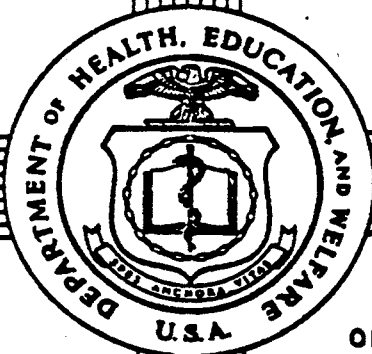


*This reprint of the Records
Management Manual is current
through TN-77.5(12/1/77)*

Dept. Staff Manual

**RECORDS
MANAGEMENT**



OFFICE OF THE SECRETARY ..

... *Department Staff Manual System.*

I N T R O D U C T I O N

PURPOSE. The purpose of the RECORDS MANAGEMENT Manual is to prescribe Department policies and procedures (1) for the organization, maintenance, and use of current records, (2) for the retirement and disposal of all record and non-record material, and (3) as a means of implementing a comprehensive and continuing program for the effective and economical management of records.

SCOPE. The contents of this Manual are developed in accordance with the provisions of the so-called Records Disposal Act as amended (44 USC 366-380), the Federal Records Act of 1950 (44 USC 391-402), the Federal Property and Administrative Services Act of 1949, as amended, and Title 3 of the Regulations of the General Services Administration.

All records control schedules issued herein have been cleared by the National Archives and Records Service and approved by the Archivist of the United States. Approval of the Comptroller General has been obtained where applicable in accordance with Section 9 of the Records Disposal Act.

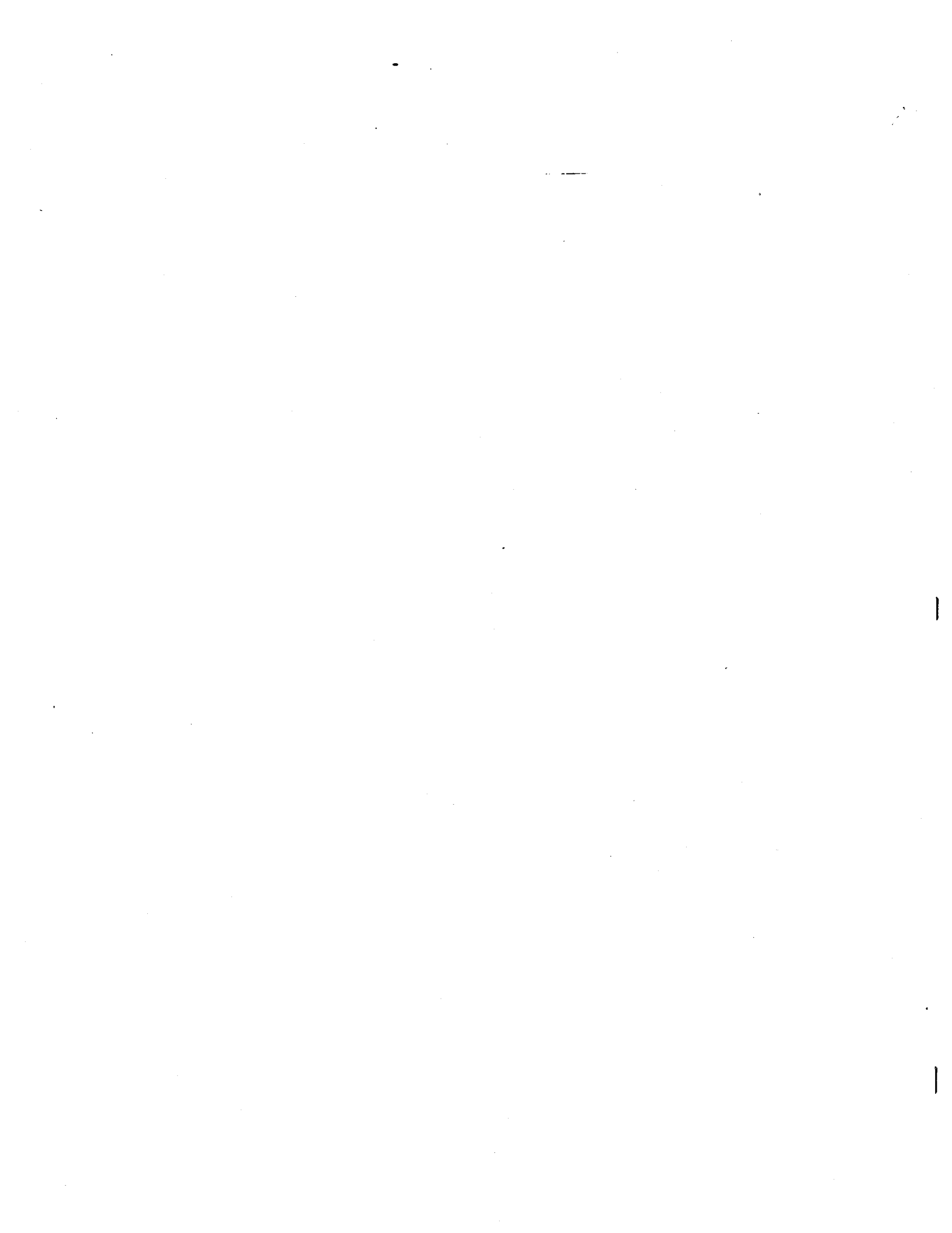
Provisions for the safeguarding, maintenance, and use of materials classified for defense purposes are prescribed in the PHYSICAL SECURITY Manual.

APPLICABILITY. Unless otherwise provided, the provisions of this Manual shall apply throughout the Department.

SUPERSEDED MATERIAL. The various segments of this Manual will be issued as developed. All instructions inconsistent with the provisions of this Manual are hereby superseded.

All records disposal schedules carried herein are effective on dates shown and their application within the Department is mandatory unless excepted by specific approval.

AUTHORITY. Issued by direction of the Secretary.



C O N T E N T S

	<u>Chapter</u>
INTRODUCTION.	HEW
CONTENTS.	HEW
 <u>Part 1 - GENERAL</u>	
Plan of the Manual.	1-10
Records Management Terms.	1-20
Standard Measurements	1-30
Removal of Papers by the Secretary and Others	
Leaving the Department.	1-50
Storage of Record Materials in Employee Desks.	1-70
 <u>Part 2 - AUTHORITY AND RESPONSIBILITIES</u>	
General Policy.	2-00
General Responsibilities.	2-10
 <u>Part 3 - Records Maintenance</u>	
General Provisions.	3-00
Filing Systems and Records Maintenance.	3-10
Filing Equipment and Procedures	3-20
 <u>Part 4 - DISPOSITION OF RECORDS</u>	
Objectives and Elements of HEW Records Disposition	
Program	4-00
Use of Federal Records Centers.	4-10
Disposition of Non-paper Records.	4-20
 <u>Part 5 - GENERAL ACCOUNTING OFFICE REQUIREMENTS</u>	
GAO Requirements for Records Maintenance and	
Disposition	5-00
 <u>PART 9 - REPORTS</u>	
Reports on Selected Records Management Activities . . .	9-10

Part 100 - INDISPENSABLE OPERATING RECORDS PROGRAMS

General	100-00
General Responsibilities	100-10
Selection and Volume	100-20
Preparation of Material for Transfer	100-30
Transfer of Indispensable Records	100-40
Management of Records at Relocation Sites	100-50
Semi-Annual Status Report on Indispensible Records	100-60

Appendix A - GSA GENERAL RECORDS SCHEDULES

Civilian Personnel Records	Schedule 1
Payrolling and Pay Administration Records	Schedule 2
Procurement and Supply Records	Schedule 3
Property Disposal Records	Schedule 4
Budget Preparation, Presentation, and Apportionment Records	Schedule 5
Accountable Officers' Accounts	Schedule 6
Expenditure Accounting Records	Schedule 7
Stores, Plant and Cost Accounting Records	Schedule 8
Travel and Transportation Records	Schedule 9
Motor Vehicle Maintenance and Operation Records	Schedule 10
Space and Maintenance Records	Schedule 11
Communications Records	Schedule 12
Printing, Binding, Duplication and Distribution Records	Schedule 13
Informational Services Records	Schedule 14
Housing Records	Schedule 15
Administrative Management Records	Schedule 16
Cartographic, Photogrammetric, and Related Records	Schedule 17
Security and Protective Services Records	Schedule 18
Research and Development Records	Schedule 19
Data Automation Program Records	Schedule 20

Appendix B - PROGRAM RECORDS CONTROL SCHEDULES

Organization of Appendix "B"	B-000
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The contents of Appendix "B" are shown in B-000.

CHAPTER 1-10

PLAN OF THE MANUAL

1-10-00	Purpose
10	Scope and Organization
20	Development and Maintenance
30	Distribution
40	Department Staff Manual System

1-10-00 PURPOSE

This chapter explains the scope, organization, maintenance, and use of the Records Management Manual. It also includes a summary of the principal features of the Department Staff Manual System, of which the Records Management Manual is a part.

1-10-10 SCOPE AND ORGANIZATION

- A. The Records Management Manual is designed to provide a single authoritative reference for Department policies, standards, and procedures relating to records management activities. It is organized along the following lines:
1. The policies, instructions, and information which are too broad or general to be included in any one of the succeeding special parts are issued in Part 1.
 2. Part 2 will cover delegations of authority and designations and responsibilities of key officials in the area of records management.
 3. Policies and procedures concerning the maintenance of records maintained by Department units for current operation will be issued in Part 3.
 4. Policies and procedures governing the disposition of records which are no longer required for current operation will be issued in Part 4. Records control schedules governing the disposition of specific types of records are in Appendix A (General Records Schedules issued by the General Services Administration) and Appendix B (Department program records).
 5. Instructions for the preparation of forms, reports, and other documents required for records management work will be issued in Part 9. (Parts 6, 7, and 8 have been reserved for expansion).

1-10-20 DEVELOPMENT AND MAINTENANCE

- A. Responsibility for the development and maintenance of the Records Management Manual has been placed in the OS Division of Management Policy and Directives. Material for issuance at the Department level is developed by the Division.
- B. Each Manual holder is encouraged to file all new material promptly. Holders should call to the attention of the Director, Division of Management Policy and Directives, (through regular channels) any matters in the Manual that require change.
- C. When an employee leaves his present position, he shall leave his Manual for his successor. This is desirable not only for economy but, on transfers within the Department, manuals in different bureaus may differ in detail because of variations in supplementation.

1-10-30 DISTRIBUTION

- A. It is the desire of the Department to provide, or make available, manuals for each employee who requires them and, accordingly, all manuals will be issued to key points throughout the Department.
- B. The Records Management Manual is intended primarily for the use of administrative officers, records management personnel in staff offices, Principal Operating Components, regional offices, and major field installations, and others concerned with the records management program. It is distributed to those offices and installations which have been placed on the mailing lists.
- C. Changes in mailing lists should be requested through the appropriate distribution control officer shown in Chapter 2-60 of the Issuance Management Manual.
- D. Requests for additional copies of manual material should be made by memorandum from the appropriate administrative officer through administrative channels to the Division of Management Policy and Directives. Requests from within the Public Health Service should be forwarded through the Records Officer, Office of Administrative Management, Office of the Assistant Secretary for Health.

NOTE: Requests for additional copies will not result in changes in mailing lists unless such a change is requested as provided in C above.

1-10-40 DEPARTMENT STAFF MANUAL SYSTEM

- A. The Records Management Manual is one of the 22 volumes which comprise the Department Staff Manual System. The following is a summary of the principal features of this System. Additional details may be found in Part 6 of the Issuance Management Manual.
- B. Scope. The Department Staff Manual System is the Department's primary reference for authoritative information regarding administrative management and related matters. The Office of the Secretary and the Principal Operating Components use this System to issue policies, standards, delegations of authority, procedures, and related information in the following subject matter areas:

ADP Systems	Issuance Management	Security
Administrative Accounting	Material Management	Telecommunications
Correspondence	Organization	Time and Leave accts.
Emergency	Personnel	Travel
Facilities Engineering and Construction	Printing	Voucher Examination
Forms Management	Procurement	
General Administration	Public Affairs	
Grants Administration	Records Management	
	Safety Management	

- C. Forms of Issuance. Material for each of the above manuals may be issued at any organizational level in the following forms: MANUAL (permanent), MANUAL CIRCULAR (temporary), and MANUAL GUIDE (general information for supervisor level).
- D. Distribution. Each employee who has technical responsibility in a specific subject matter areas has access to the corresponding subject matter manual which includes all three forms of manual material.

Each supervisor, regardless of subject matter interests, receives the MANUAL GUIDES applicable to his organizational unit or area for his general guidance in administrative matters.

Distribution of manual material, as appropriate, is confined to the organizational and geographic areas concerned.

- E. Numbering and Filing. The major subdivisions of a Manual are called "parts." Each part and all of its subdivisions are identified by the following cumulative numbering plan:

Part	1
Chapter.....	1-00
Section	1-00-10
Paragraph	1-00-10A
Subparagraph (or item)	1-00-10.A1

(1-10-40 continued)

"Appendixes" are, in effect, "parts" but are identified by a capital letter rather than a number. General exhibits are, in effect, the "X" appendix. Exhibits which apply to a single chapter are assigned the same number as the chapter involved and the letter "X" is prefixed to the chapter number. (This permits filing with the chapter involved or in the Exhibit Appendix).

Material for limited distribution carries initials prefixed to the appropriate number. For example, an SSA supplement to Chapter 3-20 would be identified as Chapter SSA:3-20. A chapter for Department headquarters only would be identified as Chapter SSA.h:3-20.

In general, manual material is filed in numerical order. Supplements should be filed behind the chapters involved. Exhibits may be filed in the Exhibits Appendix or with the chapters concerned, depending upon the preference of the Manual holder.

F. Transmittal Notices and Check Lists.

1. Transmittal Notices. All material for filing in a staff manual will be forwarded to the Manual holder with a covering transmittal notice. Each notice will be issued in numerical order and will specify the material transmitted, material superseded (if any), filing instructions, and distribution codes. When appropriate, background information discussing the reasons for the transmittal may be included.
2. Check List of Transmittal Notices. The "Check List of Transmittal Notices" is a form designed to show at a glance which transmittals are included in a Manual. They should be filed in the back of the Manual and posted promptly whenever a new transmittal is filed. Since manual material is issued at various organizational levels, a separate check list is provided for each level. More detailed information regarding check lists is provided on the reverse of the form.

CHAPTER 1-20
RECORDS MANAGEMENT TERMS

This chapter provides an alphabetical listing of terms frequently used in the records management work. The information provided herein is intended for general orientation work. More precise definitions, when necessary, will be provided as an integral part of the subject matter involved.

APPRAISAL OF RECORDS. The act of determining the value of records by the study of their relationship and contents.

CLASSIFIED RECORDS. Records designated as "Top Secret", "Secret" or "Confidential" which are restricted to processing or use by cleared individuals, and require special protection.

CURRENT RECORDS. Records or files presently in the physical custody of organizational units, the maintenance of which is required for the conduct of current work.

DEPARTMENT RECORDS MANAGEMENT OFFICER. The title of the designated staff official in the OS Division of Management Policy and Directives whose responsibility is to plan, develop, and coordinate the Department's records management program.

DISPOSAL. The destruction or sale as wastepaper of record and non-record material at the scheduled time authorized by the National Archives and Records Service.

DISPOSAL LIST. A descriptive list of records with pertinent data, such as quantity, inclusive years, etc., submitted by the Department to the National Archives, requesting disposal authority for non-current records which have outlived their usefulness and which are no longer accumulating, or records which have become unserviceable due to general deterioration. Disposal lists are particularly useful in clearing out types of records that have been discontinued or in disposing of the records of a liquidated unit or program.

DISPOSAL SCHEDULE. A descriptive list of records, with pertinent data, submitted by the Department to the National Archives when continuing authority is sought to dispose of records that are accumulating, but which will have no further value after (1) lapse of specified periods of time or (2) upon the occurrence of a specific event.

DISPOSE OF. The destruction or sale as wastepaper of record and non-record material at the scheduled time authorized by the National Archives.

FILES. Papers, cards, or other material, record or non-record, accumulated or accumulating and arranged in folders, filing equipment, or on shelves occupying office or storage space.

FILES SERIES. An identifiable portion (or segment) of an organized file which can be described, handled, used, and disposed of as a whole; a complete file or part of a file which requires separate description by virtue of variations in arrangement or subject content, retirement or disposal characteristics, significant volume, or peculiar physical form (such as maps, drawings, or other oversized files).

FILING EQUIPMENT. All types of equipment used to house records, such as filing cabinets, transfer files, boxes, shelving, and tube files.

GENERAL SCHEDULES. Descriptive listings of records prepared by the National Archives and Records Service and issued as Appendix A of this Manual, authorizing disposal, after a specified period of time, of records common to several or all agencies of the Government. The disposal action indicated in general schedules is permissive, not mandatory. The authorization contained in the general schedules does not relieve the individual agency from the responsibility of obtaining the approval of the Comptroller General of the United States to dispose of records pertaining to claims and demands by or against the Government or to any accounts in which the Government is concerned.

INVENTORY OF RECORDS. An account or report itemizing each type of record and non-record material indicating description, quantity, and other pertinent data.

MAINTENANCE OF RECORDS. The manner of grouping, filing, storing, and safeguarding records.

MICROPHOTOGRAPHY (MICROFILM). The process of applying the principles of photography to effect reductions in records volume, or to preserve the integrity of the original file.

NON-CURRENT MATERIAL. Record or non-record material which is no longer required in the performance of day-to-day operations or administrative activities.

NON-RECORD MATERIAL. Library and museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, stocks of publications and processed documents, reading or chronological copies, tickler or follow-up copies, informal or transmittal letters or memorandums, or other documents that do not serve as a basis for official action.

RECORDS OFFICER. The title of a designated staff official whose responsibility is to provide general direction and coordination to the records management program within the Principal Operating Component and OS.

RECORDS. "All books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data contained therein" (Records Disposal Act of July 7, 1943, as amended).

RECORDS CENTER. Depositories established by the General Services Administration for the housing of non-current or inactive records pending ultimate disposition.

RECORDS CONTROL SCHEDULE. A descriptive list of all records of the Department or any part thereof with a written plan of policy and procedure for the eventual disposition of each type of record. A records control schedule specifies the types of materials to be disposed of by destruction, or to be transferred, and fixes the minimum retention periods for each type.

RECORDS LIAISON OFFICER. The title of a designated staff official whose responsibilities are to assist the Principal Operating Component officer in carrying out the records management program in an organizational unit of a POC which, due to size or location, cannot be serviced effectively by the POC records officer.

REGIONAL RECORDS OFFICER. The title of an official designated by the regional director to assist in carrying out the records management program in the Office of the Regional Director.

RETENTION PERIOD. The period of time which must elapse before disposition may be made of a body of record material.

SCHEDULED RECORDS. All record materials for which a policy for disposition has been established.

TEMPORARY OR TRANSITORY RECORDS. Records which will have outlived their usefulness after a short period of time.

TRANSFER. The act or process of relinquishing physical custody of a body of records to an organization or facility outside the Department.

CHAPTER 1-30
STANDARD MEASUREMENTS

1-30-00 Purpose
10 Standard Measurements

1-30-00 PURPOSE

This chapter provides standards of measurement which will facilitate records management work and provide a uniform basis for reporting and program evaluation.

1-30-10 STANDARD MEASUREMENTS: TABLE OF EQUIVALENTS FOR CONVERSION TO CUBIC FEET

A. Standard size card files.

One linear foot of material of the size indicated approximates the cubic footage shown below:

3" x 5" -- 1/10 cubic foot
4" x 6" -- 1/6 cubic foot
5" x 8" -- 1/4 cubic foot

B. Filing Cabinets.

1. Letter-size filing cabinets full but workable -- 1-1/2 cubic feet per drawer, 6 cubic feet per 4 drawer cabinet, or 8 cubic feet per 5 drawer.
2. Legal-size filing cabinets full but workable -- 2 cubic feet per drawer, 8 cubic feet per 4 drawer cabinet, or 10 cubic feet per 5 drawer cabinet.
3. Twenty-drawer tabulating cabinet full but workable -- 6 1/2 cubic feet or 10,000 tabulating cards per cubic foot.
4. To determine cubic footage of outsize equipment multiply inside measurements of container, in inches, (width x depth x length) and divide by 1728.

C. Shelf Files.

To determine the cubic footage for legal or letter size material filed on shelves, count the linear feet. For example, material filed on a 36" shelf, full but workable, is counted as 3 cubic feet.

(1-30-10 continued)

D. Weights.

One cubic foot of material approximates the following weights:

Correspondence - 30 pounds
Tabulating listings - 40 pounds
Tabulating cards - 56 pounds

E. Space.

1. Each filing cabinet (legal, or letter-size) or vertical stack of transfer cases occupies 7 square feet of working floor space.
2. One file shelf or vertical stack of file shelves occupies 7 square feet of working floor space. Usually shelves are stacked one on the other.

CHAPTER 1-50
REMOVAL OF PAPERS BY THE SECRETARY AND
OTHERS ON LEAVING THE DEPARTMENT

- 1-50-00 Purpose
 - 10 General
 - 20 Specific Limitations
 - 30 Criteria for Removing Papers
 - 40 Maintenance of Material
 - 50 Technical Assistance

1-50-00 PURPOSE

The purpose of this chapter is to set forth policy and standards which will govern the removal of papers by the Secretary and others on leaving the Department.

1-50-10 GENERAL

Records made in connection with the transaction of public business or pursuant to law belong to the Government not the officer. (See RECORDS MANAGEMENT MANUAL, Chapter 1-20, for definition of "Records.") The removal of public papers is limited by statute with certain discretion allowed. Papers which are truly personal and private belong to the respective officer and can be removed. Many papers, however, will be found to be a mixture of private and public matters. Case by case decisions will then be required to determine whether a given paper is preponderantly personal or public. The advice and assistance of the Department Records Management Officer should be requested whenever it is necessary to make determinations of this nature.

1-50-20 SPECIFIC LIMITATIONS

- A. Material which falls under the statutory definition of "Records" may be disposed of only in accordance with Department policies and procedures specified in the RECORDS MANAGEMENT MANUAL.
- B. Confidential information which falls within the meaning of several specific statutes (such as those involving cryptographic systems, communications intelligence, bank examining, and certain Social Security and confidential statistical information) shall not be removed.
- C. The removal of classified material is limited by the following:
 - 1. Material classified under E. O. 10501 and restricted data under the Atomic Energy Act of 1954, no matter what its form, should not be removed from the custody, control, or possession of the Department, and the title to such material may not be transferred from the United States.

(1-50-20C continued)

2. There is limited authority under E. O. 10816 for the collection of extra copies of classified defense information originating within this Department by private individuals, including the Secretary and others, for historical research purposes. In making copies of classified material available under E. O. 10816, the following determinations must be made and safeguards observed:
 - a. Access to the information must be determined to be clearly consistent with the interest of the National Defense.
 - b. The person to be granted access must be determined to be trustworthy.
 - c. Adequate assurance must be obtained that the classified information involved will not be published or otherwise compromised.
 - d. Adequate assurance must be obtained that the title to the copies will remain in the United States until such time as the information contained therein has been officially declassified under E. O. 10501 and until it is determined that the interests of the United States permit the transfer of title to the copies to non-Government custodians.
- D. Authorization shall be obtained from the Executive Secretary of the National Security Council for:
 1. The removal of any classified documents by the Secretary or others on leaving the Department.
 2. Access by persons outside the Executive branch to copies of classified documents for purposes of historic research under E.O. 10816.
- E. Authorization shall be obtained from the Secretary of the Cabinet for the removal of any classified or privileged Cabinet Papers before being considered for removal under any standards issued in this chapter.
- F. The unauthorized removal of papers may be subject to criminal penalties.

1-50-30 CRITERIA FOR REMOVING PAPERS

- A. "Non-Record" material shall not be withdrawn if this withdrawal will create such a gap in the file as to disrupt the proper documentation of activities. Work-aids, such as office diaries, logs, memoranda of conferences, and telephone calls usually are reflected in the Department's records, and ordinarily can be removed.
- B. If any documents are judged not to be "Record" but to be preponderantly personal, the removing official shall make a record of anything relating to matters involving the official business of the Department prior to removal of such documents.

REMOVAL OF PAPERS BY THE SECRETARY AND
OTHERS ON LEAVING THE DEPARTMENT

3

(1-50-30 continued)

- C. Personal diaries should not be considered "Records" but private property provided they do not contain Government information or documents which should not be removed under the other limitations specified in this chapter.
- D. Extra carbons or non-record copies of "Records" may be removed, providing:
 - 1. there are no legal or policy reasons for keeping the information therein confidential;
 - 2. they were produced by a second agency, and that agency does not wish them kept confidential;
 - 3. the record copies, and sufficient non-record copies for the convenient transaction of business, still exist in the interested agencies.
- E. A retiring Secretary or other official planning to remove papers should consider making use of the system of Presidential archival depositories.
 - 1. Section 507 of the Federal Records Act (44 U.S.C. 397) establishes a system of Presidential archival depositories. Under this Act the Administrator of the General Services Administration may accept for deposit in either the National Archives or similar depositories, Presidential papers, papers and other historical materials of officials or former officials, and other papers "relating to and contemporary with any President or former President of the United States." The section specifically provides that deposits may be made "subject to such restrictions respecting their availability and use as may be specified in writing by the donors or depositors, . . . and such restrictions shall be respected for so long a period as shall have been specified, or until they are revoked or terminated by the donors or depositors or by persons legally qualified to act on their behalf. . . ." The use of this system has been extended to Cabinet Members.
 - 2. The National Archives system, in addition to affording physical security to materials deposited therein, provides for their administration by a trained professional staff.

1-50-40 MAINTENANCE OF MATERIAL

- A. Though the Federal Records Act and Records Disposal Act are silent on the question of disposition of personal papers of federal agency officials, the Code of Federal Regulations requires separation of such papers from official agency records:

(1-50-40 continued)

Papers of a private or non-official character which pertain only to an individual's personal affairs that are kept in the office of a Federal official will be clearly designated by him as non-official and will at all times be filed separately from the official records of his office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files.

- B. Steps should be taken in file-keeping and file-cleaning to throw out personal or gossipy material which does not come under the definition "Records."

1-50-50 TECHNICAL ASSISTANCE

The Department Records Management Officer should be contacted whenever the removal of papers is contemplated and action is to be taken.

CHAPTER 2-00
 GENERAL POLICY

- 2-00-00 Purpose
 10 Authority for Program
 20 Required Documentation
 30 Program Content
 40 Records Management Forms

2-00-00 PURPOSE

Part 2 of this Manual provides a reference point for delegations of authority and for responsibilities of key personnel necessary for the execution of the Department's records management program.

2-00-10 AUTHORITY FOR PROGRAM

- A. Section 506(b) of the Federal Records Act of 1950 and the GSA Regulations Title 3 issued thereunder, require that the head of each Federal agency establish and maintain an active and continuing program for the economical and efficient management of the agency's records.

In furtherance of the objectives and requirements of the Federal Records Act, a Department-wide records management program shall be established, with staff assigned as necessary to assist supervisory and management officials to carry out their responsibility for effective records management.

2-00-20 REQUIRED DOCUMENTATION

- A. Records are basic to the work of this Department. They represent the recorded experience of the Department which is needed to give continuity and consistency to its actions and to make policy determinations. Records contain data basic to research in a wide variety of subject matter fields of concern to this Department.
- B. In carrying out the functions and activities of the Department, personnel shall make, or cause to be made, records which reflect:
1. Experience of the Department in discharging its legal mission in terms of program, policy decisions, procedures, essential transactions, and obligations.
 2. Functional aspects of organization and operations.
 3. Accomplishment of the ends for which the Department was established and is supported by the expenditure of Federal funds.
- C. Personnel concerned with the making of records shall participate in planning the disposition of records.

2-00-30 PROGRAM CONTENT

- A. The Department records management program shall provide policies, standards, and procedures for:
1. Creation of records, including the development of systematic and coordinated methods and controls to (a) assure adequate documentation of responsibilities and essential transactions of the Department in the most economical manner, and (b) preclude the making of records in excess of needs.
 2. Organization, maintenance, and use of current records, including (a) basic filing classification outlines, (b) training programs, (c) standards for records maintenance activities, and (d) provision for continuing analyses designed to improve the organization, maintenance, and use of records, mail handling, and routing.
 3. Disposition of records, including (a) written plans for the control and disposition of each type of record, (b) transfers of appropriate records to GSA Federal Records Centers and the National Archives (c) preservation of records through microfilming, and (d) provisions for the destruction of valueless records.
- B. The Department program shall be developed in collaboration with the operating agencies and staff offices concerned.

2-00-40 RECORDS MANAGEMENT FORMS

The forms exhibited in this manual shall be used in the Records Management Program throughout the Department. They shall not be revised without prior approval of the Department Records Management Officer.

GENERAL RESPONSIBILITIES

- 2-10-10 Assistant Secretary for Administration and Management
 - 20 Heads of POCs and Regional Offices
 - 30 Scope of Responsibility
 - 40 Department Records Management Officer
 - 50 Records Officer
 - 60 Records Liaison Officer
 - 70 Regional Records Officer
 - 80 Regional Records Liaison Officer
 - 90 Reports of Designations

2-10-10 ASSISTANT SECRETARY FOR ADMINISTRATION AND MANAGEMENT

The Assistant Secretary for Administration and Management, through the Division of Management Policy and Directives and the Department Records Management Officer, is responsible for over-all administration of the Department records management program.

2-10-20 HEADS OF POCs AND REGIONAL OFFICES

- A. The head of each Principal Operating Component and the Regional Director, for the Office of the Regional Director, is responsible for the following activities within his respective organizational unit.
 1. Execution of a continuing records management program in accordance with existing laws, regulations, policies, and standards.
 2. Designating technical staff as required to assist in carrying out the records management program.
 3. Providing the support required by the designated technical staff to carry out their assigned responsibilities.

2-10-30 SCOPE OF RESPONSIBILITY

- A. The scope of responsibility for carrying out the Department records management program at various organizational levels within prescribed policies, standards, and procedures, shall be as follows:

Responsible Official

Heads of POCs

Regional Directors

Scope of Responsibility

All records of their respective POCs including regional components.

All records in the Office of the Regional Director.

(2-10-30 continued)

<u>Responsible Official</u>	<u>Scope of Responsibility</u>
Director, Office of Administration, OS	All records in Office of the Secretary headquarters.

- B. These officials shall designate members of their staff to provide leadership and technical assistance in carrying out their records management responsibilities.

2-10-40 DEPARTMENT RECORDS MANAGEMENT OFFICER

- A. The Assistant Secretary for Administration and Management shall designate a staff member of the Division of Management Policy and Directives as Department Records Management Officer to provide leadership in planning, developing, and coordinating a continuing records management program for the Department. This includes responsibility for:
1. Development of Department-wide policies, standards and procedures to promote an effective records management program in the Department. Such program shall, among other things, provide for (1) effective controls over the creation, maintenance, and use of records in the conduct of current business; (2) cooperation with the Administrator, General Services Administration, in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with the provisions of the Federal Records Act of 1950 and Disposal Act of 1943, and the amendments issued thereto.
 2. Technical assistance and guidance to officials throughout the Department in the development and administration of all phases of their records management programs.
 3. Reviewing and coordinating records management programs and activities throughout the Department.
 4. Representing the Department in liaison with the General Services Administration, the General Accounting Office, and other agencies in carrying out the above activities and as otherwise necessary in connection with the Department's compliance with the provisions of the Federal Records Act of 1950, as amended, and GSA Regulations, Titles 1 and 3.

2-10-50 RECORDS OFFICER

- A. Principal Operating Components shall designate records officers to assist in developing the records management program and in directing and coordinating this program in the POC. The Assistant Secretary for Administration and Management shall designate such an officer for the Office of the Secretary. Responsibilities of records officers shall include:

2-10-50 continued:

1. Assisting officials of the POC and OS in the development and implementation of programs and methods to promote efficient records management.
2. Liaison with the Department Records Management Officer to insure coordination in all matters relating to the Department records management program.
3. Recommending and participating in, as appropriate, such records management studies as may be required.
4. Reviewing and approving requests for all filing equipment in his respective organization, if such an approval cannot be effectively assigned to the Records Liaison Officer(s) or to the persons responsible for records management at the installations requiring the equipment.
5. Conducting review of records control schedules to effect necessary changes.
6. Reporting, as required, on progress and accomplishments in records management activities within his respective organization.

2-10-60 RECORDS LIAISON OFFICER

- A. POCs and the OS shall designate a records liaison officer to carry out the records management program in each organizational unit which, due to size or location, cannot be adequately serviced by the records officers.
- B. Responsibilities of records liaison officers are similar within their respective organizational units to those of records officers. (See 2-10-50). However, reports to and liaison with the Department Records Management Officer shall be made through the records officers, unless otherwise specified by the POC head in supplementary designations approved by the Office of the Secretary.

2-10-70 REGIONAL RECORDS OFFICER

- A. Each regional director shall designate a records officer to assist in carrying out an over-all records management program in his regional office. Each regional records officer shall be responsible for general direction and coordination of the records management program in his regional office. This shall include:
 1. General responsibility, in consultation with the appropriate regional representative or staff unit head, for the organization and preservation of all current records of units in the Office of the Regional Director and for the disposition of non-current and non-record materials.

(2-10-70 continued)

2. In consultation with appropriate regional representative or staff unit head, responsible for conducting the annual review of ORD disposition instructions, for recommending necessary revisions in retention periods, and for initiating procedures to insure prompt disposition of records as authorized.
3. Maintaining liaison with the Department Records Management Officer through the Office of Administration, OS, on all matters relating to the ORD records management program, including the submittal of regular and special reports of records management activities in the region.
4. Representing the regional director in maintaining necessary liaison with the GSA regional office on records management matters.
5. Reviewing and approving requests for all filing equipment in his respective regional office.

2-10-80 REGIONAL RECORDS LIAISON OFFICER

The head of each POC unit in the regional office, who is responsible for maintenance of current records in accordance with existing Department standards, shall designate a staff member to serve as liaison with the regional records officer and the POC records officer on records management activities.

2-10-90 REPORTS OF DESIGNATIONS

Designations made according to the provisions of sections 2-10-50 through 2-10-80 (and subsequent changes therein) shall be reported as follows:

<u>Title of Official</u>	<u>To Whom Reported</u>
Records Officers	Department Records Management Officer
Regional Records Officers	OS Records Officer
Records Liaison Officers	Records Officer
Regional Records Liaison Officers	POC Records Officer

GENERAL PROVISIONS

3-00-00 Purpose
10 Policy
20 Responsibility

3-00-00 PURPOSE

Part 3 of this Manual prescribes recommended Departmentwide standards, criteria, and procedures for the effective, efficient and economical maintenance of records through use of appropriate procedures, storage equipment and related supplies designed for maximum facilitation of retrieval and disposition of record and non-record material.

3-00-10 POLICY

It is the Department's policy to promote the proper utilization of records maintenance equipment and to ensure that sound records maintenance procedures are followed by all its components, consistent with General Services Administration (National Archives and Records Service) regulations and guidance, and their specialized needs.

3-00-20 RESPONSIBILITY

- A. The Assistant Secretary for Administration and Management, who has overall responsibility for the Department's records management program, has designated the Department Records Management Officer in the Division of Management Policy and Directives, Office of Management Planning and Technology, OS, as the official with day-to-day responsibility for oversight of the Department's records maintenance program.

