

### Request for Records Disposition Authority

Records Schedule Number      DAA-0297-2014-0015  
Schedule Status                Approved  
  
Agency or Establishment        Library of Congress  
Record Group / Scheduling Group   Records of the Library of Congress  
Records Schedule applies to    Agency-wide  
Schedule Subject                General Counsel  
Internal agency concurrences will be provided      No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
16	5	11	0

GAO Approval

## Outline of Records Schedule Items for DAA-0297-2014-0015

Sequence Number	
1	Legal Opinions and Memoranda
1.1	Significant Legal Opinions and Memoranda Disposition Authority Number: DAA-0297-2014-0015-0001
1.2	All Other Legal Advice and Opinions Disposition Authority Number: DAA-0297-2014-0015-0002
1.3	OGC Action Approvals Disposition Authority Number: DAA-0297-2014-0015-0003
2	Library of Congress Authorities
2.1	Enacted Legislation Disposition Authority Number: DAA-0297-2014-0015-0004
2.2	Issued Federal Register Notices and Code of Federal Regulations Disposition Authority Number: DAA-0297-2014-0015-0005
2.3	Library of Congress Regulations and Manual
2.3.1	Issued Library of Congress Regulations and Library of Congress Manual Disposition Authority Number: DAA-0297-2014-0015-0006
2.3.2	Background Materials Disposition Authority Number: DAA-0297-2014-0015-0007
2.4	Directives and Technical Guidance Disposition Authority Number: DAA-0297-2014-0015-0008
2.5	Proposed Legislation or Regulations Disposition Authority Number: DAA-0297-2014-0015-0009
3	Litigation Case Files
3.1	Significant Cases Disposition Authority Number: DAA-0297-2014-0015-0010
3.2	All Other Case Files Disposition Authority Number: DAA-0297-2014-0015-0011
4	Financial Disclosure Reporting Files Disposition Authority Number: DAA-0297-2014-0015-0012
5	Negotiated Agreements to Resolve Conflicts of Interest Disposition Authority Number: DAA-0297-2014-0015-0013
6	Library of Congress Trust Fund Board Records Disposition Authority Number: DAA-0297-2014-0015-0014
7	Agreement Files Disposition Authority Number: DAA-0297-2014-0015-0015
8	Attorneys' Background Papers and Working Files

Disposition Authority Number: DAA-0297-2014-0015-0016

## Records Schedule Items

Sequence Number					
1	<b>Legal Opinions and Memoranda</b>				
1.1	<b>Significant Legal Opinions and Memoranda</b>				
	Disposition Authority Number <b>DAA-0297-2014-0015-0001</b>				
	<b>a. Materials selected by the OGC that set precedent, address issues of first impression, or have significant effect upon the function of the Library as a whole.</b>				
	Final Disposition <b>Permanent</b>				
	Item Status <b>Active</b>				
	Is this item media neutral? <b>Yes</b>				
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>Yes</b>				
	Do any of the records covered by this item exist as structured electronic data? <b>No</b>				
	<table border="1" style="width: 100%;"> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> <tr> <td><b>1701a</b></td> <td><b>Library of Congress Records Schedule (LRS)</b></td> </tr> </table>	Manual Citation	Manual Title	<b>1701a</b>	<b>Library of Congress Records Schedule (LRS)</b>
Manual Citation	Manual Title				
<b>1701a</b>	<b>Library of Congress Records Schedule (LRS)</b>				
	<b>Disposition Instruction</b>				
	Cutoff Instruction <b>CUTOFF at end of fiscal year in which opinion issued.</b>				
	Transfer to Inactive Storage <b>TRANSFER to RMS at cutoff.</b>				
	Transfer to the National Archives for Accessioning <b>Transfer to the National Archives 20 year(s) after cutoff.</b>				
	<b>Additional Information</b>				
	What will be the date span of the initial transfer of records to the National Archives? <b>Unknown To Be Determined</b>				
	How frequently will your agency transfer these records to the National Archives? <b>Unknown To Be Determined</b>				

1.2

**All Other Legal Advice and Opinions**

Disposition Authority Number DAA-0297-2014-0015-0002

b. Arranged chronologically. Routine opinions and memoranda responding to requests for legal advice and opinions relating to a variety of issues that are not precedential and do not have significant effect upon the Library as a whole.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1701b	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction CUTOFF at end of fiscal year in which opinion issued.

