

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-269-89-2

DATE RECEIVED

7/3/89

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

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

1. FROM (Agency or establishment)

General Services Administration

2. MAJOR SUBDIVISION

Office of Administration

3. MINOR SUBDIVISION

Information Collection Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER

Maury Grundy

5. TELEPHONE EXT.

535-7983

DATE

ARCHIVIST OF THE UNITED STATES

11/16/89
[Signature]

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 30 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

[Signature]
Mary Cunningham

6/14/89

Chief, Info. Coll. Mgmt. Branch & GSA Records Officer

7. ITEM NO.

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

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

Chapter 9

RECORDS COMMON TO MOST OFFICES

Record descriptions and requested disposition authorizations are contained in the attached proposed chapter to the HB, GSA Records Maintenance and Disposition System (OAD P 1820.2).

N1-168-138
N1-269-80-2
N1-269-81-5
N1-269-86-1

[Approved as new items, 9C1m and 9E40. Item 9E25 was withdrawn because it will be covered in the GRS under a revised item for Privacy Act Records]

3 items

Copies sent to agency, MNT, MM-W 11/21/89

GENERAL SERVICES ADMINISTRATION
Washington, DC 20405

OAD P 1820.2 CHGE

GSA ORDER

SUBJECT: GSA Records Maintenance and Disposition System

1. Purpose. This order transmits revised pages to ch. 9 of the HB, GSA Records Maintenance and Disposition System.
2. Explanation of changes. Ch. 9, Records Common to Most Offices, is revised to expand coverage of administrative and common program records, including records pertaining to the Freedom of Information and Privacy Acts in the new appendix 9-E.
3. Instructions. Remove ch. 9 and insert the attached new ch. 9.

PAUL T. WEISS
Associate Administrator
for Administration

Central Office			
200 copies to CAIR for reserve stock.			
Regional Offices			
Distribute the copies below to each regional CAI records officer for distribution and reserve stock.			
<u>Office</u>	<u>Copies</u>	<u>Office</u>	<u>Copies</u>
Region 2	100	Region 7	100
Region 3	75	Region 9	100
Region 4	75	Region W	75
Region 5	75	NARA/NIRC	15
Region 6	75		

Figure 1. Supplemental distribution.

Distribution: A; B; F; G; H; plus figure 1

Attachment

CHAPTER 9. RECORDS COMMON TO MOST OFFICES

1. General. This chapter provides documentation, maintenance, and disposition instructions for records common to most offices. The records covered by this schedule are accumulated as the result of routine internal administrative (housekeeping) activities, functions common to most program areas, and documents requiring signature or concurrence at higher levels than the action office (signatory records). The records accumulated in app. 9-E are accumulated as the result of an office's involvement in the FOIA and PA programs within GSA. This schedule also covers certain types of records created in electronic form. The instructions are contained in:

- a. Appendix 9-A. Mail and File Controls
- b. Appendix 9-B. Office Administrative Records
- c. Appendix 9-C. Program Administration Records
- d. Appendix 9-D. Signatory or Supervisory Official's Records
- e. Appendix 9-E. Freedom of Information Act (FOIA) and Privacy Act (PA) Program Records

2. Microfilming records. The records described in this chapter may be converted to microfilm and the original paper records destroyed provided that the requirements and standards of the HB, GSA Micrographics Management Program (OAD P 1882.1), chs. 3-1, 3-3, 4-3, and 4-4 are met.

3. Electronic records. The records described in this chapter are eligible for disposal in both hard copy and electronic form.