The Department Records Management Officer serves as official liaison between the components of the Department and the National Archives and Records Service. Any requests for assistance from NARS (except general inquiries) should be presented to the DRMO for evaluation and consultation with NARS. In many cases, the DRMO himself will be able to answer inquiries related to NARS policy or arrange for Departmental resources to provide assistance. Direct contact with NARS by POCs on a regular basis should be avoided. Provisions for dealing directly with NARS on an ad hoc basis may be made through the DRMO.

- B. It is Departmental policy to decentralize authority to the lowest practical level. In the case of exercising responsibility for compliance with the provisions of this Part, the DRMO has decentralized all authorities which are not Departmentwide in

(3-00-20 continued)

scope except as described in paragraph 3-00-20A to the Records Officers of the POCs, the Office of the Secretary, and the Office of the Regional Directors; the ORD Records Officers should, however, consult with the OS Records Officer in the Office of Administration, AM, as to OS Policy on records maintenance. The responsibilities of the POC and OS Records Officers may be further decentralized as necessary (e.g., to the records officers of the PHS agencies); however, ultimate authority and responsibility for compliance with this Part as it relates to the POCs and OS rests with the POC and OS Records Officers. In the Office of the Regional Directors, any responsibilities decentralized to the ORD records officer may not be further decentralized.

CHAPTER 3-10

FILING SYSTEMS AND RECORDS MAINTENANCE

3-10-00	Files Coding System
10	Organization of the Files
20	Office Reference Files
30	Official Record Material and Reference Copies
40	Sensitive or Classified Records

3-10-00 FILES CODING SYSTEM

- A. Each POC Records Officer and the Records Officer for the Office of the Secretary shall develop standardized filing codes for each type of record produced or maintained at headquarters and in the Regions and field.
- B. Codes utilized for record material maintained in the Office of the Regional Directors should be those developed by the OS Records Officer to the maximum extent possible. It is recognized that some ORD records may differ from those maintained at OS headquarters because of the decentralization of certain programs and responsibilities. The ORD records officer, in this case, should prepare codes for concurrence by the OS Records Officer; in some cases, it may be necessary for the OS Records Officer to make on site visits or, if this is not practicable, for the ORD records officer to submit copies of the non-headquarters records with the codes which have been proposed to enable the OS Records Officer to evaluate the appropriateness of the codes. These procedures for coding of non-headquarters records of the POC elements in the Regions and field should also be followed by the POC Records Officers. Technical assistance will be provided to Regional POC records personnel by the Records Officer in the Office of the Regional Director upon request, especially in the coding of general administrative and financial management administrative records.
- C. The alpha-numeric system of coding is Departmental policy. Use of any other system must be approved by the Department Records Management Officer, based upon adequate justification furnished by the organization concerned. The alpha-numeric system is described in detail in the NARS Records Management Handbook "Subject Filing" (FSN 7610-926-2128) and may be obtained through normal GSA supply channels. The instructions governing filing practice in Appendix A should also be taken into account.
- D. Filing codes must appear on both official and non-record copies in the case of paper documents, to facilitate location of documents and uniform filing procedures. Non-paper documents (e.g. magnetic tapes) should be labeled with appropriate filing code when physically possible. It is the responsibility of the

(3-10-00 continued)

originating office to assign the code; if the person(s) in charge of maintenance of the official files believe the wrong code has been assigned, they must immediately inform the originating office in order that the correction may be made on the non-record document in the office reference files. The official record copy code must be changed (pen-and-ink) by the files personnel. In all cases where there is doubt as to which code is appropriate, the records officer should be consulted; this applies to originating offices as well as to official record files maintenance personnel.

- E. To the maximum extent possible, the development of filing codes should take into account the retention period specified for the record. This facilitates the organization and timely "breaking" and disposition of both official record and office reference files.
- F. It is both impractical and uneconomical to publish filing codes for each POC and the Office of the Secretary in this Manual. Each POC and the OS should, instead, issue filing code handbooks to each office responsible for preparing record material. The handbooks should be of the loose-leaf variety to facilitate updating, and should be divided between administrative and program record codes. Submit 2 copies of each handbook and any new or updated issuances to the Department Records Management Officer in the Division of Management Policy and Directives, OS, to the OS Records Officer, and to each Regional Director's Office.

3-10-10 ORGANIZATION OF THE FILES

- A. In general, it is best to organize both official record and office reference files alphabetically by Fiscal Year. If necessary, a cross-reference file may be maintained, using Form HEW-15. A charge-out card (Form HEW-55) should be used when official records are removed from the files for reference purposes. Use Form HEW-56 to notify users of official files where and when to return borrowed record material.
- B. All files should be broken — i.e., transferred to less active locations in the files — and a new file started on a Fiscal Year basis, unless calendar years govern disposition of the records. In general, office reference files should be broken once annually and disposed of after 2 years, or when the files are no longer active, whichever is earlier.

3-10-20 OFFICIAL RECORD MATERIAL AND REFERENCE COPIES

As a general rule, never maintain official records (i.e., those containing signatures of those by whom action was taken and when, such as the yellow file-box of a decision document, with back-up material, or any record material designated as the official copy for retention purposes, including magnetic tapes, etc.) in office space once final action has taken place. It is a good practice to transfer these records to one or more official records holdings stations maintained by trained personnel as soon as final action has occurred, or to the Federal Records Center, if authorized. In addition, stamp the date final action was taken and the signer of the document (if a paper record) on the office reference file copy and the office reading file copy and record this information in the correspondence control log book (if one is necessary to the operation of the office). If a "hold" copy has been maintained pending final action, or a "come-back" copy of correspondence (dated and stamped is received, either may be used as the office reference copy). If both hold and come-back copies are part of office correspondence procedure, the copy not used for office reference file purposes may be given to the originator for his reading file; in this case, the copy in the reading file for which the signed document is substituted is to be disposed of immediately.

3-10-30 OFFICE REFERENCE FILES

- A. Office reference ("convenience") files should be held to a minimum. In general, this means that no more than two copies of a record should be maintained in office space -- one for the office reference files and one for the office reading file -- once notification of official action has been received. Log books may be maintained to record the location, file code, and, finally, action taken on the record material, where paper documents are concerned. Whenever possible -- space is usually the governing factor -- office reference files should be maintained in a central location. "Personal" files to be avoided; they take up space, duplicate material in the office reference files, require unnecessary expenditures for additional filing equipment, and are almost never maintained and disposed of properly. In general, the only justification for a "personal" file is lack of space for office reference files for use by all, or the assignment of a highly specialized function, usually at the POC or Department level, which requires constant reference and ready access to a "history" or similar type file, by the individual as part of the performance of the individual's duties. There must be clear evidence that such is the case before the possession of such files can be

(3-10-30 continued)

authorized, and care must be exercised to ensure that these files are maintained and disposed of properly.

- B. Reading files may be maintained for each writer of correspondence, including studies and reports. If the correspondence requires signature by an official at a higher level, the writer must be informed when final action has been taken and who signed the document in order to post his reading file copy. Reading files enable the writer to locate his work readily; the office reference files will usually contain a number of documents filed under the same subject code by several or many authors. A reading file also provides the writer with a ready means of locating all related material on any given subject, because of the presence on the document of the alpha-numeric code, as described in paragraph 3-10-00D. Reading files may be arranged chronologically or alphabetically by code and date of preparation or signature and retained no longer than two years. Reading files are best maintained in reusable three-ring binders. Reading files have the added advantage, besides the other advantages described above, of providing a partial indication of the individual's level of productivity in the event his job must be audited.

3-10-40 SENSITIVE OR CLASSIFIED RECORDS

- A. Sensitive records are records which contain privileged information and/or which can personally identify an individual under conditions, should the records be obtained by unauthorized personnel, which would contravene the individual's right to privacy, under provisions of the Privacy Act of 1974. Included are personnel folders -- both official and unofficial --, medical records, Social Security claims folders, certain questionnaires used for statistical purposes containing data normally prohibited, such as racial information, et al. These records should be maintained in accordance with custodial policy cited in security and personnel manual issuances.
- B. Classified (National Defense) Records must be maintained in accordance with provisions of paragraph 3-50-20 of the HEW Security Manual. These records are, in general, organized, coded, and maintained as you would non-classified records, but in filing equipment and locations approved by security personnel. Filing clerks must have the appropriate security clearance, along with all those who have a need for access to the files. Procedures for obtaining security clearances are described in Part 2 of the Security Manual.

FILING EQUIPMENT AND PROCEDURES

- 3-20-00 Policy
 - 10 Conservation, Utilization, and Recommended Procedures for Acquisition of Filing Equipment
 - 20 Recommended Filing Practices
 - 30 Recommended Standard Equipment
 - 40 ADP Records Storage
 - 50 Equipment, Uses, and Federal Stock Numbers

3-20-00 POLICY

It is Department policy to provide for the most economical use of filing equipment consistent with local filing requirements. The principles for conservation and utilization of filing equipment are described in this Chapter.

3-20-10 CONSERVATION, UTILIZATION, AND RECOMMENDED PROCEDURES FOR ACQUISITION OF FILING EQUIPMENT

- A. Conservation. Maximum conservation of expenditures for filing equipment will be accomplished through the following means:
 - 1. Use of reconditioned filing cabinets, in good working conditions, as a substitute for procurement of new equipment.
 - 2. Use of excess filing equipment; such equipment may be obtained through your local property and supply office. If filing equipment is not available in a particular POC or OS, the responsible Records Officer should request the property and supply officer to make inquiries in other POCs, other Federal agencies, and the General Services Administration before action is taken to procure new equipment. In the Regional Offices and in field stations located within a Region, filing equipment not available in one Region may be available in another. In this event, shipping costs, the type of equipment available vis-a-vis what is required, and the cost of procuring new equipment locally will be the governing factors.
 - 3. Transfer to the Federal Records Center of official records in accordance with approved disposition schedules (or destruction, if authorized). If any doubt exists as to which records schedule applies, in the case of both official records and reference copies, POC elements and OS staff offices should consult their Records Officer before taking action. If

(3-20-10 continued)

decision by higher authority is required or desired, the Department Records Management Officer in the Division of Management Policy and Directives, OS, is the Department's official liaison with the National Archives and Records Service.

4. Development of records disposition schedules for all records not included in existing approved schedules must be accomplished as soon as it can be determined when the records are no longer needed. This applies especially to records related to new programs, where only experience will determine how frequently reference to the records is necessary.

B. Staff Increases

Staff increases are never in themselves adequate justification for the acquisition of additional filing equipment; the provisions of paragraphs 3-10-20 and 3-20-10A must first be observed.

C. Recommended Procedures for Acquisition of New Filing Equipment

1. It is recommended that the POC Records Officer and the OS Records Officer, for the Office of the Secretary, be responsible for approving requests, based on adequate written justification, to procure additional filing equipment. The measures prescribed in paragraph 3-20-10A should first be exhausted before a request can be considered unless new types of records -- such as magnetic tapes -- must be stored. This should be explained in a justification. If new equipment is required, along with the written justification, a Form HEW-393, "Purchase/Service/ Stock Requisition," should be submitted, signed by the official authorized to initiate procurement action for his organization. If, in the opinion of the Records Officer, the request is justified, he would then initial the HEW-393 and forward it to the POC or OS procurement officer. If the request is disapproved or further information is necessary, the Records Officer would notify the requestor.
2. If there is any doubt, the Records Officer should personally check the requesting office's records maintenance practices before authorizing the procurement of new equipment.

3-20-20 RECOMMENDED FILING PRACTICES

The National Archives and Records Service Records Management Handbook "Files Operations" (FSN 7610-985-6973) should be consulted for more detailed information on the management

(3-20-20 continued)

of files than can be given in Chapter 3-10 of this Part. The Handbook is available through normal GSA supply channels. A limited amount may usually be obtained free from NARS by Records Officers.

3-20-30 STANDARD EQUIPMENT, USES, AND FEDERAL STOCK NUMBERS

- A. Shelf filing in 5-drawer, roll-out lateral or upright (i.e., one drawer wide) filing cabinets is suitable for records that are alpha-numerically arranged, including case and project files. This applies to both official records and office reference files. Shelf filing is also recommended for computer printouts as the shelves are adjustable to accommodate oversized records. Especially consider lateral-type shelf filing when the records to be maintained total, or are expected to total approximately 100 linear feet and when:

1. The filing station is in a relatively permanent location.
2. Space is limited.

B. Factors to Consider

1. Under the above conditions, and when new equipment is justified, lateral, shelf-type files with roll-out drawers, five drawers high, are more economical than one-drawer wide, five drawer vertical filing cabinets, inasmuch as they require less space in terms of capacity, may be used for both standard letter and legal size documents, and computer printouts. Such equipment does, however, have one drawback -- generally speaking, file folders must be removed from the filing cabinet when inserting or removing record material.
2. In a record holding area, the files-to-space ratio is extremely important. As mentioned above, shelf-type files conserve space if the volume of records justifies their use. Aisle space must also be taken into consideration; when the floor load and physical layout of the files area permit, aisles should be at least 40" in width. If the file is extremely active and/or wheeled filing baskets are in constant use, a minimum of 50" is the aisle width recommended.

C. Fireproof or Fire Resistant Equipment

Fireproof filing equipment is not included in the General Services Administration Stock Catalog; where justified, these cabinets must be procured from private industry sources; adequate

(3-20-30 continued)

justification would include sensitive or classified records or official records which would be extremely difficult to reconstruct and have semi-permanent or permanent value.

D. Non-Standard Filing Equipment

Included in this category are 2 and 4-drawer filing cabinets, wooden cabinets, cabinets with wood finishes, equipment designed for the maintenance of microform records, and special equipment that is manually or mechanically controlled; use of this equipment, may, of course, be perfectly justifiable; follow procedures described in paragraph 3-20-10C of this Part.

3-20-40 ADP RECORDS

In some cases, maintenance and safeguarding of ADP generated records and selection of appropriate filing equipment are exempted from the procedures prescribed in this Part, particularly where the privacy rights of individuals must be protected or sabotage -- e.g., erasure of magnetic tape through use of a magnet -- poses a potential problem. Consult the ADP Systems Manual for record maintenance instructions and authorities of ADP systems managers. Overall authority for ADP systems records maintenance policy is the responsibility of the Office of Management Technology in the Office of Management Planning and Technology, OS.

3-20-50 EQUIPMENT, USES AND FEDERAL STOCK NUMBERS

A. Vertical Filing Cabinets

Contemporary vertical (upright) filing cabinets, designed for general, correspondence-type filing material, reports, etc., are one-drawer wide, 5-drawers high. Use legal-size vertical filing cabinets only when at least one-fourth of the documents to be filed are legal-size. Smaller amounts of legal-size material may be folded to fit letter-size equipment.

1. Federal Stock Numbers

a. Letter-size, 15" wide, without lock, 5-drawer

- (1) Black -- 7110-00-497-2508
- (2) Parchment -- 7110-00-497-2506
- (3) Sand -- 7110-00-497-2507
- (4) Gold -- 7110-00-497-2490

(3-20-50 continued)

b. Letter-size, 15" wide, with lock, 5-drawer

- (1) Black -- 7110-00-497-2346
- (2) Parchment -- 7110-00-497-2370
- (3) Sand -- 7110-00-497-2365
- (4) Gold -- 7110-00-497-2438

c. Legal-size, 18" wide, 5-drawer, without lock

- (1) Black -- 7110-00-497-1976
- (2) Parchment -- 7110-00-497-2012
- (3) Sand -- 7110-00-497-1989
- (4) Gold -- 7110-00-497-2200

d. Legal-size, 18" wide, 5-drawer, with lock

- (1) Black -- 7110-00-497-1783
- (2) Parchment -- 7110-00-497-1829
- (3) Sand -- 7110-00-497-1819
- (4) Gold -- 7110-00-497-1906

B. Lateral Filing Cabinets

Contemporary style, lateral filing cabinets, with roll-out drawers, are designed to provide a versatile means of filing with a minimum use of floor space, provided the quantity of documents to be housed warrants their use. They are particularly suited to official files holding stations. The cabinets are adaptable to filing letter - and legal-size materials both laterally and in a variety of other methods..

1. Federal Stock Numbers

a. Five tiers high, with 4-drawers (bottom) and one shelf (top); 36 x 18" deep

- (1) Black -- 7110-00-756-2708
- (2) Parchment -- 7110-00-497-4563

(3-20-50 continued)

(3) Sand -- 7110-00-756-2461

(4) Gold -- 7110-00-756-2687

C. Shelf Files

Contemporary style, shelf-type filing cabinets for general office use or in staging and holding areas.

1. Federal Stock Numbers

a. Letter-size, 7-shelf levels, without doors, built-in base, outside dimensions 84 x 36 3/4"

(1) Black -- 7110-00-184-1307

(2) Parchment -- 7110-00-184-1317

(3) Sand -- 7110-00-184-1322

(4) Gold -- 7110-00-184-1313

b. Legal-size, 7-shelf levels, without doors, built-in base, outside dimensions 84 x 36 3/4"

(1) Black -- 7110-00-184-3626

(2) Parchment -- 7110-00-184-3856

(3) Sand -- 7110-00-184-3861

(4) Gold -- 7110-00-184-3760

D. Card Files

Use of card filing equipment is based on need; there are no hard and fast rules which can be applied to determine need or size (3" x 5", 5" x 8" cards, steel or cardboard construction, etc.). Space available and whether or not the cards to be filed are standardized forms in common use (e.g., leave records, time and attendance records, etc.) are factors which will aid in determining what type of card file to utilize. Use the appropriate standard sizes and colors listed in the GSA Stock Catalog whenever possible.

OBJECTIVES AND ELEMENTS OF NEW RECORDS DISPOSITION PROGRAM

4-00-00	Objectives of Program
10	Records Inventory
20	Records Disposition Scheduling (SF-115)
30	General Records Schedules
40	Program Records Schedules
50	Federal Records Centers
60	Methods of Disposal

4-00-00 OBJECTIVES OF PROGRAM

Orderly, efficient disposition of records is required by Title 44, United States Code, Sections 3101-3107. An effective records disposition program for the Department will accomplish the following objectives:

- A. Insure that records and schedules are kept current as new types of records are created and other types are terminated.
- B. Insure that file custodians are complying with records schedules.
- C. Save valuable in-house space by removing from the office or facility those records which are no longer needed for daily operations and by maintaining a regular and controlled flow of records from storage areas to Federal Records Centers and/or destruction.
- D. Save time in finding records by clearing unused records from active files.
- E. Save money by precluding the need to purchase new or used filing equipment to store inactive records in-house and by releasing filing equipment through destruction of disposable records.
- F. Identify permanently valuable records so that they can be given proper protection by the National Archives and Records Service.

4-00-10 RECORDS INVENTORY

The first step in the management of an effective Departmental records disposition program is the

(4-00-10 continued)

preparation of an inventory of all in-house records holdings, both at OS and POC headquarters and in the Regions. POC Records Officers, the Records Officer for the Office of the Secretary and regional records officers should ensure that this is done and that the inventory is kept current. Form HEW-312 (Exhibit X4-00-1) may be used for recording the information collected; a thorough inventory of records holdings should be made at least once every two years or after major reorganizations, whichever is sooner. This process should be made part of either the Annual Report of Records Holdings (Chapter 9-10) or a regularly scheduled clean-out campaign. Each type of record or records series must be briefly, but clearly identified on the HEW-312; e.g., a correspondence file, contract file, or specific program (grant) file, etc.

4-00-20 RECORDS DISPOSITION SCHEDULING (SF-115)

- A. A records disposition schedule is an official agency document approved by the National Archives and Records Service giving an itemized list of the records created by the agency, usually grouped in categories, indicating whether the records are permanent or temporary and giving retention periods for the latter. After an inventory of records holdings has been completed, any unscheduled records identified must be scheduled for either permanent retention or disposal by the POC or OS Records Officer on Standard Form 115, "Request for Authority to Dispose of Records" (Exhibit X4-00-2), certified by the Department Records Management Officer, and approved by the National Archives and Records Service (NARS); sometimes (see Chapter 5-00), General Accounting Office concurrence is also required.
- B. SF-115s (or, if the continuation sheet SF-115A is used) must bear the concurrences of POC or OS offices which have responsibility for the creation of the records and the POC or OS Records Officer on the reverse of the last sheet of the proposal, e.g.:

(4-00-20 continued)

Concur: _____
Director, Bureau of Disability Insurance

Concur: _____
SSA Records Officer

(These concurrence lines must be typed on the form; they are not pre-printed).

- C. An original and 4 copies of the proposed records schedule should be submitted for clearance with NARS and, if necessary, GAO to the Department Records Management Officer (DRMO) in the Office of the Assistant Secretary for Administration and Management. The agency approval line on the SF-115 is reserved for the signature of the DRMO. A copy of the NARS approved SF-115 will be returned to the POC or OS Records Officer after action has been taken.
- D. Once an SF-115 has been approved by NARS, it becomes an official records schedule; its provisions for the retention or disposal of the records concerned are then mandatory unless amended by repeating the process described above. Approved disposition schedules shall be published in Appendix A (General Records Schedules) or Appendix B (Program Records Schedules) of the Department Records Management Manual.
- E. A good disposition schedule is based upon or contains the following elements:
1. A careful examination of the potential historical, administrative, legal, fiscal and scientific value of the records;
 2. Clear and specific descriptive language;
 3. Assignment of the shortest reasonable retention period based on the need for reference to the records;
 4. Assignment of a date when the records can be transferred to a Federal Records Center for further retention until no longer needed.
 5. Instructions on file breaks;
 6. Identification of site audit (see Chapter 5-00) and vital records; and

(4-00-20 continued)

7. Identification of the records, whenever possible, by form number or some other device applicable only to the records concerned.

F. Records Lists. When a one-time disposal of records no longer being created or needed for reference is desired, the SF-115 may be used as a Records List requesting such disposal authority (Exhibit X4-00-3). Again, approval by NARS (and, possibly, concurrence by GAO) is required. The same concurrence, certification and approval procedures described in paragraph 4-00-20B and C above will be followed.

4-00-30 GENERAL RECORDS SCHEDULES

- A. The General Records Schedules issued by the National Archives and Records Service have been adopted for Departmentwide use and are issued as Appendix A of this Manual. The GRS cover most administrative and financial management records found in a Government agency. POCs and the OS may use these schedules to dispose of records without further authorization.
- B. Deviation from the provisions of the GRS is permitted if: (1) the retention period proposed is longer than that required by the GRS; and (2) the GRS covers but does not specify the retention period for a category of records. In the case of the latter, the POC or OS organization concerned shall prepare an SF-115, "Request for Authority to Dispose of Records," following the procedures given in paragraph 4-00-20 above.
- C. Supplementation of the GRS is permissible when the Schedules do not cover all administrative or financial management records held by a POC or the OS. Again, procedures for getting a records disposition schedule approved will be followed.
- D. If an element of the Department does not wish to use the GRS, it must develop its own schedules and obtain the approval of the Department and NARS.

4-00-40 PROGRAM RECORDS SCHEDULES

- A. Program Records Schedules pertain to records which are specifically identified with a programmatic activity of the Department. These Schedules are published in Appendix B of this manual.
- B. Parts of Appendix B have been reserved for each POC and the OS. These are as follows:

<u>Appendix Part</u>	<u>Component</u>
B-100	Office of the Secretary
B-200	Office of the Regional Director
B-300	Public Health Service
B-400	Education Division
B-500	Social Security Administration
B-600	Office of Human Development
B-700	Social and Rehabilitation Service

4-00-50 FEDERAL RECORDS CENTERS

- A. The General Services Administration operates a nationwide system of Federal Records Centers for the economical storage and servicing of records for Federal agencies pending their deposit in the National Archives or other disposition approved by NARS.
- B. Records Transfer Criteria. Noncurrent records which cannot be stored more economically within the Department should usually be transferred to a Federal Records Center PROVIDED:
 1. They are covered by approved records disposition schedules;
 2. The records are scheduled for definite retention periods of more than three years; or
 3. The records are scheduled for indefinite retention; and
 4. Transfer to an FRC is more economical than storage in-house.

The FRCs usually will not accept records which do not meet the criteria set forth above. A further criterion

(4-00-50 continued)

has been developed by NARS which indicates that files are generally considered inactive enough for transfer to an FRC if they are referred to not more than once a month per file drawer.

- C. The General Accounting Office permits records subject to its site-audits (see Chapter 5-00) to be transferred to an FRC after they are over one year old provided they also meet the criteria set forth above.

4-00-60 METHODS OF DISPOSAL

General Services Administration regulations authorize the following three methods of disposal:

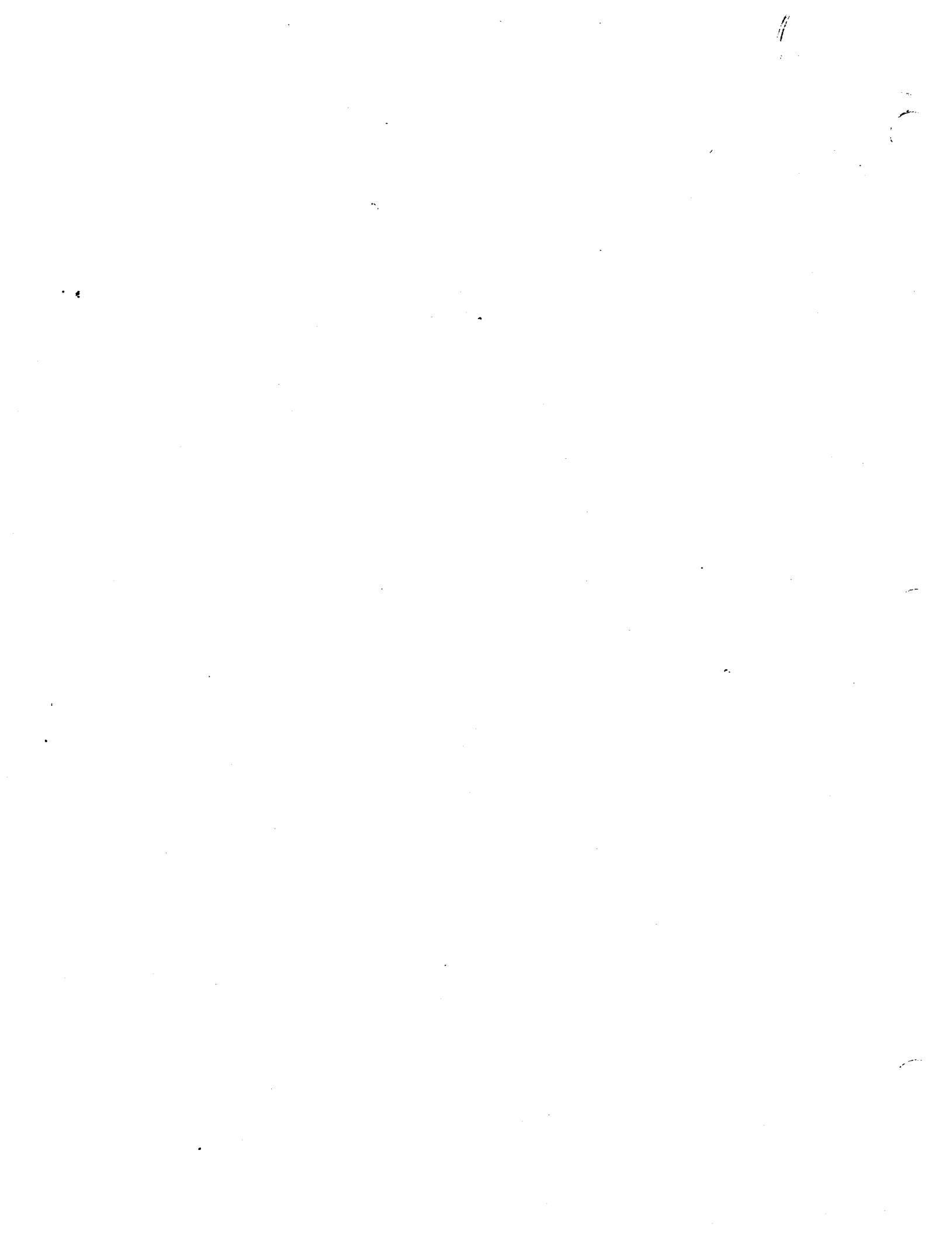
1. Sale or Salvage. To the maximum extent practicable, paper records to be disposed of shall be sold as waste paper, provided that, unless the records have been treated to destroy their record content, the contract for sale shall prohibit their resale or use as records or documents. Records other than paper records (film, tape, plastics, etc.) may be salvaged or sold under the same conditions governing the sale of paper records.
2. Donation for Preservation and Use. All donations of disposable records shall have the prior approval of the Department Records Management Officer. Whenever it is believed that the public interest will be served thereby, the Department may donate disposable records to a government, institution, corporation or person, provided:
 - a. The applicant agrees not to sell the records as records or documents;
 - b. The donation is made without cost to the Government;
 - c. The records do not contain information, the revelation of which is contrary to the provisions of the Privacy Act or Freedom of Information Act with regard to protecting the privacy of individuals; and
 - d. No donation to a person or business corporation shall be approved unless the records are necessary

7 OBJECTIVES AND ELEMENTS OF HEW RECORDS DISPOSITION PROGRAM

(4-00-60 continued)

to the management of properties acquired from the Department.

3. Destruction. If the records cannot be advantageously sold or otherwise salvaged, or if destruction is necessary to prevent the disclosure of privileged or classified information, the records may be destroyed by maceration, burning, or other appropriate means.



RECORDS APPRAISAL

DEPARTMENT OF HEALTH,
EDUCATION, & WELFARE

LOCATIONS OF RECORDS: HEW North Building, Room 5156
(Building, Room No.)

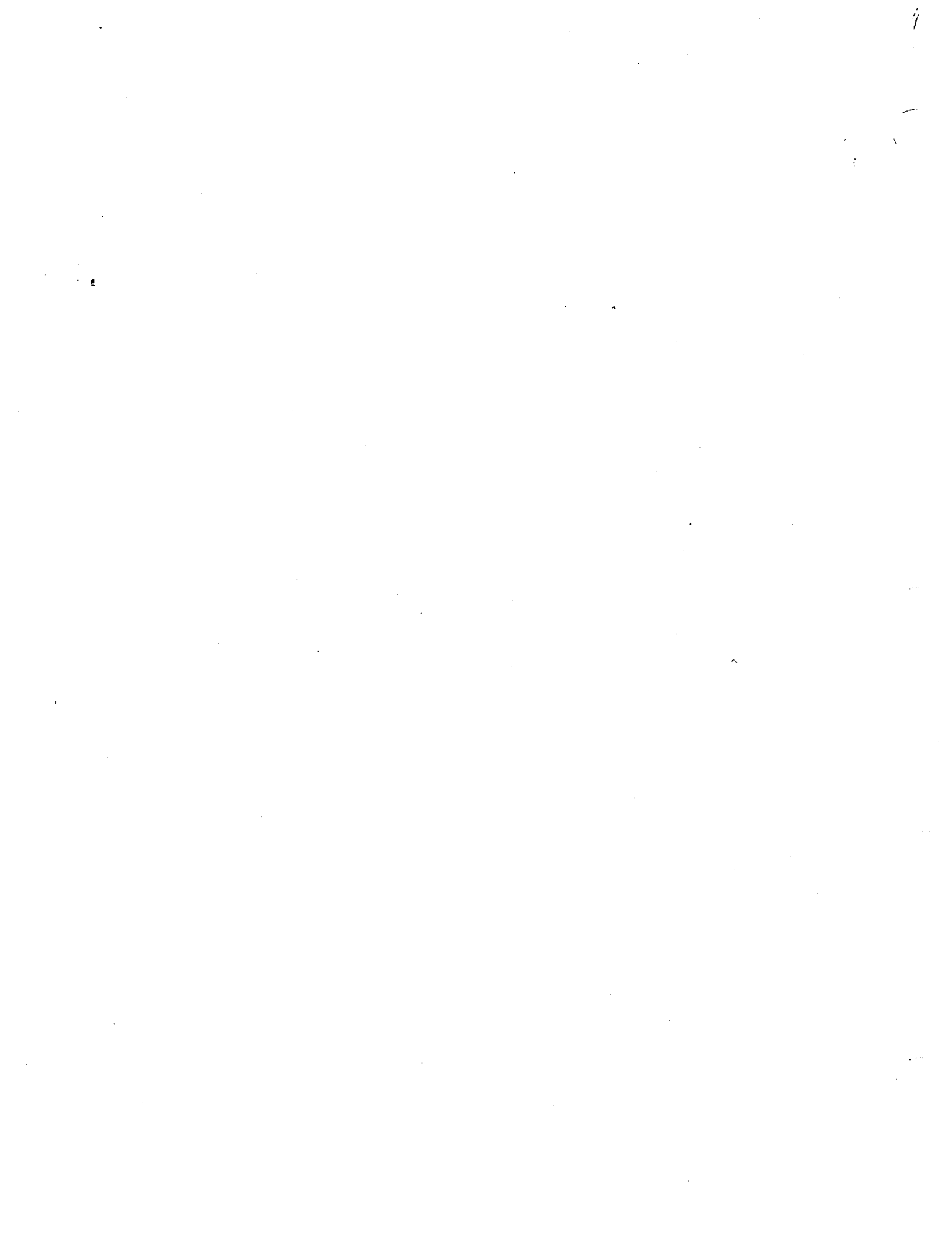
ORGANIZATION: OS Executive Secretariat

PERSON IN CHARGE OF RECORDS: Edward Flanagan Room 5156 HEW North 245-0986
(Name, Building, Telephone Ext., Room No.)

PREPARED BY: E. Flanagan DATE: 8/4/76

DESCRIPTION OF RECORDS <small>Including volume (current, noncurrent, temporary value, permanent value). Also show Form and file numbers, if any.</small>	IS THIS THE OFFICIAL FILE		IDENTICAL COPIES RETAINED WHERE	APPROX. CUBIC FOOTAGE ON HAND	NO. OF FILING CABINETS	INCLUSIVE DATES		FREQUENCY OF USE <small>(Number of uses per month)</small>	RECOMMENDED TIME AND MANNER OF DISPOSITION	
	YES	NO				FROM	TO		DESTROY AFTER	TRANSFER AFTER
Secretary's Correspondence (40 5-drawer, letter-sized file cabinets, temporary value)	X		originating offices	300	40	7/74	8/76	10x per cabinet		2 years
Freedom of Information Act Appeals Case Files (3 5-drawer, letter-sized file cabinets, temporary value)	X		none	22.5	3	7/74	8/76	4x per cabinet		3 years
Secretary's Entertainment Fund Accounts (2 letter-sized file cabinet drawers, SF-1180 & 1101, temporary value)	X		OS/DAO	3	1	9/75	8/76	inactive		1 year

Form HEW-312 (7/57)
(Preserve Form 05-70)



REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

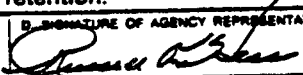
<p>TO GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20400</p> <p>1. FROM (AGENCY OR ESTABLISHMENT) Department of Health, Education, and Welfare</p> <p>2. MAJOR SUBDIVISION Public Health Service</p> <p>3. MINOR SUBDIVISION Alcohol, Drug Abuse, and Mental Health Administration</p> <p>4. NAME OF PERSON WITH WHOM TO CONFER Donald T. Saylor</p>		<p style="text-align: center;">LEAVE BLANK</p> <p>JOB NO</p> <hr/> <p>DATE RECEIVED</p> <hr/> <p style="text-align: center;">NOTIFICATION TO AGENCY</p> <p><small>IN ACCORDANCE WITH THE PROVISIONS OF 44 U.S.C. 33023 THE DISPOSITION OF THESE RECORDS, INCLUDING APPROVALS, IS APPROVED EXCEPT FOR ITEMS THAT MAY BE SUBJECT TO AGENCY FOR APPROVALS OR "EXEMPTION" IS GRANTED.</small></p> <p style="text-align: center;"><small>Date</small> _____ <small>An Officer of the United States</small></p>
<p>5. TEL EXT 443-2035</p>		

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

A Request for immediate disposal.