Transfer to Inactive Storage TRANSFER to RMS at cutoff.

Retention Period Destroy 6 year(s) after cutoff.

**Additional Information**

GAO Approval Not Required

1.3

**OGC Action Approvals**

Disposition Authority Number DAA-0297-2014-0015-0003

c. Includes, for example, routine approvals of contract awards and case files, travel authorizations, record requests under LC FOIA, Touhy, determinations regarding claims arising under the FTCA, and approvals of Federal Register notices issued by the Copyright Office.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1701c	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year in which matter closed.**  
 Transfer to Inactive Storage **TRANSER to RMS at cutoff.**  
 Retention Period **Destroy 6 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

**Library of Congress Authorities**

**Enacted Legislation**

Disposition Authority Number **DAA-0297-2014-0015-0004**

**a. Legislation and background information pertaining to the Library's authorizing and appropriations statutes.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1702a	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year.**

2

2.1

Transfer to Inactive Storage      **TRANSFER to RMS at cutoff.**  
 Transfer to the National Archives for Accessioning      **Transfer to the National Archives 20 year(s) after cutoff.**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?      **Unknown  
To Be Determined**  
 How frequently will your agency transfer these records to the National Archives?      **Unknown  
To Be Determined**

2.2

**Issued Federal Register Notices and Code of Federal Regulations**

Disposition Authority Number      **DAA-0297-2014-0015-0005**

**b. Final text and background information related to Library notices published in the Federal Register and Library regulations codified in the Code of Federal Regulations. OGC review and approval of notices and regulations issued by the Copyright Office are filed under Legal Opinions and Memoranda - OGC Action Approvals.**

Final Disposition      **Temporary**  
 Item Status      **Active**  
 Is this item media neutral?      **Yes**  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**  
 Do any of the records covered by this item exist as structured electronic data?      **No**

Manual Citation	Manual Title
1702b	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction      **CUTOFF at end of fiscal year.**  
 Transfer to Inactive Storage      **TRANSFER to RMS at cutoff.**  
 Retention Period      **DESTROY when superseded or obsolete.**

**Additional Information**

2.3

GAO Approval **Not Required**

**Library of Congress Regulations and Manual**

2.3.1

**Issued Library of Congress Regulations and Library of Congress Manual**

Disposition Authority Number **DAA-0297-2014-0015-0006**

**(1) Final regulation or manual package includes: cover sheet (transmittal), final document, redline, comments, and resolution of comments.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1702c1	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at publication of regulation.**

Transfer to Inactive Storage **TRANSFER to RMS at cutoff.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 20 year(s) after cutoff.**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **Unknown  
To Be Determined**

How frequently will your agency transfer these records to the National Archives? **Unknown  
To Be Determined**

2.3.2

**Background Materials**

Disposition Authority Number **DAA-0297-2014-0015-0007**

(2) Background papers related to the drafting, review and publication of Library of Congress Regulations and Library of Congress Manual.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1702c2	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at publication of regulation.

Transfer to Inactive Storage TRANSFER to RMS at cutoff.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Directives and Technical Guidance

Disposition Authority Number DAA-0297-2014-0015-0008

d. Final text and background papers related to the drafting, review and publication of Directives and Technical Guidance. Special announcements and any other policy guidance.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

2.4

Manual Citation	Manual Title
1702d	Library of Congress Records Schedule (LRS)

Disposition Instruction

Retention Period DESTROY when superseded or obsolete.

Additional Information

GAO Approval Not Required

Proposed Legislation or Regulations

Disposition Authority Number DAA-0297-2014-0015-0009

e. Draft legislative or regulatory text, memoranda, testimonies, reports, hearing reports, legislative analysis, and other materials prepared in connection with proposed legislation or regulations that may affect the Library. Includes materials prepared by the OGC, other Library offices, or by other Federal Agencies upon which the Library was asked to comment. If legislation is enacted or regulations are issued, include materials in categories above.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1702e	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at end of each Congress.

Retention Period DESTROY at cutoff or when no longer needed for reference, whichever is later.