OAD P 1820.2 CHGE

This appendix describes records created in controlling mail and files.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
9A1.	<u>Records plan (NC1-269-89-2).</u> The first file item in a records station. GSA Form 2039, Records Maintenance Plan, lists all program and non-program records maintained by an office. Included on the form are record symbols, descriptions of records, and cutoff and disposition dates.	Cut off with related records. Destroy when all related records are destroyed or re-tired.
9A2.-9A4.	<u>Reserved.</u>	
9A5.	<u>Suspense files.</u> Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. Record symbols are not required on suspense file folders, drawer labels, or on papers included in suspense files. Suspense file folders are usually numbered 1 to 31: one for each day of the month. Offices having a small volume of suspended material may need only two folders numbered 1-15 and 16-31. Examples of papers normally included in a suspense file are: a. A note or other reminder to take action (GRS 23/6a). b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. This includes copies of communications control records when used as suspense controls (GRS 23/6b). (1) Suspense copy is an extra copy. (2) Suspense copy is the file copy or a communications control record.	Destroy after taking action. Withdraw documents when reply is sent or received. Destroy immediately. Incorporate into the official files.
9A6.-9A9.	<u>Reserved.</u>	
9A10.	<u>Transitory Files (GRS 23/7).</u> Documents of short-term interest that have no documentary or evidential value and	Destroy when 3 months old; earlier destruction is authorized if no longer needed.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
	<p>normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.</p> <p>a. Routine requests for information or publications and copies of replies that require no administrative action, no policy decision, and no special compilation or research for reply.</p> <p>b. Originating office's copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office's copy if filed separately from transmitted material.</p> <p>c. Quasi-official notices, including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.</p>	
<p>9A11.- 9A14.</p>	<p><u>Reserved.</u></p>	
<p>9A15.</p>	<p><u>Tracking and control records (GRS 23/8).</u> Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports or other records.</p>	<p>Destroy when no longer needed.</p>
<p>9A16.- 9A19.</p>	<p><u>Reserved.</u></p>	
<p>9A20.</p>	<p><u>Finding aids/indexes (GRS 23/9).</u> Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by this handbook. Excluded are records containing abstracts or other information that can be used as an information source apart from the related records.</p>	<p>Destroy or delete with the related records or when no longer needed.</p>

The records in this appendix relate to administrative and operational functions within an office, as distinguished from records related to the performance of mission or program functions that are described in succeeding chapters and appendixes of this handbook. Office administrative records (a) accumulate as a result of routine procedures that are part of normal housekeeping operations in any office; (b) relate to the acquisition and use of supplies, services, or administrative support from the office responsible for providing them; and (c) provide a source of general and technical reference material for use within the office. Office administrative records are normally accumulated by individuals handling administrative matters for the office. NOTE: Records pertaining to the Freedom of Information and Privacy Acts are now filed under app. 9-E.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
981.	<u>Office administration records (WCI-249-90-2)</u> . These are of four types: (1) Documents created in preparing office procedures or instructions that apply to internal administrative practices and operational details within the preparing office; (2) Documents showing hours of duty and individual temporary duties; (3) Documents showing delegation of authority, such as those listing existing delegations and papers authorizing individual delegations, but excluding those relating to delegations found in GSA directives; and (4) Documents used in orientations and briefings given to visitors and newly assigned personnel such as photographs, transparencies, copies of handouts, and related records.	Destroy when superseded or obsolete.
982.-984.	<u>Reserved.</u>	
985.	<u>Campaigns (GRS 23/1)</u> . Documents reflecting office participation in such matters as blood donation programs, savings bond drives, fund solicitations, and similar matters.	Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.
986.-989.	<u>Reserved.</u>	
9810.	<u>Office financial records (GRS 23/1)</u> . Documents relating to the participation of offices in matters concerning the expenditure of funds used in performing program functions of the office. Included are travel cost estimates and notices of availability of funds; receipts for, and other documents regarding the distribution of checks and savings bonds; and related records.	Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.
9811.- 9814.	<u>Reserved.</u>	

RECORD SYMBOL

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9815.

Office information management records. These records consist of the categories described below:

a. Office general information management (GRS 23/1). Documents related to an office's involvement in forms, directives, records, and reports management activities. Included are reports, correspondence, and related records. Excluded are records related to the initiation, management, or disposition (of stocks) of a specific form, directive, or report. These are maintained as specified in ch. 11.

Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.

b. Records disposition. Documents showing the location and/or disposition of records retired out of an office.

(1) Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; NA Form 1301, Notice of Intent to Destroy Records; NA Form 1300, Agency Review for Contingent Disposal; NA Form 13016, Notice of Accession Location Change; and related documentation (GRS 16/2a).

Destroy when related records are destroyed or transferred to the National Archives, or when no longer needed for administrative or reference purposes.

(2) Routine correspondence and memoranda (GRS 16/2b).

Destroy when no longer needed for reference.

9816.-
9819.

Reserved.

no change
✓

9820.

Staffing (*NCI-269-81-5*). Documents such as human resource surveys and papers showing staffing authorizations.

Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.

9821.-
9824.

Reserved.

RECORD
SYMBOL

DESCRIPTION OF RECORD

AUTHORIZED DISPOSITION

9B25.

Office personnel records.
These records consist of the categories described below:

a. Office personnel administration (GRS 23/1). Documents accumulated by operating officials in administering personnel matters for or about employees in an office. Included are documents accounting for office personnel and in controlling office visitors, copies of attendance and overtime reports other than those maintained by time and attendance clerks, notifications and lists of employees to receive Government medical services, notices about employee athletic events, unions, and similar records.

Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.

b. Employee record cards.

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

Destroy when employee leaves the agency.

NOTE: Record cards for employees transferred within GSA will be forwarded to the gaining office.

(2) Employee record cards used in considering position changes for employees separated for military service (NC1-269-81-5).

Return to 9B25h(1) on fulfillment of restoration obligation or destroy on termination of restoration obligation, as applicable.

c. Supervisor's personnel records and duplicate OPF documentation.

(1) Supervisor's personnel records (GRS 1/18a). Correspondence, forms, and other records relating to positions, authorizations, pending actions, copies of position descriptions, requests for personnel action, and records on individuals duplicated in or not appropriate for the OPF.

Review annually and destroy superseded or obsolete documents, or destroy all documents relating to an individual employee within 1 year after separation or transfer.

(2) Statements of employment and financial interests (GRS 1/24b). GSA Forms 2157 and 2158 and related records, including confidential

Destroy when 6 years old, except that documents needed in an on-going investigation will be retained until no longer needed in the

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<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
	statements filed under Executive Order 11222.	Investigation.
	(3) Duplicate documentation (GRS 1/18b). Other copies of documents duplicated in OPR's not provided for elsewhere in this schedule.	Destroy when 6 years old.
	d. <u>Notifications of personnel actions.</u> SF 50, documenting individual personnel actions such as employment, promotions, transfers, or separations, excluding the copy in the OPR.	
	(1) Chronological file copies, including fact sheets (GRS 1/14a).	Destroy when 2 years old.
	(2) All other copies (GRS 1/14b).	Destroy when 1 year old.
	e. <u>Employee training (GRS 1/29b).</u> Correspondence, memoranda, reports and other records relating to the availability of, and employee participation in, training programs sponsored by Government agencies or other organizations.	Destroy when 5 years old or when superseded or obsolete, whichever occurs first.
		NOTE: Reference copies of pamphlets, notices, catalogs and other documents that provide information on courses or programs offered by Government agencies or other organizations, are nonrecord information and may be destroyed when superseded or obsolete.
	f. <u>Employee travel.</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel. Excluded are "payment" copies accumulated by finance activities. Establish case files for travelers if volume warrants.	
	(1) Travel administrative office records (GRS 9/3a).	Destroy when 3 years old.
	(2) Obligation copies (GRS 9/3b).	Destroy when funds are obligated.

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g. Interview records (GRS 1/8). Correspondence, reports and other records relating to employee interviews.

Destroy 6 months after transfer or separation of employee.

h. Standards of conduct (GRS 2/27). Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Destroy when superseded or obsolete.

i. Time and attendance. Records accumulated by time and attendance clerks consisting of: GSA Form 873, Annual Attendance Record; SF 71, Application for Leave, or equivalent and supporting records; Form 3575, Time and Attendance Record; GSA Form T-900, Daily Flexitime Register; copies of overtime reports, and comparable documents used to verify payroll printouts and manage employee leave.
NOTE: Records accumulated by the National Payroll Center are covered in ch. 16 of this handbook.

(1) Leave application file.

(a) If timecard (GSA Form 3575) has been initialed by employee (GRS 2/8a).

Destroy at end of applicable pay period.

(b) If timecard (GSA Form 3575) has not been initialed by employee (GRS 2/8b).

Destroy SF 71, Application for Leave, after GAO audit or when 3 years old, whichever is sooner.

(2) Time and Attendance Report Files.

(a) Copies of GSA Form 3575, Time and Attendance Record (GRS 2/3a(2)).

Destroy 6 months after the end of the pay period.

(b) Flexitime Attendance Records (GRS 2/3b). GSA Form T-900, Daily Flexitime Register, and related documents, such as sign-in/sign-out sheets and work reports, used for time accounting under flexitime systems.

Destroy after GAO audit or when 3 years old, whichever occurs first.

(3) Other records (- -) - GRS 23-1

Cut off annually; destroy when 2 years old.

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<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
9B26	WITHDRAWN BY CHGE (See app. 9-E)	
9B27.- 9B29.	<u>Reserved.</u>	
9B30.	<u>Reading files (GRS 23/1).</u> Extra copies of outgoing communications (arranged chronologically) which are maintained for review by staff members.	Cut off in 6-month blocks; destroy when 6 months old. Earlier disposal is authorized.
9B31.	<u>Technical and reference materials (NC1-269-80-2).</u> Files consisting of copies of directives, including reference binders, and other material issued by any element of GSA, other Government agencies, and nongovernmental organizations, that are maintained by an office for reference purposes. Included are instructional letters, messages, or other documents providing instructions in advance of official directives.	Destroy when no longer needed for reference.
9B32.- 9B33.	WITHDRAWN BY CHGE (See app. 9-E)	
9B34.	<u>Word processing files.</u> Draft documents, such as letters, messages, memoranda, reports, handbooks, directives, and manuals, recorded on electronic media (such as hard disks or floppy diskettes) that is used to produce a hard copy maintained in organized files (GRS 23/2a).	Delete when no longer needed to create a hard copy.
9B35.	<u>Office security and safety.</u> Records accumulating from measures taken by offices to protect classified information from unauthorized disclosure; from measures taken to protect facilities from unauthorized entry, sabotage, or loss; and from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions. NOTE: This category does not cover records documenting policies and procedures accumulated in offices having	

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agencywide responsibilities for security and protective services programs. Such records are scheduled in ch. 46 of this handbook.

a. Classified documents administrative correspondence records (GRS 18/1). Correspondence pertaining to the administration of security classification, control, and accounting for classified documents not covered elsewhere in this schedule.

Destroy when 2 years old.

b. Security awareness (NCI-269-80-2). Documents related to systems to ensure compliance with security regulations by personnel, such as a system requiring employees to periodically read security directives and certify that the directives are understood. Excluded are copies of employee security acknowledgments in the individual personnel file.

Destroy when 1 year old or after next application of the system, whichever occurs first.

c. Document receipt records (GRS 18/2). Records documenting the issuance and receipt of classified documents.

Destroy when 2 years old.

d. Destruction certification records (GRS 18/3). Certificates, such as GSA Form 1237, Classified Document Accountability Record, relating to the destruction of classified documents.

Destroy when 2 years old.

e. Classified document inventory records (GRS 18/4). Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but excluding classified document receipts, destruction certificates and documents relating to Top Secret material covered in 9B35f.

Destroy when 2 years old.

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f. Top Secret accounting and control records.

(1) Registers maintained at control points to indicate accountability for Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents (GRS 18/5a).

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

(2) Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data (GRS 18/5b).

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

g. Access request records (GRS 18/6). Requests and authorizations for individuals to have access to classified records.

Destroy 2 years after authorization expires.

h. Classified document container security records (GRS 18/7). Forms or lists used to record safe and padlock combinations, names of individuals who know the combinations, and comparable data (such as forms placed on classified containers to record entries) used to control access to classified document containers.

Destroy when superseded by a new form or list, or when container is returned.

i. Personal property accountability. Records relating to accountability for personal property lost or stolen.

(1) Ledger records (GRS 18/15a).

Destroy 3 years after final entry.

(2) Reports, loss statements, receipts and other documents relating to lost and found articles (GRS 18/15b).

Destroy when 1 year old.

j. Key accountability. Records relating to accountability for keys issued.

(1) For areas under maximum security (GRS 18/16a).

Destroy 3 years after turn-in of key.

(2) For other areas (GRS 18/16b).

Destroy 6 months after turn-in of key.

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~~k. Visitor control. Registers or logs used to record names of contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.~~

~~(1) For areas under maximum security (GRS 18/17a).~~

Destroy 5 years after final entry or 5 years after date of document, as appropriate.

~~(2) For other areas (GRS 18/17b).~~

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

~~l. Personnel security clearance status records (GRS 18/23). Lists or rosters showing the current security clearance status of individuals.~~

Destroy when superseded or obsolete.

~~m. Emergency operations tests (GRS 18/28). Records accumulating from tests conducted under agency emergency plans, such as instructions to members participating in tests, staffing assignments, messages, tests of communications and facilities, and reports excluding consolidated and comprehensive reports.~~

Destroy when 3 years old.

9B36.-
9B39.

Reserved.

9B40.

Service and supply. These records consist of the records described below:

~~n. General service and supply (GRS 23/1). Documents related to the acquisition, maintenance, utilization, and control of office equipment, supplies, utilities, and space; and documents related to telecommunications, transportation, printing, publication, custodial, and other services. Included are requisitions for equipment, supplies, and services; communications about the requisitions or services; and related records. Excluded are official purchase order and contract records described in ch. 19 and other chapters of this handbook.~~

Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.

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<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
	<p>b. <u>Office equipment control (GRS 23/1)</u>. Documents maintained by offices for equipment used within their areas of accountability. Included are cards, lists, receipts, or comparable documents showing equipment charged to an office.</p>	<p>Place in inactive file when equipment is removed from office's control. Cut off inactive file annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.</p>
	<p>c. <u>Telephone call controls (GRS 23/1)</u>. Telephone call data documenting approval for official long-distance telephone calls.</p>	<p>Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer needed.</p>
	<p>d. <u>Motor vehicle operation (GRS 10/7)</u>. Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe-driving awards, and related correspondence.</p>	<p>Destroy 3 years after separation of employee or 3 years after cancellation of authorization to operate Government-owned vehicle, whichever occurs first.</p>

The records in this appendix are common to most programs and, therefore, are accumulated by most offices. The majority of these records are normally created as a result of taking certain administrative actions that, although related to a program, are not essential to its performance. Documentation and maintenance and disposition instructions are included in this appendix primarily to avoid the need for repeating them in each succeeding program chapter and appendix.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
9C1	<p><u>Program administration.</u> Records created in routinely administering a program, but not records described elsewhere in this handbook. If a document in this category results in initiating a program, process, project, directive, or case (the records that are described elsewhere in this appendix or in a later chapter), the record copy should be filed in the related official file. Reference copies may be placed in the program administration file. The files may be subdivided in any manner that simplifies their retrieval, such as using lowercase letters and titles. Examples of program administration records include but are not limited to:</p>	
	<p>a. <u>General correspondence (NC1-269-80-2).</u> Correspondence not described elsewhere in this appendix or in succeeding chapters. If volume warrants, subdivide the file by program unit or alphabetically by subject, name, or geographical location.</p>	Cut off annually; destroy when 2 years old.
	<p>b. <u>Accounting (NC1-269-80-2).</u> Records accumulated in monitoring appropriated and revolving funds used for agency programs. This paragraph does not apply to records accumulated by offices administering budget and financial programs or to records of imprest fund cashiers. Included are cost reports, statements, and tabulations.</p>	Cut off annually; destroy when 2 years old.
	<p>c. <u>Audit (N1-269-86-1).</u> Extracts of and comments on audit and evaluation reports related to a program.</p>	Cut off at end of fiscal year in which followup actions on report recommendations are completed; destroy when 6 months old.
	<p>d. <u>Automated data processing documentation (GRS 20/11).</u> Records accumulated in developing and operating ADP systems, but not records maintained by IRMS program offices. Included are data</p>	Destroy when superseded or obsolete, or upon authorized destruction of related master file or data base.

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SYMBOL

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systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for disposal by this handbook or the General Records Schedule (GRS). Excluded is documentation related to any unscheduled master file/data base or any master file/data base scheduled for transfer to the National Archives.

e. Clearance comments (NC1-269-80-2). Comments on directives, plans, and similar publications prepared by another office, but not directive case files or instruction files.

Cut off annually; destroy when 2 years old.

f. Congressional (NC1-269-80-2). Records related to congressional inquiries and replies, but not records accumulated by the Office of Congressional Affairs.

Cut off annually; destroy when 2 years old.

g. Information (NC1-269-80-2). Comments on, or contributions to, news releases or other issuances publicizing a program, but not documents accumulated in the Office of Public Affairs.

Cut off annually; destroy when 2 years old.

h. Legislation (NC1-269-80-2). Records accumulated in drafting or commenting on proposed legislation affecting a program, but excluding records accumulated by the Office of Congressional Affairs, the Office of Public Affairs, and the Office of the General Counsel.

Cut off at end of second session of the Congress concerned; destroy when 2 years old.

i. Management (NC1-269-80-2). Records related to management improvement, cost reduction, performance analysis and work measurement, but not those related to the program activity or project that produced the saving or improvement. This category does not apply

Cut off annually; destroy when 2 years old.