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

C. DATE 1/19/77	D. SIGNATURE OF AGENCY REPRESENTATIVE 	E. TITLE Department Records Management Officer
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>RECORDS CONTROL SCHEDULE FOR USE BY ALCOHOL, DRUG ABUSE, AND MENTAL HEALTH ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE</p> <p>The records described in this records control schedule are created by ADAMHA, which provides leadership, policies, and goals for the Federal effort designed to assure the treatment and rehabilitation of persons with alcohol, drug abuse, and mental health problems, and to prevent these problems. In carrying out these responsibilities, ADAMHA conducts and supports research on all aspects of alcoholism, drug abuse, and mental health; supports the training of professional and paraprofessional personnel; develops standards and regulations for the delivery and quality of services, including facilities construction; provides technical assistance to regional, State, and local authorities concerning their alcoholism, drug abuse, and mental health programs; and provides information on these areas to the public and scientific community. The ADAMHA is composed of the Office of the Administrator, the National Institute on Alcohol Abuse and Alcoholism, the National Institute on Drug Abuse, and the National Institute of Mental Health.</p>		

115-107

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

Standard Form No. 115a
Prescribed and used by
General Services Administration
The National Archives

Job No. _____ Page 2
of 31 pages

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>This schedule is divided into four parts:</p> <p>Part Ia - Administration and Management Records describes record series which are created and accumulated in the Office of the Administrator to reflect the leadership, policies and goals of the Administration and its supervisory and coordinating responsibilities. These are permanent records.</p> <p>Part Ib - Administration and Management Records which are non-permanent.</p> <p>Part II - Program Records describes record series which are created and accumulated in each of the Institutes to reflect their mission in carrying out research, training and services in their respective areas of alcoholism, drug abuse, and mental health. These are permanent and non-permanent records.</p> <p>Part III- Non-record material.</p> <p>Part IV - Saint Elizabeths Hospital Records. These are permanent and non-permanent records. SEH is organizationally a part of NIMH.</p> <p>The RCS does not include records for which disposition instructions are available in General Records Schedules, except by reference, where necessary.</p>		

Four copies, including original, to be submitted to the National Archives

16-50222-1 GPO

Standard Form No. 115a
 Prescribed by GSA
 General Services Administration
 The National Archives

Job No. _____ Page 19
 of 31 pages

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>G. National Research Service Awards Grants</u></p> <p><u>Disposition:</u> Cut off file after termination of support and final audit and put in inactive file. Hold 2 years and transfer to FRC. Destroy when 8 years old.</p> <p><u>Other Offices:</u> These are duplicate records and may be destroyed when superseded or no longer needed for reference purposes.</p>		
31	<p><u>Official non-Paid Grant Case Files</u></p> <p><u>Description:</u> These files are accumulated by the Office of Program Support and consist of individual case folders on disapproved, withdrawn, non-paid, or otherwise unfunded grants and awards to public and private institutions and individuals, consisting of the application and supporting materials and other records relative to the study and review of the application.</p> <p><u>Disposition:</u> OPS - Cut off file after final action and put in inactive file. Hold 1 year and destroy, except pink sheets (summary statements) will be held 3 years and destroyed. Selected case files may be retained as precedents for administrative purposes. These may be destroyed when they have served their purpose.</p> <p><u>Other Offices:</u> These are duplicate records and may be destroyed when superseded or no longer needed for reference purposes.</p>		
32	<p><u>Grants History Card Files</u></p> <p>a. <u>Description:</u> Cards containing summary data on all individual extramural grants.</p> <p>b. <u>Disposition:</u> Destroy when 20 years old.</p>		
33	<p><u>Grants Program Statistical Reports Files</u></p> <p>a. <u>Description:</u> These are tables, charts, graphs, and similar statistical end products containing summary information on the extramural grant program.</p>		

Four copies, including original, to be submitted to the National Archives

16-60200-1 GPO



REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

TO: GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		LEAVE BLANK	
1. FROM (AGENCY OR ESTABLISHMENT) Department of Health, Education, and Welfare		JOB NO	
2. MAJOR SUBDIVISION Office of Education		DATE RECEIVED	
3. MINOR SUBDIVISION Bureau of Elementary and Secondary Education		NOTIFICATION TO AGENCY <small>IN ACCORDANCE WITH THE PROVISIONS OF 44 U.S.C. 3303a THE DISPOSITION OF THESE RECORDS, INCLUDING APPROVALS, IS DELEGATED TO YOU FOR ITEMS THAT MAY BE STAMPED "APPROVED" OR "NOT APPROVED" IN COLUMN 10.</small>	
4. NAME OF PERSON WITH WHOM TO CONFER John J. Smith		5. TEL EXT 245-6230	

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

A Request for immediate disposal.

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

C. DATE 1/19/77	D. SIGNATURE OF AGENCY REPRESENTATIVE 	E. TITLE Department Records Management Officer
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7. ITEM NO	8. DESCRIPTION OF ITEM <small>(With Inclusive Dates or Retention Periods)</small>	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1.	Controlled Materials Individual Project Files, July 1965 - August 1966 These files were created by the Controlled Materials Program Division, Office of Education, under authority delegated by the National Production Authority. The docket files consist of an application for allotment of controlled materials for school construction (Department of Commerce, NPA, Form CMP-4); delegation of authority to sign application, if other than a school official; Form CMP-13, "Authorizing Construction and Allocation of Controlled Materials;" and code sheets for IBM processing, together with related correspondence. This program was discontinued in January 1972.		

115-107

STANDARD FORM 115
 Revised April, 1975
 Prescribed by General Services Administration
 (FPMR (41 CFR) 101-11.6)



USE OF FEDERAL RECORDS CENTERS

4-10-00	Purpose
10	General
20	Preparation of Records For Transfer
30	Shipment of Records
40	Reference Service
50	Disposal of Records by Records Centers

4-10-00 PURPOSE

This Chapter describes the mechanics of transferring records to Federal Records Centers and the services provided by the centers.

4-10-10 GENERAL

- A. Federal Records Centers and annexes are located in the 10 GSA Regions throughout the United States. Exhibit X4-10-1 gives the location of the Centers and the areas serviced. For civilian personnel records, there is a National Federal Records Center in St. Louis, Missouri which services the Federal Government. There is an underground depository for all vital operating records in the Kansas City, Mo., area.
- B. The Department retains legal custody of records transferred to Federal Records Centers.

4-10-20 PREPARATION OF RECORDS FOR TRANSFER

- A. Packing the Records: Standard cardboard containers are available for purchase from the Federal Supply Service (FSN 8115-290-3379) for transferring files to the Federal Records Centers. If desired, a special "tuck-bottom" carton (FSN 7610-298-6904) having the same dimensions (10" x 12" x 15") as the standard carton is also available. Exhibit X4-10-2 describes how the "tuck-bottom" carton is assembled. Both it and the standard carton, however, should be reinforced with tape, particularly if the records are to be shipped by freight, express, or parcel post. Both cartons hold a cubic foot of letter - or legal-sized records. Records should be packed as follows:

(4-10-20 continued)

1. Letter-sized material should be placed in the box facing the end of the carton.
2. Legal-sized material should face the side of the carton.
3. Arrange undersized records, such as 3"x5" or 5"x8" cards or paper, in small to medium length lots bound with heavy rubber bands; make as many rows as possible within the carton and separate layers with cardboard dividers, if necessary.
4. Records from more than one office or bureau should not be packed in the same carton. The records of a group or series should be arranged in consecutive cartons.
5. Before putting files in the cartons, remove all nonrecord material and record materials authorized for immediate disposal.
6. Avoid mixing records having different retention periods in the same carton.

B. Container Identification.

1. Numbering Cartons. Cartons should be numbered consecutively in heavy black crayon or its equivalent in the upper left hand corner on the front of the box. The Records Center will enter its own box number in the lower right hand corner. The Records Center will also assign an Accession Number after the records are received. (Note: In GSA Region III, users of the Washington National Records Center will request an Accession Number by telephone from the Center before shipment and write it on the front of the box).
2. Labeling Cartons.

Use of container labels showing the contents of the box is optional. Usually, a properly filled out SF-135, "Records Transmittal and Receipt," is adequate for identification purposes (use of the SF-135 in transferring records is described in paragraph 4-10-20-C below). However, it is

(4-10-20 continued)

recommended that the name or initials of the Department, POC and the custodian element transferring the records be printed on the front of the carton:

DHEW:PHS:FDA:BRH

The record Group Number (see paragraph 4-10-20C) of the custodian element should also be printed on the front of the box.

Note: Labels are useful at an FRC if the files are arranged by name or numerical sequence and the shipment is very large. In these cases content information showing first and last folder in each carton should be shown on the front of the cartons; if labels are not readily available, this information may be printed on the cartons.

3. Indexes. When it is anticipated that frequent reference to transferred files will be necessary, it is helpful to records center personnel and saves considerable turn-around time if an index is included in the carton. Indexes are particularly valuable where the files contain sensitive material that may be needed at a "moment's" notice (e.g., Freedom of Information case files, systems of records files).

C. Preparing Records Transfer Form (SF-135 and 135A).

1. The transfer of records to a Federal Records Center requires preparation of an SF-135, "Records Transmittal and Receipt." If additional pages are needed, SF-135A, Continuation Sheet, is used. An example of a completed SF-135 is shown at Exhibit X4-10-3. The transfer forms serve:
 - a. To record the transfer of custody of the files to the FRC, subject to any legally binding restrictions on their use which the originating component may impose; and
 - b. To provide an inventory sufficiently detailed to enable the centers to provide quick reference service.

(4-10-20 continued)

2. Availability and Distribution. Copies of the SF-135 are available through normal GSA supply channels. If temporarily unavailable, they may usually be obtained from the servicing records center. Submit the original and 2 copies of the completed SF-135 in advance of shipment of the records to the FRC. One copy will be returned by the FRC as a receipt after the center has assigned its own location numbers and an Accession Number for use in making any future reference to the records.
3. Description of Records. A brief but precise description of the records transferred and their inclusive dates shall be given in Item 6(f) of the SF-135. In addition, information should be included on: (a) the physical type and form of the records; for example, correspondence, reports vouchers, tabulating cards; and (b) internal organization or arrangement - e.g., alphabetical, numerical, chronological or classified system such as alpha-numeric or Dewey-decimal. The SF-135 shall also contain the following information for all records subject to General Accounting Office site-audit: The name of the disbursing officer, organization name and location, period of account and record group no. 217. GAO records must be kept separate from other records in a transfer.
4. Accession Numbers and Group Numbers. Accession numbers are assigned by the records center; they are used to identify records to which reference must be made and are entered in Item 6(a) - (c) of an agency's "receipt" copy of the SF-135. Group numbers, which are part of the Accession Number, also help identify records and ensure that all the records (except GAO records) of a component of the Department are kept in one location. By agreement with the National Archives and Records Service, the following Group Numbers have been established for the Department:

(4-10-20 continued)

<u>Organization</u>	<u>Records Group No</u>
Office of the Secretary	235
Office of Human Development	439
Public Health Service (except FDA and SEH)	90
Food and Drug Administration	88
St. Elizabeths Hospital	418
Social and Rehabilitation Service	363
Social Security Administration	47
Office of the Assistant Secretary for Education	441
Office of Education	12
National Institute of Education	419
Office of the Regional Director	235
Site-Audit (GAO) Records	217
Not Otherwise Classified	235

D. Personnel and Payroll Records.

1. All inactive payroll and personnel records are stored at the National Personnel Records Center (Civilian Personnel Records), 111 Winnebago Street, St. Louis, Missouri 63118. These records include:
 - a. Official personnel folders of separated employees and comparable files accumulated before official personnel folders, as such, were established;
 - b. Individual earnings cards, or comprehensive payrolls or individual pay folders; and
 - c. Service record cards dated on or before December 31, 1947.

2. The Federal Personnel Manual requires that, with minor exceptions, official personnel folders of persons who have been separated from the Federal Service for 30 days be transferred without delay to the National Personnel Records Center. Use Form HEW-311 (Exhibit X4-10-4) or a memorandum containing the same information as the HEW-311 to transmit the folder(s). When an employee is separated, the losing component of the Department should take the following steps with regard to the employee's official personnel folder:

(4-10-20 continued)

- a. Remove it from active files;
 - b. Examine the documents in it to ensure that the correct ones are filed on the right-hand ("permanent") side;
 - c. Remove and destroy the temporary material on the left-hand side;
 - d. Record the employee's date of birth and Social Security Number on the tab of the folder, e.g., D.O.B. 10-16-21; SSN 455-10-3482;
 - e. File the folder in an inactive file arranged chronologically by date of separation; and
 - f. Screen the inactive file at the beginning of each month so that folders of employees separated 30 days or more may be promptly transferred.
3. Unless the quantity of folders is large, they may be mailed to the National Personnel Records Center in regular penalty envelopes. Use of standard records center boxes is recommended for large quantities.
 4. Individual earning records, comprehensive payrolls, or individual pay folders containing earnings records should also be transferred to the National Personnel Records Center using SF-135 (do not use SF-135 when transferring official personnel folders). Generally, such records should be transferred 1 year after audit to provide data on service when official personnel folders are incomplete or missing. The records are not merged with the official personnel folders, nor are they transferred to a subsequent hiring agency. Copies will be provided as needed, however.
 5. Retrieving Official Personnel Folders. When it is necessary to retrieve the official personnel folder of a separated employee from the National Personnel Records Center, Standard Form 127, is used (see Exhibit X4-10-5). A separate SF-127, in duplicate, should be submitted for each individual whose folder is requested. Only urgent or priority requests should be made by

(4-10-20 continued)

telephone, personal visit or non-voice communications, such as the Advanced Records System. To request selected information from the folder (but not the whole folder), use a memorandum and include complete identification of the individual (full name, date of birth, Social Security Number, and date of separation).

4-10-30 SHIPMENT OF RECORDS

- A. Washington National Records Center. Records of components of the Department in the Washington, D.C., area serviced by the WNRC are generally picked up by GSA trucks in accordance with schedules established by the Center. In cases where large volumes of records must be removed from office space at unscheduled times, the Center will usually agree to make a special pick-up. The records must be boxed in the standard records center cartons and properly stacked on skids provided by WNRC prior to pick-up.
- B. Other Records Centers. Methods of shipment of records to Federal Records Centers other than the Washington National Records Center will depend largely on the proximity of the installation to the records center and local practice. If GSA pick-up service is not available, shipment may be made by parcel post, freight, express or any other economical means; cost of such shipment must be borne by the component. Special care should be taken to reinforce records center cartons when parcel post or commercial carriers must be utilized to ship records.
- C. Rules for Estimating Shipments. The following yardsticks may be useful in planning records shipments:
1. One Center carton holds 1 cubic foot of paper records weighing about 30 pounds; a full carton of tabulating cards, however, weighs approximately 50 pounds;
 2. One ton of records averages 70 cubic feet;
 3. One empty, 5-drawer, upright steel filing cabinet weighs about 150 pounds;
 4. One 30-35 foot truck trailer will transport about 1,200 cubic feet of records;

(4-10-30 continued)

5. One cubic foot of records approximates 3,000 letter-size sheets of paper or 10,000 tabulating punch cards; and
 6. A letter-sized file drawer holds 1-1/2 cubic feet of records, while a legal-sized drawer holds 2 cubic feet.
- D. Special Shipment Rates for "Old" Records. To get the lowest freight rate for "old" office records, components using commercial carriers should enter the following statement on bills of lading or other shipping documents: "The agreed or declared value of this property is hereby specifically stated by the shipper not to exceed 3-1/2 cents per pound."
- E. Loading of Records for Shipment. Large shipments of records should be loaded on skids or other motor or rail conveyances in reverse numerical sequence so that when the records reach the records center the first carton unloaded will be number "1". This means they can be moved directly to shelves without being rehandled.

4-10-40 REFERENCE SERVICE

- A. Washington National Records Center. Components in the Washington, D.C. area may recall records from WNRC for reference at any time. Quantities of 5 or more boxes of records will be delivered by the Records Center trucks. Smaller quantities of records will be mailed by the Center using the Run-STOP mail delivery system. These records will be returned to the Center by use of the same system (larger quantities will be picked up by the trucks). The mailing address for the Center using Run-STOP mail is:

Washington National Records Center
STOP 386

Requests for records for reference purposes from WNRC should be submitted on Optional Form 11 (see Exhibit X4-10-6), which is available through normal GSA supply channels; OF-11 is not available from the Center itself.

- B. Other Records Centers and Areas not Serviced by the WNRC Truck.

(4-10-40 continued)

1. Components of the Department can get quick and reliable reference service on records transferred to Federal Records Centers simply by submitting a properly completed OF-11 (or, if unavailable, by memorandum or letter). Only urgent or priority requests should be made by personal visit or telephone or by nonvoice communications systems. Centers strive to answer inquiries within 24 hours of receipt.

2. Making Inquiries. Whether the OF-11 or some other form of communication is used, the FRC must be given the following information to locate records:

- a. The name of the POC (or other organization listed in paragraph 4-10-20C.4) and the name and complete mailing address of the person seeking the records(s);
- b. An adequate description of the records(s) needed, including the FRC box number (from the SF-135 receipt copy) where the record(s) are most likely to be found, Accession Number, Records Center location number and box number and filing code assigned by the transferring component.

The request should be channeled through the POC or OS Records Officer or records liaison officer.

3. Access to Records. Messengers sent to an FRC to pick up records for reference or officials who make personal visits to use the records must always provide:

- a. Identification as an authorized representative of the Department or its components;
- b. Evidence of security clearance, if needed; and
- c. POC or OS authorization to refer to records if their use is restricted.

4. Furnishing Information. It is important to remember that Federal Records Centers report findings of information shown in records as

(4-10-40 continued)

well as supplying actual records or copies thereof. Usually this type of reference service is faster and involves less expense and effort on the part of the Center and the request organization.

5. Reproduction Availability. Reproduction of records can be furnished by records centers only if such reproduction is not contrary to agency restrictions, security requirements or statutory restrictions. Centers will microfilm records for agencies on a reimbursable basis. Charges will usually also be made for reproductions involving more than 10 pages, particularly when the requesting organization has its own reproduction facilities.
6. Referencing Records Subject to the Privacy Act. Whenever an HEW organization receives a request to provide access to or information from records which are subject to the provisions of the Privacy Act and are physically located in Federal Records Centers, that organization should provide the service requested. (See General Administration Manual, Part 45, for information about the provisions of the Privacy Act). If any HEW organization would like the Federal Records Centers to provide the service, as described in GSA Bulletin FPMR B-57, dated August 22, 1976, it should consult with the organization's (component's, office's, etc.) Privacy Act Coordinator who will provide instructions on how to proceed.

4-10-50 DISPOSAL OF RECORDS BY RECORDS CENTERS

- A. In general, Records Centers should be asked to oversee the disposal of records having retention periods of more than 3 years. Records having shorter retention periods should be destroyed by the agency from in-house storage area.
- B. Disposal Objectives. Except for records with "indefinite" or "permanent" retention periods approved by the National Archives and Records Service after July 1, 1973, records transferred to Federal Records Centers are scheduled for destruction at predetermined dates. Disposition activities at the centers have three major objectives:

(4-10-40 continued)

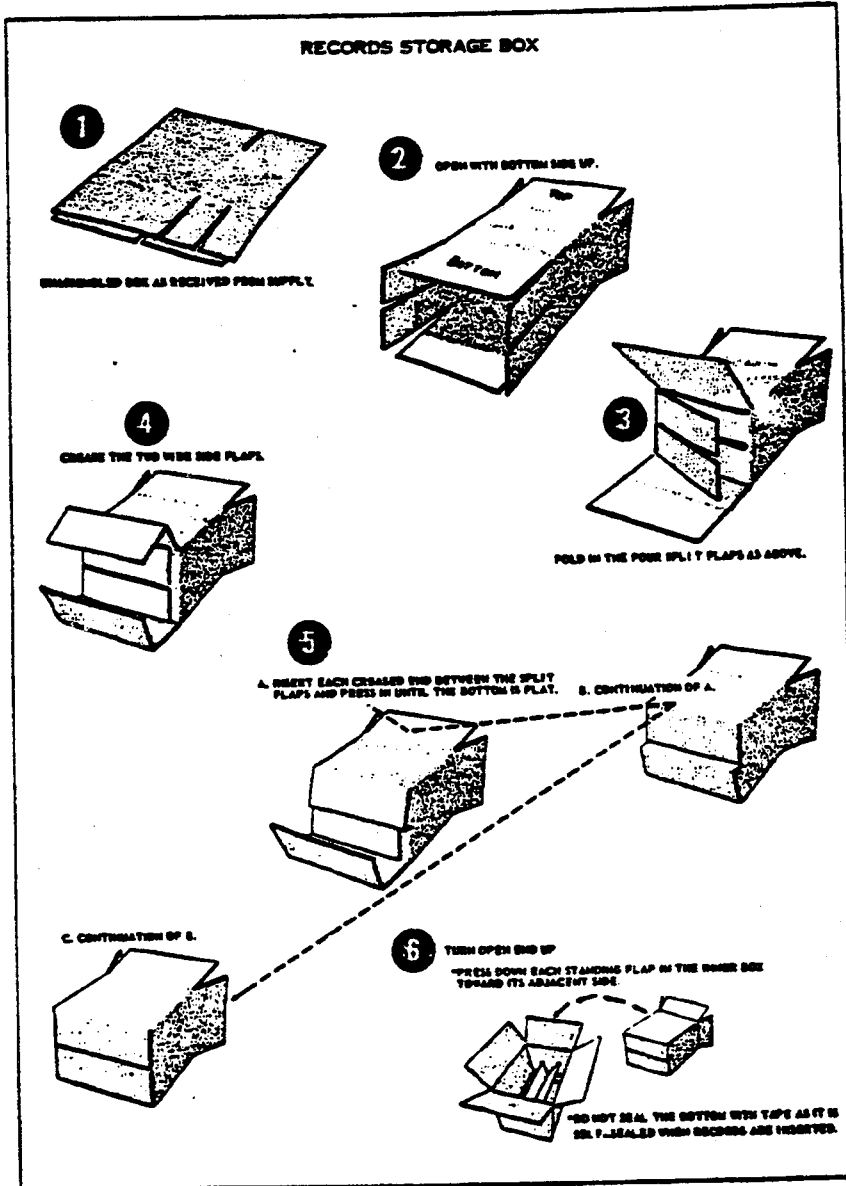
1. To assist the National Archives in identifying records which have enduring value;
 2. To assist Federal agencies in establishing realistic retention periods for non-permanent records; and
 3. To remove all disposable records promptly.
- C. Pre-disposal Concurrence. Before records are destroyed by records centers, the centers will request permission, using GSA Form 7015, "Notice of Intent to Dispose of Records" (see Exhibit X4-10-7). (Exception: components may authorize automatic disposal without consultation by checking the appropriate box in Item 8 on the SF-115 at the time the records are transferred). If the centers do not receive a response from the custodian component within 30 days from the date on the Form GSA 7015, it will be assumed that the custodian has no further need for the records and they can be destroyed.



NATIONAL RECORDS CENTERS,
FEDERAL ARCHIVES AND RECORDS CENTERS,
AND FEDERAL RECORDS CENTERS

GSA Region	Areas Served	Location
	Designated records of the Department of Defense	National Personnel Records Center, GSA (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132
	Entire Federal Government for personnel records of separated Federal employees; pay records of all Federal employees; medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis, Missouri area	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center, GSA 380 Trapelo Road Waltham, MA 02154
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	Federal Archives and Records Center, GSA Military Ocean Terminal, Bldg. 22 Bayonne, NJ 07002
3	Delaware and Pennsylvania east of Lancaster	Federal Archives and Records Center, GSA 5000 Wissahickon Avenue Philadelphia, PA 19144
3	Pennsylvania except areas east of Lancaster	Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, PA 17055
3	District of Columbia, Maryland, Virginia, and West Virginia	Washington National Records Center Washington, DC 20409
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center, GSA 1557 St. Joseph Avenue East Point, GA 30344
5	Illinois, Wisconsin, and Minnesota	Federal Archives and Records Center, GSA 7358 South Pulaski Road Chicago, IL 60629
5	Indiana, Michigan, and Ohio	Federal Records Center, GSA 3150 Bertwynn Drive Dayton, OH 45439
6	Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area	Federal Archives and Records Center, GSA 2306 East Bannister Road Kansas City, MO 64131
6	Greater St. Louis, Missouri area	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118

GSA Region	Areas Served	Location
7	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Archives and Records Center, GSA 4900 Hemphill Street P.O. Box 6216 Fort Worth, TX 76115
8	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center, GSA Bldg. 48, Denver Federal Center Denver, CO 80225
9	Nevada (except Clark County), California (except Southern California), and American Samoa	Federal Archives and Records Center, GSA 1000 Commodore Drive San Bruno, CA 94066
9	Clark County Nevada, Southern California (counties of: San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego), and Arizona	Federal Archives and Records Center, GSA 24000 Avila Road Laguna Niguel, CA 92677
10	Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except American Samoa)	Federal Archives and Records Center, GSA 6125 Sand Point Way Seattle, WA 98115



RECORDS TRANSMITTAL AND RECEIPT		PAGE 1 OF 1 PARTS									
1. TO: (Complete the address for the appropriate records center serving your area.) Federal Archives and Records Center General Services Administration Accession Section Washington, D.C. 20409 TRANSMITTING AGENCY OFFICIAL (Name, Office and Telephone No.) J. E. Osborne OS Records Officer TRANSMITTING AGENCY LIAISON OFFICIAL (Name, Office and Telephone No.) Cecil Osborne Room 1040-N 245-6538 ADDRESS RECEIVED BY (Name and title)											
COMPLETE AND SEND ORIGINAL AND TWO COPIES OF THIS FORM TO THE APPROPRIATE FEDERAL RECORDS CENTER FOR APPROVAL PRIOR TO SHIPMENT OF RECORDS. (See specific instructions on reverse.) 2. FROM: (Enter the name and complete mailing address of the office retaining the records. The original receipt copy of this form will be sent to this address.) Department of Health Education and Welfare Division of Central Payroll 330 Independence Avenue, N.W. Washington, D.C. 20201		3. RECORDS CENTER RECEIPT DATE DEC 7 1975									
RECORDS DATA											
ACCESSION NUMBER	VOLUME NUMBER (or FI)	SERIES DESCRIPTION (FPIA includes date of records)	COMPLETED BY RECORDS CENTER								
235 77 0003	39	1976 Payroll Magnetic Tapes 09-07-76 - 09-20-76 Note: Records restricted to use by DHHR Payroll Personnel.	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td>LOCATION</td> <td>(1)</td> </tr> <tr> <td>DISPOSAL DATE</td> <td>(2)</td> </tr> <tr> <td>DISPOSAL AUTHORITY (Schedule and item number)</td> <td>(3) R GRS 2 Item 3A 3-13-79</td> </tr> <tr> <td>DATE</td> <td>(4)</td> </tr> </table>	LOCATION	(1)	DISPOSAL DATE	(2)	DISPOSAL AUTHORITY (Schedule and item number)	(3) R GRS 2 Item 3A 3-13-79	DATE	(4)
LOCATION	(1)										
DISPOSAL DATE	(2)										
DISPOSAL AUTHORITY (Schedule and item number)	(3) R GRS 2 Item 3A 3-13-79										
DATE	(4)										
4. AGENCY TRANSFER LOCATION: (Agency and office) 5. AGENCY CONTRACT NUMBER:		6. RECORDS CENTER RECEIPT DATE:									

Standard Form 135 (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.6

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Date _____

National Personnel Records Center
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, Missouri 63118

Transmitted herewith are _____ official personnel folders
(No.)
of former Federal employees who separated from the Department during
_____, _____
(Month) (Year)

Signed _____

Organization _____

HEW-311
(REV. 5/67)

Standard Form 127 (as of 1967) version General Services Administration FPMR (41 CFR) 101-11.3	REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)	1. DATE OF REQUEST	
Section I—TO BE COMPLETED BY REQUESTING AGENCY			
2. CURRENT NAME (Last, first, middle)	2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (if different than item 2)	3. DATE OF BIRTH	
NATIONAL PERSONNEL RECORDS CENTER, GSA (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MISSOURI 63118		4. SOCIAL SECURITY NUMBER	
<p style="text-align: right;">SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED Original will be used to send folder or reply to your agency. Duplicate will be used as charge-out record by the Records Center.</p>			
5. PREVIOUS FEDERAL EMPLOYMENT			
AGENCY AND BUREAU	LOCATION	FROM	TO
6. REASON FOR REQUEST (Check appropriate box)			
<input type="checkbox"/> a. Currently employed. <input type="checkbox"/> b. Temporary use. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.			
7. REMARKS			
Section II—FOR USE BY RECORDS CENTER			
<input type="checkbox"/> a. Folder enclosed.			
<input type="checkbox"/> b. Folder was sent to your agency on			
<input type="checkbox"/> c. Folder forwarded in place of information requested. Retain if person is rehired.			
<input type="checkbox"/> d. Folder not received. Suggest you contact last employing office.			
<input type="checkbox"/> e. Folder not located. Suggest further search in your agency. If still unlocated, verify correctness of name, and furnish date forwarded and several names of other folders in same shipment.			
Date:		Initials:	
Section III—TO BE COMPLETED BY REQUESTING AGENCY			
[]			Enter complete address to which folder or reply is to be mailed, include ZIP Code.

DISPOSITION OF NON-PAPER RECORDS

4-20-00	Purpose
10	Audiovisual Records
20	Machine-Readable Records
30	Microfilm Records

4-20-00 PURPOSE

This chapter describes disposition procedures applicable to non-paper records, which are to be transferred to the National Archives or a Federal Records Center for permanent or long-term (over 3 years) temporary retention. For a fuller description of procedures, NARS policies and standards, see Subpart 101-11.5 of the GSA Federal Property Management Regulations.

4-20-10 AUDIOVISUAL RECORDS

- A. Motion Pictures. In order to ensure that motion pictures transferred to NARS facilities are capable of being preserved and/or duplicated, the following copies are considered necessary:
1. Department-sponsored informational films for public distribution:
 - a. Original negative or color original, plus separate optical sound track;
 - b. Intermediate master positive or duplicate negative, plus optional sound track;
 - c. Sound projection print.
 2. Departmentally made films for internal use:
 - a. Original negative or color original plus sound;
 - b. Projection print.
 3. Departmentally acquired motion picture films: two projection prints.
- B. Still Pictures. The following copies or elements are necessary for the preservation, duplication and reference service of still pictures:

(4-20-10 continued)

1. Black and white photographs: An original negative and a captioned print. If the original negative is nitrate or glass, a duplicate negative is also needed.
 2. Color photographs: the original color transparency or color negative. A captioned print, and an internegative if one exists.
 3. Slides and slide sets: the original, a duplicate reference set, and the related recording and/or script if one exists.
- C. Sound Recordings. The following audio documents are necessary for the preservation, duplication, and reference service of sound recordings:
1. Mass-produced or multiple-copy disc recordings: the master tape, the matrix or stamper of the recording, and a disc pressing of the recording.
 2. Magnetic tape recordings: the original tape or the earliest generation of the recording available, and a "dubbing" if one has been made.
- D. Video Recordings. Submit the original or earliest generation available of the recording. A kinescope of the recording may be substituted.
- E. Finding Aids and Production Documentation. The following records shall be transferred to the National Archives (if they relate to permanently valuable records) or to the servicing Federal Records Center (if non-permanent, but to be retained for more than three years):
1. Finding aids such as data sheets, shot lists, catalogs, indexes, lists of captions and any other record that is necessary or helpful for the retrieval or identification of an audiovisual record.
 2. Production case files or similar files that include copies of production contracts, scripts, transcripts and other related documentation bearing on the origin, acquisition, or ownership of the production.

4-20-20 MACHINE-READABLE RECORDS

The following policies shall govern the transfer of machine-readable records which have been determined to be permanently valuable to the National Archives.

- A. Magnetic Tape. Inasmuch as computer magnetic tape is fragile and highly susceptible to the generation of errors through improper handling, permanently valuable tapes should be scheduled for transfer to the National Archives as soon as possible after their creation. Other tapes which are to be retained longer than three years and any which contain vital information which cannot be reproduced and cannot be given adequate in-house protection should be transferred to a Federal Records Center as soon as they are no longer needed for frequent reference.
- B. Other Magnetic Media. When a machine-readable file that has been approved for permanent retention by the National Archives and Records Service is maintained on a direct access storage device, the file should be copied on tape and the tape copy should be transferred to the National Archives or the Archives Branch of the servicing Records Center.
- C. Documentation. Machine-readable records transferred to the National Archives or a Federal Records Center must be accompanied by any documentation needed to enable NARS personnel to provide reference service on the records. This documentation includes but is not limited to the following:
 1. GSA Form 7036, Magnetic Tape Record Inventory;
 2. GSA Form 7091, Data Archives Inventory.

The above forms may be obtained from the National Archives or any servicing Federal Records Center.

4-20-30 MICROFILM RECORDS

- A. Authorization. Records may be microfilmed and the microfilmed copy used as the official records provided:

(4-20-30 continued)

1. The microfilmed records are identified as such on records disposition schedules approved by the National Archives and Records Service;
 2. The volume of records to be microfilmed is large and the microfilms must be retained for (usually) three or more years; and
 3. The microfilm meets acceptable standards set forth in Federal Property Management Regulations (FPMR) Section 101-11.5 and will remain clearly legible for the length of the period they are required to be retained.
- B. Transfer to Records Centers. Microfilmed records shall be scheduled for transfer to servicing records centers as soon as they are no longer needed for frequent reference, provided they are to be retained more than three years before disposal.
- C. Indexing. Microfilm copies of the records shall be so arranged, identified and indexed that any individual record can be located with reasonable ease. This shall be accomplished by microfilming the finding aids at the beginning of the records to which they relate.
- D. Deposit of Microfilm
1. In order to ensure that the integrity of microfilmed original records is preserved, a silver duplicate negative or a silver master positive copy of each film shall be made; if a positive copy is made, it should be silver, vesicular or diazo microfilm. After verification for completeness and accuracy, the copies shall be transferred to the National Archives or servicing Federal Records Center where the original records would have been stored.
 2. The microfilm copies shall be accompanied by adequate descriptive material and finding aids to enable NARS personnel to provide reference service on them.
 3. The microfilm copies to be transferred to a Center or the National Archives shall be accompanied by a certification from the Records

(4-20-30 continued)

Officer that (a) the microfilm was produced in the normal course of operations of the producing component, and (b) adequate care has been taken to ensure that the microfilm is a complete and accurate copy of the original records.

- E. Deteriorating Microfilm. In the event a component of the Department finds that microfilmed copies of permanent records are deteriorating, or are in danger of deteriorating, it will prepare a silver duplicate copy for its own use and an identical copy plus one positive copy for transfer to Archival custody.



NOTE: Use a separate form for each request.

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED

REMARKS

NATURE OF SERVICE

FURNISH COPY OF RECORD(S) ONLY PERMANENT WITHDRAWAL LOAN OF RECORD(S) OTHER (Specify)

RECORD GROUP NO ACCESSION NO PR. BOX NO. OR RECORD CENTER LOCATION NO. (If known)

TO **General Services Administration
Federal Records Center NARS**

**NOTE: In Washington, D.C. area
send to STOP 386**

FOR RECORDS CENTER USE ONLY

RECORDS NOT IN CENTER CUSTODY RECORDS DESTROYED

FEDERAL BOX NUMBER-PLEASE FURNISH

LOCATION ONLY INFORMATION OBTAINED ENTIRE RECORD IS REQUESTED

MISSING (If 2 or more records, attach separate request and label for each record requested)

RECORDS PREVIOUSLY CHARGED

OUT TO (Name, address, and zip)

REMARKS

DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

FOR USE OF REQUESTER			RECEIPT OF RECORDS	
NAME OF REQUESTER	TELEPHONE NO	DATE	Requester please sign, date and return this form, for file items listed above. ONLY if the block to right has been checked by the Records Center. <input type="checkbox"/>	
NAME AND ADDRESS OF AGENCY				
<small>INCLUDE Building Room No and Zip Code</small>				

(In Washington, D.C. area also include STOP number)

REFERENCE REQUEST - FEDERAL RECORDS CENTERS

OPTIONAL FORM 11
REVISED FEBRUARY 1977
GENERAL SERVICES ADMINISTRATION
5010-104

<p>NOTICE OF INTENT TO DISPOSE OF RECORDS</p> <p>The records described in this notice appear eligible for disposal on the date shown. In accordance with FPMR 101.11.410.2(h) they will be disposed of 30 days from the date of this notice. If you concur in the disposal, annotate your SF-135 (all copies) to show that the records have been destroyed. No further action is required. If you do not concur in the scheduled disposal of these records, write justification for their retention on the reverse side of this form (including a proposed new disposal date) and return the form to the records center.</p> <p><small>REMARKS:</small></p>	<p>DATE OF NOTICE 06/01/76</p> <p>DISPOSAL DATE 776</p>
	<p>RECORDS DESCRIPTION SUBGROUP</p> <p>ACCESSION NUMBER 235-7042085</p> <p>VOLUME (Cubic feet) 14</p> <p>SERIES DESCRIPTION AUG 73 CHA</p> <p>DISPOSAL AUTHORITY RCS/P/200/12B</p> <p>WASHINGTON NATIONAL RECORDS CENTER WASHINGTON, DC 205409</p>
<p>LOCATION 11-14-28-4-0</p> <p>GENERAL SERVICES ADMINISTRATION</p> <p>GSA FORM 7015 (REV. 1-76)</p>	

GAO REQUIREMENTS FOR RECORDS MAINTENANCE AND DISPOSITION

5-00-00	Purpose
10	Legal Background
20	Records Schedules Subject to GAO Approval
30	Custodial Responsibilities for GAO Records
40	Maintenance of Site Audit Records
50	Transportation Fiscal Records

5-00-00 PURPOSE

Part 5 of this Manual states General Accounting Office requirements and procedures for records maintenance and disposition. Title 8 of the GAO Manual for Guidance of Federal Agencies, which is devoted specifically to Records Management, describes policies and procedures of the General Accounting Office governing records under their purview which must be cleared by GAO before they can be approved for disposition by the National Archives and Records Service.

5-00-10 LEGAL BACKGROUND

- A. Section 3303 of Title 44 of the United States Code requires that certain records schedules must be cleared by the General Accounting Office before disposal of covered records can be approved by the Archivist of the United States. Subpart 101-11-406-4 of the Federal Property Management Regulations discusses the interests of GAO in records disposition. Following enactment of the Budget and Accounting Act of 1921, the General Accounting Office took physical and legal custody of practically all accounts of accountable officers as well as many other fiscal records.
- B. The Budget and Accounting Procedures Act of 1950 affected GAO's functions as they relate to agency records in two important respects:
 1. It authorized GAO to require that accountable officers' accounts be retained at agency fiscal sites for examination by GAO auditors.
 2. It reemphasized GAO's authority to conduct comprehensive audits concerning the efficiency with which agency responsibilities and programs including the records related thereto, were administered.
- C. The advent of the site audit program, following the Act of 1950, has resulted in a much more far-ranging program of

(5-00-10 continued)

GAO audits of both program and housekeeping records, as well as the more traditional audits of accountable officers' accounts. These broader responsibilities were necessitated by GAO's expanded role in adjudicating claims and approving agency accounting systems.

5-00-20 RECORDS SCHEDULES SUBJECT TO GAO APPROVAL

A. Accountable Officers' Accounts: These records are legally considered GAO records from the moment of their creation and must be available for site audit for a period specified by GAO. The records involved consist of the following or their equivalent:

1. Statements of transactions
2. Statements of accountability
3. Collection schedules
4. Collection vouchers
5. Disbursement schedules
6. Disbursement vouchers
7. All other schedules, vouchers and documents used as schedules or vouchers

Any Departmental, OS, Principal Operating Component (or elements thereof) forms used in lieu of Standard Form vouchers or schedules, and machine readable versions of accountable officers' accounts, produced with GAO approval, are included in this definition of accountable officers' accounts.

B. Copies of Contracts

The responsibility of GAO to audit Government transactions includes contracts. However, maintenance of a separate "GAO copy" of the contract is not required for any contract for which the file was closed after March 7, 1975. The copy of the contract maintained in the Contracting Officer's files is the one which GAO may for audit purposes from time to time request to fulfill its statutory obligations.

(Note: Contracts for transportation services are audited by GSA rather than GAO. See paragraph 5-00-50).

(5-00-20 continued)

- C. GAO approval of records schedules must also be obtained for the following types of records if the OS, POC, or any POC agency or bureau wishes to deviate from the Departmentally endorsed GSA General Records Schedules (Appendix A of the Department Records Management Manual):
1. Payroll and pay administration
 2. Procurement and supply
 3. Property disposal
 4. Budget preparation, presentation, and apportionment
 5. Departmental copies of accountable officers' accounts.
 6. Expenditure accounting
 7. Stores, plant, and cost accounting
- D. All program records whose proposed retention period is 3 years or less. GAO will neither approve or disapprove proposed retention periods for program records which are retained for longer than 3 years, but it may, as part of its audits, occasionally suggest shorter retention periods consonant with good records management practices.

5-00-30 CUSTODIAL RESPONSIBILITIES FOR GAO RECORDS

- A. Protection. The records listed in paragraph 5-00-20 should be housed in suitable, easily accessible filing equipment to facilitate access to them by GAO auditors. Statements of transaction and statements of accountability should be filed with the related schedules, vouchers, subvouchers, and other required attachments. The filing and maintenance of documents bearing a national security classification is governed by Executive Order 11652 (37 FR 5209) and National Security Council Directive of May 17, 1972 (37 FR dated 5/19/72); specifics regarding approved procedures may be found in the HEW Security Manual, Parts 3-6.
- B. Unlawful Disposal

Section 2071 of Title 18 of the United States Code prohibits the destruction of Federal Records without proper authority. While

(5-00-30 continued)

accountable officer's accounts are in their custody, Principal Operating Components of this Department and the OS should insure that the documents are not prematurely destroyed (see approved records schedule in Appendix A of this Manual). If the records are accidentally destroyed or marred, so that their record content disappears the Director of Administrative Services, GAO, should be notified.

5-00-40 MAINTENANCE OF SITE AUDIT RECORDS

A. Housekeeping Records

These agency records which document day-to-day administrative management activities may be involved in GAO audits of accountable officers' accounts when they shed additional light on collections or disbursement or transactions or are part of the "audit trail." For example, in an agency industrial activity, time and attendance cards may be used to illuminate questionable payroll transactions. Housekeeping records may also be involved in GAO comprehensive audits, if they relate to larger Agency programs or administrative activities. (GAO Title 8, Section 3).

B. Program Records

These records are peculiar to each agency because they document its programs. These records are involved in every GAO comprehensive audit. The gathering of data and evidence on which to base audit recommendations requires that these records be available to GAO auditors.

C. Retention Period for Site Audit Records

1. Permanent Records

These records usually comprise about 3% or less of an Agency's records. Responsibility for designation as "permanent," as stated elsewhere in this Manual, rests with the National Archives and Records Service.

2. Temporary Records

All other records are temporary and are so designated by the National Archives and Records Service; definite retention periods for these records must be determined. Statutory limitations, such as those on claims, may be involved, but in most cases retention of these records is based on administrative need - or how long an Agency believes it needs to refer to such records. GAO requires that accountable officers' accounts be retained for 6 years and 3 months. Related records may be disposed of after 3 years old or completion of a GAO audit, whichever is earlier.

(5-00-40 continued)

3. Microfilming of Records

Microfilm copies of records are acceptable for GAO audit purposes, provided that the film meets FPMR Standards and that it is available to auditors when needed. The FPMR standard is set forth in FPMR 101-11.5.

4. Separation of GAO and other Administrative Records

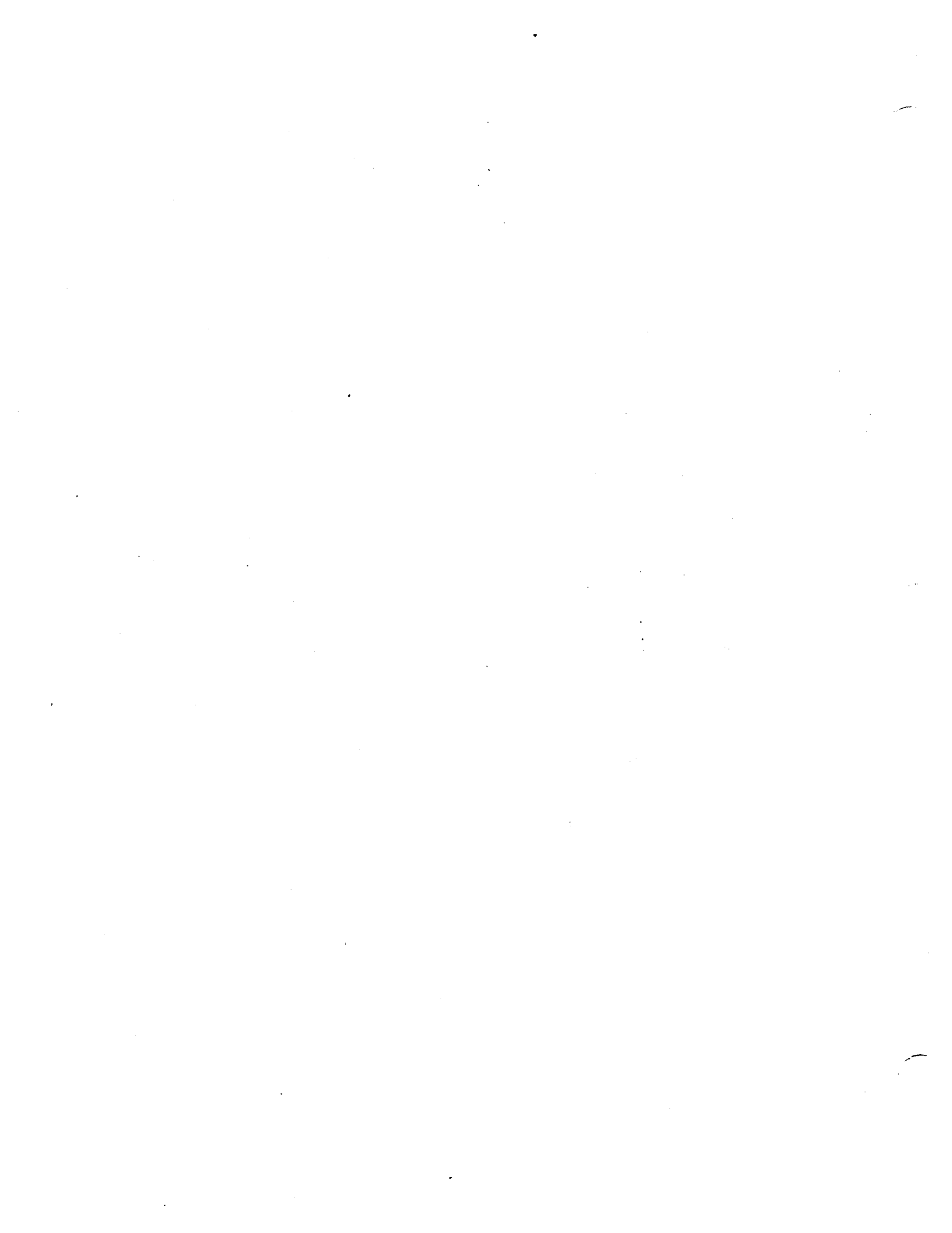
Records subject to GAO site audit (see paragraph 5-00-20 of this Part) should always be kept separate from other records.

5. However, unaudited records subject to GAO audit which are more than one full fiscal year old may be transferred to the nearest Federal Records Center without obtaining approval from GAO.

5-00-50 TRANSPORTATION FISCAL RECORDS

Contracts for transportation services are subject to site audit by the General Services Administration, rather than GAO. The GSA requires submission of original copies of such contracts as follows:

- A. Originals of contracts naming rates or charges for passenger transportation services shall be transmitted promptly upon execution to the General Services Administration (FZATR), Chester A. Arthur Building, Washington, D.C. 20406.
- B. Originals of contracts for freight or express transportation rates or services shall be transmitted promptly upon execution to the General Services Administration (FZAT), Chester A. Arthur Building, Washington, D.C. 20406.



SELECTION AND PREPARATION OF MATERIALS FOR PRESIDENTIAL LIBRARIES

- 6-00-00 Purpose
- 10 Scope
- 20 Responsibility
- 30 Criteria for Selection of Materials
- 40 Procedures

6-00-00 PURPOSE

This chapter establishes a continuing procedure for the collection of materials to be deposited in Presidential libraries by the Department of Health, Education, and Welfare.

6-00-10 SCOPE

The provisions of this chapter apply to all offices and components of the Department.

6-00-20 RESPONSIBILITY

- A. The President has requested the Administrator of the General Services Administration to establish a continuing program to collect copies of materials from Government agencies for the purpose of enriching the collections and enhancing the usefulness of all Presidential Libraries.
- B. The National Archives and Records Service, on behalf of the Administrator of the General Services Administration, has enlisted the help of Executive Departments and agencies in carrying out the President's request.
- C. Within this Department, the Assistant Secretary for Administration and Management has the over-all responsibility for coordinating and directing the activities related to the Presidential Library Program. The Office of Management Planning provides principal staff support to the Assistant Secretary in this effort.
- D. The Office of the Secretary and each principal operating component are to designate a senior official to coordinate and direct the activities related to Presidential Libraries.

6-00-30 CRITERIA FOR SELECTION OF MATERIALS

- A. Documents and other items to be selected for deposit in Presidential Libraries are those which are significant to planning and executing DHEW-related Presidential Programs.

(6-00-30 continued)

- B. The materials which this Department will make available to Presidential Libraries may include documents of various types: letters, memoranda, position papers, memoranda to the files, memoranda of conversations, minutes of meetings, speeches, press releases, policy and procedural directives, scripts, and other materials related to radio and television appearances. In many instances entire series of documents, such as files on proposed legislation, may be selected for inclusion in Presidential Libraries. In addition, the materials may include pertinent exhibits, photographs, films, and printed materials.
- C. The materials made available by this Department may include materials of all security classification and degrees of sensitivity, inasmuch as Presidential Libraries are equipped to deal with classified materials.

6-00-40 PROCEDURES

- A. The Office of the Secretary and the principal operating component representatives will conduct a continuous review of documents and related materials created by their respective organizations. Promptly after identifying candidate items, the representative will notify the Department Records Management Officer of the existence and location of such items.
- B. The Department Records Management Officer will arrange for the National Archives and Records Service to review the candidate items.
- C. The National Archives and Records Service will review candidate items and determine which to accept for Presidential Libraries. It will arrange to have necessary microfilming done at or near the location of the documents, so that this operation will result in as little disruption as possible. It also will arrange to pick up and transport items designated for deposit in a Presidential Library.

CHAPTER 9-10

ANNUAL REPORT OF RECORDS HOLDINGS

9-10-00 Purpose
10 Responsibilities

9-10-00 PURPOSE

This Chapter sets forth the general procedures to be followed in reporting the records management activities required annually by the National Archives and Records Service, GSA.

9-10-10 RESPONSIBILITIES

The Annual Summary of Records Holdings, Standard Form 136 (Rev. 4/75), shall be prepared by each Principal Operating Component of the Department, Regional Directors Office, and the Office of the Secretary in accordance with provisions of Federal Property Management Regulations 101-11.102-7. Each POC will submit consolidated reports covering headquarters and field installations to the Department Records Management Officer in accordance with the due dates given below. The Records Officer for the Office of the Secretary will consolidate reports from the Office of the Regional Directors with the OS headquarters report.

DUE DATES

<u>Report By</u>	<u>Report Sent To</u>	<u>Due Date</u>
POC major sub-element (Agency, bureau, office, administration, etc.)	POC Records Officer	Oct. 5
Office of the Regional Director.....	OS Records Officer	Oct. 5
POC & OS.....	Department Records Management Officer	Oct. 10

ANNUAL SUMMARY OF RECORDS HOLDINGS <i>(See Instructions on reverse before completing form)</i>					Interagency report control No: 1094-GSA-AN
					Reporting period (From - To)
To:					From (Reporting unit)
VOLUME OF RECORDS <i>(cubic feet)</i>					
STATUS—ACTION	DEPARTMENTAL		FIELD		TOTAL (e)
	Current File Rooms and Offices (a)	Staging, Holding and Other Storage Areas (b)	Current File Rooms and Offices (c)	Staging, Holding and other Storage Areas (d)	
1. On hand—beginning of period					
2. Transferred to: a. Fed. Records Centers or National Archives b. Other agencies					
3. Destroyed					
4. On hand—end of period					
					No. of Reels
5. Magnetic tape (Number of reels included in item 4)					
CERTIFICATION:					
The records holdings reported on this form are adequately covered by current and operational Records Control Schedules as provided by Sub-part 101-11.4, "Disposition of Federal Records" of the Federal Property Management Regulations.					
<input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If "No", please attach explanation)</i>					
Remarks: <i>(Include comments on significant increases or decreases in holdings, any plans for records cleanup campaigns, or any other significant records disposition matters).</i>					
Name of person with whom to confer					Phone Number
Date Prepared	Title	Signature			
136-107					STANDARD FORM 136 (REV. 6-75) Prescribed by GSA FPMR 101-11.102-7

INSTRUCTIONS FOR STANDARD FORM 136

GENERAL

This report is required by GSA Regulations FPMR 101-11.102-7. Submit the report for each fiscal year to the National Archives and Records Service, GSA (NCD), no later than August 1 of each year.

Records to be included in the total volume of records should comprise:

1. All the records of the reporting agency;
2. Records held at agency sites for GAO audit; and
3. Official Personnel Folders, records of the Civil Service Commission, in the custody of the reporting agency.

A Standard Form 136 shall be submitted for each Agency, Bureau, Service or other organizational unit which has National Archives and Records Service assigned record group number. If an organizational unit has no record group its records holding should be totaled in with the next higher organizational level which does have a record group.

No volume should be included for Agency records centers operated by the reporting agency, in accordance with GSA Regulation FPMR 101-11.412.4. This data should be submitted as separate reports on Standard Form 137, Agency Records Center Annual Report.

DEFINITIONS

"Departmental" means the headquarters office of the reporting agency, as contrasted to its field offices, but excludes Agency records centers.

"Records" includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics made or received by an agency of the United States Government under Federal law or in connection with the transactions of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of

data in them. Library and museum material made or acquired and preserved solely for reference or extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

"Field" means the reporting agency's offices other than the headquarters office and Agency records centers.

"Staging, Holding, and Other Storage Areas" means areas at departmental or field locations formally designated for staging and holding purposes, as well as all other storage areas except current file rooms and offices, Agency records centers, and Federal records centers.

The term "magnetic tape" includes all tapes on which data are recorded as part of an automated data processing or information retrieval systems. Audio recordings of music, speeches, and the like are not included.

EQUIVALENTS

For the purpose of this report, volume may be calculated according to the following table of cubic foot equivalents:

Filing cabinets:

- One letter-size drawer = 1 1/2 cubic feet
- One legal-size drawer = 2 cubic feet

Filing cases:

- One 4- by 5-inch case = 1/10 cubic foot
- One 4- by 6-inch case = 1/4 cubic foot
- One 5- by 8-inch case = 1/4 cubic foot

Shelf files:

- Letter-size, 1 linear foot = 4/5 cubic foot
- Legal-size, 1 linear foot = 1 cubic foot

Tabulating cards:

- 10,000 cards = 1 cubic foot

Outsize equipment:

- Inside cubic measurement

Magnetic tapes:

- Seven reels = 1 cubic foot

Microfilm:

- 100 16mm reels (100 feet) = 1 cubic foot
- 50 35mm reels (100 feet) = 1 cubic foot

G E N E R A L

- 100-00-00 Purpose
 - 10 Authority for the Program
 - 20 Program Content
 - 30 Definition of Vital Records
 - 40 Security Aspect of the Program
 - 50 Headquarters Relocation Site
 - 60 Other Designated Locations

100-00-00 PURPOSE

This part provides standards and procedures for the planning, organization, and development of a Vital Operating Records Program for the Department of Health, Education, and Welfare and a reference point for responsibilities of key personnel necessary to execute this program.

100-00-10 AUTHORITY FOR THE PROGRAM

Office of Defense Mobilization (now Office of Emergency Planning) instructions, issued to implement the Federal Civil Defense Act of 1950 and Executive Order 10346, as amended, require that all agencies, as a part of their emergency relocation planning, provide for the safe maintenance of records which are vital to the performance of essential war-time functions or essential to the preservation of legal rights of individual citizens.

100-00-20 PROGRAM CONTENT

The Department Vital Operating Records Program provides standards and procedures governing (a) volume and type, (b) preparation, collection, transfer, and maintenance, and (c) required reports.

100-00-30 DEFINITION OF VITAL RECORDS

A. Standards for the determination of vital records cannot be established categorically. Plans for protection should be based on the realization that there are two principal categories of vital records:

1. Records vital to the essential functions of the Federal Government for the duration of an emergency if this country is attacked.

The records in this category must be available at the relocation site as needed.

1-2

(100-00-30A continued)

2. Records essential to the protection of the rights and interests of individual citizens and the Government.

The records in this category require protection but generally need not be available until after a period of emergency has ended.

Except for individual retirement records and time and leave records, storage points for these records need not be at the relocation site. They may be maintained at approved designated locations.

100-00-40 SECURITY ASPECTS OF THE PROGRAM

- A. All classified national defense material including the classified aspects of the vital operating records program must be handled in accordance with Executive Order 10501 and the Security Regulations of this Department.
- B. The Department's principal relocation site (SPARK) is classified CONFIDENTIAL. Every precaution must be exercised not to compromise the location of the site.

100-00-50 HEADQUARTERS RELOCATION SITE

- A. The Department has been assigned an area in which the Department's relocation site referred to as "SPARK" has been established. Vital records as defined in 100-00-30.A1 which have been selected for emergency use by this Department shall be housed at this site.

100-00-60 OTHER DESIGNATED LOCATIONS

- A. Whenever the term "other designated locations" is used in Part 100 of this manual it includes:
1. Regional relocation sites where the storage of vital records, essential to regional office operations, are provided.
 2. Other approved designated storage locations for vital records not required to be maintained at relocation site.
- B. Approval of other designated locations.

Approval of other designated storage locations shall be obtained in accordance with General Administration Manual, Emergency Operating Plans, Chapter h:100-20. This approval will be given by the appropriate operating agency head with the concurrence of the Director, Office of Internal Security.

124

GENERAL RESPONSIBILITIES

- 100-10-00 Office of the Secretary
 10 Heads of Operating Agencies
 20 Department Vital Operating Records Officer
 30 Vital Operating Records Officer for
 Operating Agencies and Office of the Secretary
 40 Vital Operating Records Committee

100-10-00 OFFICE OF THE SECRETARY

A. Office of Administration

The Director of Administration is responsible for:

1. Coordination of the Department's Vital Operating Records Program.
2. Assuring the adequacy of vital records for emergency use at the relocation site with respect to the assigned functions of the Office of Administration.
3. Assuring current maintenance of vital records of other staff offices in the Office of the Secretary.
4. Designating two officials in Washington and two officials outside Washington who are fully cognizant of the plans and measures taken for the protection of the vital records of the Office of the Secretary and who could make the records or their contents available to appropriate government officials in time of emergency.

B. Other Staff Offices

The head of each staff office in the Office of the Secretary (outside the Office of Administration) shall be responsible for assuring that the vital records relating to his assigned functions are at the relocation site or other designated locations.

C. Regional Offices

The Office of Field Administration shall be responsible for assuring:

1. That each regional office arranges for the selection, safe keeping, and maintenance of its vital operating records.

(100-10-00C continued)

2. Designating two officials in Washington and two officials outside of Washington who are fully cognizant of the plans and measures taken for the protection of the vital records of the regional office and who could make the records or their contents available to appropriate government officials in time of an emergency.

100-10-10 HEADS OF OPERATING AGENCIES

- A. The head of each operating agency shall be responsible for the following activities within his respective organizational unit:
 1. Planning, direction, and coordination of the Vital Operating Records Program.
 2. Assuring that all records essential to emergency operations, with respect to assigned functions, are at the relocation site or other designated locations.
 3. Assuring that the essential records of his organization are currently maintained.
 4. Designating a representative to serve as the Vital Operating Records Officer. (Unless otherwise specified by the head of the operating agency, the Records Officer of the operating agency shall serve as the Vital Operating Records Officer.)
 5. Designating two officials in Washington and two officials outside Washington who are fully cognizant of the plans and measures taken for the protection of the vital records of his agency, and who could make the records or their contents available to appropriate government officials in time of an emergency.

100-10-20 DEPARTMENT VITAL OPERATING RECORDS OFFICER

- A. The Director of Administration, through the Office of Management Policy, has designated the Department Records Management Officer to serve as the Vital Operating Records Officer for the Department, with responsibility for coordinating the Department's Vital Operating Records Program and assuring that it is consistent with the requirements of the Department's over-all relocation planning. This includes responsibility for:
 1. Development of Department policies, standards, and procedures for an effective Vital Operating Records Program.

(100-10-20A continued)

2. Technical assistance to operating agencies and Office of the Secretary staff in carrying out their responsibilities under the Vital Operating Records Program.
3. Reviewing and coordinating the vital operating records activities of the Department.
4. Representing the Department in liaison with the General Services Administration, the Civil Service Commission, General Accounting Office, Treasury Department, and other agencies as necessary on matters pertaining to this program to insure that the Department's instructions and guides are coordinated.
5. Serving as Chairman of the Vital Operating Records Committee.

100-10-30

VITAL OPERATING RECORDS OFFICERS

- A. The responsibilities of the Vital Operating Records Officers shall include:
1. Assisting officials of their organizations in determining and selecting the vital records of the organization and in obtaining approval of a designated location when required.
 2. Assuring that all material to be forwarded to the relocation site or another designated location, as well as the material now housed at the site which should continue to remain there, is adequately inventoried.
 3. Representing their respective organizations on the Vital Operating Records Committee.
 4. Assuring adequate preparation of records for transfer to the relocation site or another designated location and the development of files outlines for the records transferred from their respective organizations.
 5. Preparing required reports and keeping officials who are designated in accordance with paragraph 100-10-10.A5 currently informed of the progress of the Vital Operating Records Program.
 6. Maintaining liaison with the Department Vital Operating Records Officer to assure coordination of the program.

100-10-40 VITAL OPERATING RECORDS COMMITTEE

- A. A committee for the protection of vital operating records shall be established with responsibilities for the following:
1. Reviewing the operation of the Department's Vital Operating Records Program and recommending necessary revisions.
 2. Assisting in the coordination of the over-all Department program.
 3. Making recommendations regarding improved standards and procedures with respect to the program.
- B. Membership of the Committee shall consist of the following:

Department Records Management Officer	OS	Chairman
Physical Security Officer	OS	Member
Records Officer	OS	"
Deputy Defense Coordinator	OS	"
Staff Assistant for Civil Defense	OFA	"
Executive Officer	WA	"
Chief, Management Analyst Branch	SSA	"
Records Officer	PBS	"
Director, Administrative Services Branch	OE	"
Emergency Planning Officer	FDA	"
Records Officer	VRA	"
Records Officer	SEE	"

S E L E C T I O N A N D V O L U M E

- 100-20-00 Purpose
 - 10 General
 - 20 Standards for Selection of Vital Records for Emergency Use
 - 30 Specific Types of Records for Selection
 - 40 Limitations on Volume of Records

100-20-00 PURPOSE

The purpose of this chapter is to set forth the standards for selecting vital records for transfer to relocation site or other designated locations.

100-20-10 GENERAL

A determination of the records which will be retained indefinitely at the site or at a designated location should be made at the time the records are selected.

100-20-20 STANDARDS FOR SELECTION OF VITAL RECORDS FOR EMERGENCY USE

- A. Records selected for protection must be of such character that their loss would seriously imperil the performance of functions essential to the maintenance of the government under emergency conditions, or their preservation is vital to the protection of the legal rights of citizens and the government.
- B. Types of vital records to be selected are as follows:
 - 1. Records which would be vital to the performance of essential functions.
 - 2. Selected records which would furnish essential background information concerning the Department's general area of governmental responsibility.
 - 3. Records vital to the mobilization and protection of the material and manpower resources of the nation.
 - 4. Records vital to the maintenance of public health, safety, and order.
 - 5. Records vital to the protection of the rights and interests of individual citizens and the government. These include such groups as social security records, insurance records, and valuable research records.

124

100-20-30 SPECIFIC TYPES OF RECORDS FOR SELECTION

- A. Among the records described in the preceding section, the following specific types of records should be included for selection.
1. Manual and Other Instructional Material
 - a. Operating agencies shall be responsible for sending to the relocation site one copy of all program manual material issued by them, including special instructions, considered essential to emergency operations, and one copy of any supplementation to the Department Staff Manual System.
 - b. The Division of General Services shall be responsible for sending to the relocation site one copy of all Department Staff Manual materials issued by the Office of the Secretary.
 - c. Each office of the Office of the Secretary shall be responsible for assuring that there is sent to the relocation site one copy of all instructional materials issued by them which are considered essential to emergency operations, except materials issued under the Department Staff Manual System.
 2. Fiscal Personnel Records
 - a. The General Services Administration in collaboration with the Bureau of the Budget, Civil Service Commission, and General Accounting Office, developed (and issued on November 16, 1951) a government-wide plan for the protection of selected fiscal personnel records. Under this plan agencies are required to retain (a) Retirement Record card, Form 2806, and (b) Time and Attendance Report, Form 1130 (or equivalent).
 - b. With respect to other fiscal records the General Services plan states, "After careful consideration of all the factors involved, it is the feeling of the Comptroller General, in which the Administrator of General Services concurs, that, because of the volume, nature, and widely dispersed locations of the subject records and the excessive costs that would be involved in reproducing, transporting, storing, and servicing them, a calculated risk of their loss must be accepted and that, with the exception of the pay records noted above, no change in the present policy of maintaining and protecting these classes of records in the various agencies should be made at this time."
 - c. Under the above-mentioned plan it has been determined that because of action being taken by the Civil Service Commission, it will not be necessary for the Department to apply any special protective measures to documents filed in the official personnel folder.

100-20-40 LIMITATIONS ON VOLUME OF RECORDS

- A. Limitations of funds, space, and manpower, require that the volume of records sent to the relocation site be held to the minimum.
- B. Each operating agency has been assigned space at SPARK for the maintenance of one file cabinet of classified material. Additional space for this type of material must be approved by the Department Relocation Officer.
- C. The total volume of records to be transferred to the relocation site by each operating agency and the Office of the Secretary shall be governed by the total amount of space at the site assigned to each organizational unit by the Relocation Officer of the Department.
- D. Ordinarily only a single copy of each record will be maintained. In special cases where it would be highly important to have more than one copy readily available, or available at more than one location, and post-attack procurement of additional copies would present a difficult problem, consideration shall be given to sending extra copies of such records of minimum size to the site.
- E. Records which are commonly found in public libraries or in multiple sources outside government will not be sent to the relocation site.



CHAPTER 100-30

PREPARATION OF MATERIAL FOR TRANSFER

- 100-30-00 Purpose
 - 10 Preparation of Records for Emergency Use
 - 20 Inventory of Records (Form HEW-306 Revised)

100-30-00 PURPOSE

The purpose of this chapter is to provide guidance in the preparation of material to be sent to the relocation site or other designated locations.

100-30-10 PREPARATION OF RECORDS FOR EMERGENCY USE

- A. General. Only non-record copies of material shall be sent to the relocation site or other designated locations. Copies of record material shall be made when non-record copies are not otherwise available.
- B. Typed Records. Copies of current records, in typed form, essential to emergency operations shall be made at the time the material is typed. These copies shall be marked in the upper left corner with the letter "E" to facilitate identification.
- C. Fiscal Personnel Records.
 - 1. A listing or microfilmed copy of Standard Form 2806, "Individual Retirement Record," shall be prepared by the Central Payroll Division after final posting for the calendar year.
 - 2. A listing or microfilmed copy shall be prepared by the Central Payroll Division of Standard Form 1130, "Time and Attendance Reports" or Form PHS-31, "Officers' Leave Record" (or equivalent), for the last period of the leave year, showing the leave balance forwarded.
- D. Other Records. All other material essential to emergency operations may be reproduced by microfilming, photostating, or other related methods of reproduction.

100-30-20 INVENTORY OF RECORDS (Form HEW-306 Revised)

- A. After a determination has been made of the records to be selected for transfer to the relocation site or other designated locations, Form HEW-306 "Inventory of Vital Operating Records" shall be prepared for each group of records. (See Exhibit X100-30-1)

(100-30-20A continued)

Each inventory form shall be assigned a control number consisting of the organizational unit's correspondence symbol (no lower than divisional level), the letter "E," and a consecutive serial number beginning with "1" for each group of records. For example, the inventory form prepared for vital records to be transferred from the Division of Administrative Services, Office of the Surgeon General, Public Health Service, shall be identified as follows:

First group of records: (PHS-OSG-DAS) E 1
Second group of records: (PHS-OSG-DAS) E 2, etc.

- B. The inventory form shall also contain a brief description of the records, information as to the frequency of their replacement, the method of reproduction, the number of containers used in packing the records, and any other information which will serve to identify the records.
- C. The inventory form shall be prepared in an original and two copies. The original will accompany the records; one copy will be retained by the Vital Operating Records Officer and one by the originating office.
- D. Records which are added to or which replace any part of a group of records that have been sent to the site or other designated locations, shall be identified as illustrated under A above.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
INVENTORY OF VITAL OPERATING RECORDS

1. NAME OF ORGANIZATION		2. INVENTORY CONTROL NUMBER	
3. OFFICIAL RESPONSIBLE FOR THE RECORDS		BUILDING	ROOM NO.
4. DESCRIPTION OF RECORDS			
5. INCLUSIVE DATES OF RECORDS DESCRIBED ABOVE		6. SECURITY CLASSIFICATION	
FROM	TO		
7. METHOD OF DUPLICATING			
<input type="checkbox"/> EXTRA COPY <input type="checkbox"/> MICROFILM <input type="checkbox"/> OTHER (EXPLAIN UNDER REMARKS)			
8. TRANSFER TO			
<input type="checkbox"/> SPARK <input type="checkbox"/> REGIONAL RELOCATION SITE <input type="checkbox"/> OTHER DESIGNATED LOCATION			
9. DATE OF TRANSFER		10. TYPE OF ACCESSION	
		<input type="checkbox"/> INITIAL <input type="checkbox"/> INTERFILE <input type="checkbox"/> REPLACEMENT	
11. REMARKS			
(SIGNATURE OF OFFICIAL RESPONSIBLE FOR RECORDS)		(SIGNATURE OF VITAL OPERATING RECORDS OFFICER)	
(TITLE)		(ORGANIZATIONAL LOCATION)	
(DATE)		(DATE)	

FORM HEW-306
 DEC 1961



TRANSFER OF VITAL RECORDS

- 100-40-00 Purpose
 - 10 Categories of Accessions
 - 20 Packing Records for Transfer
 - 30 Container Identification
 - 40 Collection of the Records

100-40-00 PURPOSE

This chapter provides standards and procedures for the transfer of records to approved relocation site or other designated locations.

100-40-10 CATEGORIES OF ACCESSIONS

- A. Records to be transferred will generally fall into the following categories:
1. Initial accession of records. The first shipment of records selected for transfer is identified as the initial accession.
 2. Replacement of records.
 - a. Complete. This term is used to designate material sent to replace similar material previously filed at the site, or other designated locations, such as superseded material. This type of replacement should be made on a periodic basis.
 - b. Partial. This term is used to designate a partial replacement of material already filed at the site or other designated locations.
 3. Interfile. This term is used to designate material to be interfiled with material already transferred and filed.
- B. When either type of replacement of records or interfile of materials is requested, an inventory form shall be prepared and submitted in accordance with 100-30-20C. The form should identify the inventory control number of the group of records in which replacements or interfiles are to be made, the specific documents to be replaced or interfiled, and any other necessary instructions.

100-40-20 PACKING RECORDS FOR TRANSFER

- A. All unclassified material shall be placed in corrugated cartons or envelopes depending on their volume. The records shall be arranged within each container according to the files classification in use by the organizational unit sending the records.

(100-40-20 continued)

- B. Each group of records identified by the same inventory control number shall be placed in a separate container or a series of containers.
- C. All security classified material shall be housed in filing cabinets prescribed by the Department security regulations. (See Security Manual Chapter 3-30.)

100-40-30 CONTAINER IDENTIFICATION

- A. Each group of records transferred from an organizational unit is identified by an inventory control number (see section 100-30-20.) This identification should be placed in the upper left corner of each container. In addition, the containers of each group shall be numbered consecutively beginning with "-1." For example, the containers in a group of records might be numbered as follows:

(PHS-OSG-DAS) E 2-1
(PHS-OSG-DAS) E 2-2, etc.

- B. The date the material is prepared for transfer, a general description of the records, type of accession (e.g., initial, replacement, or interfile) and designation of the location to which the material should be sent shall also be indicated on the container.

100-40-40 COLLECTION OF THE RECORDS

- A. The Office of the Secretary and each operating agency shall transfer their vital operating records to a designated representative at the relocation site as frequently as the volume or other considerations warrant (except fiscal personnel records as provided for in section 100-30-10C.)
- B.
 1. The Central Payroll Division, Office of the Secretary, shall send to the Department Records Management Officer a listing or microfilmed copy of Standard Form 2806 "Individual Retirement Records" and a listing or microfilmed copy of Standard Form 1130 "Time and Attendance Reports" or Form PHS 31 "Officers' Leave Record," (or equivalent) for transmitting to the relocation site. These should be submitted immediately after final posting for the calendar year.
 2. These records shall be destroyed for the preceding year when the subsequent copies are filed at the relocation site.

137

CHAPTER 100-50

MANAGEMENT OF RECORDS AT RELOCATION SITE

- 100-50-00 Purpose
 - 10 Records Created
 - 20 Maintenance of Records

100-50-00 PURPOSE

The purpose of this chapter is to provide standards for the management of records transferred to or created at relocation site.

100-50-10 RECORDS CREATED

Record copies shall be made of all material created at the relocation site during an actual emergency or practice exercise.

100-50-20 MAINTENANCE OF RECORDS

- A. Each operating agency and the Office of Administration (for the Office of the Secretary) shall be responsible for maintaining and keeping current its records at the relocation site, in accordance with its approved system of maintenance.
- B. Records shall be maintained in storage at the site pending requirement for use at a specified location in time of emergency. Classified material shall be handled in accordance with security regulations of the Department (see Security Manual Chapter 3-30).
- C. Ordinarily, records made or received during practice exercises shall be maintained separately from the vital records transferred to the site for emergency use. Records created or received should be of specific value in making evaluations and developing reports after practice exercises. These may be destroyed when no longer needed.



FPMR 101-11.4

GENERAL RECORDS SCHEDULES



GENERAL
SERVICES
ADMINISTRATION

NATIONAL
ARCHIVES
AND RECORDS
SERVICE

HEW TN-77.4 (8/10/77)

TABLE OF CONTENTS

Introduction to the General Records Schedules

Schedule 1. Civilian Personnel Records

Schedule 2. Payrolling and Pay Administration Records

Schedule 3. Procurement, Supply, and Grant Records

Schedule 4. Property Disposal Records

Schedule 5. Budget Preparation, Presentation, and Apportionment Records

Schedule 6. Accountable Officers' Accounts Records

Schedule 7. Expenditure Accounting Records

Schedule 8. Stores, Plant, and Cost Accounting Records

Schedule 9. Travel and Transportation Records

Schedule 10. Motor Vehicle Maintenance and Operations Records

Schedule 11. Space and Maintenance Records

Schedule 12. Communications Records

Schedule 13. Printing, Binding, Duplication, and Distribution Records

Schedule 14. Informational Services Records

Schedule 15. Housing Records

Schedule 16. Administrative Management Records

Schedule 17. Cartographic, Remote Sensing, and Related Records

Schedule 18. Security and Protective Services Records

Schedule 19. Research and Development Records

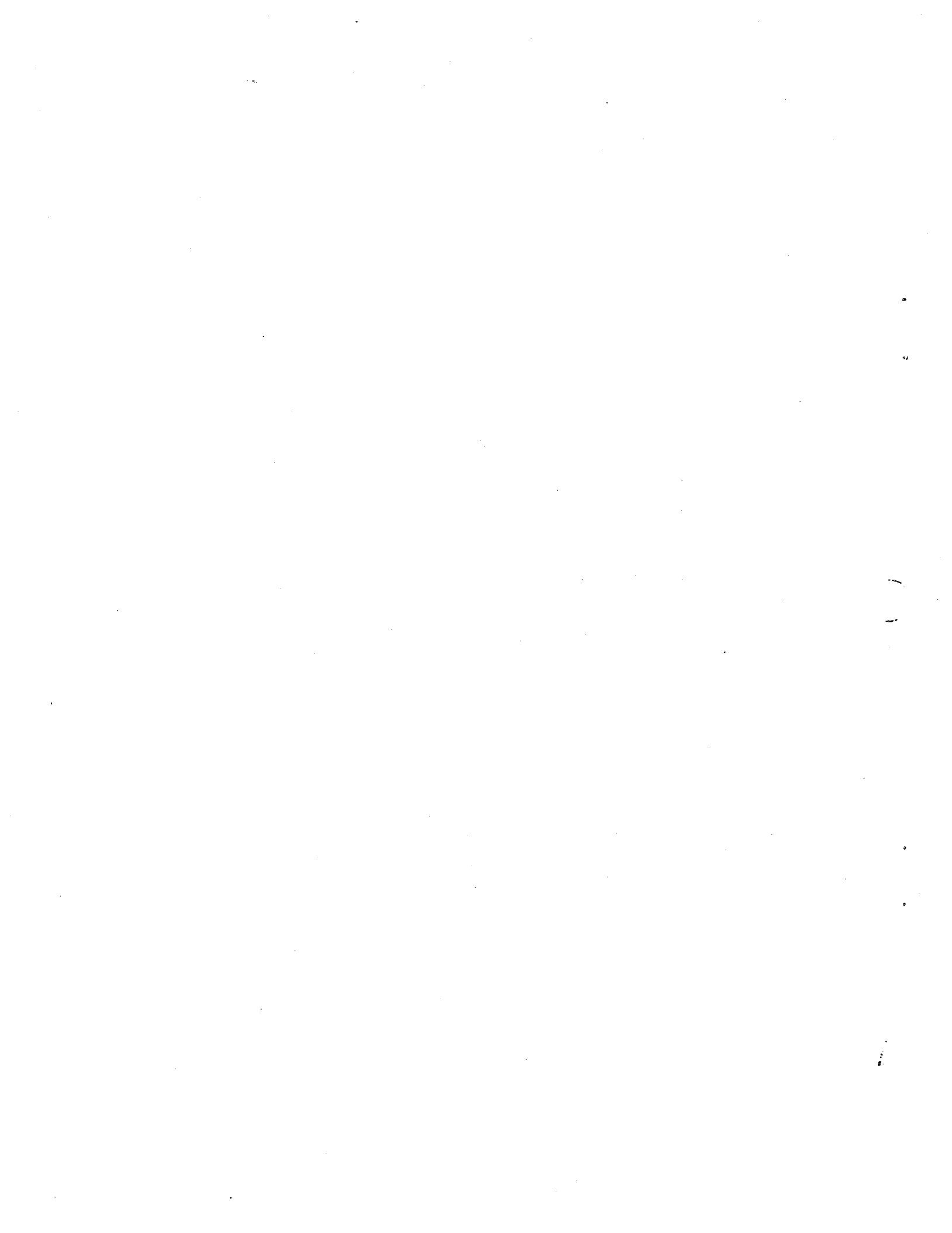
Schedule 20. Machine-Readable Records

Schedule 21. Audiovisual Records

Schedule 22. Design and Construction Drawings and Related Records

Subject Index

Forms Index



INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Administrator, General Services Administration, to provide disposition standards for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, research and development, and other common or housekeeping functions; and certain non-textual records. These records comprise an estimated one third of the total volume of records created by Federal agencies.

A new feature of this edition is the inclusion of two indexes, an index of commonly used Standard and Optional Forms and an alphabetical Subject Index. The forms index is not necessarily all inclusive. It includes only the forms most often used by the various government agencies.

General Records Schedules are intended to cover only record copies. Extra copies of documents used solely for reference are non-record and may be destroyed at the discretion of the agency.

If copies of documents covered by these schedules are part of a subject or case file which documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

Records covered by the General Records Schedules may be destroyed without further concurrence from the National Archives and Records Service, GSA, with the exception that most records created before January 1, 1921, must be first offered to NARS for possible permanent retention. GRS 3, 16, 17, and 21 have other delimiting dates. Some items in the various schedules have no authorized disposition instruction. These are records which are common to many agencies, but due to agency needs and organizational structure will have differing retention periods. They may be permanent, but are not necessarily so. For these records, agencies are required to submit an SF-115, Request for Records Disposition Authority. This will allow an individual evaluation of the pertinent records in the context of office of origin, agency requirements, and possible archival value. Since disposition is not specified, such records should be included in the agency's comprehensive schedule.

The GRS at this time are permissive and not mandatory. The disposition authorizations may be used by an agency in their entirety or in part. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers are urged to make maximum use of the schedules either as an appendix to a printed agency schedule or tailored to their agency's own peculiar needs and incorporated into agency schedules. If an agency wishes to apply a different retention period for any series of records included in the GRS

the records officer of that agency should submit an SF-115, Request for Records Disposition Authority, providing justification for the deviation.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel which cannot be reconciled within the agency may be referred to the Director, Records Disposition Division, NARS, from headquarters offices in the Washington, DC area, or the Director of the nearest Federal Records Center from field offices.

General Records Schedules also provide for the retirement of non-current records to Federal Archives and Records Centers (FARC). Individual items may specify retirement to a records center before destruction, but this is to be considered as a guideline only. Records should be retired from agency space to an FARC only if transfer costs do not exceed the expenses of retaining them in agency space. Federal Records Centers will not accept records immediately eligible for disposal. Records retired to the Centers should have a remaining retention period of three years or more before they will be accepted. Where special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate Records Center Director. Records designated for permanent retention should be retired when sufficient volume and decreased activity warrant. Procedures for transfer of records to Federal Archives and Records Centers are detailed in the GSA Handbook, Federal Archives and Records Centers.

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal Civilian Employees. This schedule covers the disposition of all official personnel folders of civilian employees and all other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the U. S. Civil Service Commission, Federal Health Programs Service, the Office of Workers' Compensation Programs. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service for possible permanent retention before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, and Service Record Cards, are maintained according to the U. S. Civil Service Commission's Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel offices.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Official Personnel Folders.</u> Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, Item 10 for disposal of papers on the left or "temporary" side of the OPF.)	
	a. Folders covering periods of employment terminated prior to January 1, 1921.	Submit SF 115, Request for Records Disposition Authority.
	b. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Service for permanent retention.	
	(1) Transferred employees.	See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Separated employees.	Transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.
2.	<u>Service Record Cards.</u> Service Record Card (Standard Form 7 or its equivalent).	
	a. Cards for employees separated or transferred on or before December 31, 1947.	Transfer to NPRC (CPR) St. Louis, Missouri.
	b. Cards for employees separated or transferred on or after January 1, 1948.	Destroy 3 years after separation or transfer of employee.
3.	<u>Personnel Correspondence and Subject Files.</u>	
	a. Files relating to the general administration and operation of personnel functions and including college programs, selective placement (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Intergovernmental Affairs Fellowship, Stay in School, etc.) programs, examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 1

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. Correspondence, reports, memoranda, and other records relating to employment programs and function, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.
4. Offers of Employment Files.
Correspondence, letters, and telegrams offering appointments to potential employees.
- a. Accepted offers. Destroy immediately.
- b. Declined offers.
- (1) When name is received from certificate of eligibles. Return to Civil Service Commission with reply and application.
- (2) Temporary or excepted appointment. File inside application (see item 15 of this schedule).
- (3) All others. Destroy immediately.
5. Certificates of Eligibles Files.
Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible. Destroy when 2 years old.
6. Employee Record Cards.
Employee record cards used for informational purposes outside personnel offices (such as SF 7-B). Destroy on separation or transfer employee.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>Position Classification Files.</u>	
	a. Position Classification Standards Files.	
	(1) Standards. CSC standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	Destroy 5 years after position is abolished or description is superseded.
	(2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and CSC approval or disapproval.	
	(a) Case File.	Destroy 5 years after position is abolished or description is superseded.
	(b) Review File.	Destroy when 2 years old.
	b. Position Descriptions.	
	Files describing established positions including information on title, series, grade, duties and responsibilities.	
	(1) Record copy.	Destroy 5 years after position is abolished or description superseded.
	(2) All other copies.	Destroy when position is abolished or description superseded.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
c.	(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Annual Supergrade Position Report.	
	(a) Office of origin.	Destroy when 3 years old or 2 years after regular inspection whichever is sooner.
	(b) Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when obsolete or superseded.
d.	Appeals Files.	
	Case files relating to classification appeals.	Destroy 3 years after case is closed.
8.	<u>Interview Records.</u>	
	Correspondence, reports and other records relating to interviews with employees.	Destroy 6 months after transfer or separation or employee.
9.	<u>Performance Rating Board Case Files.</u>	
	Copies of case files forwarded to CSC relating to performance rating board reviews.	Destroy 1 year after case is closed.
10.	<u>Temporary Individual Employee Records.</u>	
	All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
11.	<u>Position Identification Strips.</u>	
	Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Destroy when position is cancelled or new strip is prepared.
12.	<u>Employee Awards Files.</u>	
	a. General awards records.	
	(1) Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval.
	(2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Destroy when 2 years old.
	b. Length of Service and Sick Leave Awards File.	
	Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	Destroy when 1 year old.
	c. Letters of Commendation and Appreciation.	
	Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 1

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| d. | Lists or Indexes to Agency Award Nominations.

Lists of nominees and winners, and indexes of nominations. | Destroy when superseded or obsolete. |
| e. | Departmental Level Awards Files.

Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.) | Submit SF 115, Request for Records Disposition Authority. |
| 13. | <u>Incentive Awards Program Reports.</u>

Reports pertaining to the operation of the Incentive Awards Program. | Destroy when 3 years old. |
| 14. | <u>Notifications of Personnel Action.</u>

Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders. | |
| a. | Chronological file copies, including fact sheets, maintained in personnel offices. | Destroy when 2 years old. |
| b. | All other copies maintained in personnel offices. | Destroy when 1 year old. |
| 15. | <u>Employment Applications.</u>

Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule). | Destroy upon receipt of Civil Service Commission inspection report or when 2 years old, whichever is earlier, providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed. |

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
16.	<u>Personnel Operations Statistical Reports.</u>	
	Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms Files.</u>	
	Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.	
	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is completed.
	b. Retention Registers.	
	(1) Registers from which reduction-in-force actions have been taken.	Destroy when 2 years old.
	(2) Registers from which no reduction-in-force actions have been taken.	Destroy when superseded or obsolete.
	c. All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.</u>	
	a. Supervisor's Personnel Files.	
	Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Duplicate Documentation.	
	Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	Destroy when 6 months old.
19.	<u>Individual Health Record Files.</u>	
	Cards which contain such information as date of employee's visit, diagnosis and treatment.	Destroy 6 years after date of last entry.
20.	<u>Health Unit Control Files.</u>	
	Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.	
	a. If information is summarized on statistcal reports.	Destroy 3 months after last entry.
	b. If information is not summarized.	Destroy 2 years after last entry.
21.	<u>Individual Employee Health Case File.</u>	
	Forms, correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, <u>EXCLUDING</u> pre-employment physical examinations and disability retirement and fitness for duty examinations which are filed in the Official Personnel Folder (OPF) upon separation of employee (Ref: FPMS 293-31). Those records not required for filing in the OPF, if not retained by the agency, may be transferred to the local Federal Records Center. <u>Under no circumstances</u> should these files be sent to the National Personnel Records Center (CPR).	Destroy 6 years after latest entry.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
22.	<p><u>Statistical Summaries.</u></p> <p>Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.</p>	<p>Destroy 2 years after date of summary or report.</p>
23.	<p><u>Performance Rating Records.</u></p> <p>a. Certificates of performance rating.</p> <p>b. General or case files of forms, memoranda, and correspondence.</p> <p>c. Appeals Files.</p> <p>Memoranda, correspondence and other records relating to employee appeals of performance rating.</p>	<p>Destroy when 2 years old.</p> <p>Destroy when 3 years old.</p> <p>Destroy 3 years after final settlement of case.</p>
24.	<p><u>Motor Vehicle Operation Files.</u></p> <p>See GRS 10, Item 7.</p>	
25.	<p><u>Conflict of Interest Case Files.</u></p> <p>Statements of employment and financial interests and related records.</p>	<p>Destroy 2 years after separation of employee or 2 years after employee leaves the position for which the statement is required.</p>
26.	<p><u>Equal Employment Opportunity Records.</u></p> <p>a. Official Discrimination Complaint Case Files.</p> <p>Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 5 CFR 713.222.</p>	

GENERAL RECORDS SCHEDULE 1

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| (1) Cases resolved within the agency. | Destroy 4 years after resolution of case. |
| (2) Cases resolved by the Civil Service Commission or a U. S. Court. | Files are controlled by United States Civil Service Commission records schedule. |
| b. Copies of Complaint Case Files. | |
| Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File. | Destroy 1 year after resolution of case. |
| c. Background Files. | |
| Background records not filed in the Official Discrimination Complaint Case Files. | Destroy 2 years after final resolution of case. |
| d. Compliance Records. | |
| (1) Compliance Review Files. | |
| Reviews, background papers and correspondence relating to contractor employment practices. | Destroy when 7 years old. |
| (2) EEO Compliance Reports. | Destroy when 3 years old. |
| e. Employee Housing Requests. | |
| Forms requesting agency assistance in housing matters, such as rental or purchase. | Destroy when 1 year old. |
| f. Employment Statistics Files. | |
| Employment statistics relating to race and sex. | Destroy when 5 years old. |

GENERAL RECORDS SCHEDULE 1

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

g. EEO General Files.

General Correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

h. EEO Affirmative Action Plans (AAP).

(1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan.

(2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

27. Personnel Counseling Records

a. Counseling files.

Reports of interviews, analyses and related records.

Destroy 3 years after termination of counseling.

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating and directing an alcohol and drug abuse program.

Destroy when 3 years old.

28. Standards of Conduct Files.

Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.

Destroy when obsolete or superseded.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
29.	<u>Labor Management Relations Records.</u>	
	a. Labor Management Relations General and Case Files.	
	Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups:	
	(1) Office negotiating agreement.	Destroy when 5 years old.
	(2) Other offices.	Destroy when superseded or obsolete.
	b. Labor Arbitration General and Case Files.	
	Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.
30.	<u>Training Records.</u>	
	a. <u>Training Aids.</u>	
	(1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency.	Submit SF 115, Request for Records Disposition Authority.
	(2) Training aids from other agencies or private institutions.	Destroy when obsolete or superseded.
	b. General file of agency-sponsored training.	
	(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Background and workpapers.	Destroy when 3 years old.
	c. Employee training.	
	Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
	d. Course Announcement Files.	
	Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.	Destroy when superseded or obsolete.
31.	<u>Grievance, Disciplinary and Adverse Action Files.</u>	
	a. Grievance, Appeals Files (5 CFR 771).	
	Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Destroy 3 years after case is closed.

GENERAL RECORDS SCHEDULE 1

ITEM
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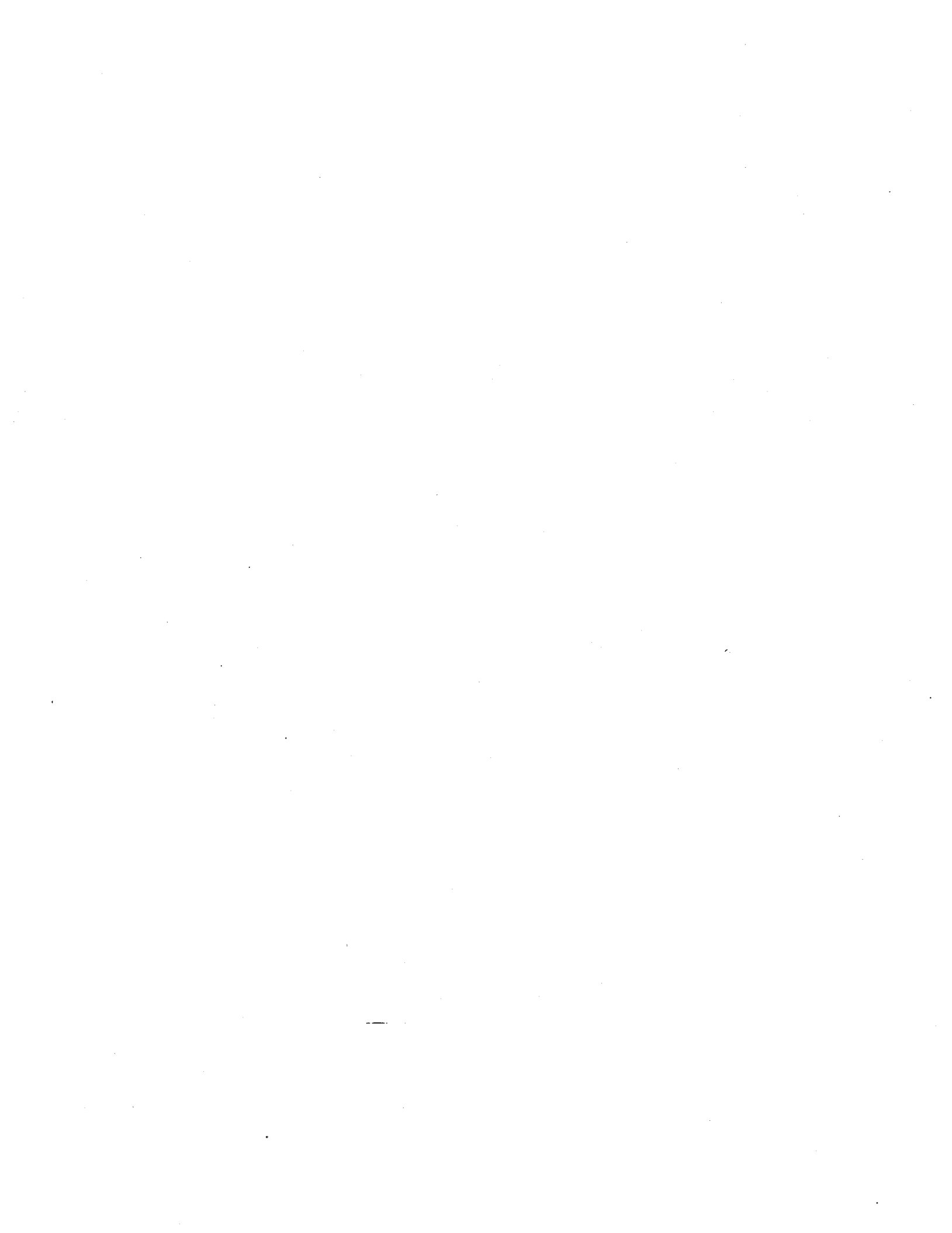
DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Adverse Action Files (5 CFR 752).

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

Destroy 4 years after case is closed.



GENERAL RECORDS SCHEDULE 1
Civilian Personnel Records

Appendix A

12/1/77

Note: This HEW Supplement adds new categories of records to Appendix A, General Records Schedule 1, Civilian Personnel Records. The Supplement was approved by the National Archives and Records Service on November 9, 1977.

DESCRIPTION OF ITEMS AND APPROVED DISPOSITION

1. Investigatory material from CSC. Investigatory material from the Civil Service Commission on employees or potential employees in nonsensitive positions.

Dispose of after the decision is made on hiring or retention of the employee.
2. Suitability or qualifications information. Suitability or qualifications information obtained on employees or potential employees. (This does not include investigatory material received from CSC.)

Dispose of when employee separates; there is no further administrative need of the record; or after 1 year; whichever comes first.
3. Official reprimands.

Dispose of when employee separates; after date specified in the reprimand; or after 2 years; whichever comes first.
4. Notices of proposed adverse actions or reprimands. Notices of proposed adverse actions or proposed reprimands that were officially proposed but were not effected.

Dispose of when proposal is withdrawn; decision is made not to proceed; or 1 year after date of proposal notice; whichever comes first.
5. Disciplinary action records. Admonishments; warnings; and similar disciplinary actions.

Dispose of when employee separates; after date specified in the record; when there is no further administrative need of the record; or after 1 year; whichever comes first.

6. Disciplinary documentation. Letters, memoranda, or other documentation on an employee pertaining to possible disciplinary or adverse action.

Dispose of when employee separates; when there is no further administrative need of the record; or after 1 year; whichever comes first.

7. Complaints, inquiries, and debt correspondence. Complaints, inquiries, and debt correspondence received on employees.

Dispose of when employee separates; when there is no further administrative need of the record; or 1 year after the issue is resolved; whichever comes first.

8. Merit promotion files. Merit promotion program case files.

Dispose of after 2 years.

9. Special employment program files. Files on participants in special employment programs (such as Upward Mobility, Junior Fellows, Management Intern, HEW Fellows, etc.).

Dispose of when there is no further administrative need of the record; or 2 years after participant leaves program; whichever comes first.

10. Performance appraisals and ratings. Performance appraisals and ratings (except for those required to be filed on permanent side of Official Personnel Folder in FPM Supplement 293-31).

Dispose of after whichever of the following comes first: when employee separates; after 2 years; or when employee receives a new appraisal/rating and the applicable grievance/appeal period has expired.

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civil employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Form 2806 or equivalent) that are maintained during employee duty and then transferred to the Bureau of Retirement, Insurance, and Occupational Health of the Civil Service Commission; (b) files physically transmitted to the General Accounting Office or maintained in agency space for audit under section 117(b) of the Budget and Accounting Procedures Act of 1950; (c) records relating to tax withholding, savings bonds, or fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; (d) or to Office of Management and Budget files reflecting agency personnel needs and problems. Any record created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Papers required by the Comptroller General to be maintained for site audit or to be physically transferred to the General Accounting Office for centralized audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by 82 Stat. 1301 (44 U.S.C. 3309). Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6--Pay, Leave, and Allowances and incorporated in the GAO Manual for Guidance of Federal agencies.

In the payrolling process different types of records are accumulated. In many cases the records will be a machine readable form, as the payrolling process has been almost universally converted to electronic data processing throughout the Federal government. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

GENERAL RECORDS SCHEDULE 2

All payroll systems require the maintenance of a leave card, to which information is posted from more detailed records kept by time and attendance clerks located throughout an agency. Two basic forms or variations of them are used by most agencies: (a) Standard Form 1137, which shows leave taken by an employee over a two-year period; and (b) Standard Form 1130, which is a combination time and attendance and leave record designated to be maintained in agencies in which the time-keeping function is decentralized. One Standard Form 1130 is maintained for each employee each pay period, and the current leave status figure is accumulated from pay period to pay period.

Other records incidental to the payrolling process are withholding tax and savings bond records, reports made to Treasury Department units and the Civil Service Commission on income tax and retirement transactions, and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Individual Accounts Files.</u> Individual earning and service cards, such as Standard Form 1127 or equivalent.	Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, Destroy with the OPF. (See GRS 1, Item 1.) (b) If not in or filed adjacent to the OPF, Destroy 56 years after the date of the last entry on the card.
2.	<u>Payroll Correspondence Files.</u> General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Time and Attendance Report Files.</u> Forms such as Standard Form 1130 or equivalent.	
	a. Payroll preparation and processing copies.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	b. All other copies.	Destroy 6 years after the end of the pay period.
4.	<u>Individual Authorized Allotments Files.</u> Forms such as Standard Form 1192, or other records relating to authorization, changes or cancellation of individual payroll allotments for bond deductions, charitable contributions, savings bonds, union dues, or others.	
	a. If record is maintained on earning record card.	Destroy when superseded or after transfer or separation of employee.
	b. If record is not maintained elsewhere.	Destroy 3 years after supersession or 3 years after transfer or separation of employee.
5.	<u>Bond Registration Files.</u> Issuing agent's copies of bond registration stubs.	Destroy when 2 years old.
6.	<u>Bond Receipt and Transmittal Files.</u> Receipts for and transmittals of U. S. Savings Bonds and checks.	Destroy 3 months after date of receipt.
7.	<u>Bond Purchase Files.</u> Forms and reports with related papers pertaining to deposits and purchases of bonds.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8.	<u>Leave Application Files.</u> Application for Leave, SF 71, or equivalent, and supporting papers relating to requests for and approval of taking leave.	Destroy when 1 year old.
9.	<u>Leave Record Files.</u> Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record. a. Pay or fiscal copies. b. Other copies.	Destroy when 3 years old. Destroy 3 months after the end of the period covered.
10.	<u>Leave Data Files.</u> Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3. a. Original copy of SF 1150. b. Agency copy.	File on right side of official personnel folder. See GRS 1, item 1. Destroy when 3 years old.
11.	<u>Notification of Personnel Action Files.</u> Copies of SF 50 or equivalent, not filed in the Official Personnel Folder. a. Pay or fiscal copy. b. All other copies.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. See GRS 1, item 14.

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
12.	<u>Budget Authorization Reference Files.</u> Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.	Destroy when superseded.
13.	<u>Payroll files.</u> Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents. a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers. b. All other copies. (1) If earning record card is maintained. (2) If earning record card is not maintained.	Destroy when Federal Records Center receives second subsequent payroll or check list covering the same payroll unit. Destroy after GAO audit or when 3 years old, whichever is earlier. Transfer to NPRC, St. Louis, Missouri when 3 years old.
14.	<u>Payroll Control Files.</u> Payroll control registers such as SF 1125A.	Destroy after GAO audit or when 3 years old, whichever is sooner.
15.	<u>Payroll Change Files.</u> Payroll change slips, exclusive of those of the OPF, such as SF 1126. a. Copy used in GAO audit.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Disbursing officer copy used in preparing checks.	Destroy after preparation of check.
	c. All other copies.	Destroy 1 month after the end of the pay period.
16.	<u>Fiscal Schedules Files.</u>	
	Memorandum copies of fiscal schedules used in the payroll process.	
	a. Copy used in GAO audit.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	b. All other copies.	Destroy 1 month after the end of the pay period.
17.	<u>Administrative Payroll Report Files.</u>	
	Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.	
	a. Reports and data used for workload and personnel management purposes.	Destroy when 2 years old.
	b. All other reports and data.	Destroy when 3 years old.
18.	<u>Tax Files.</u>	
	a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	Destroy 3 years after form is superseded or obsolete.
	b. Returns on income taxes such as IRS Form W-2.	Destroy when 3 years old.
	c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 2

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
19.	<u>Income Tax Return Files.</u>	
	See Item 18b of this schedule.	
20.	<u>Tax Report Files.</u>	
	See Item 18c of this schedule.	
21.	<u>Retirement Files.</u>	
	a. Reports and registers.	
	Reports, registers or other control documents, and other records relating to the retirement, such as SF 2807 or equivalent.	Destroy when 3 years old.
	b. Assistance Files.	
	Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old.
	c. Deduction files.	
	SF 2806 or equivalent and other records used to document retirement deductions of individual employees.	See GRS 1, Item 1.
22.	<u>Insurance Deduction Files.</u>	
	Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.	Destroy when 3 years old.
23.	<u>Levy and Garnishment Files.</u>	
	Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	income taxes or other debts of Federal employees.	
24.	<u>Wage Survey Files.</u> Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Destroy when completed.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple small purchase to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Service for possible permanent retention before applying the disposal instructions. Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

GENERAL RECORDS SCHEDULE 3

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs, local requisition and stock inventory files, and other minor supply papers.

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of the title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule has been revised to include the most frequently found agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to procurement and supply records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Unique Procurement Files.</u> Procurement files (as in item 4, below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs, other than those covered by Item 13.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Real Property Files.</u> Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).	
	a. Papers for property acquired prior to January 1, 1921.	Submit SF 115, Request for Records Disposition Authority.
	b. Papers for property acquired since January 1, 1921, other than abstract or certificate of title.	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.
	c. Abstract or certificate or title.	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.
3.	<u>General Correspondence Files.</u> Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Routine Procurement Files.</u> Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 1, 2, 13, and 15).	
	a. Procurement or purchase organization copy, and related papers.	

GENERAL RECORDS SCHEDULE 3

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| (1) | Transactions of more than \$10,000 and all construction contracts exceeding \$2,000, dated subsequent to July 26, 1974. | Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years.) |
| (2) | Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974. | Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.) |
| (3) | Transactions of more than \$2,500 dated prior to July 26, 1974. | Destroy 6 years after final payment. |
| b. | Obligation copy. | Destroy when funds are obligated. |
| c. | Other copies of records described above used by component elements of a procurement office for administrative purposes. | Destroy upon termination or completion. |
| 5. | <u>Supply Management Files.</u>

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481). | |

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	Destroy when 2 years old.
	b. Copies in other reporting units, and related work papers.	Destroy when 1 year old.
6.	<u>Bid Files.</u>	
	a. Successful or unsuccessful bids.	Apply provisions of Item 4.
	b. Lists or cards of acceptable bidders.	Destroy when superseded or obsolete.
7.	<u>Public Printer Files.</u>	
	Records relating to requisitions on the Printer, and all supporting papers.	
	a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Destroy 3 years after completion or cancellation of requisition.
	b. Accounting copy of requisition.	Destroy 3 years after period covered by related account.
8.	<u>Nonpersonal Requisition File.</u>	
	Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6).	Destroy when 1 year old.
9.	<u>Inventory Requisition File.</u>	
	Requisitions for supplies and equipment for current inventory.	