Additional Information

2.5

3  
3.1

GAO Approval Not Required

Litigation Case Files

Significant Cases

Disposition Authority Number DAA-0297-2014-0015-0010

a. Arranged by case name. Case files, including briefs, motions, opinions, depositions, or other records, selected by the OGC because the case established legal precedent, addressed issues of first impression, received widespread attention due to considerable public interest, or related to significant Library programs, events, or prominent individuals.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
1703a	Library of Congress Records Schedule (LRS)

Disposition Instruction

Cutoff Instruction CUTOFF at end of fiscal year in which final resolution of case reached.

Transfer to Inactive Storage TRANSFER to RMS 1 year after cutoff.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
To Be Determined

How frequently will your agency transfer these records to the National Archives? Unknown  
To Be Determined

3.2

**All Other Case Files**

Disposition Authority Number **DAA-0297-2014-0015-0011**

**b. All Other Case Files.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1703b	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year in which case closed.**

Transfer to Inactive Storage **TRANSFER to RMS 1 year after cutoff.**

Retention Period **Destroy 6 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

**Financial Disclosure Reporting Files**

Disposition Authority Number **DAA-0297-2014-0015-0012**

Financial disclosure reports (including statements, periodic transaction reports, and job negotiation reports) submitted by individuals pursuant to the Ethics in Government Act of 1978, as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **Yes**

4

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1704	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year.**  
 Transfer to Inactive Storage **TRANSFER to RMS at cutoff.**  
 Retention Period **Destroy 6 year(s) after cutoff unless documents are needed in an ongoing investigation; then retain until no longer needed in the investigation.**

**Additional Information**

GAO Approval **Not Required**

**Negotiated Agreements to Resolve Conflicts of Interest**

Disposition Authority Number **DAA-0297-2014-0015-0013**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1705	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year in which agreement signed.**

5

6

Transfer to Inactive Storage      **TRANSFER to RMS at cutoff.**

Retention Period                      **DESTROY when individual no longer employed by the Library or when conflict is no longer relevant.**

Additional Information

GAO Approval                              **Not Required**

**Library of Congress Trust Fund Board Records**

Disposition Authority Number      **DAA-0297-2014-0015-0014**

**Documents related to the operation, organization and decisions of the Library of Congress Trust Fund Board including, for example, bylaws, resolutions, meeting minutes, the work of subcommittees, and the appointment of new members.**

Final Disposition                        **Permanent**

Item Status                                **Active**

Is this item media neutral?            **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                              **No**

Manual Citation	Manual Title
1706	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction                        **CUTOFF at end of fiscal year.**

Transfer to Inactive Storage            **TRANSFER to RMS at cutoff.**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives 20 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives?                        **Unknown  
To Be Determined**

How frequently will your agency transfer these records to the National Archives?                        **Unknown  
To Be Determined**

7

**Agreement Files**

Disposition Authority Number      **DAA-0297-2014-0015-0015**

**Files associated with agreements, including any instruments produced. Excluded are agreements described elsewhere in this schedule.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **No**

Manual Citation	Manual Title
1707	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction                      **CUTOFF at end of fiscal year in which agreement is closed.**

Transfer to Inactive Storage          **TRANSFER to RMS at cutoff.**

Retention Period                        **Destroy 6 year(s) after cutoff.**

**Additional Information**

GAO Approval                            **Not Required**

8

**Attorneys' Background Papers and Working Files**

Disposition Authority Number      **DAA-0297-2014-0015-0016**

**Records created and maintained by individual attorneys in the course of their daily work. Includes, for example, drafts of legal opinions and instruments, reference material, duplicates of official correspondence found in other files, temporary transitory emails, and other background materials not described elsewhere in the schedule.**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
1708	Library of Congress Records Schedule (LRS)

**Disposition Instruction**

Cutoff Instruction **CUTOFF at end of fiscal year.**

Retention Period **DESTROY at cutoff or when no longer needed.**

**Additional Information**

GAO Approval **Not Required**

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
01/27/2014	Certify	John Nave	Chief, Office System Services	OSS - OSS
03/07/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
07/09/2014	Submit For Certification	Ashley Davies	Records Management Specialist	OSS - RMS
07/09/2014	Certify	Ashley Davies	Records Management Specialist	OSS - RMS
11/05/2014	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/10/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
11/12/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
11/13/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist