

- 2. Distribution Lists.** Mailing lists on the cc:Mail System created by users for sending e-mail messages to groups of recipients. All recipients of e-mail messages are identified in full on the message itself.

DISPOSITION: TEMPORARY

Delete when no longer needed for administrative, legal, audit, or other operational purposes.

- 3. Indices.**

- A. System Indices.** Lists maintained on the system of the contents of e-mail messages.

Inclusive Dates: July 15, 1994 and thereafter.

Current Volume: 5GB of System Indices.

DISPOSITION: PERMANENT

Transfer data with Item 1.A. above.

- B. System Indices Documentation.** (Part of E-Mail Records Documentation, 1.B. above).

- C. **User Indices.** Lists maintained by the users of the contents of personal electronic folders. This is a dynamically changing list.

DISPOSITION: TEMPORARY

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

CALENDARS

4. **Electronic Calendars and Task Tracking of Designated High-Level officials.**

Electronic calendars and task tracking created by the OSTP designated high-level officials.

- A. **Electronic Version.**

DISPOSITION: TEMPORARY

Delete after printing and filing.

- B. **Paper Version.**

DISPOSITION: PERMANENT

Print calendars monthly and inter-file in designated official recordkeeping system and transfer to NARA according to the approved schedule controlling those records.

INFORMATION NOTE: The following items are authorized for disposition under the NARA General Records Schedules.

CC:MAIL APPLICATIONS

1. **E-Mail Records in the Recordkeeping System.** E-mail records in the recordkeeping system that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5.

DISPOSITION: TEMPORARY

Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later (GRS 20, Item 3.a.).

2. **Bulletin Board.** The bulletin board is used to notify cc:Mail users of reminders regarding computers such as computer security requirements and updates on viruses.

DISPOSITION: TEMPORARY

Delete when three months old or when no longer needed, whichever is later (GRS 23, Item 7.c. and GRS 20, Item 3.a.).

3. **Electronic Versions of Records on the "Live" System Authorized for Disposal or Copied to the Master Data File.**

DISPOSITION: TEMPORARY

Delete from the e-mail system after copying to the recordkeeping system (GRS 20, Item 14).

4. **System Distribution Lists.** Mailing lists created by the system manager to facilitate system messages to users. This is a dynamically changing list of current system users.

DISPOSITION: TEMPORARY

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes (GRS 20, Item 7).

5. **User Directory.** The user directory is an electronic feature that provides users with a short-cut to entering the name of the intended recipient of a message. This is a dynamically changing list of system users. It is a list of users only; it is not an index or finding aid to messages. See Item 3.A. of the OSTP Schedule for the System Indices.

DISPOSITION: TEMPORARY

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes (GRS 20, Item 3.a.).

6. **User Set-up** Consists of user passwords, locations, and log-in/log-out data.

DISPOSITION: TEMPORARY

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes (GRS 20, Item 1.c.).

CALENDARS

7. **Federal Records Calendars and Task Tracking Lists of Staff (Other than Designated High-Level Officials).**

DISPOSITION: TEMPORARY

Destroy or delete when two years old (GRS 23, Item 5.a. and GRS 20, Item 3.a.).

WORD PROCESSING DOCUMENTS

8. **Word Processing Documents.** Word processing documents using WordPerfect such as letters, messages, memoranda, reports, directives, and related drafts recorded on the Compaq System PRO/XL and the Compaq Prolineas or diskettes. Word processing documents, including appropriate drafts, are printed out and placed in the official files. Official Federal records are controlled by the existing OSTP Records Schedule.

DISPOSITION: TEMPORARY

Delete from the word processing system when no longer needed for updating or revision (GRS 20, Item 13).

ELECTRONIC SPREADSHEET DOCUMENTS

9. **Electronic Spreadsheet Documents.** Electronic Spreadsheet documents created on Quattro Pro and Windows for internal use to support administrative functions of OSTP. Spreadsheets

are printed out, annotated with underlying computations on how the spreadsheet was formulated, and placed in the official files. Official Federal records are controlled by the existing OSTP Records Schedule.

DISPOSITION: TEMPORARY

Delete when no longer needed to update or produce hard copy (GRS 20, Item 15.a.).

BACKUP TAPES

10. **Backup Tapes.** Backup tapes created after July 15, 1994, of the Compaq System Pro/XL which includes the Novell Netware LAN 3.11 software, Federal applications, consisting of e-mail messages, copies of temporary records authorized for destruction, nonrecord materials, distribution lists, indices, calendars, and records that are duplicated elsewhere for preservation and disposition.

DISPOSITION: TEMPORARY

Daily Backup Tapes. Delete when set of weekly backup tapes has been created without error.

Weekly Backup Tapes. Delete when 90 days old.

File identical to records scheduled for transfer to the National Archives. Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied (GRS 20, Item 8.a.).