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Stockroom copy.	Destroy 2 years after completion or cancellation of requisition.
	b. All other copies.	Destroy when 6 months old.
10.	<u>Inventory Files.</u>	
	a. Inventory lists.	Destroy 2 years from date of list.
	b. Inventory cards.	Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.
	c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.	Destroy 2 years after date of survey action or date of posting medium.
11.	<u>Telephone Records.</u>	
	Telephone statements and toll slips.	Destroy 3 years after period covered by related account.
12.	<u>Contractors' Payroll Files.</u>	
	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
13.	<u>Tax Exemption Files.</u>	
	Tax exemption certificates and related papers.	Destroy 3 years after period covered by related account.

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
14.	<u>Grant Application Files.</u> Applications, memoranda, correspondence and other records relating to the decision to accept or reject grant applications.	
	a. Rejected applications.	Destroy 5 years after rejection.
	b. Accepted applications.	See Item 15 of this schedule.
15.	<u>Grant Case Files.</u> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets.	Submit SF 115, Request for Records Disposition Authority.
16.	<u>Grant Control Files.</u> Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects, applications and grants.	Destroy when superseded or obsolete.
17.	<u>Grant Correspondence and Subject Files.</u>	
	a. Correspondence and/or subject files including memoranda, studies, reports, forms and other records relating to the legal establishment of the grant program, its policies and basic procedures, and the management and evaluation of grants.	Submit SF 115, Request for Records Disposition Authority.
	b. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18.	<u>Final Product Files.</u> Published reports, books, studies, audiovisual materials, or any other final grant product and related records in textual or machine-readable form.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under the Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Service for possible permanent retention before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by any agency selling surplus personal property under GSA regulations:

a. Standard Form 114, Sale of Government Property, Invitation, and Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, and other notices of sale, invoices, and sales slips.

b. Standard Forms 120, Report of Excess Personal Property and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Form 120 reports personal property which is excess to the agency reporting to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Office of Personal Property, Utilization and Disposal Service, General Services Administration, which consolidate the data.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Surplus Property Precedential Case Files.</u> Case files on sales of surplus personal property (as described in item 6 below) documenting the initiation	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 4

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	
2.	<u>Property Disposal Case Files.</u> Case files on disposal of surplus real and related personal property.	Submit SF 115, Request for Records Disposition Authority.
3.	<u>Excess Real Property Reports.</u>	Submit SF 115, Request for Records Disposition Authority.
4.	<u>Property Disposal Correspondence Files.</u> Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 years old.
5.	<u>Excess Personal Property Reports.</u>	Destroy when 3 years old.
6.	<u>Surplus Property Case Files.</u> Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).	
	a. Transactions subsequent to July 25, 1974, of more than \$10,000; and transactions prior to July 26, 1974, of more than \$2,500.	Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)
	b. Transactions subsequent to July 25, 1974, of \$10,000 or less; and transactions prior to July 26, 1974, of \$2,500 or less.	Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy except that files on

GENERAL RECORDS SCHEDULE 4

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

which actions are pending will be brought to the next fiscal year's files for disposal therewith.)

7.

Real Property Files.

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. (Also see GRS 22, Design and Construction Records.)

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by the Office of Management and Budget (OMB), usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7) and detailed information relative to expenditures is contained in the accountable officers' account (Schedule 6).

This schedule applies to records of budget preparation, presentation and apportionment in all agencies, except that it does not apply to records of the OMB and the Treasury Department reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by the OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to the OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of

GENERAL RECORDS SCHEDULE 5

appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Budget Policy Files.</u> Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Budget Estimates and Justifications Files.</u> a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data. b. Working papers and background materials.	Submit SF 115, Request for Records Disposition Authority. See Item 4 of this schedule.
3.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Budget Background Records.</u> Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 2.	Destroy 1 year after the close of the fiscal year covered by the budget.

GENERAL RECORDS SCHEDULE 5

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Budget Reports Files.</u> Periodic reports on the status of appropriation accounts and apportionment.	
	a. Annual report (end of fiscal year).	Destroy when 5 years old.
	b. All other reports.	Destroy 3 years after the end of the fiscal year.
6.	<u>Budget Apportionment Files.</u> Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Destroy 2 years after the close of the fiscal year.

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office. This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to the General Accounting Office since he accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to the General Accounting Office from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by General Accounting Office General Regulations No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule has been revised to include records held for on-site audit by the General Accounting Office, as described in Item 1a below. Under on-site audit, vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents are retained in agency space for the General Accounting Office auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. The General Accounting Office has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than

GENERAL RECORDS SCHEDULE 6

one full fiscal year old to Federal Records Centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Office of Administrative Services, GAO. Because the records heretofore transferred to the General Accounting Office are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in Item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents which deposit funds into the Treasury, and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Treasury Department are not covered by this schedule and are provided for in separate schedules.

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1.

Accountable Officers' Files.

- | | | |
|----|---|---|
| a. | Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited, in the course of operation of the agency. All copies <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule. | Destroy 6 years and 3 months after the period of the account. |
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GENERAL RECORDS SCHEDULE 6

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Site audit records include, but are not limited to, the Standard Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.

- SF 224, Statement of Transactions
- SF 1034, Public Voucher for Purchases and Services Other Than Personal
- SF 1036, Statement of Certificate and Award
- SF 1047, Public Voucher for Refunds
- SF 1069, Voucher for Allowance at Foreign Posts of Duty
- SF 1080, Voucher for Transfer Between Appropriations and/or Funds
- SF 1081, Voucher and Schedule of Withdrawals and Credits
- SF 1096, Schedule of Voucher Deductions
- SF 1097, Voucher and Schedule to Effect Correction of Errors
- SF 1098, Schedule of Cancelled Checks
- SF 1113, Public Voucher for Transportation Charges
- SF 1114, Bill of Collection
- SF 1114A, Official Receipt
- SF 1114B, Collection Voucher
- SF 1129, Reimbursement Voucher
- SF 1143, Advertising Order
- SF 1145, Voucher for Payment Under Federal Tort Claims Act
- SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
- SF 1156, Public Voucher for Fees and Mileage of Witness
- SF 1166, Voucher and Schedule of Payments
- SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies
- SF 1218, Statement of Accountability (Foreign Service Account)
- SF 1219, Statement of Accountability
- SF 1220, Statement of Transactions According to Appropriation, Funds and Receipt Accounts
- SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)

GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by Schedule 9 and payroll records covered by Schedule 2.	Destroy 3 years after the period of the account.
2.	<u>GAO Exceptions Files.</u> General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.	Destroy 1 year after exception has been reported as cleared by GAO.
3.	<u>Certificates Settlement Files.</u> Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.	
	a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Destroy 2 years after date of settlement.
	b. Certificates covering periodic settlements.	Destroy when subsequent certificate of settlement is received.
4.	<u>General Fund Files.</u> Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit (SF 201, 209, and 219), other than those records covered by Item 1 of this schedule.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Accounting Administrative Files.</u> Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	
	a. Files used for workload and personnel management purposes.	Destroy when 2 years old.
	b. All other files.	Destroy when 3 years old.
6.	<u>Federal Personnel Surety Bond Files.</u>	
	a. Official copies of the bond and attached powers of attorney.	
	(1) Bonds purchased prior to January 1, 1956.	Destroy 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955.	Destroy 15 years after the end of the bond premium period.
	b. Other bond files, including other copies of bonds and related papers.	Destroy when bond becomes inactive or after the end of the bond premium period.
7.	<u>Gasoline Sales Tickets.</u> Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.
8.	<u>Telephone Toll Tickets.</u> Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.
9.	<u>Telegrams.</u> Originals and copies of telegrams filed in support of telegraph bills.	Destroy after GAO audit or when 3 years old, whichever is sooner.

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and non-appropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also a primary source of data for top management concerned with agency solvency, with expenditures and with program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and papers further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against over expenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders which authorize exact and specific expenditure.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source for the data included in the basic apportionment reports to the OMB and the Treasury Department, and over-all reports of agency fiscal condition which may be required by the General Accounting Officer (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting

GENERAL RECORDS SCHEDULE 7

Office auditors to be indicative of the suitability of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Treasury Department and the OMB, or to those formerly maintained by the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 372).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Expenditures Accounting General Correspondence and Subject Files.</u> Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old.
2.	<u>General Accounting Ledgers.</u> General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 10 years after the close of the fiscal year involved.
3.	<u>Appropriation Allotment Files.</u> Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 10 years after the close of the fiscal year involved.
4.	<u>Expenditure Accounting Posting and Control Files.</u> Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.	
	a. Original records.	Destroy when 3 years old.
	b. Copies	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which essentially reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data reflected in stock inventory records, but are not procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials. Custody is established by accomplished copies of material movement documents, and stores accounting information data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters, where the information is used for procurement planning, budget, and other management purposes. These records do not include papers reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value is also available in pertinent general ledger accounts.

b. Plant Accounting. These records consist primarily of cards recording the principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value is also available in pertinent general ledger accounts.

c. Cost Accounting. These records are designed to accumulate and show data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately posted to the accounts in the agency general ledgers concerned with operating and program costs. Material costs information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are utilized in evaluating economy of agency operation and in preparing budget estimates.

GENERAL RECORDS SCHEDULE 8

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Plant Accounting Files.</u> Plant account cards and ledgers pertaining to structures.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Plant, Cost and Stores General Correspondence Files.</u> Correspondence files of units responsible for plant, cost and stores accounting operations.	Destroy when 3 years old.
3.	<u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes.	Destroy when 3 years old.
4.	<u>Stores Accounting Files.</u> Stores accounting returns and reports.	Destroy when 3 years old.
5.	<u>Stores Accounting Work Papers.</u> Work papers used in accumulating stores accounting data.	Destroy when 2 years old.
6.	<u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those described in item 1.	Destroy 3 years after item is withdrawn from plant account.
7.	<u>Cost Accounting Reports.</u> a. Copies in units receiving reports. b. Copies in reporting units, and related work papers.	Destroy when 3 years old. Destroy when 3 years old.
8.	<u>Cost Report Data Files.</u> Ledgers, forms, and machine-records used to accumulate data for use in cost reports.	

GENERAL RECORDS SCHEDULE 8

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Ledgers and forms.

Destroy when 3 years old.

b. Machine-records.

(1) Detail cards.

Destroy when 6 months old.

(2) Summary cards.

Destroy when 6 months old.

(3) Tabulations.

Destroy when 1 year old.



GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records pertaining to the movement of goods and persons under Government orders. The record keeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments become part of the accountable officers' accounts, or are accounting posting media. Their disposition may be covered by General Records Schedule 6, item 1; General Records Schedule 7, item 4; or items 1 and 3 of this schedule.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain vouchers under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents.

b. Movement of persons. The movement of persons is documented essentially by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Freight Files.</u> Records relating to freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.	

GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Issuing office memorandum copies.	Destroy when 3 years old.
	b. All other copies.	Destroy when 1 year old.
	c. Registers and control records.	Destroy when 3 years old.
2.	<u>Lost or Damaged Shipments Files.</u>	
	Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Destroy when 3 years old.
3.	<u>Passenger Transportation Files.</u>	
	Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.	
	a. Issuing office memorandum copy.	Destroy when 3 years old.
	b. Obligation copy.	Destroy when funds are obligated.
	c. Unused ticked redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use.
4.	<u>Passenger Reimbursement Files.</u>	
	Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.	

GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Travel administrative office files.	Destroy when 3 years old.
	b. Obligation copies.	Destroy when funds are obligated.
5.	<u>General Travel and Transportation Files.</u>	
	a. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.	Destroy when 2 years old.
	b. Accountability records.	Destroy 1 year after all entries are cleared.

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

Personal Property Management Regulation No. 24 prescribes policies and procedures. Standard Form No. 82, which is an annual motor vehicle report required by the Federal Supply Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Supply Service (Standard Form No. 82, Annual Motor Vehicle Report); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance check-off sheets, cost ledgers and claims correspondence and forms.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Motor Vehicle Correspondence Files.</u> Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.
2.	<u>Motor Vehicle Operating and Maintenance Files.</u> a. Operating records including those relating to gas and oil consumption, dispatching and scheduling. b. Maintenance records, including those relating to service and repair.	Destroy when 3 months old. Destroy when 1 year old.
3.	<u>Motor Vehicle Cost Files.</u> Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet.

GENERAL RECORDS SCHEDULE 10

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles (other than accident, operating and maintenance reports).	Destroy 3 years after date of report.
5.	<u>Motor Vehicle Accidents Files.</u> Records relating to motor vehicle accidents, maintained by transportation offices.	Destroy 6 years after case is closed.
6.	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation or exchange of vehicles.	Destroy 4 years after vehicle leaves agency custody.
7.	<u>Motor Vehicle Operation.</u> Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle; whichever is sooner.

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (or equivalent agency with similar Government-wide responsibilities) as directed by law and by regulation (60 Stat. 257 and GSA Real Property Management Regulation No. 3); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officer's accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records which reflect Government-wide programs (such as the records held by the Public Buildings Service of the General Services Administration). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Space and Maintenance General Correspondence Files.</u> Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Destroy when 2 years old.
2.	<u>Agency Space Files.</u> Records relating to the allocation, utilization, and release of space under agency control, and related reports to General Services Administration.	

GENERAL RECORDS SCHEDULE 11

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	Building plan files and related agency records utilized in space planning, assignment, and adjustment.	Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
b.	Correspondence with and reports to staff agencies relating to agency space holdings and requirements.	
(1)	Agency records to General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the "District of Columbia", and related papers.	Destroy when 2 years old.
(2)	Copies in subordinate reporting units and related work papers.	Destroy when 1 year old.
3.	<u>Directory Service Files.</u>	
	Correspondence, forms and other records relating to the compilation of directory service listings.	Destroy 2 months after issuance of listing.
4.	<u>Credentials Files.</u>	
	Identification credentials and related papers.	
a.	Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.	Destroy credentials 3 months after return to issuing office.
b.	Receipts, indices, listings and accountable records.	Destroy after all listed credentials are accounted for.

GENERAL RECORDS SCHEDULE 11

<u>NO ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Building and Equipment Service Files.</u> Requests for building and equipment maintenance services, excluding fiscal copies.	Destroy 3 months after work performed or requisition cancelled.



GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data, telecommunications service control and operational records; summary of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery services (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency, but does not cover records which reflect Government-wide programs, such as records held by the U. S. Postal Service and the Automated Data Telecommunications Service of the General Services Administration, rather than administrative management functions. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Messenger Service Files.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old.
2.	<u>Communication Correspondence, Reports, and Reference Files.</u>	
	a. Correspondence and related records pertaining to internal administration and operation.	Destroy when 2 years old.
	b. Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	Destroy when 3 years old.
	c. Telecommunications statistical reports including cost and volume data.	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 12

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
d.	Telecommunications reference voucher files.	
	(1) Reference copies of vouchers, bills, invoices, and related records.	Destroy when 1 fiscal year old.
	(2) Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner.
e.	Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement.
3.	<u>Telecommunications Operational Files.</u>	
	a. Message registers, logs, performance reports, daily load reports, and related and similar records.	Destroy when 6 months old.
	b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.	Destroy when 2 months old.
	c. Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
4.	<u>Telephone Summaries.</u>	
	Summaries of long distance telephone report used to indicate authorized use of telephone service as well as to audit expense vouchers.	Destroy after the close of the fiscal year in which audited.
5.	<u>Postal Records.</u>	
	Post Office forms and supporting papers, exclusive of records held by the United States Postal Service.	

GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts.	Destroy when 1 year old.
	b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.	Destroy when 1 year old.
	c. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.	Destroy when 1 year old.
6.	<u>Mail and Delivery Service Control Files.</u>	
	a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item 5 and those used as indexes to correspondence files.	Destroy when 1 year old.
	b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old.
	c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	Destroy when 6 months old.
	d. Statistical reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.
	e. Records relating to checks, cash, stamps, money orders or any other valuables remitted to the agency by mail.	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
f.	Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	Destroy when 6 months old.
g.	General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
h.	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.
7.	<u>Penalty Mail Report Files.</u>	
	Official penalty mail reports and all related papers.	Destroy when 6 years old.
8.	<u>Postal Irregularities File.</u>	
	Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Destroy 3 years after completion of investigation.

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the retention or disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplicating, and distribution, except as indicated in the several items. The principal records documenting these functions are:

(a) Records pertaining to requests for service, control, production and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions, and to record the production, distribution and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, and duplication and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

This schedule does not cover (a) records retained by agencies for on-site audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (b) records which reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing) rather than administrative management functions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Publications Files.</u>	
	a. Record copy if maintained in duplicating or distribution unit, of each publication, poster, chart, directive, regulation, booklet, speech, form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.)	Submit SF 115, Request for Records Disposition Authority.
	b. All other copies.	Destroy when superseded, obsolete or no longer needed.

GENERAL RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Administrative Correspondence Files.</u> Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication and distribution matters, and related papers.	Destroy when 2 years old.
3.	<u>Project Files.</u> Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs. a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency. b. Files pertaining to planning and other technical matters.	Destroy 1 year after completion of job. Destroy when 3 years old.
4.	<u>Control Files.</u> Control registers pertaining to requisitions and work orders.	Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.
5.	<u>Mailing Lists.</u> a. Correspondence, request forms and other records relating to changes in mailing lists. b. Card lists. c. Plate or stencil mailing lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier. Destroy individual cards when cancelled or revised. Destroy plates or stencils when cancelled or revised.

GENERAL RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>JCP Reports Files.</u> Reports to Congress and related records.	
	a. Agency reports to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.	Destroy when 3 years old.
	b. Copies in subordinate reporting units and related work papers.	Destroy 1 year after date of report.
7.	<u>Internal Management Files.</u> Records relating to internal management and operation of the unit.	Destroy when 2 years old.



GENERAL RECORDS SCHEDULE 14

Informational Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day to day affairs and in their relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6 apply only to files maintained in the office responsible for the operation of the informational activities of the agency or subdivision thereof. Items 16 through 20 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 25 through 30 describe the files created in administering the provisions of the Privacy Act.

These records consist of inquiries, replies, and related correspondence; and in the case of FOIA and Privacy Act files, reports and appeal case files; and administrative background material for formal informational releases. Closely related records such as certain records relating to budget presentation, and printing, duplicating and distribution are covered by other general records schedules. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Information Files.</u> Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, and indexes thereto.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Information Subject Files.</u> Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Information Requests Files.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs and other informational literature.	Destroy 3 months after transmittal or reply.
4.	<u>Acknowledgement Files.</u> Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgement and referral.
5.	<u>Press Service Files.</u> Press service teletype news and similar materials.	Destroy when 3 months old.
6.	<u>Information Project Files.</u> Informational services project case files maintained in formally designated informational offices.	Destroy 1 year after close of file or 1 year after completion of project.
7.	<u>Commendation/complaint correspondence files.</u> Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.	Destroy when 3 months old.
8.	<u>Indexes and Check Lists.</u> Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Destroy when superseded or obsolete.

GENERAL RECORDS SCHEDULE 14

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
9 through 15	<u>Reserved.</u>	
16.	<u>Freedom of Information Act (FOIA) Requests Files.</u>	
	Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.	
	a. Correspondence and supporting documents (EXCLUDING) the official file copy of the records requested if filed herein).	
	(1) Granting access to all the requested records.	Destroy 2 years after date of reply.
	(2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.	
	(a) Request <u>not</u> appealed.	Destroy 2 years after date of reply.
	(b) Request appealed.	Destroy as authorized under item 17.
	(3) Denying access to all or part of the records requested.	
	(a) Request <u>not</u> appealed.	Destroy 5 years after date of reply.
	(b) Request appealed.	Destroy as authorized under item 17.

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Official file copy of requested records.	Dispose of in accordance with approved agency disposition instruction for the related records, or with the related FOIA request, whichever is later.
17.	<u>FOIA Appeals Files.</u> Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
	a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).	Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.
	b. Official file copy of records under appeal.	Dispose of in accordance with approved agency disposition instructions for the related record, or with the related FOIA requests, whichever is later.
18.	<u>FOIA Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requestor.	
	a. Registers or listing.	Destroy 5 years after date of last entry.

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other files.	Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later.
19.	<u>FOIA Reports Files.</u> Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.	
	a. Annual reports at departmental or agency level.	Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.
	b. Other reports.	Destroy when 2 years old or sooner if no longer needed for administrative use.
20.	<u>FOIA Administrative Files.</u> Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old or sooner if no longer needed for administrative use.
21 through 24.	<u>Reserved.</u>	
25.	<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	

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.	
	a. Correspondence and supporting documents (<u>EXCLUDING</u> the official file copy of the records requested if filed herein).	
	(1) Granting access to all the requested records.	Destroy 2 years after date of reply.
	(2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.	
	(a) Requests <u>not</u> appealed.	Destroy 2 years after date of reply.
	(b) Requests appealed.	Destroy as authorized under item 26.
	(3) Denying access to all or part of the records requested.	
	(a) Requests <u>not</u> appealed.	Destroy 5 years after date of reply.
	(b) Requests appealed.	Destroy as authorized under item 26.
	b. Official file copy of requested records.	Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

GENERAL RECORDS SCHEDULE 14

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

26.

Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the Individual against the refusing agency as provided under 5 U.S.C. 552a(g).

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|---|--|
| a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials. | Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. |
| b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. | Dispose of in accordance with the approved disposition instructions for the related subject individual's record; 4 years after final determination by agency; or 3 years after final adjudication by courts, whichever is later. |
| c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. | Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later. |

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
27.	<u>Privacy Act Accounting of Disclosure Files.</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, requestor'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.
28.	<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 requestor. a. Registers or listings. b. Other files.	Destroy 5 years after date of last entry. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.
29.	<u>Privacy Act Reports Files.</u> Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. a. Annual reports at departmental or agency level.	Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.

GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other reports.	Destroy when 2 years old.
30.	<u>Privacy Act General Administrative Files.</u> Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old or sooner if no longer needed for administrative use.

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations, or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the HUD, National Capital Housing Authority, the Department of Health, Education, and Welfare, or the Veterans Administration pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and over-all supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Housing General Correspondence Files.</u> Correspondence files pertaining to the maintenance and management of housing projects.	Destroy when 2 years old.
2.	<u>Housing Maintenance and Repair Files.</u> Maintenance and repair records for individual units.	
	a. Summary card or ledger record.	Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.

GENERAL RECORDS SCHEDULE 15

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Work orders, requisitions, and related papers involved repair and maintenance work.	Destroy 3 fiscal years following close of fiscal year in which work is done.
3.	<u>Housing Management Files.</u>	
	Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	Destroy when 2 years old.
4.	<u>Housing Lease Files.</u>	
	Copies of leases, renewals, termination notices, and related papers.	Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.
5.	<u>Housing Assignment and Vacancy Card Files.</u>	
	a. Individual tenant cards.	Destroy when tenant vacates unit.
	b. Individual housing unit cards.	Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6.	<u>Housing Inventory Files.</u>	
	Furnishing inventory files, pertaining to items included in furnished units.	Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.
7.	<u>Housing Application Files (other than copies in lease files).</u>	
	a. Rejected application files.	Destroy 1 year from date of rejection.
	b. All others	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the retention or disposal of certain records relating to administrative management activities in Federal agencies. These activities involve the direction and control of those staff and management improvement programs not under line personnel directing and controlling substantive operations and programs. They exclude records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules, but include records of related specialized procedural and management staffs. Included within the scope of the schedule are the most frequently found files which are created in the course of organizational planning, development and simplification of procedures, records management activities, and administration of management improvement programs. General Records Schedule 1 (items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule and nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level, subordinate components are successively division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with at least division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them are of continuing value. Files pertaining to a management program in a well defined area such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist largely of project files, which are established for each separate problem assigned for investigation; the resulting case file is usually of continuing value in documenting the history of how the agency conducted its business. In

GENERAL RECORDS SCHEDULE 16

either event there is a residue of ephemeral materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Directive Case Files.</u> Internal directives issued at the agency, bureau or division level.	
	a. Record copy with supporting case file, if any, documenting important aspects of the development of the issuance.	Submit SF 115, Request for Records Disposition Authority.
	b. Working papers and background material.	See item 10 of this schedule.
2.	<u>Publications.</u> Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects.	
	a. Record copy with the supporting papers which document the inception, scope and purpose of the project.	Submit SF 115, Request for Records Disposition Authority.
	b. Working papers and background materials.	See item 10.
3.	<u>Records Disposition Files.</u> Descriptive inventories, disposal authorizations, schedules and reports.	
	a. Basic documentation of records description and disposition programs, including Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Records Transmittal and Receipt and related documentation.	Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.

GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Extra copies and routine correspondence and memoranda.	Destroy when no longer needed for reference.
c.	Working papers and background material.	See item 10 of this schedule.
4.	<u>Forms Files.</u>	
a.	One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Submit SF 115, Request for Records Disposition Authority.
b.	Working papers, background materials, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or cancelled.
5.	<u>Management Improvement Reports.</u>	
	Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.	Submit SF 115, Request for Records Disposition Authority.
6.	<u>Records Holdings Files.</u>	
	Statistical reports of agency records holdings required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	Destroy when 3 years old.
7.	<u>Project Control Files.</u>	
	Memoranda, reports and other records documenting assignments, progress and completion of projects.	Destroy 1 year after the year in which the project is closed.
8.	<u>Reports Control Files.</u>	
	Case files maintained for each agency report created, cancelled or superseded.	Destroy 2 years after the report is discontinued.

GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9.	Superseded by item 4b of this schedule.	
10.	<u>Working Papers.</u> Project background records such as studies, analyses, notes, drafts, and interim reports.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
11.	<u>Records Management Files.</u> Reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the management of records in the agency. Includes the management of files, forms, correspondence, mail, reports, microfilm, automatic data processing, vital records, and related records not covered elsewhere in this schedule.	Destroy when 6 years old.
12.	<u>Committee and Conference Records.</u> a. Records relating to establishment, organization, membership and policy. (1) Interagency, advisory or international committees. (2) Internal committees. b. Records created by committees. (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees.	Submit SF 115, Request for Records Disposition Authority. Destroy 2 years after termination of committee.

GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(a) Records of the sponsor or Secretariat.	Submit SF 115, Request for Records Disposition Authority.
	(b) All other copies.	Destroy when 3 years old or when no longer needed for reference.
	(2) All other committee records.	Destroy when 3 years old or when no longer needed for reference.
13.	<u>Organizational Records.</u> Official organization charts, narrative histories, and related records which document the organization and functions of the agency.	
	a. Record copy.	Submit SF 115, Request for Records Disposition Authority.
	b. All other copies.	Destroy when superseded or obsolete.

GENERAL RECORDS SCHEDULE 17

Cartographic, Remote Sensing Imagery, and Related Records

This schedule covers cartographic, remote sensing imagery, and related records that have been created by or for agencies of the Federal Government and those acquired by Federal agencies in the course of business. Records created prior to January 1, 1950, must be offered to the National Archives and Records Service before applying disposition instructions set forth in this schedule.

Cartographic records are graphic representations at reduced scale of selected cultural and physical features of the surface of the earth and other planetary bodies. They include maps, charts (hydrographic, nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, and relief models. Related records are those records that form an integral part of the map-making process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids. Records of the map-making process in automated storage and retrieval system are covered by General Records Schedule 20.

Remote sensing imagery covers aerial photographs and other forms of visual images of the surface of the earth or other planetary bodies taken from airborne or spaceborne vehicles for the purpose of evaluation, measuring, or mapping the cultural and/or physical features of the landscape, and related tabular and graphic indexes necessary for the proper identification and retrieval of these records. Conventional aerial photographs taken from aircraft produce direct film images from cameras; other forms or imagery such as those from orbiting satellites sometimes require a conversion or alteration of sensor data for digital, electronic, or computerized forms to photographic or videographic images before they can be considered imagery. This schedule is limited to visual imagery. Digitized or computerized data are covered by General Records Schedule 20.

Cartographic and remote sensing imagery records that may have continuing legal, administrative, and research value are generally those that have been created or acquired in conjunction with the transaction of agency business or resulting from agency program responsibilities which constitute evidence of the organization, functions, decisions, and operations of the Federal Government. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

The General Records Schedule for cartographic, remote sensing imagery, and related records is broad in scope and meant to complement approved agency record schedules and other general records schedules. If an item in this schedule is at variance or is inconsistent with an approved agency records schedule, such discrepancies should be brought to the attention of the

GENERAL RECORDS SCHEDULE 17

National Archives and Records Service (NARS). In such cases, disposition should be made in accordance with specific instructions provided by the National Archives and Records Service.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1.	<u>Manuscript and Annotated Maps.</u>	
	Hand-drawn maps (generally in pencil, ink, or colors on paper or tracing cloth), maps made with stickup and similar adhesives, and maps that bear significant manuscript annotations, changes, or additions. Included are maps compiled in the office for administrative use, for research, or for exhibits and wall displays; map enclosures to reports or correspondence; original topographic planetable sheets, terrain sketches, and nautical depth-sounding sheets derived from field observations and surveys; final manuscript "smooth sheets" and "fair sheets" showing the results of surveys; maps or aerial photographic prints annotated with field survey information, initial hand-drawn photogrammetric stereoplottings from aerial photographs; and proof sheets or overlays that bear annotations resulting from field checking or verification of survey data or that are annotated to show source of information used on the map.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Cartographic Records Prepared During Intermediate Stages of Publication.</u>	
	Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose information content is duplicated by the final published map.	Destroy 1 year after publication of resultant map or 1 year after no longer needed for revision.

GENERAL RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>Published Maps.</u></p> <p>One copy of each published map, atlas, portfolio, and photomap produced by an agency, including each edition and variant, and all related indexes (in map or other form).</p>	<p>Permanent. Break file at regular intervals (1 to 5 years) and offer to NARS.</p>
4.	<p><u>Map History Case Files and Source Material.</u></p> <p>Map history and chart history case files documenting the chronological events in planning, surveying, field work, and production and revision of specific maps, and files containing or describing the sources of information for specific maps, including map specifications, location diagrams, notes kept by the cartographers when making maps, maps or photographs from which information was abstracted, correspondence, reports, bibliographies, lists of sources, and papers showing information about the origin and spelling of place names.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
5.	<p><u>Maps on Microfilm.</u></p> <p>a. If both original hardcopy maps and microfilm copies exist.</p> <p>b. If only the microfilm copies exist.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p> <p>Dispose of in accordance with instructions for related hardcopy records.</p>
6.	<p><u>Computer Related Maps.</u></p> <p>a. One copy of each published, manuscript, or computer produced map produced by the agency that show such administrative information as the general geographic coverage of a computer system or the geographic location of all input stations used in the system.</p>	<p>Permanent. Offer to NARS within 10 years.</p>

GENERAL RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Hardcopy maps acquired as sources of data for a computer system.	Submit SF 115, Request for Records Disposition Authority.
	c. Computer-plotted maps (hardcopy printouts or microfilm output).	Submit SF 115, Request for Records Disposition Authority.
7.	<u>Globes, Terrain Models, and Raised Relief Maps.</u> Three-dimensional terrain models and raised relief maps (made of plaster, wood, plastic, or other material).	
	a. One representative sample of each type.	Permanent. Offer to NARS within one year of production or when no longer needed.
	b. Remaining items.	Dispose of when no longer needed for agency use.
8.	<u>Finding Aids.</u> Graphic or written indexes and other finding aids relating to maps.	Dispose of in accordance with instructions for related maps.
9.	<u>Survey Field Notes, Geodetic Controls, and Computations.</u> (Hardcopy or Microfilm). Field notes from surveys, observations, and explorations, consisting of a running account of the terrain, geological notes, a record of water depths, a daily log or journal, often in the form of pocket-size notebooks carried by the observer in the field, triangulation diagrams, aerial photographs annotated with geodetic control data, and survey computations.	Permanent. Offer to NARS within 10 years after completion of resultant map.
10-15.	Reserved.	

GENERAL RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
16.	<u>Vertical and Oblique Aerial Film, Conventional Aircraft.</u> Vertical and oblique film in black and white, color, or "false color," including photo indexes (controlled or uncontrolled mosaics), flight line indexes or coordinate grid systems used as finding aids.	
	a. Original or master negative.	Submit SF 115, Request for Records Disposition Authority.
	b. Copy negatives, internegatives, rectified negatives, and glass plate negatives.	
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
	c. Prints	
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
17.	<u>Infrared, Ultraviolet, Multispectral (multi-band), Video, Imagery Radar, and Related Data Tapes, Converted to a Film Base.</u>	
	a. Original or master negative	Submit SF 115, Request for Records Disposition Authority.
	b. Prints	

GENERAL RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(1) Annotated	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated	Destroy when no longer needed for agency use.
18.	<u>Finding Aids.</u> Photo mosaics flight line indexes, coded grids, coordinate grids and other finding aids relating to remote sensing imagery.	Dispose of in accordance with instructions for related remote sensing imagery records.

EXPLANATORY NOTES

Items 1 thru 9

The term "map" is used as a generic term for maps, charts, cartograms, and atlases. The word "published" as used in this schedule means maps or charts reproduced by printing, photograph, or similar processes in multiple copies, whether for limited or general distribution. These may be in single sheet or bound format. If the agency has systematically filed hand-corrected editions with other published maps in a central or master files, it is not desirable to break up the file by the removal of hand-corrected copies; the file should be maintained in its original order.

Item 6b

These are published or manuscript maps acquired, from whatever source, by an agency for the purpose of abstracting geographic information for input into a computer system. They may be of enduring value because they explain the unique information used in the system and they may be necessary to verify the original source of information. They also may contain unique geographic information, beyond what has been abstracted for computer use, not available elsewhere. If the maps are arranged in a numbered or alphabetized file, retain the original and complete order. Finding aids should be retained in conjunction with the maps.

Item 6c

These maps must be evaluated by NARS on a agency-by-agency basis. The evaluation of the maps must take into account the reproducibility, repetitive nature, access, and legibility of the maps.

GENERAL RECORDS SCHEDULE 17

Item 7

Globes are often unique and valuable items of cartographic expression and as such they may have enduring value (except multiple copies). One sample of each globe produced or accumulated by an agency in the course of its official business should be preserved permanently.

Item 8

Graphic indexes are maps containing lines, symbols, or colors designed to show the geographic coverage, limits of state or completion of each item in a series or multiple set of map records. Other finding aids may include written map lists, box lists, card file indexes, or magnetic tape or other machine-readable finding aids.

Item 9

Survey notes in the form of automated data may be permanently valuable in machine-readable form. Guidelines for the disposition of automated records are found in General Records Schedule 20.

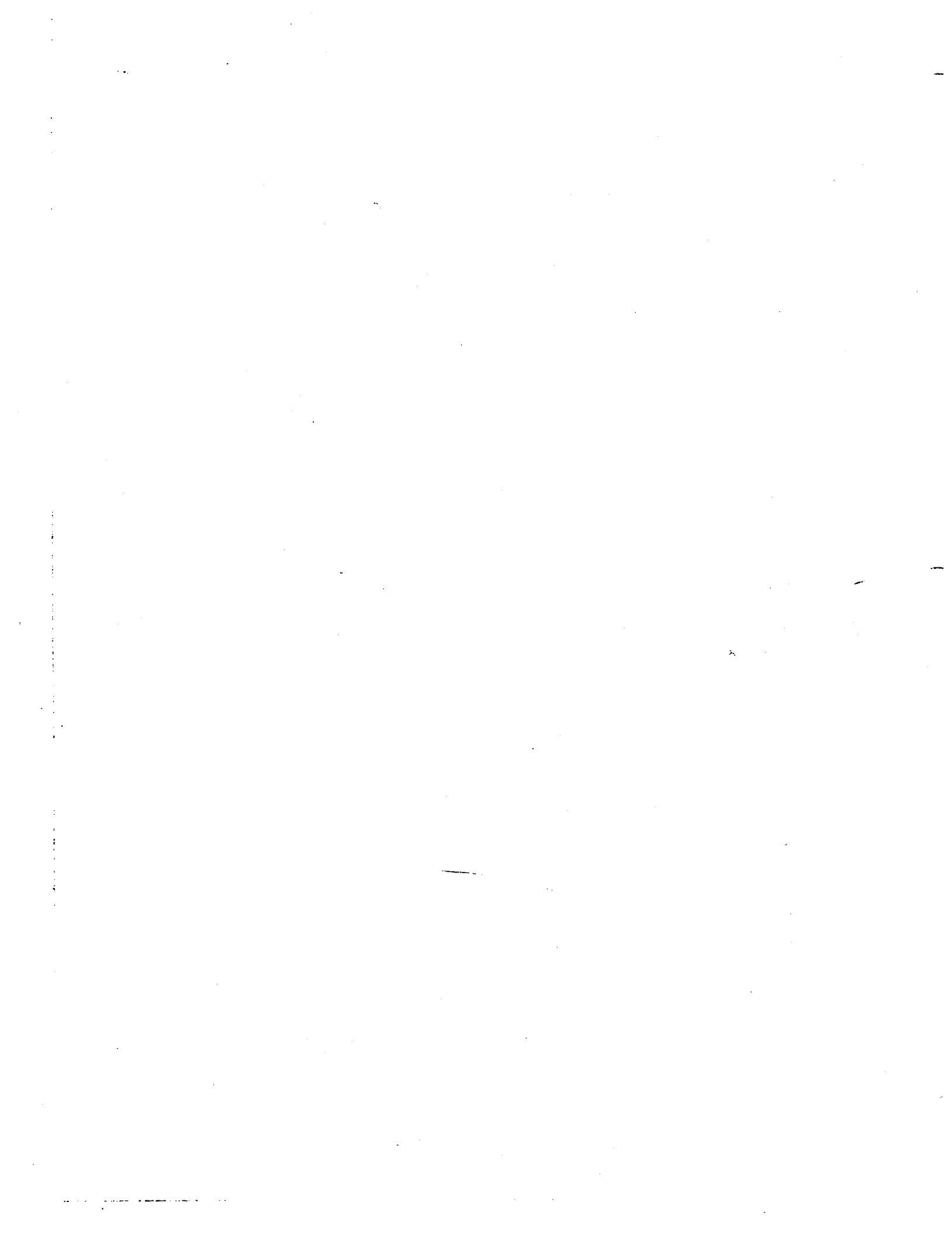
Item 16

Vertical aerial film consists of film images that are exposed with the optical axis of the camera approximately perpendicular to the earth's surface and with the film image as nearly horizontal as practicable.

Oblique aerial film consists of film images that are made with the camera axis directed between the horizontal and the vertical. Oblique photography is generally used for reconnaissance purposes. Because oblique reconnaissance photography may be repetitive, it is often possible to select representative sample coverage rather than retaining full coverage of particular conditions, events or phenomena. Representative samples may be selected by agreement with NARS.

Item 17

These sensor systems provide photographic imagery, sometimes after conversion or transferral of information from raw data. The film is considered to be the primary record. The raw data, if machine-readable is covered by General Records Schedule 20. (Non-photographic sensor records such as microwave, radiometer, thermal infrared, thermal ultraviolet, and non-imagery radar are not covered by this schedule.)



GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to insure the adequacy of protective measures at privately-owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are files of offices having Government-wide or agency-wide responsibilities for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agency-wide security and protective services planning and programming, reflecting basic over-all policies and determinations (Item 1), are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Security and Protective Services Program Records

Records accumulated by organizational elements having Government-wide or agency-wide responsibilities for administration of security and protective services programs. They relate to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Security Policy Files.</u> Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 18

Classified Information Accounting and Control Records

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Classified Documents Administrative Correspondence Files.</u> Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, not covered in Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
3.	<u>Document Receipt Files.</u> Classified documents receipts, relating to the receipt and issue of classified documents.	Destroy when 2 years old.
4.	<u>Destruction Certificates.</u> Classified documents destruction certificates relating to the destruction of classified documents.	Destroy when 2 years old.
5.	<u>Classified Document Inventory Files.</u> Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>Top Secret Accounting and Control Files.</u> a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. b. Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. Destroy when related document is downgraded, transferred, or destroyed.
7.	<u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files.	Destroy 2 years after authorization expires.
8.	<u>Classified Document Container Security Files.</u> Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	Destroy when superseded by a new form or list, or upon turn-in of containers.
<u>Facilities Security and Protective Services Records</u>		
Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.		
9.	<u>Security and Protective Services Administrative Correspondence Files</u> Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10.	<u>Survey and Inspection Files.</u> (Government-owned facilities)	Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.
11.	<u>Survey and Inspection Files.</u> (privately owned facilities)	Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.
12.	<u>Investigative Files.</u>	Destroy when 2 years old.
13.	<u>Property Pass Files.</u>	Destroy 3 months after expiration or revocation.
14.	<u>Guard Assignment Files.</u>	Destroy 3 years after final entry.
	Files relating to guard assignments and strength.	
	a. Ledger records.	

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	Destroy when 2 years old.
15.	<u>Police Functions Files.</u>	
	Files relating to exercise of police functions.	
a.	Ledger records of arrest, cars ticketed, and outside police contracts.	Destroy 3 years after final entry.
b.	Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.	Destroy when 2 years old.
c.	Reports on contact of outside police with building occupants.	Destroy when 1 year old.
16.	<u>Personal Property Accountability Files.</u>	
	Files relating to accountability for personal property lost or stolen.	
a.	Ledger files.	Destroy 3 years after final entry.
b.	Reports, loss statements, receipts and other papers relating to lost and found articles.	Destroy when 1 year old.
17.	<u>Key Accountability Files.</u>	
	Files relating to accountability for keys issued.	For areas under maximum security, destroy 3 years after turn-in of key. For other areas, destroy 6 months after turn-in of key.

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18.	<u>Visitor Control Records.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	For areas under maximum security, destroy 5 years after final entry or 5 years after date of document, as appropriate, for other areas, destroy 2 years after final entry or 2 years after date of document, as appropriate.
19.	<u>Facilities Checks Files.</u> Files relating to periodic guard force facility checks. a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by Item 25 of this schedule). b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 25 of this schedule.	Destroy when 1 year old. Destroy when 1 month old.
20.	<u>Guard Service Control Files.</u> a. Control center key or code records, emergency call cards, and building record and employee identification cards. b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.	Destroy when superseded or obsolete. Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Automatic machine patrol charts and registers of patrol and alarm services.	Destroy when 1 year old.
	d. Arms distribution sheets, charge records, and receipts.	Destroy 3 months after return of arms.
21.	<u>Logs and Registers.</u>	
	Guard logs and registers not covered elsewhere in this schedule.	
	a. Central guard office master logs.	Destroy 2 years after final entry.
	b. Individual guard post logs of occurrences entered in master logs.	Destroy 1 year after final entry.

Personnel Security Clearance Records

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

22.	<u>Security Clearance Administration Correspondence Files.</u>	
	Correspondence files relating to administration and operation of the personnel security clearance program, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
23.	<u>Personnel Security Clearance Case Files.</u>	
	Records of investigations of personnel employed by or seeking employment from the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of copies of investigative reports and related papers furnished to agencies by the Civil Service Commission for which maintenance and disposition instructions are provided in Chapter 736 of the Federal Personnel Manual.	Transfer to Federal Records Center 5 years after date of last action. Destroy 20 years after date of last action.

GENERAL RECORDS SCHEDULE 18

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

24.

Personnel Security Clearance Status Files.

Records showing the security clearance status of individuals, either in the form of lists or rosters, or as individual case files containing copies of documents contained in case files described in Item 23 above.

Destroy lists or rosters when superseded or obsolete; destroy case files upon transfer or separation of related individual.

25.

Non-Felonious Security Violation Files.

Case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.

Destroy 2 years after completion of final corrective or disciplinary action.

26.

Felonious Security Violation Files.

Case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies.

Submit SF 115, Request for Records Disposition Authority.

Emergency Planning Records

Records accumulating from the formulation and implementation of plans (such as evacuation plans) for protection of life and property during emergency conditions.

27.

Emergency Planning Administrative Correspondence Files.

Correspondence files relating to administration and operation of the emergency planning program, not covered by Item 1 or elsewhere in this schedule.

Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
28.	<u>Emergency Planning Case Files.</u> Case files accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers.	Submit SF 115, Request for Records Disposition Authority.
29.	<u>Emergency Directives Reference Files.</u> Copies of plans and directives, other than those maintained in case files described in Item 28 above.	Destroy when superseded or obsolete.
30.	<u>Emergency Planning Reports.</u> Agency reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.	Submit SF 115, Request for Records Disposition Authority.
31.	<u>Emergency Operations Tests Files.</u> Papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests by communications and facilities, and retained copies of reports.	Destroy when 3 years old.



GENERAL RECORDS SCHEDULE 19

Research and Development Records

These are records created by agencies which conduct technical and scientific research and development activities in order to develop new concepts, techniques, equipment, and materials, or modify those in existence. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They accumulate at various agency organizational levels, such as offices responsible for program direction, laboratories, proving grounds, and arsenals. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Scientific data accumulating during the conduct of a specific project are generally recorded in laboratory notebooks, and later summarized in technical reports. While the technical reports will normally show the progressive and final results of the research effort, they do not always show how these results were achieved, or when a theory, device, or process was first conceived or reduced to practice. The laboratory notebooks and other subsidiary scientific papers record the methods and procedures used daily by the scientist in research performance, and possess potential reference value for future scientific research, as well as for the establishment of patent or invention rights.

Research and development for some agencies is accomplished both by agency personnel and by private commercial or research organizations whose services are contracted for by the agency. When the latter is used, the contractor is required to furnish the results of research to the agency in the form of technical reports, experimental data, or comparable media. All records furnished by the contractor pursuant to terms of the contract become the property of the Government and the provisions of this schedule are applicable thereto.

Work on a major research and development project or system may be assigned to various organizational elements of an agency. These work assignments may be designated as "sub-projects," "tasks," or "phases." They are generally identified with the major project or system through the agency project numbering or classification system. The term "project" as used in this schedule includes any related sub-projects, tasks, or phases. It is desirable that these related records be consolidated into a single project file prior to transfer to a Federal Records Center. However, on projects of long duration, where volume or other factors preclude the retention of records until completion of the entire project, records relating to individual sub-projects, tasks, or phases may be transferred to Federal Records Centers in the same manner as project case files defined under Item 3 of this schedule.

GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>R&D Program Files.</u> Program documents, schedules, and correspondence maintained by offices responsible for execution, review, and analysis of agency research and development programs, and relating to the general planning and supervision of the programs.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>R&D Technical Committee and Board Files.</u> Agendas, directives, minutes of meetings, and reports covering general operations of the committee or board, and papers relating to the establishment, revision, or termination of individual projects. a. Official file of the committee or board maintained by the Secretary, Chairman, or other designee. b. Copies of committee or board files distributed to members.	Submit SF 115, Request for Records Disposition Authority. Destroy when superseded or obsolete or upon termination of membership, whichever is sooner.
3.	<u>R&D Project Case Files.</u> Records maintained at the laboratory or comparable level, reflecting a complete history of each project from initiation through research, development, design, and testing, to completion. They include (when created by agency personnel or received from contractors) procurement files, consisting of a copy of each contract or agreement for research services with related modifications, changes, or addenda; project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered to be essential to document design, modifications, and engineering development; technical and progress reports;	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	notice of completion or cancellation; reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and correspondence influencing the course of action taken on a project.	
4.	<u>R&D Project Lists.</u> Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by an agency.	Submit SF 115, Request for Records Disposition Authority.
5.	<u>R&D Source Data Files.</u> Punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects.	Dispose of when determined by competent agency research personnel that the files have served all research purposes. GRS 20, Machine-Readable Records, provides disposition guidelines.
6.	<u>R&D Laboratory Notebooks Files.</u> Notebooks containing technical and scientific data accumulating from the conduct of research and development.	
	a. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not aid significantly to the project file.	Destroy 6 months after completion or termination of the related project or projects.
	b. Other notebooks.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	<u>R&D Technical Report Files.</u> An official file copy of each technical report or unpublished manuscript of report prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.	Submit SF 115, Request for Records Disposition Authority.
8.	<u>R&D Drawing and Specification Files.</u> An official file copy of each drawing and specification showing final design and technical characteristics of items developed.	See GRS 22, Design and Construction Records for disposition instructions.
9.	<u>R&D General Correspondence Files.</u> Correspondence of general administrative or housekeeping nature (exclusive of papers containing scientific or technical data), maintained by offices other than those referred to in Item 1.	Destroy when 2 years old.
10.	<u>R&D Project Control Files.</u> Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.	Destroy upon completion or cancellation of project, or earlier, as they serve their purpose.
11.	<u>R&D Summary Progress Reports Files.</u> Reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.	

GENERAL RECORDS SCHEDULE 19

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- | | |
|--|--|
| a. Copies of reports retained by reporting offices. | Destroy 1 year after completion or cancellation of related projects. |
| b. Feeder reports used for compilation of consolidated reports, except as indicated in <u>c</u> below. | Destroy upon submission of consolidated report. |
| c. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports. | Submit SF 115, Request for Records Disposition Authority. |

12. R&D Investigative Files.

Records pertaining to exploration of the feasibility of unsolicited proposal for projects received from individuals.

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|--|--|
| a. Proposals resulting in authorized projects. | Same as for Item 3. |
| b. Rejected proposals. | Destroy 5 years after completion of investigation. |

13. R&D Procurement Files.

Formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the terms of the contracts or agreements and copies of contractual documents filed in project case files defined in Item 3 of this schedule.

See Item 4, General Records Schedule 3.

GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
14.	<u>R&D Technical Reference Files.</u> Copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents.	Destroy when superseded or obsolete.

GENERAL RECORDS SCHEDULE 20

Machine-Readable Records

This schedule covers machine-readable records and the related documentation required to service them. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which make them easy to modify and update. This contributes to the mistaken notion that such records are ephemeral or non-record material, especially as opposed to their hard copy informational equivalents. Federal statutes and regulations define Federal records as the products of government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms including computer output microform (COM), various factors bear on the decision of which medium should be retained for archival purposes. Among these are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which most hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

Data on media other than computer magnetic tape (such as punch cards, paper tape, disc packs, or drums) may be scheduled by this schedule, but in most cases must be converted to magnetic tape before transfer to NARS.

Machine-readable records differ from records on other media in four important ways:

- 1) The machine-readable media on which they are most often recorded are erasable and reusable, thus creating a cost effectiveness factor in their management which is not present with more permanent media;
- 2) The magnetic media on which most machine-readable records are recorded are not designed to be permanent storage media for records. Thus the fragility of most information in machine-readable form makes it mandatory that such records be brought under control as early as possible in their life cycle. Ideally this control should be exercised at the time a system is created, even before it has generated records. If this is done, disposition standards can be written on the medium as an integral part of the internal file label. Such timely scheduling leads to identification of files of archival value and can ensure that they are stored under optimum conditions as soon as the agency no longer needs them;

GENERAL RECORDS SCHEDULE 20

- 3) Due to the ease with which machine-readable records may be updated or revised and the media reused, their life cycle is briefer and more complex than that of other records. While the master file stage is most often the form in which machine-readable records should be subject to archival appraisal, sometimes other versions should be retained because their informational content is more complete than related master files or especially relevant to agency policy, decisions, or special reports;
- 4) Because machine-readable records must be subjected to both mechanical and electronic processing and decoding to be converted to human-readable information, the records revealing such processes (documentation) must be scheduled with the machine-readable records.

The qualities which separate machine-readable records from those on other media also make it difficult to produce a subject-oriented general schedule for machine-readable records which is analogous to the other general schedules. Thus this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are common to most ADP systems. They are divided into three classes:

Documentation (Part I) covers those records required for servicing machine-readable records -- for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. As might be expected, the disposition of documentation is linked to the disposition of the related machine-readable files.

Processing files (Part II) are those machine-readable files, aside from master files, which comprise the life cycle of most computerized records. Processing files -- from work files and raw data input files to publication files and security backup files -- are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they generally do not qualify for long term retention. Those for which disposal is not authorized are so treated because they may contain more complete information than the related master file or be especially relevant to agency policy, decisions, or special reports -- adequate reasons for initiating archival appraisal. The proper scheduling of processing files can increase the availability of space on machine-readable media and reduce agency expenditures for stocks of magnetic media.

GENERAL RECORDS SCHEDULE 20

Master files (Part III) constitute the definitive state of a data file in a system at a given time. Such files are categorized herein only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and the frequency with which its machine-readable output should be subject to archival appraisal.

"Data automation planning and operational records," which are included in a previous version of this general records schedule, are not included here. They are textual records and relate to an agency's planning, procurement, and operational processes. Thus they may be scheduled by reference to other appropriate general records schedules.

It should be emphasized that machine-readable records which do not fit categories listed in this schedule are not thus automatically authorized for disposal. Disposition of such records should be authorized by submission to the National Archives and Records Service of a completed SF 115, Request for Records Disposition Authority.

The decision table format, rather than the columnar format, is used herein for two reasons: 1) it reduces requirements for explanatory footnotes, and 2) assists the user in conceptualizing the many categories and subcategories of records involved.

PART I - DOCUMENTATION

	File function/ designation	Consisting of	Which are	Then
1	Data systems specifications	documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives	for a disapproved proposed system	dispose of one year after final action.
2			for an approved system for which all related magnetic data files are authorized for disposal	dispose of one year after discontinuance of the system.
3			for an approved system for which any related magnetic data file is not authorized for disposal	retain with related data file.
4	System test documentation	descriptive material including test plans and test analysis reports	for an approved system	dispose of one year after completion of testing.
5			for a disapproved proposed system	dispose of when no longer needed.

PART I - DOCUMENTATION

	File function/ designation	Consisting of	Which are	Then
6	File specifications	definitions of the logical and physical characteristics of each record, element or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross reference code manual; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume	for a system for which all related magnetic data files are authorized for disposal for a system for which any related magnetic data file is not authorized for disposal	dispose of with related data file. retain with related data file.
7			handbooks, guides to data availability, and procedures for querying files	retain with data systems specifications.
8	User guides	Information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	listings of each type of output by title and tag, format specifications, selection criteria, volume and frequency, media, graphic displays and	retain with related data file.
9	Output specifications	detailed descriptions of products of the system that are to be used outside the computer center		

PART I DOCUMENTATION

	File function/ designation	Consisting of	Which are	Then
9			symbols, security and privacy conditions and disposition of output	
10	Reports	printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related data	retain one copy with related file specifications.
11	Information retrieval routine	series of machine instructions designed to retrieve information from specific data systems	general purpose programs	dispose of when no longer needed
12			special purpose programs for data files for which disposal is authorized	dispose of with related data file.
13			special purpose programs for data files for which disposal is not authorized	retain with related data file.

PART II PROCESSING FILES

File function/ designation	Consisting of	Which are	Then
1	temporary machine-readable media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges	new media, or media not included in a library control system, or files whose retention dates have expired	available for immediate use or reuse.
2	machine-readable media used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing	dispose of when no longer needed.
3	machine-readable media containing data abstracted from source documents or other media and entered into the system for the first time per update cycle	used for updating and required to support reconstruction of master file	dispose of after third cycle. 1
4		not required to support reconstruction of master file and/or used as input for a one-time study, survey or experiment	dispose of after raw data is satisfactorily processed into final or reduced data.
5		officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document	dispose of in accordance with instructions applicable to the

PART II PROCESSING FILES

	File/function designation	Consisting of	Which are	Then
5				hard copy or other files documenting the same process, transaction, or case.
6		not used as input to a master file or processed into analyzed or reduced data and not required to reconstruct a master file		Submit SF 115, Request for Records Disposition Authority.
7	machine-readable media files created by another agency	not a record of the receiving agency 2		dispose of as reference material.
8	punched cards or paper tape created after January 1, 1970, containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment	electric accounting machine output		dispose of in accordance with instructions applicable to the hard copy or other files documenting the same

PART II PROCESSING FILES

	File/function designation	Consisting of	Which are	Then
8				process, transaction, or case.
9			retained by ADP operational elements as back-up to magnetic media	dispose of when no longer needed
10			converted to magnetic media	dispose of after verification of data on related magnetic media.
11		punched cards that contain original entry data with film or written inserts	source documents	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.

PART II PROCESSING FILES

	File function/ designation	Consisting of	Which are	Then
12	Intermediate data input/output	machine-readable media containing output within or from one run to a subsequent run that manipulates, sorts, and/or moves data through the system; includes checkpoint, edit, correction, reject list, unmatched data eliminating error, rerun files, etc.	used in an updated system	dispose of after subsequent data files that contain detail data have been created and proven satisfactory.
13			used in a one-time study or survey	dispose of after master data file has been proven satisfactory.
14	Valid transaction	machine-readable media containing items used with an input master file for creation of an output master file	updates of items liquidated from current status files	dispose of after third update cycle. 1
15			valid transaction after cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis	dispose of after third update cycle. 1

PART II PROCESSING FILES

File function/ designation	Consisting of	Which are	Then
16		used in additional analysis	Submit SF 115, Request for Records Disposition Authority.
17	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file	a cumulative index to scientific and technical publications, and bibliographic and other non-record material	dispose of after third update cycle. 1
18		an index to record material such as correspondence legal hearings, patents, and trademarks, and record copy of publications	Submit SF 115, Request for Records Disposition Authority
19		an "audit trail" of a file not disposable under this schedule	dispose of as provided for related master data file.

PART II PROCESSING FILES

File function/ designation	Consisting of	Which are	Then
20 Publication	machine-readable media contain- ing source output data extracted from the system (without des- troying the source file)	reproduced and disseminated as a publication or used for pro- ducing a printed publication	(a) Offer to National Archives for possible retention when active agency use ceases; (b) if the offer is not accepted, the records may be destroyed immediately.
21 Print		used for producing required printouts of tabulations, ledgers, tables registers, and reports	(a) Offer to National Archives for possible retention when active agency use ceases; (b) if the offer is not accepted, the records may be destroyed immediately.

PART II PROCESSING FILES

	File function/ designation	Consisting of	Which are	Then
22	Security backup	machine-readable media that is identical in format to master file and retained as security in case master file is damaged or inadvertently erased	updated	dispose of third update cycle. 1
23			a one-time study or survey	dispose of as provided for related master file.

PART III MASTER FILES

	File function/ designation	Consisting of	Which are	Then
1	Housekeeping system master file	machine-readable media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration	not required for GAO site audit	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transmission, or case.
2			required for GAO site audit	dispose of in accordance with guidelines provided by GAO.
3	Federal loan and grant program master file	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file (initial data includes excerpts from forms placed in case files)	cumulative data of funds made available through federally supported loan and grant programs	dispose of after third update cycle.
4			noncumulative periodic files of status of federal loan and grant activity	Submit SF 115, Request

PART III MASTER FILES

File function/ designation	Consisting of	Which are	Then
4			for Records Disposition Authority.
5	Statistical master file	machine-readable media contain- ing data created by the merg- ing of prior master file with valid transaction data to create a new master file	Submit SF 115 Request for Records Disposition Authority.
6		used to prepare reports cover- ing a limited period of time; recurring periodic surveys and censuses	Submit SF 115 Request for Records Disposition Authority.
7	Scientific master file	held in national data centers	Submit SF 115 Request for Records Disposition Authority.
8		not duplicated in national data centers	Submit SF 115 Request for Records Disposition Authority.
9		duplicated in national data centers	dispose of after deter- mination is

PART III MASTER FILES

File function/ designation	Consisting of	Which are	Then
9			made that data is not required outside the data centers
10		not calibrated or validated	dispose of after subsequent magnetic media containing the accepted data have been created and proven satisfactory.
11	machine-readable media containing aggregates of individual observations from valid transaction or master data files	substantially unpublished, or contain data in greater detail than published versions	Submit SF 115, Request for Records Disposition Authority.
12	Re-formatted file	machine-readable media containing essentially duplicate data from the master data file but which is created for use with other computer hardware	dispose of as provided for related master data file.

PART III MASTER FILES

File function/ designation	Consisting of	Which are	Then
13		of specific application for agency computer hardware systems	dispose of when determination is made that such format is unnecessary.
14	machine-readable media containing data selected from a larger census or survey file	disclosure free or useful in: statistical analysis or policy formulation models and simulation studies	Submit SF 115, Request for Records Disposition Authority.

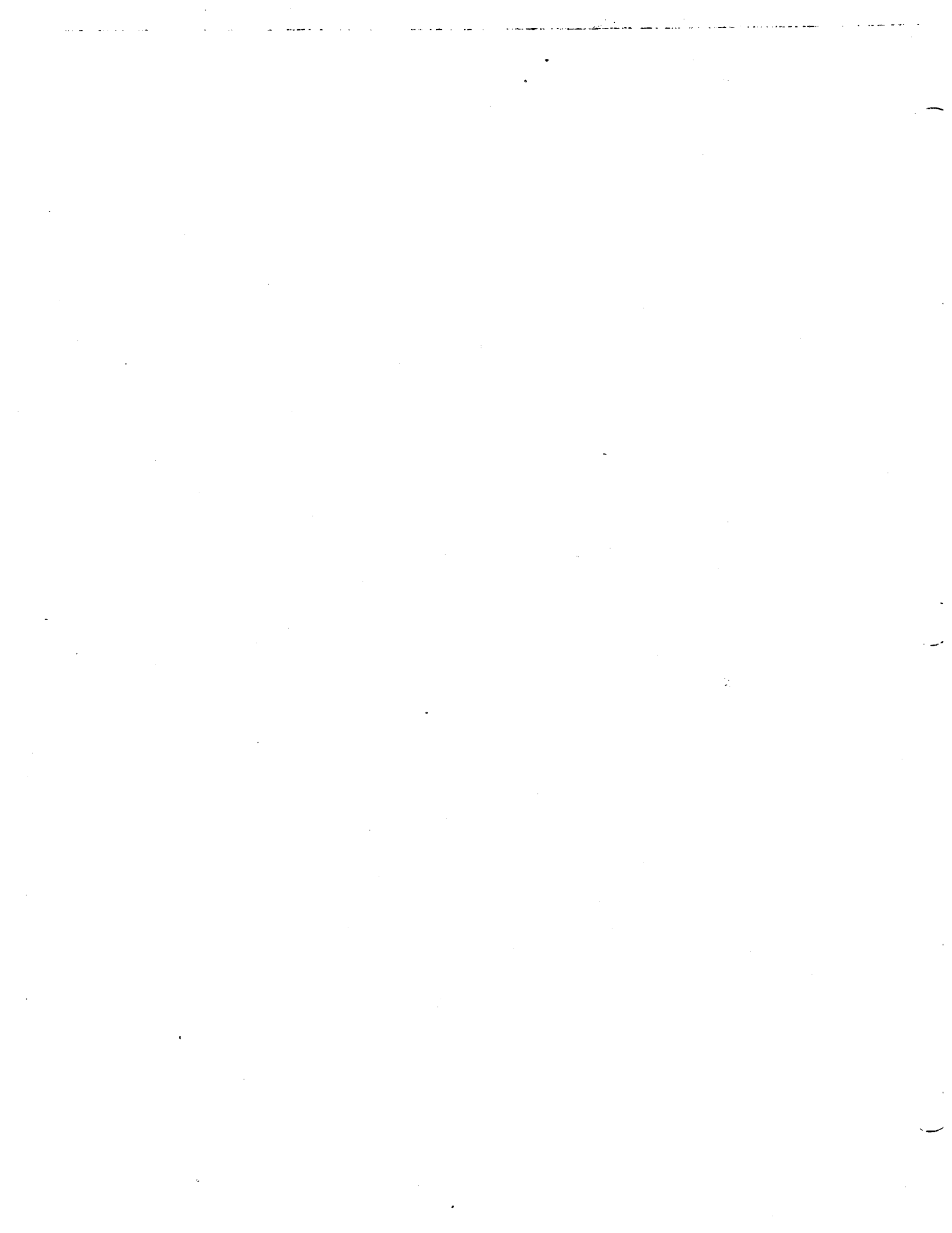


GENERAL RECORDS SCHEDULE 20

Explanatory Notes

1. "Dispose of after third update cycle" indicates that first generation data may be disposed of after the fourth successful update.
2. Records received from another agency become the records of the receiving agency under either of two conditions:
 - a) when the data is merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; and
 - b) when the data is provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.



GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records that have been created by or for agencies of the Federal Government and those acquired by Federal agencies in the course of business. Audiovisual records created prior to January 1, 1946, must be offered to the National Archives and Records Service before applying disposition instructions set forth in this schedule.

Audiovisual records include still pictures, motion pictures, sound recordings, video recordings, and related documentation used for or necessary to the proper identification and retrieval, or bearing on the origin, acquisition, use, and ownership of these records.

Audiovisual records that may have continuing legal, administrative, and research value are of two kinds: (1) those created, acquired, used, or distributed by Federal agencies for informational purposes and (2) those generated in conjunction with the transaction of agency business or resulting from agency program responsibilities which constitute evidence of the organization, functions, policy development, decisions, procedures, operations, or other activities of the Federal Government. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

The General Records Schedule for Audiovisual Records is broad in scope and meant to complement approved agency record schedules and the other General Records Schedules. If an item in this schedule is at variance or is inconsistent with an approved agency record schedule, such discrepancies should be brought to the attention of the National Archives and Records Service (NARS). In such cases, disposition should be made in accordance with specific instructions provided by the National Archives and Records Service.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Still Pictures Files.</u> Still photographs, slide sets, film-strips, posters, original artwork, and other pictorial records that:	

GENERAL RECORDS SCHEDULE 21

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.
- (1) Still photographs
- (a) Black and white photography - the original negative and a captioned print.
- (b) Color photography - the original color transparency or color negative, a captioned print, and an inter-negative if one is available.
- (2) Other still pictorial records - the original and a reference print of each.
- b. Are included as part of a project file, case file, report, or a similar type of record.
- c. Are not permanent records as described under item 1a of this schedule.
- d. Are faulty or technically poor photography.
- Permanent. Break file every 5 years. Offer to National Archives and Records Service (NARS) when no longer needed for administrative use or when 10 years old.
- Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
- Destroy when no longer needed for administrative use in accordance with FPMR 101-42.303-1.
- Destroy immediately in accordance with FPMR 101-42.303-1.

GENERAL RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Motion Pictures Files.</u> Motion picture films including negatives, masters, and prints of productions and unedited outtakes and trims that: a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old.
	(1) Agency sponsored films intended for distribution - the original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print.	
	(2) Films produced by or for an agency that is intended for internal staff use - the original negative or color original plus sound and a projection print.	
	(3) Films acquired by an agency - two projection prints.	
	(4) Unedited outtakes and trims, the discards of film productions, which have been appropriately arranged, labeled, and described - the original negative or color original and a work print.	
	(5) Films resulting from a visual or electronic transfer of video recordings.	

GENERAL RECORDS SCHEDULE 21

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| b. Are included as part of a project file, case file, report or a similar type of record. | Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. |
| c. Are not permanent records as described under item 2a of this schedule. | Destroy when no longer needed for administrative use in accordance with FPMR 101-42.303-1. |
| d. Are faulty or technically poor photography. | Destroy immediately in accordance with FPMR 101-42.303-1. |

3. Sound Recordings Files.

Sound recordings on tapes or discs that:

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| a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. | Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old. |
| (1) Conventional mass-produced, multiple copy disc recordings - the master tape, matrix or stamper, and one disc pressing. | |
| (2) Magnetic audio tape recordings (reel-to-reel, cassette, or cartridge) - the original tape or the earliest generation of each recording and a "dubbing" if one exists. | |

GENERAL RECORDS SCHEDULE 21

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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|---|---|
| b. Are included as part of a project file, case file, report or a similar type of record. | Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. |
| c. Are not permanent records as described under item 3a of this schedule. | Dispose of when no longer needed for administrative use. |
| d. Are faulty or technically poor recordings. | Dispose of immediately. |

4. Video Recordings Files.

Video recordings that:

- | | |
|---|---|
| a. Provide documentation of the organization, functions, policies, procedures, and essential transactions of an agency; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. Included are the original or earliest generation of the recording. | Permanent. Offer to NARS when no longer needed for administrative use or when 5 years old. |
| b. Are included as part of a project file, case file, report or a similar type of record. | Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part. |
| c. Have been transferred by visual or electronic processes to motion picture film. | Dispose of after verifying the adequacy of the film copy. |
| d. Are not permanent records as described under item 4a of this schedule. | Dispose of when no longer needed for administrative use. |

GENERAL RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	e. Are faulty or technically poor recordings.	Dispose of immediately.
5.	<u>Audiovisual Documentation files.</u> Finding aids and documentation files relating to audiovisual records, including:	
	a. Finding aids consisting of any of the following: shelf lists, visual aid cards, data sheets, shot lists, continuities, review sheets, indexes, caption lists, catalogs, or other documentation in a textual, microform, or machine-readable form that is necessary or helpful for the proper identification, retrieval, and use of the audiovisual records described in GRS 21, Items 1, 2, 3 and 4.	Dispose of in accordance with instructions covering the related audiovisual records.
	b. Production files or similar files which include production contracts, scripts, transcripts, and other documentation bearing on the origin, acquisition, release, and ownership of the production.	Dispose of in accordance with instructions covering the related audiovisual records.

Explanatory Notes

Item 1a(1)

Included are photographs of significant agency activities, personalities, procedures, programmatic responsibilities and developments which are made available to the public and those which are made and utilized in the course of agency business but which are intended for internal staff use and not normally available to the public.

GENERAL RECORDS SCHEDULE 21

Item 1a(2)

Included are records that explain, instruct, advertise, or illustrate agency programs and functions. A representative sampling of these records should be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to the items to be selected as permanent records should be based upon the significance of their content and the uniqueness and quality of its presentation. Disposition of audio recordings that relate to filmstrips or slide sets should be in accord with instructions governing the associated filmstrip or slide set.

Item 1c

Included are still photographs that have limited administrative use or interest such as photographs whose subject matter is transitory in nature or is of purely local interest. Such photographs might depict athletic events, social gatherings, or other activities not directly related to agency operations or responsibilities. Included also are photographs of low-level administrative staff functions and ceremonial activities showing award presentations and commendations.

Item 2a

Included are edited motion picture productions as well as unedited footage (outtakes and trims) that depict significant agency activities, personalities, procedures, programmatic responsibilities and developments. This item includes motion films made for distribution and intended to inform, teach, or entertain, and films made and utilized in the course of agency business for internal staff use and not necessarily available to the public. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement, or they are of such a general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for an agency is not a permanent record. A representative sampling of TV spots needs to be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of its presentation. Those spots not selected as permanent records by an agency are disposable in accordance with the disposition instructions for item 2c.

GENERAL RECORDS SCHEDULE 21

Item 2c

Included are motion picture productions as well as unedited footage (outtakes and trims) that have limited administrative use or interest such as motion picture films whose subject matter is transitory in nature or is of purely local interest. Such motion picture films might depict athletic events, social gatherings, or other activities not directly related to agency operations for responsibilities. Included also is motion picture footage of low level administrative staff functions and ceremonial activities showing award presentations and commendations. This item also includes motion pictures that present standard, well-known, widely available technical instruction or managerial training programs which were acquired from Government agencies having established Government-wide training functions and responsibilities such as the Civil Service Commission or the armed services.