RECORD SYMBOL	DESCRIPTION OF RECORD	AUTHORIZED DISPOSITION
	to records accumulated by offices having GSA, service/staff office, or regional program responsibility for these functions.	
	j. <u>Program and budget (NC1-269-80-2)</u> . Records created in preparing and submitting plans, budgets, and program review and analysis data, but not records accumulated by offices having GSA, service/staff office, or regional program responsibility for these functions.	Cut off annually; destroy when 2 years old.
	k. <u>Routine reports (NC1-269-80-2)</u> . Routine and controlled reports not described elsewhere.	Cut off annually; destroy when 2 years old.
	l. <u>Suggestion evaluations (NC1-269-80-2)</u> . Records created in evaluating suggestions that do not affect a specific program area. Excluded are records of incentive award committees.	Cut off annually; destroy when 2 years old.
	m. <u>Directives clearance files (- - -)</u> . Files maintained by clearance officers to manage and track directives and regulations assigned for clearance. Included are directive binders maintained for reference; logs, registers and other records in hard copy or electronic form used for tracking purposes; and similar records.	Destroy or delete when no longer needed for reference.
9C2.	Unofficial directives case files and instructional letters (NC1-269-80-2) . Files of working papers, maintained in the originating office, used to develop directives, instructional letters, memos, etc. Records of the directives control office are excluded from this category; they are described in ch. 11 of this handbook.	Cut off annually after directive or instruction is superseded, canceled, or expires. Retire to FRC; destroy 5 years after cutoff.
9C3.	<u>Nonrecord files</u> . These files consist of information required longer than similar	

new

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
9C5.	<p><u>Unscheduled records (NC1-269-80-2).</u> Documents showing the performance of a specific program function or process, and for which documentation and maintenance and disposition instructions are not provided elsewhere in this appendix or the appendix that applies to the program concerned.</p>	<p>Cut off annually or on completion of the project or action; hold until records are scheduled.</p> <p>NOTE: Action to schedule these records must be taken before the next review date of GSA Form 2039, Records Maintenance Plan. This form is reviewed each fiscal year.</p>
9C6.	<p><u>Committee records.</u> Documents created in establishing, operating, and dissolving committees. This category does not apply to records of ad hoc committees, committee records described elsewhere in this handbook, and records of committees whose operations are an integral part of a process, project, or case. Included are proposals, approvals, and disapprovals for establishing committees; charters; copies of directives establishing, changing, continuing, or dissolving committees; documents reflecting the nomination, appointment, and relief of committee members; notices, agendas, minutes, and reports of committee meetings; and related records.</p> <p>a. Office of the chairperson or secretariat, whichever is designated office of record (NC1-269-80-2).</p> <p>b. Files of committee members (NC1-269-80-2).</p>	<p><i>PERMANENT.</i></p> <p><i>^</i> Cut off annually; retire to <i>Transfer</i> FRC when no longer needed for current operations. <i>offer</i> to NARA when 10 years old.</p> <p>Cut off annually; destroy when 2 years old.</p>
9C7.	<p><u>Contracting officer designation records (NC1-269-80-2).</u> Documents appointing individuals by name, organizational title, or position to serve or act as contracting officers. Included are GSA Form 3409, Personal Qualification Statement for Appointment as Contracting Officer; GSA Form 3410, Request for Appointment as Contracting Officer; limitations on scope of authority; designation revocations; and related records.</p>	<p>Place in inactive file after reassignment, end of employment, or revocation of designation. Cut off annually; destroy when 2 years old.</p>

This appendix provides instructions for the maintenance and disposition of signatory records accumulated by offices of signatory or supervisory officials. Signatory records are copies of letters or similar documents that require signature or concurrence at higher levels than the action office. Each level above the action office that concurs or signs receives a copy of the document after signature. The copies provide the signatory official with a complete record of all documents signed. For the purpose of this appendix, offices of signatory or supervisory officials include offices of Regional Administrators and Heads of Regional Services and Staff Offices.

Signatory or supervisory officials are to send record copies of papers originated or received by them that document program functions under their supervision to the file station servicing the action office. This ensures complete documentation and simplifies disposition.

The disposition of personal records maintained by high-level officials is determined by the individual who designated the material as personal. The records must be examined by the records officer before the official leaves GSA. See ch. 2 of this handbook, Official Records and Personal Documents Maintained by GSA Employees.

Record copies of documents described in 9C1, when maintained by signatory or supervisory offices, must be disposed of as instructed in this appendix (9-D). Record copies of other program documentation maintained at the signatory or supervisory level, must be disposed of as instructed in appendix 9-C or the appendix of the applicable program chapter that describes the record category concerned.

