

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-064-00-8	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9-8-2000	
1 FROM (Agency or establishment) National Archives & Records Administration		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Policy & Planning Staff (NPLN)			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Richard Marcus	5 TELEPHONE NUMBER (301) 713-7330 x250	DATE 8-6-02	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 for disposal on the attached <u>10</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE SEP 7 2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>Richard W. Marcus</i> Richard W. Marcus		TITLE NARA Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached page(s)		

4 Copies sent to Agency, NWMD, NWME, NWML, NR, NWCT

Item 1. [NEW] File No. 101-2: Organizational Files: Working files maintained by NPLN staff members.

Proposed Disposition: Destroy when no longer needed for reference.

Item 2. Internal Directives Case Files: POLICY DIRECTIVES

a. [NEW] File No. 104-1c: Case files on directives that were developed but not issued.

Proposed Disposition: Cut off at close or suspension of project. Destroy when 10 years old.

b. [NEW] File No. 104-2d: Interim Guidances Database and Register

File No. 104-2d(1): Interim Guidances Database (electronic records)

Proposed Disposition: Delete when no longer needed.

c. [NEW] File No. 104-2d(2): Interim Guidances Register (printouts)

Proposed Disposition: Destroy when no longer needed.

d. [NEW] File No. 104-4: Internal Operating Procedures (IOPs) - Records relating to detailed procedures developed and issued by individual offices/staffs/units to perform their delegated responsibilities/functions.

Proposed Disposition: Destroy when superseded or obsolete.

Item 3. NARA Notice Files: Notices (formerly NARA-numbered Memos- ACTION and NOTICE) addressed to two or more NARA units, or to all employees or a select group of employees that provide information of interest (such as events, NARA- or Government-related programs, or national commemorative observances), reminders of policy/procedures, and temporary designations of authority; request comments on external and internal policy issues, draft proposals, reports, etc.; and request information from staff. NARA notices are prepared by program and staff offices in the Washington, DC, area, and are signed by N, ND, NA, NH, or NPLN.

a. [NEW] File No. 105-3: Signed record copies and register of NARA Notices maintained by NPLN. Arranged by sequential number.

Proposed Disposition: PERMANENT. Cut off annually. Transfer to NARA in 5-year blocks when 15 years old.

b. [NEW] File No. 105-4: NARA Notices Database and Register

File No. 105-4a: NARA Notices Database (electronic records)

Proposed Disposition: Delete when no longer needed.

- c. [NEW] File No. 105-4b: NARA Notices Register (printouts)

Proposed Disposition: Print out annually and file in 105-3.

Item 4. NARA Strategic Planning and Government Performance and Results Act (GPRA) Files

- a. File No. 111-1a: NARA Strategic Plan, Annual Performance Plans, and Annual Performance Reports: Record copies of final versions maintained by NPLN. (N1-64-87-1)

Proposed Disposition: PERMANENT. Cut off after last annual performance report is issued pursuant to applicable version of the NARA Strategic Plan. Transfer to NARA when 10 years old.

- b. [NEW] File No. 111-1b: Copies maintained by other offices.

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

- c. [NEW] File No. 111-1c: HTML or equivalent copies mounted on the NARA web site.

Proposed Disposition: Destroy when superseded or obsolete.

- d. [NEW] File No. 111-2: NARA Strategic Plan Developmental Files. Case files relating to preparing the NARA Strategic Plan for dissemination to the Office of Management and Budget (OMB), the Congress, the public, and NARA staff. Included are substantive drafts, correspondence, comments, notes, reports, and other related records.

File No. 111-2a: Case files created and maintained by NPLN.

File No. 111-2a(1): Files for a strategic plan that takes NARA into a new direction(s) and makes major changes to organizational mission(s) and strategic performance elements.

Proposed Disposition: PERMANENT. Cut off upon issuance of NARA Strategic Plan. Transfer to NARA with record copy of related plan. See file no. 111-1a.

- e. [NEW] File No. 111-2a(2): Files for a strategic plan that sustains NARA's strategic direction(s) and makes minor adjustments as needed to mission statements and strategic performance elements.