The files described in this appendix may be classified and arranged in any manner that suits the reference requirements of the office concerned. For example, the files may be arranged by any one or a combination of the methods listed below:

- a. In chronological order with the most recent communication on top;
- b. By correspondence symbol or title of responsible action office;
- c. In alphabetical order by subject, name or geographical location; and
- d. By record symbol and title of the appropriate record category in appendix 9-C or in the applicable program chapter, preceded by the file symbol 9D1.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
9D1.	<p><u>Program records of the Office of the Administrator, offices of Regional Administrators, and offices of Heads of Services and Staff offices (NCI-269-80-2). Documents created by the Office of the Administrator, Offices of Regional Administrators, and Offices of the Heads of Services and Staff Offices in managing and carrying out the functions assigned to GSA. Included are requests for information, decision papers, clearances, letters, instructions, interpretation of laws and directives, correspondence, and related records.</u></p>	<p>Permanent. ^{Transfer} Cut off annually, hold 2 years, and retire to FRC. Offer to NARA when 10 years old.</p> <p>NOTE: Records of a personal nature must be maintained as instructed in ch. 2 of this handbook.</p>
9D2.-9D4.	<p><u>Reserved.</u></p>	
9D5.	<p><u>Program records of Heads of Regional Services and Staff Offices (NCI-269-80-2). Documents accumulated in managing and carrying out assigned functions. Included are requests for information, issuances and interpretation of directives, planning documents, reports, correspondence, and related records.</u></p>	<p>Cut off annually, hold 2 years, and retire to FRC. Destroy when 7 years old.</p>
9D6.-9D9.	<p><u>Reserved.</u></p>	
9D10.	<p><u>Program records of the offices of Assistant Commissioners (or equivalent) and subordinate offices (NCI-269-80-2). Documents described in 9C1 or in program chapters, the record copies of which are maintained at the record station serving the action office.</u></p>	<p>Cut off annually; destroy when 2 years old.</p>

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This appendix applies to records accumulated by all GSA offices in carrying out the provisions of the Freedom of Information and Privacy Acts.

RECORD SYMBOL	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
9E1.	<p><u>Privacy Act general administrative files (GRS 14/26)</u>. Documents created in implementing the Privacy Act within GSA. Included are GSA orders, notices, minutes of meetings, agenda, correspondence, and related records.</p>	<p><i>Destroy when two years old or sooner if no longer needed. Set off annually, hold 2 years, and destroy if no longer needed for administrative use.</i></p> <p>NOTE: Records that provide the basis for, or result in the preparation of a directive or other instruction, should be withdrawn and filed under 9C2 or forwarded to the directives clearance officer for inclusion in the official directives case file, whichever is appropriate.</p>
9E2-9E4.	<u>Reserved.</u>	
9E5.	<p><u>Privacy Act amendment case files.</u> 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 GSA's refusal of the individual's request to amend a record as provided for under U.S.C. 552a(d)(3); and to any civil action brought by the individual against GSA as provided under 5 U.S.C. 552a(g).</p> <p>a. Requests to amend agreed to by GSA (GRS 14/22a). Includes individual's requests to amend and/or review refusal to amend, copies of GSA's replies, and related materials.</p> <p>b. Requests to amend refused by GSA (GRS 14/22b). Includes individual's request to amend and to review refusal to amend, copies of GSA's replies, statement of disagreement, agency justification for refusal to amend a record, and related materials.</p> <p>c. Appealed requests to amend (GRS 14/22c). Includes all files created in responding to appeals under the Privacy Act for refusal to amend a record.</p>	<p>Dispose of in accordance with disposition instructions for the related subject individual's record or 4 years after GSA's agreement to amend, whichever is later.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by GSA, or 3 years after final adjudication by the courts, whichever is later.</p> <p>Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by the courts, whichever is later.</p>
9E6-9E9.	<u>Reserved.</u>	

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<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9E18.	<u>Privacy Act accounting of disclosure files (GRS 14/23).</u> 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, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable:	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.
9E11-9E14.	<u>Reserved.</u>	
9E15.	<u>Privacy Act control files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester. a. Registers or listings (GRS 14/24a). b. Other files (GRS 14/24b).	Destroy 5 years after date of last entry. Destroy 5 years after final action by GSA or final adjudication by the courts, whichever is later.
9E16-9E19.	<u>Reserved.</u>	
9E28.	<u>Privacy Act requests files.</u> 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, and all related supporting documents, which may include the official file copy of records requested or copy thereof. a. Correspondence and supporting documents (excluding the official file copy of the records requested). (1) Granting access to all the requested records (GRS 14/21a(1)).	Destroy 2 years after date of reply.

RECORD SYMBOL

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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

(a) Request not appealed (GRS 14/21a(2)(a)).

Destroy 2 years after date or reply.

(b) Request appealed (GRS 14/21a(2)(b)).

Destroy as authorized under 9E50.