Proposed Disposition: Cut off upon issuance of NARA Strategic Plan. Destroy when no longer needed for reference.

- f. [NEW] File No. 111-3: NARA Annual Performance Plan Developmental Files. Case files,

* Withdrawn
12/20/01
per Disposition
Richard Moore

created and maintained by NPLN during the applicable budget-year cycle, for the NARA Annual Performance Plan. Included are various versions of the plan (substantive drafts, initial version submitted to OMB, final plan disseminated to Congress and the public, and revised final plan or "operating" plan); correspondence and comments; notes; written specifications for measuring performance objectives (within the framework of NARA's Performance Measurement and Reporting System); copies of NARA notices, strategic budget initiatives, project plans, quarterly reports to the Archivist, and preceding annual performance plans; and other related records.

File No. 111-3a: Case files maintained by NPLN.

Proposed Disposition: Cut off upon final revision of the Annual Performance Plan. Destroy after annual performance reports have been issued in the 3 successive fiscal years.

g. [NEW] File No. 111-4: NARA Annual Performance Report Developmental Files. Case files created and maintained by NPLN for the NARA Annual Performance Report. Included are: substantive drafts of the report; correspondence and comments; notes; written specifications for measuring performance objectives (within the framework of NARA's Performance Measurement and Reporting System); reports on plan implementation; copies of NARA notices, strategic budget initiatives, project plans, quarterly reports to the Archivist, and preceding annual performance plans and annual performance reports; and other related records.

File 111-4a: Case files maintained by NPLN.

Proposed Disposition: Cut off upon issuance of the Annual Performance Report. Destroy after annual performance reports have been issued in the 3 successive fiscal years.

Item 5. Committee Management Officer (CMO) Files. Records maintained by the NARA Committee Management Officer (NPLN) for tracking agency participation in external groups and activities of advisory and internal committees. (Federal advisory committees are established under the Federal Advisory Committee Act.) Included are copies of charters, membership lists, agendas, policy statements, and final reports, and, for Federal advisory committees, material required to be available for public information. (See file no. 115 for documents created and maintained by committees and members of committees.)

a. File No. 114-1a: External groups (e.g. interagency committees, professional associations, and standards-setting and international committees and organizations)] of ongoing duration in which NARA participates as a long-standing sponsor and/or member. Included are records documenting NARA employees' status as members in an official capacity and their terms of membership, and copies of meeting minutes, reports, and other documents generated by external groups. Arranged by category of external group (e.g. interagency committees, professional associations, etc.) and thereunder alphabetically by name of committee, professional association, etc. (GRS 16, item 8c)

Proposed Disposition: Destroy when 10 years old.

b. File No. 114-3: Internal committees. Includes copies of charters or equivalent authorizing documents, membership lists, final reports, and internal correspondence. Arranged alphabetically by name of committee. (GRS 16, item 8a)

Proposed Disposition: Cut off upon termination of committee. Destroy when 2 years old or when no longer needed for administrative purposes, whichever is later.

c. [NEW] File No. 114-4b: Committee management oversight records maintained by NPLN: Federal Advisory Committee Fiscal Year (FY) Reports Files. Includes related correspondence with Committee Management Secretariat, General Services Administration, copies of NARA's Designated Federal Officers' annual submissions; and a printout of final FY report submitted electronically to the Committee Management Secretariat.

Proposed Disposition: Cut off after verification of data submitted electronically. Destroy when 3 years old.

Item 6. File No. 116: International Organization Liaison Files [formerly "Committee Liaison Files"]: Records, dealing with non-substantive issues, maintained by NPLN while serving as liaison between the Archivist and Governmental and non-Governmental international organizations. Included are correspondence, forms, reports, brochures, extra copies of meeting minutes, and related documents. (N1-64-87-1)

Proposed Disposition: Cut off annually. Destroy when 2 years old.

Item 7. NARA Customer Service Program Files. Records pertaining to developing, implementing, and reporting on the NARA Customer Service Program. Includes plans, reports,

Revision of Item 7a – September 6, 2001

case files, and other records documenting NARA's compliance with Executive Order 12862 and Presidential Memorandums dated March 22, 1995 and March 3, 1998.

- a. File No. 131-1: NARA Customer Service Plans and Customer Service Reports. The plan includes NARA's customer service standards and program elements. Reports sent to the President, National Partnership for Reinventing Government (NPR), and Congress contain anecdotal and statistical information about NARA's interactions with customers and accomplishments related to the customer service standards identified in NARA's Customer Service Plan.

File No. 131-1a: Record copies of NARA Customer Service Plans and Customer Service Reports maintained by NPLN (N1-64-96-2, item 24c)

Proposed Disposition: PERMANENT. Cut off after Customer Service Report(s) for related Customer Service Plan is (are) issued. Transfer to NARA in 5-year blocks when 5 years old.

NOTE: If NARA includes customer service performance data in Annual Performance Reports rather than publishing Customer Service Reports, transfer record copies of the Customer Service Plan in 5-year blocks when 5 years old.

- b. [NEW] File No. 131-1b: Copies maintained by other offices.

Proposed Disposition: Destroy when superseded or obsolete.

- * Withdrawn
12/20/01 per
Diana Johnston
Richard Mancini
c. [NEW] File No. 131-1c: HTML or equivalent copies mounted on the NARA web site.

Proposed Disposition: Destroy when superseded or obsolete.

- d. [NEW] File No. 131-2. NARA Customer Service Plan Developmental Files. Case files relating to preparing and publishing paper and electronic versions of NARA Customer Service Plans for dissemination to NPR, the general public, NARA staff, and other interested constituencies.

File No. 131-2a: Developmental case files maintained by NPLN.

File No. 131-2a(1): Substantive drafts and final versions of Customer Service Plans, correspondence (emails and memoranda), comments, and other records that document justifications for specific customer service standards.

Proposed Disposition: PERMANENT. Cut off upon publication of NARA Customer Service Plan. Transfer to NARA with record copy of related plan. See file no. 131-1a.

- e. [NEW] File No. 131-2a(2). All other background records used to prepare and facilitate publication of NARA Customer Service Plans.

Proposed Disposition: Cut off upon publication of NARA Customer Service Plan.
Destroy when successive Customer Service Plan is published.

f. [NEW] File No. 131-3: NARA Customer Service Report Developmental Files. Case files relating to preparing and publishing paper and electronic versions of the NARA Customer Service Report for dissemination to NPR, the general public, NARA staff, and other interested constituencies. These files may include: substantive drafts and final version of Report; correspondence (emails, memoranda, and letters) and comments; worksheets; copies of NARA notices, Quarterly Reports to the Archivist, units' feeder reports (containing statistical information and narrative accounts of successful interactions with customers), and completed NA Forms 14045, Customer Comment Forms; letters from customers; preceding customer service reports; and other related records.

File No. 131-3a: Developmental case files maintained by NPLN.

Proposed Disposition: Cut off upon publication of NARA Customer Service Report.
Destroy when no longer needed for reference.

Item 8. File No. 132: Customer Feedback Files. Records related to acquiring customers' feedback through survey instruments, comment forms, correspondence, and non-written communications.

a. [NEW] File No. 132-1: Customer Survey Questionnaire, Focus Group, and Interview Files. Records related to developing, administering, evaluating, and reporting on customer feedback in the forms of survey questionnaires, focus groups, and telephone/in-person interviews.

File No. 132-1a: Case files related to developing, administering, and evaluating the effectiveness of customer survey questionnaires, focus groups, and telephone/in-person interviews. Included are: drafts and final versions of the information collection instrument (e.g. survey questionnaire, prepared script for a focus group, and/or set of questions for telephone/in-person interviews); correspondence (emails, memoranda, and letters) and comments; OMB Form 83-I, Paperwork Reduction Act Submission, the OMB supporting statement, and any other records related to the OMB clearance process; agreements and contractual documents (e.g., statements of work, requisitions, purchase orders, and receiving reports); instructions and other documents regarding administration of the survey instrument; evaluations of the instrument's effectiveness; and other related records.

File No. 132-1a(1): Files maintained by the office responsible for conducting the survey questionnaire, focus group, or telephone/in-person interviews.

Proposed Disposition: Cut off upon completion of administration of the survey questionnaire, focus group, or telephone/in-person interviews. Destroy when 6 years old.

b. [NEW] File No. 132-1a(2): Files maintained by NPLN for purposes of reviewing and approving instruments for customer feedback and assessing their effectiveness.

NOTE: For information collections files maintained by NHP, see file no. 229-1.

Proposed Disposition: Cut off upon completion of administration of the survey questionnaire, focus group, or telephone/in-person interviews. Destroy when 6 years old.

c. [NEW] File No. 132-1a(3): Documents related to working with an outside organization or contractor to develop and/or administer survey questionnaires, focus groups, and telephone/in-person interviews.

File No. 132-1a(3)(a): Memorandums of Agreement (or Understanding) and statements of work.

Proposed Disposition: Dispose of in accordance with file no. 131-4a(1) or 131-4a(2).

d. [NEW] File No. 132-1a(3)(b): Purchase orders and other contractual paperwork.

Proposed Disposition: Dispose of in accordance with file nos. 519-1a or 519-1b.

e. File No. 132-1b: Files related to evaluating feedback from customers completing customer satisfaction information collections. Files are maintained by the office responsible for conducting the survey questionnaire, focus group, or telephone/in-person interviews. Included are: completed survey questionnaires, evaluation forms (e.g. NA Forms 2019), and feedback documents from focus groups and telephone/in-person interviews; and paper and electronic compilations of data culled from the survey instruments. Arranged by information collection instrument (e.g., particular survey questionnaire, focus group, etc.) (N1-64-96-2, item 23b)

Proposed Disposition: Cut off upon completion of data compilations. Destroy when 3 years old or when no longer needed for reference, whichever is later.

f. [NEW] File No. 132-1c: Files related to reporting on final results of survey questionnaires, focus groups, and telephone/in-person interviews.

File No. 132-1c(1): Record copy of final report maintained by NPLN.

Proposed Disposition: PERMANENT. Transfer to NARA when 5 years old.

g. File No. 132-2: Comment and Complaint Files. Documents created or accumulated in addressing customer comments, compliments, suggestions, and complaints about NARA services and products. Included are: original incoming correspondence; comment forms, such as NA Forms 14045; records of non-written communications; copies of replies; and related supporting materials. (N1-64-96-2, item 23a)

Proposed Disposition: Cut off annually. Destroy when 3 years old.

Item 9. [NEW] File No. 1xx: Agency-Authorized Staffing Plan. Electronic and paper records maintained as a means of managing current information about authorized positions and vacancies.

- a. File No. 1xx-1: Microsoft Excel spreadsheet file maintained by NAB.

Proposed Disposition: Overwrite when modified.

- b. File No. 1xx-2: Paper copies maintained by NAB, NPLN, and program offices.

Proposed Disposition: If applicable, file in appropriate program file. Otherwise, destroy when no longer needed for administrative or reference purposes.

Item 10. [NEW] File No. 1xx: Vacancy Allocation Files: Paper and electronic records maintained as a means of managing NARA's vacancy allocation process.

- a. File No 1xx-1: Vacancy Allocation Form (VAF) Files. Included are NA Forms 3034, Vacancy Allocation Form (VAF); correspondence; copies of Standard Forms 52 and position descriptions; staffing lists generated by program offices; and reports annotated with the Archivist's decisions.

File No. 1xx-1a: Records maintained by NAB, NPLN, and program offices.

Proposed Disposition: Cut off annually. Destroy when 2 years old or when no longer needed for administrative purposes, whichever is later.

- b. File No. 1xx-1b: Copy of VAF maintained by NHHO.

Proposed Disposition: File on left side of the Official Personnel Folder (OPF) (See file no. 301-2).

- c. File No 1xx-2: Microsoft Excel spreadsheet file of VAF Tracking Report maintained by NAB.

Proposed Disposition: Maintain separate electronic worksheets by fiscal year. Delete worksheet when 2 years old or when no longer needed for administrative purposes, whichever is later.

- d. File No. 1xx-3: Paper copies of VAF Tracking Report.

File No. 1xx-3a: Record copy maintained by NAB.

Proposed Disposition: Print record copy at end of the fiscal year. Destroy when 2 years old or when no longer needed for administrative purposes, whichever is later.

- e. File No. 1xx-3b: Copies maintained by other offices.

Proposed Disposition: Destroy when no longer needed for administrative or reference purposes.

Item 11. [NEW] File No. 1xx: Leadership Team Meeting Files: Records documenting the meetings of the NARA Leadership Team, consisting of the Archivist, Deputy Archivist, NPLN Director, and Office Heads/Staff Directors. Includes agendas, meeting handouts, and notes. Arranged by year and thereunder by month.

Proposed Disposition: PERMANENT. Cut off annually. Transfer to NARA in 5-year blocks when 15 years old.

Item 12. File No. 216: Federal Activities Inventory Reform (FAIR) Act Files: Records documenting the development and submission of the annual Commercial Activities Inventory and other requirements of the FAIR Act.

- a. File No. 216-1: Correspondence and other records relating to the development of the Commercial Activities Inventory and its submission to the Office of Management and Budget (OMB) and Congress. Includes copies of inventories and background papers, records relating to the Archivist's review of the inventory, OMB's review, and challenges and appeals. (N1-64-87-1)

Proposed Disposition: Cut off annually. Destroy 5 years after cutoff.

- b. File No. 216-2: Records relating to management reviews conducted pursuant to the FAIR Act. (N1-64-87-1)

Proposed Disposition: Cut off upon completion of review, hold 3 years, and retire to records center. Destroy when 10 years old.

Item 13. File No. 217: A-76, Performance of Commercial Activities Files: Records documenting NARA's implementation of OMB Circular A-76, Performance of Commercial Activities. Includes implementation procedures, reviews of NARA commercial activities, appeal procedures, other reviews required under A-76, and inventories of in-house commercial activities and of activities already contracted out. (Procurement files related to A-76 solicitations are filed under Appendix 5 or in the designated program procurement file.)

- a. File No. 217-1: Case files maintained by office having primary responsibility. (N1-64-87-1)

Proposed Disposition: Cut off when action is completed, hold 3 years, and retire to records center. Destroy when 10 years old.

- b. File No. 217-2: Records maintained by OIG as part of independent review process. (N1-64-96-2, item 15)

16

Acquisition of Item 15 – December 13, 2001

Proposed Disposition. Cut off when action is completed, hold 3 years, and retire to records center. Destroy when 10 years old.

Item 14. File No. 229: Reports Control: Documents accumulated in controlling internal and external reports. See file no. 265 for Information Collection Budget reports.

a. [NEW] File No. 229-2: Interagency and Congressional Reports

File No. 229-2a: Case files maintained by NPLN for purposes of tracking reporting requirements placed on NARA by other agencies, OMB, and Congress. Included are: notices reminding offices that reports are due; correspondence; copies of transmittal letters and reports sent to recipient agencies and/or Congress; copies of authorizing directives and regulations (including OMB Circulars) and pertinent forms or descriptions of format; preparation instructions; other documents relating to continuation, revision, or discontinuance of reporting requirements; and working papers. Files are arranged by office.

Proposed Disposition: Destroy when superseded or when reporting requirement is discontinued.

b. [NEW] File No. 229-2b: Files maintained by offices that are tasked with completing a report (or reports) for NARA as required by other agencies, OMB, and Congress. Included are: notices reminding office that reports are due; correspondence; copies of transmittal letters and reports sent to recipient agencies and/or Congress; copies of authorizing directives and regulations (including OMB Circulars) and pertinent forms or descriptions of format; preparation instructions; other documents relating to continuation, revision, or discontinuance of reporting requirements; and working papers.

Proposed Disposition: File in appropriate program file.

Item 15. Word Processing Files and Electronic Mail (Email) Records

a. [NEW] Word Processing Files: Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media, such as hard disks or floppy diskettes, after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Disposition: Delete from the word processing system when no longer needed for updating or revision.

b. [NEW] Email Records: Senders' and recipients' versions of email messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Disposition: Delete from the email system after copying to a recordkeeping system.

Addition of Item 15 – December 13, 2001

NOTE: Along with the message text, the recordkeeping system must capture the names of the sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.