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

(a) Request not appealed (GRS 14/21a(3)(a)).

Destroy 5 years after date of reply.

(b) Request appealed (GRS 14/21a(3)(b)).

Destroy as authorized under 9E50.

b. Official file copy of requested records (GRS 14/21b).

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

✓ 9E21-9E24.

Reserved.

9E25.

~~Privacy Act reports files.~~

~~Documents accumulated in preparing reports and providing information relating to the implementation of the Privacy Act within GSA. Included are onetime reports, feeder reports, annual reports to the Congress of the United States, the Office of Management and Budget, the Report on New Systems, letters canceling old systems, and related records.~~

Withdrawn

a. Annual reports ~~and the Report on New Systems~~ - - -
(). Prepared by the office responsible for administering the program within GSA.

Permanent. Cut off annually, hold 5 years, and retire to FRC. Offer to NARA when 15 years old.

b. ~~Other reports (GRS 14/25).~~

~~Cut off annually; destroy when 2 years old.~~ GRS

c. ~~Other records (GRS 14/26)~~

~~Cut off annually; destroy when 2 years old. Earlier destruction is authorized if no longer required for administrative purposes.~~

9E26-9E29.

Reserved.

9E30.

~~FOIA administrative files (GRS 14/15). Documents relating to the implementation of the FOIA by GSA. Included are notices,~~

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RECORD SYMBOL	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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	routine correspondence, and related records.	PURPOSE.
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X 9E31-9E34.
9E35.

Reserved.
FOIA tracking and control records. Logs, registers, and other records in hard copy or electronic form used to control and track responses to FOIA requests. Included are date, nature of request, and name and address of requester.

GRS 23/8

~~a. Freedom of Information Act Tracking System (FOIATS) (- - -). Data elements maintained to control and track responses to FOIA requests. Included are name and address of requester, date, nature of request, request number, action office, date due, denial information, fees incurred or waivers granted, and time extensions.~~

~~Delete data elements 6 years after final action by GSA or after final adjudication by the courts, whichever is later.~~

~~Destroy hard copy when superseded or obsolete.~~ NON-RECORD

~~b. Registers or listings (GRS 14/13a).~~

~~Destroy 6 years after date of last entry.~~

~~c. Other records (GRS 14/13b).~~

~~Destroy 6 years after final action by GSA or after final adjudication by the courts, whichever is later.~~

NEW ✓ 9E36-9E39.
9E40.

Reserved.
FOIA reports files. Recurring reports and onetime information requirements relating to GSA's implementation of the FOIA. Included are annual reports to the Congress and related records.

✓

a. Annual reports (- - -).

Permanent. Cut off annually, hold 5 years, and retire to FRC. Offer to NARA when 15 years old in 5-year blocks.

✓

b. Other reports ^{and related records *} (- - -).

Cut off annually; destroy when 2 years old. If not required, earlier destruction is authorized.

9E41-9E44. Reserved.

9E45. ~~FOIA requests files. Files created in response to requests for information under the FOIA~~

* revision approved by Mary Cunningham, 8/11/89

RECORD
SYMBOL

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

consisting of the original request, a copy of the reply, and all related supporting files which may include official file copy of requested record or copy thereof.

a. Correspondence and supporting documents (excluding the official file copy of the records requested).

(1) Granting access to all requested records (GRS 14/11a (1)).

Destroy 2 years after date of reply.

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

(a) Request not appealed (GRS 14/11a(2)(a)).

Destroy 2 years after date of reply.

(b) Request appealed (GRS 14/11a(2)(b)).

Destroy as authorized under 9E50.

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

(a) Request not appealed (GRS 14/11a(3)(a)).

Destroy 6 years after date of reply.

(b) Request appealed (GRS 14/11a(3)(b)).

Destroy as authorized under 9E50.

b. Official file copy of requested records (GRS 14/11b).

Dispose of in accordance with approved GSA disposition instructions for the related records, or with the related FOIA request, whichever is later.

9E46-9E49.

Reserved.

9E50.

FOIA appeals files. Files created in responding to administrative appeals under the FOIA for release of information denied by GSA, consisting of the appellant's letter, a copy of the reply, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

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RECORD
SYMBOL

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Correspondence and supporting documents (excluding the file copy of the records under appeal) (GRS 14/12a).

Destroy 6 years after final determination by GSA or 3 years after final adjudication by the courts, or 6 years after the time at which a requester could file suit, whichever is later.

b. Official file copy of records under appeal (GRS 14/12b).

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