Item 3a

Included are completed audio productions which are distributed on discs and intended to inform, teach, or entertain. Also included are "radio spot masters" of radio announcements which describe and explain significant agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement. In such cases only a sampling of representative radio spots pertaining to a specific agency activity or program need be considered permanent records. This item also includes sound recordings of significant speeches, conferences, committee meetings, and other recordings which may be made in the course of business but which are intended for internal staff use and not normally made available to the public. Those not selected as permanent records should be disposed of in accordance with the disposition instructions for item 3c.

Item 3c

Included are sound recordings which have limited administrative use or interest such as recordings which were produced for and utilized in some other audiovisual production such as a motion picture or a slide show. Sound recordings whose subject matter is transitory or of a local interest nature are also included.

Item 4a

Included are video recordings which are distributed and intended to inform, teach, or entertain as well as video recordings of significant programmatic events, procedures, conferences, meetings, operations, and techniques, and other recordings made in the course of business but which are intended for internal staff use and not normally available to the public. This item also includes television advertisements and announcements, commonly referred

GENERAL RECORDS SCHEDULE 21

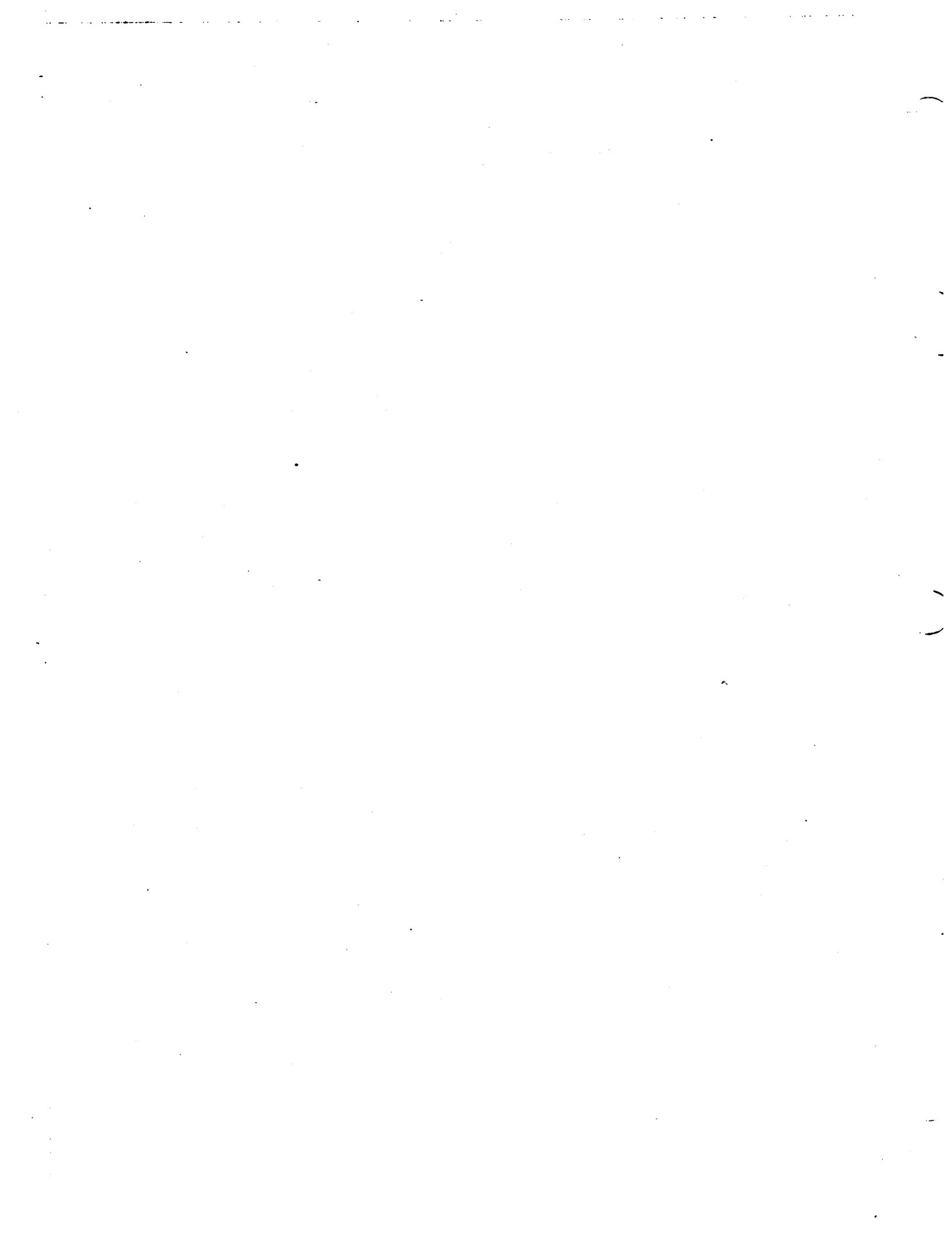
to as "TV spots," which describe, explain, or promote agency programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement or they are of such general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for an agency should not be considered a permanent record. A representative sampling of TV spots needs to be made and identified as permanent records and offered to the National Archives and Records Service. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and quality of their presentation. Those spots not selected as permanent records by an agency are disposable in accordance with the disposition instructions for item 4d. Agency originated video recordings and recordings acquired by an agency from non-Government sources that contain unique training and instruction material are included if such recordings provide documentation of or for agency programs and show their relationship to and impact on the public or present an historical account of some aspect of the agency's development.

Item 4c

Instructions governing the disposition of motion picture films that contain material that was originally in a video recording format will be found in item 2 of this schedule.

Item 4d

Included are video recordings which are purely transitory in nature and those which depict routine activities and functions having only marginal importance. Video recordings that present standard, well known, widely available technical instruction or managerial training programs which were acquired from Government agencies having established Government-wide functions or responsibilities such as the Civil Service Commission or the armed services, are included.



GENERAL RECORDS SCHEDULE 22

Design and Construction Drawings and Related Records

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by agencies of the Federal government in connection with their official activities. Drawings refer to those graphic and engineering records that depict conceptual as well as precise measured information essential for the planning and construction of static structures such as buildings, bridges, canals, and other public works projects, as well as miscellaneous engineering projects such as machinery, weapons, and equipment. Related records are comprised chiefly of indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness to the agency after specific periods of time. Generally speaking, drawings pertaining to the design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used during the construction process have a continuing value during the life of the structure, especially for repair and maintenance projects. The original construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained or owned by the Federal government.

After the design and construction files are no longer useful to the agency, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by agency personnel with appropriate historical training, subject to the approval of NARS. However, any records created prior to January 1, 1921, must be offered to NARS before applying the disposition instructions in this schedule.

This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects.

GENERAL RECORDS SCHEDULE 22

Those records which pertain to the design process generally consist of:

Preliminary Drawings. Drawings and sketches that are conceptual in nature. These drawings, which are usually freehand studies that show the basic design of the structure, include the arrangement of rooms, general appearance of elevations and floor plans as well as other details under consideration.

Presentation Drawings. Pictorial and unmeasured drawings prepared by the architect to present his ideas. They include color renderings or perspective views of the outside elevations, as well as general floor plans.

Models. Three dimensional, reduced-scale models which are prepared for illustrative or presentation purposes.

The records which pertain to the construction process usually consist of:

Intermediate and Prefinal Drawings. Intermediate stages of drawings which are created and reviewed in preparation of the final working drawings.

Final Working Drawings. Architectural and engineering drawings which consist of the master tracings and acceptable reproducibles. These drawings provide information about various aspects of the construction of the building including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, and air-conditioning details, as well as site and landscaping plans. This is probably the most important class of records since they provide not only detailed instructions for the erection of the building but also present a comprehensive and detailed picture of its design.

"As Built" Drawings. Annotated copies of final working drawings or additional drawings which show changes in the initial construction from the original design.

Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be assembled in their shops. These drawings which include plans for architectural embellishments and interior design such as tile and marble work, special cabinet work, elevators, or heating systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future repair and preservation projects.

Repair and Alteration Drawings. Original drawings which depict repairs and alterations to the building as it was originally constructed.

GENERAL RECORDS SCHEDULE 22

Contract Drawings. Copies of the original working drawings on which contract negotiations are based.

Standard Drawings. Final drawings for standard details and other documents created in their preparation.

Project Specifications. Guides for individual construction projects which outline material requirements and explain the materials and manufactured items depicted on related drawings.

Space Assignment Plan. Drawings which depict outline floor plans used for space assignments.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Federal Structures Design Files.</u> Preliminary and presentation drawings and models of Federal structures and engineering projects. a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria). (1) Drawings. (2) Models. b. Files not included under Item 1a of this schedule.	 Permanent. Offer to NARS within 5 years after completion of project. Submit SF 115, Request for Records Disposition Authority. Dispose of when no longer needed for administrative purposes.
2.	<u>Federal Structures Construction Files.</u> Intermediate and prefinal, final working, "as built", shop, repair and alteration, contract, and standard drawings; project specifications, with documents relating to their preparation; and space assignment plans of Federal structures and engineering projects.	

GENERAL RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive (see introduction to this schedule).
	(1) Final Working Drawings.	
	(2) "As Built" Drawings.	
	(3) Shop Drawings.	
	(4) Repair and Alteration Drawings.	
	(5) Standard Drawings.	
	(6) Specifications and related records.	
	b. Files not included under Item 2a of this schedule.	Dispose of when no longer needed for administrative purposes.
3.	<u>Other Architectural and Engineering Drawings.</u>	
	Original manuscript and duplicate drawings submitted to Federal agencies by private firms or other Federal agencies to meet Federal minimum standards.	
	a. Drawings interfiled with related case files.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
	b. Drawings filed separately from related case files.	Submit SF 115, Request for Records Disposition Authority.
4.	<u>Measured Drawings.</u>	
	Drawings produced by such agencies as the Historic American Buildings Survey and Historic American Engineering Record.	Permanent. Offer to NARS when administrative use ceases unless another depository is specified by law.

GENERAL RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Finding Aids.</u> Indexes and other finding aids to design and construction files.	Dispose of in accordance with instructions covering the related design and construction records.
6.	<u>Microform Files.</u> Microform copies of design and construction files.	Submit SF 115, Request for Records Disposition Authority.

EXPLANATORY NOTES

Items 1a and 2a.

Criteria for the selection of architecturally, historically, and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to those buildings which are essentially original in design. Although it may incorporate standard features, a uniquely designed building is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. In cases where buildings use a standard or repetitive design, it is not necessary to retain permanently a file for each building. However, a file should be retained for the building most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings which include architectural or engineering innovations.

GENERAL RECORDS SCHEDULE 22

Historical Significance

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies (post office, customs houses court houses, forts, hospitals).

National Events or Personalities. Buildings which are associated with events or persons who represent the broad history of the country.

Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings.

Controversial. Buildings which were involved in controversy in regards to their design, construction, or utilization.

Technological Significance

This category includes files for such objects as ships, airplanes, spacecraft, weapons, machinery, equipment, and furniture. Since this is a broad category which covers many different types of technical structures, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive plans for projects such as river and harbor improvements, landscape plans, plans of systems related to a complex of buildings like military or educational institutions, or master plans for urban or regional parks, are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see General Records Schedule 17), while individual structures within the system can be evaluated on the basis of this schedule.

GENERAL RECORDS SCHEDULE 22

Item 2a(3)

"As Built" drawings that are the same as or very similar to the final working drawing should not be retained permanently and are included for disposal under Item 2b.

Item 6

The National Archives and Records Service generally does not recognize microfilm as an adequate substitute for design and construction drawings unless film, processing, and storage meet the standards as prescribed in FPMR 101-11.5, and unless the microimage meets certain minimum standards developed by NARS for legibility and mathematical accuracy. Only under these conditions and with the approval of NARS may original drawings or specifications be disposed of. However, microfilm should not be substituted for color renderings or drawings, or for final working drawings of buildings with major historical or architectural significance, such as those listed (or potentially listed) by the National Register of Historic Places and similar organizations. In this case microfilm should be used for reference purposes, but it should not be considered the permanent record copy. Microfilm is advised for those files which are extensive and repetitive, and for those buildings of lesser importance, particularly those with similar or repetitive designs or those which are not likely to be renowned historically or architecturally.



GENERAL RECORDS SCHEDULES

SUBJECT INDEX

	<u>Schedule</u>	<u>Item</u>
Accident, Motor Vehicle Reports	10	4
Accountable Officers' Returns	6	1
Accountability		
Classified documents	18	6
Forms, transportation requests	9	1,3
Transportation and travel	9	5
Accounting		
Accountable officers' returns	6	1
Availability of Funds	6	4
Collection of Funds	6	4
Correspondence	6	5
Custody of Funds	6	4
Deposit of Funds	6	4
Exception, Notices of, GAO	6	2
Machine-Readable Files	20	III 1, 2
Settlement, certificates of	6	3
Support documents	6	7, 8, 9
Surety, personnel bond	6	6
Accounts		
Accounts, general	7	2
Allotment	7	3
Posting and control media	7	4
Acquisition of Real Property, Title Papers	3	2
Administrative Management		
Committees	16	12
Directives	16	1
Forms	16	4
Management improvement	16	5
Organization	16	13
Projects	16	7, 10
Publications	16	2
Records Management	16	3, 6, 11
Reports control	16	8

	<u>Schedule</u>	<u>Item</u>
Aerial Film	17	16
ADP (see Machine-Readable)		
Allotment Ledgers	7	3
Appeals and Grievances	1	26
Applications		
Employment	1	15
Grants	3	14
	19	12
Housing	15	7
Apportionment and Reapportionment (see Budget)		
Apportionment Warrants	6	4
Arrests	18	15
Audiovisual		
Contracts	21	5b
Film strips	21	1
Finding aids	21	5a
Motion pictures	21	2
Production files	21	5b
Photographs	21	1
Posters	21	1
Scripts	21	5b
Slides	21	1
Sound recordings	21	3
Still pictures	21	1
Video recordings (discs or tapes)	21	4
Awards (personnel)	1	12
Bid Files	3	6
Bills of Lading	9	1
Binding	13	3
Bonds		
Personnel Surety	6	6
Savings	2	5, 6, 8

	<u>Schedule</u>	<u>Item</u>
Budget		
Apportionment	5	6
Correspondence files	5	1, 3
Estimates	5	2
Reports	5	5
Work papers	5	4
Building Space and Maintenance		
Allocation	11	2
Correspondence	11	1, 2b
Credentials	11	4a
Directory service	11	3
Plans	11	2a
Release	11	2
Reports	11	2b
Request for services	11	5
Utilization	11	2
Carrier (see Transportation)		
Cartographic		
Aerial film	17	16
Charts		
Aeronautical	17	1-6
Hydrographic	17	1-6
Color Pulls	17	2
Color Separation Sheets	17	2
Composites	17	2
Data tapes	17	17
Field Survey Notes	17	9
Finding Aids	17	18
Globes and models	17	7
Map histories	17	4
Maps		
Computer	17	6
Correction	17	2
Hand drawn	17	1
Microfilm	17	5
Published	17	3
Raised relief	17	7

	<u>Schedule</u>	<u>Item</u>
Case Files		
Emergency Planning	18	28
Grants	3	15
	19	3
Informational Services	14	6
Personnel		
Incentive Awards	1	12a, 13
Security	18	23
Research and Development	19	3
Certificates		
Classified document destruction	18	4
Eligibles (employment)	1	5
Export	9	1
Performance rating	1	23
Settlement	6	3
Tax exemption	3	13
	2	18
Title	3	2
Transit	9	1
Charts (see Cartographic)		
Civilian Personnel (see Personnel)		
Classified Documents		
Access control	18	7
Accounting	18	6
Container security	18	8
Classified Information and Control		
Access	18	7
Container security	18	8
Correspondence	18	2
Destruction certificates	18	4
Inventory	18	5
Receipt	18	3
Clearance (see Personnel Security Clearance)		
Commendation Letters	1	12c
Committees		
	16	12
	19	2

	<u>Schedule</u>	<u>Item</u>
Communications		
Administrative	12	2
Correspondence	12	2
Equipment	12	2b, 2b (2)
Long distance telephone reports	12	4
Messages	12	3b, 3c
Operation	12	3a
Reports		
Administrative	12	2b
Statistical	12	2c
Telephone	12	4
Vouchers	12	2d
Complaints, Discrimination	1	26
Construction (see Design and Construction)		
Contracts	3	4
	19	13
	21	5b
Contractors' Payrolls	3	12
Correspondence		
Accounting	6	5
Budget	5	1, 3
Building Space and Maintenance	11	1, 2b
Classified Information and Control	18	2
Communications	12	2
Cost Accounting	8	2
Emergency Planning	18	27
Expenditure Accounting	7	1
Facilities, Security	18	9
Grants	3	17
Housing	15	1
Informational Services	14	4, 7
Motor Vehicle	10	1
Pay	2	2
Personnel	1	3, 17a, 17c, 18a
Personnel Security	18	23
Plant Accounting	8	2
Printing	13	3
Procurement	3	3
Property Disposal	4	4
Research and Development	19	19
Security and Protective Service	18	9

	<u>Schedule</u>	<u>Item</u>
Correspondence (cont)		
Space and Maintenance	11	1
Stores Accounting	8	2
Surplus Property	4	4
Transportation	9	5
Travel	9	5
Cost Accounting		
Correspondence	8	2
Ledgers	8	8
Reports	8	7
Credentials	11 18	4 13, 20a
Deductions, Payroll	2	15
Design and Construction		
Drawings	4 22	7 1, 2, 3, 4
Finding aids	22	5
Microform files	22	6
Models	22	1(2)
Specifications	22	2
Directives	16	1
Discrimination Complaints	1	26
Dispensary	1	20
Drawings (Design and Construction)		
Alteration	22	2
As-Built	22	2
Contract	22	2
Design	19 22	8 1(1)
Manuscript	22	3
Measured	22	4
Microform	22	6
Preliminary	4 19 22	7 10 1
Presentation	22	1

	<u>Schedule</u>	<u>Item</u>
Drawings (cont)		
Repair	22	2
Shop	22	2
Space Assignment	22	2
Standard	22	2
Driver Tests	10	7
Electronic Data Processing (see Machine-Readable)		
Emergency Planning		
Case files	18	28
Correspondence	18	27
Operations Tests	18	31
Plans	18	29
Reports	18	30
Equal Employment Opportunity Complaints	1	26
Erasable Media (see Machine-Readable)		
Estimates, Budget	5	2
Expenditure Accounting		
Allotment	7	3
Correspondence	7	1
Ledgers	7	2
Machine-Readable files	20	III 1, 2
Posting and control	7	4
Facilities, Security		
Correspondence	18	9
Inspections and surveys	18	10, 11
Investigation	18	12
Finding Aids		
Audiovisual	21	5
Cartographic	17	8, 18
Design and Construction	22	5

	<u>Schedule</u>	<u>Item</u>
Forms	16	4
Freedom of Information Act Files		
Administrative	14	20
Appeals	14	17
Control	14	18
Reports	14	16
Requests	14	19
Freight	9	1, 2
Gasoline Sales Tickets	6	7
General Accounting Office		
Machine-readable files	20	III 1, 2
Notices of exception	6	2
Site audit	6	1
Support documentation	6	7, 8, 9
Government Losses in Shipment Act	9	2
Grants		
Applications	3	14
	19	12
Case Files	3	15
	19	3
Control files	3	16
Correspondence	3	17
Machine-readable files	20	III 3, 4
Products	3	18
Guard		
Service control	18	20
Logs and registers	18	21
Health Programs, Civilian		
Dispensary logs	1	20
Health record card	1	19
Individual cases	1	21
Machine-readable Files	20	III 5,6,7,8
Reports	1	22

	<u>Schedule</u>	<u>Item</u>
Household Effects, Shipment of	9	1
Housing		
Applications	15	7
Assignment	15	5
Correspondence	15	1
Furnishings inventory	15	6
Lease	15	4
Machine-Readable Files	20	III 5, 6
Maintenance and repair	15	3
Reports	15	3
Tenant	15	5a
Vacancy	15	5
Incentive Award Case Files	1	12
Informational Services		
Acknowledgement files	14	4
Bibliographies	14	8
Correspondence	14	4, 7
Freedom of Information	14	16-20
Information retrieval system	20	II 17-19
Press conference transcripts	14	1
Press releases	14	1
Press service files	14	5
Privacy Act files	14	25-29
Project case files	14	6
Publications	14	1
Requests	14	3
Speeches	14	1
Subject files	14	2
Inspections, Safety and Security		
Government - owned facilities	18	10
Privately - owned facilities	18	11
Identification credentials	11	4
Inventory	3	10
Investigation	18	12
Job Descriptions	1	7
Key Control, Security	18	17

	<u>Schedule</u>	<u>Item</u>
Ledgers		
Allotment	7	3
Cost report	8	8
General accounts	8	2
Plant accounting	8	1, 6
Subsidiary	7	4
Levy and Garnishment	2	23
Losses in Shipment Act, Government	9	2
Machine-Readable Records		
Backup media	20	II 22, 23
Guides	20	I 8
Information retrieval		
Instructions	20	I 11,12,13
Master reference	20	II 17,18,19
Intermediate data	20	II 12,13
Master files		
Grant	20	III 3,4
Housekeeping	20	III 1,2
Loan	20	III 3,4
Re-formatted	20	III 12,13
Scientific	20	III 7,8,9,10
Statistical	20	III 5,6,14
Summary	20	III 11
Print file	20	II 21
Publications	20	II 20
Reports	20	I 10
Source data	8	8
	20	II, 3, 4, 5, 6, 7,8,9,10,11
	19	5
Specifications		
File	20	I 6,7
Output	20	I 9
System	20	I 1,2,3
Temporary media	20	II 1
Test data	20	II 2
Test documentation	20	I 4,5
Valid transaction	20	II 14,15,16
Work File	20	II 1

	<u>Schedule</u>	<u>Item</u>
Mail		
Administration	12	6g
Control	12	6
Loss report	12	5c
Messenger service	12	1
Penalty mail reports	12	7
Receipt and routing	12	6a
Receipts	12	5a
Registered mail	12	5a
Stamps	12	6c, 6e
Statistical Reports	12	6b, 6d
Mailing Lists	13	5
Maintenance	11	1, 5
Management (see Administrative Management)		
Maps (see Cartographic)		
Messenger Service	12	1,6f ,6h
Models		
Cartographic	17	7
Design and construction	22	1(2)
Motion Pictures (see also Audiovisual)	21	2
Production files	21	5b
Motor Vehicle		
Accidents	10	5
Correspondence	10	1
Cost and expense data	10	3
Maintenance	10	2b
Operation	10	2a
Releases	10	6
Reports	10	4
Nonerasable Media (see Machine-Readable)		
Notification of Personnel Action	1	14
	2	11
Numerical Forms Files	16	4

	<u>Schedule</u>	<u>Item</u>
Official Personnel Folders	1	1
Organization	16	13
Pay		
Allotments	2	4
Applications for leave	2	8
Bonds		
Authorization	2	4
Purchase	2	7
Receipt and transmittal	2	6
Registration	2	5
Budget authorization	2	12
Correspondence	2	2
Individual authorization	2	4
Individual earnings and service	2	1
Insurance deductions	2	22
Leave	2	9,10
Personnel Action, Notification of	2	11
Time and attendance reports	2	3
Payroll		
Change slips	2	15
Fiscal schedules	2	16
Levy and garnishment	2	23
Machine-readable files	20	III 1,2
Payrolls (memorandum copy)	2	13
Registers	2	14
Reports		
Administrative	2	17
Retirement	2	21
Taxes	2	18c
Taxes	2	18
Wage survey	2	24
Personnel (Civilian)		
Adverse action	1	31b
Affirmative Action Plans	1	26h
Applications for employment	1	15
Appointments	1	4
Awards	1	12
Certificates of eligibles	1	5
Conflict of interest	1	25
Correspondence	1	3,17a,17c,18a
Counseling	1	27
Discrimination cases	1	26

	<u>Schedule</u>	<u>Item</u>
Personnel (Civilian) (cont)		
Dispensary logs	1	20
Driver tests	10	7
Employee interviews	1	8
Employee record card	1	2b
Equal Employment Opportunity	1	26
Financial interest statements	1	25
Grievance	1	31a
Health record cases	1	21
Health records, individual	1	19,21
Health unit control files	1	20
Incentive Awards		
Cases	1	12a
Reports	1	13
Informational files	1	18
Interviews	1	8
Labor - Management relations	1	29
Motor Vehicle operation	10	7
Notification of Personnel Action	1	14
Official Personnel Folder	1	1,10
Performance ratings	1	9,23
Personnel security case files	18	23
Position classification		
Appeals	1	7d
Standards	1	7a
Survey	1	7c
Position descriptions	1	7b
Position identification strips	1	11
Reports		
Statistical	1	16,22,26f
Time and attendance		
Retention registers	1	17b
Retirement	1	21
Security clearance	18	24
Security violation	18	25
Service record card	1	2a
Standards of conduct	1	28
Time and attendance	2	3
Training	1	30
Personnel Security		
Case files	18	23
Correspondence	18	22
Status	18	24
Violations	18	25,26
Photographs (see also Audiovisual)	21	1

	<u>Schedule</u>	<u>Item</u>
Plant Accounting		
Account cards	8	1,6
Correspondence	8	2
Ledgers	8	1,6
Police Records	18	15
Postal Irregularities	12	8
Postal Records	12	5
Posters (see also Audiovisual)	21	1
Press Release and Press Conference		
Transcripts	14	1
Press Service	14	5
Printing		
Correspondence	13	2
Issuances	13	1
Mailing lists	13	5
Management	13	7
Planning	13	3b
Projects	13	3a
Publications	13	1
Reports to Congress	13	6
Registers	13	4
Privacy Act		
Amendment cases	14	26
Control records	14	28
Disclosure	14	27
Reports	14	29
Requests	14	25
Procurement		
Bids	3	6
Bond and surety	3	4
Contracts	3	1,4
Contractors' payrolls	3	12
Correspondence	3	3
Inventories	3	10

	<u>Schedule</u>	<u>Item</u>
Procurement (cont)		
Machine-readable Files	20	III 1,2
Purchase orders	3	1,4
Real property acquisition	3	2
Requisitions	3	1,4,7,8,9
Supply management	3	5
Survey, reports of	3	10
Tax exemption certificates	3	13
Telephone statements	3	11
Property Disposal		
Correspondence	4	4
Excess personal property reports	4	5
Excess real property reports	4	3
Real property disposal	4	7
Surplus property	4	1,2,6
Publications (see also individual subject)		
	13	1
	14	1
	16	2
	20	II 20
Purchase Orders	3	1,4
Recordings		
Sound	21	3
Video	21	4
Records Disposition Files	16	3
Records Management	16	11
Reports		
Accident, Motor Vehicle	10	4
Budget	5	5
Building Space and Maintenance	11	2b
Communications	12	2,4
Control	16	8
Cost Accounting	8	7
Emergency Planning	18	30
Freedom of Information	14	16
Health Programs, Civilian	1	22
Housing	15	3
Long Distance Telephone	12	4

	<u>Schedule</u>	<u>Item</u>
Reports (cont)		
Machine-readable	20	I 10
Pay	2	3
Payroll	2	17,18c,21
Privacy Act	14	29
Property Disposal	4	3,5
Space and Maintenance	11	2
Statistical		
Communications	12	2c
Mail	12	6b,6d
Personnel	1	16,22,26f
Surplus Property	4	3,5
U. S. Savings Bonds	2	7
Requisitions		
Bindings	13	3
Duplication	13	3
Housing maintenance and repair	15	2b
Nonpersonal	3	8
Printing	3	3
Procurement	3	1,4
Public Printer	3	7
Stamp	12	6c
Supplies and equipment	3	9
Research and Development		
Committee and board files	19	2
Correspondence	19	1,9
Drawings and specifications	19	8
Indices	19	4
Investigative files	19	12
Laboratory notebooks	19	6
Machine-readable files	20	III
Procurement	19	13
Program files	19	1
Progress reports	19	11
Project case files	19	3
Project control files	19	10
Reference files	19	14
Source data files	19	5
Technical reports	19	7
Retirement	2	21
Safety and Security Inspections	18	10

	<u>Schedule</u>	<u>Item</u>
Science (see Research and Development)		
Security and Protective Services		
Correspondence	18	9
Guard assignment and strength	18	14
Guard force facility checks	18	19
Guard log and registers	18	21
Guard service control	18	20
Investigations	18	12
Key accountability	18	17
Lost or stolen property	18	16
Police files	18	15
Property pass files	18	13
Survey and inspection	18	10,11
Visitor control files	18	18
Shortage and Demurrage Reports	9	1
Site Audit Records (see also GRS, 2, 9)	6	1
Space and Maintenance		
Allocation and utilization	11	2
Correspondence	11	1
Credentials	11	4
Directory Service listings	11	3
Maintenance	11	5
Reports	11	2
Specifications	4	7
	19	8,10
	22	2
Statement of Employment and Financial Interest	1	25
Statistical Master File	20	III 5,6
Still Pictures	21	1
Stores Accounting		
Correspondence	8	2
Invoices	8	3
Returns and reports	8	4
Work papers	8	5

	<u>Schedule</u>	<u>Item</u>
Supply		
Inventory	3	10
Management	20	III 1,2
Requirements	3	5
Requisitions	3	7,8,9
Surety Bond files	6	6
Surplus Property		
Correspondence	4	4
Personal property	4	1,6
Real property	4	2,7
Reports	4	3,5
Tax Exemption Certificates	3	13
Tax Files	2	18
Technology (see Research and Development)		
Telecommunications	12	2,3
Telephone Statements and Toll Slips	3	11
	6	8
Title Papers	3	2
Time and Attendance Reports	2	3
Transit Certificates	9	1
Transportation		
Accountability	9	5
Bills of Lading	9	1
Correspondence	9	5
Freight records	9	1
Lost or damaged shipment	9	2
Travel		
Accountability	9	5
Authorization	9	3
Correspondence	9	5
Orders	9	4
Reimbursement	9	4
Requests	9	3
Vouchers	9	3

	<u>Schedule</u>	<u>Item</u>
U. S. Postal Service Records	12	5
U. S. Savings Bonds		
Payroll savings	2	4
Receipt and transmittal	2	6
Registration	2	5
Reports	2	7
Video Recordings (see also Audiovisual)		
Discs	21	4
Tapes	21	4
Vouchers		
Communications	12	2b
General	6	1
Passenger transportation	9	3
Wage Survey	2	24
Work Papers		
Administrative management	16	4b,10
Budget	5	4
Publications	16	10
Stores Accounting	8	5



GENERAL RECORDS SCHEDULES
Forms Index

The following is a numerical list of the most commonly used Standard and Optional Forms. Under the GRS citation column, the Schedule number is followed by the item number in parentheses.

STANDARD FORMS INDEX

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
1	Printing and Binding Requisition	3(7); 13(3)
1A	Binding Instructions	3(7); 13(3)
1B	List of Books to be Bound	3(7); 13(3)
1C	Printing and Binding Requisition for Speciality Items	3(7); 13(3)
2	US Government Lease for Real Property	3(1, 4)
2A	General Provisions and Instructions - US Government Lease for Real Property	3(1, 4)
2B	US Government Lease for Real Property (Short Form)	3(1, 4)
7	Service Record	1(2)
7A	Service Record-Continuation	1(2)
7B	Employee Record	1(6)
7D	Position Identification Strip	1(11)
8	Notice to Federal Employee About Unemployment Compensation	1(1)
10	Training Report, Government Employees Training Act	1(30)
11	Contributions and Awards Report, Government Employees Training Act	1(30)
14	Telegraphic Message	12(3)
15	Claim for 10-Point Veteran Preference	1(1)
18	Request for Quotations	3(1, 4)
19	Invitation, Bid and Award	3(1, 4)
19A	Labor Standards Provisions	3(1, 4)
19B	Representations and Certifications (Construction and Architect - Engineer Contract)	3(1, 4)
20	Invitation for Bids (Construction Contract)	3(1, 4)
21	Bid Form (Construction Contract)	3(1, 4)
22	Instructions to Bidders (Construction - Contract)	3(1, 4)
23	Construction Contract	3(1, 4)
23A	General Provisions (Construction Contract)	3(1, 4)
24	Bid Bond	3(1, 4)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
25	Performance Bond	3(1, 4)
25A	Payment Bond	3(1, 4)
25B	Continuation Sheet (For Standard Forms 24, 25, and 25A)	3(1, 4)
26	Award/Contract	3(1, 4, 6)
28	Affidavit of Individual Surety	3(1, 4)
30	Amendment of Solicitation/Modification of Contract	3(1, 4, 6)
32	General Provisions (Supply Contract)	3(1, 4)
33	Solicitation, Offer and Award	3(1, 4, 6)
33A	Solicitation Instructions and Conditions	3(1, 4, 6)
34	Annual Bid Bond	3(1, 4, 6)
35	Annual Performance Bond	3(1, 4, 6)
36	Continuation Sheet	3(1, 4, 6)
37	Report on Procurement by Civilian Executive Agencies	3(5)
39	Certification Form	1(5)
39A	Request & Justification for Selective Factors & Quality Ranking Factors	1(5)
44	Purchase Order-Invoice-Voucher	3(4); 6(1)
44a-d	Purchase Order-Invoice-Voucher	3(4); 6(1)
46	US Government Motor Vehicle Operator's Identification Card	11(4)
47	Physical Fitness Inquiry for Motor Vehicle Operators	10(7)
48	Report on Positions in Grades GS-16, 17 and 18	1(16)
50	Notification of Personnel Action	1(1, 14); 2(11)
50A	Notice of Short-Term Employment	1(1, 14); 2(11)
51	Request for Insurance (FEGLI)	1(1)
52	Request for Personnel Action	1(1, 10)
54	Designation of Beneficiary (FEGLI)	1(1)
55	Notice of Conversion Privilege (FEGLI)	1(1)
56	Agency Certification of Insurance Status (FEGLI)	1(1)
59	Request for Approval of Noncompetitive Action	1(1)
61	Appointment Affidavits	1(1)
61B	Declaration of Appointee	1(1)
62	Statement of Reasons for Objecting to an Eligible or Passing over a Preference Eligible	1(5)
66	Official Personnel Folder	1(1)
66A	Official Personnel Folder Tab Insert	1(1)
69	Incentive Awards Program Annual Report	1(13)
70	Proof of Residence	1(1)
71	Application for Leave	2(8)
72	Report of Action After Agency Full Field Investigation	1(1)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
73	Report of Action After CSC or FBI Section 8(d) Full Field Investigation	1(1)
74	Notice of Transmittal of Investigative Report for Security Determination	1(1)
75	Request for Preliminary Employment Data	1(1)
78	Certificate of Medical Examination	1(1, 21)
78A	Medical Appointment and Report	1(1, 21)
79	Notice of Security Investigation	1(1)
81	Request for Space	11(2)
82	Agency Report for Motor Vehicle Data	10(4)
82D	Agency Report of Sedan Data	10(4)
85	Data for Nonsensitive or Noncritical- Sensitive Positions	1(1)
86	Security Investigation Data for Sensitive Position	1(1)
87	US Civil Service Commission Fingerprint Chart	1(1)
88	Report of Medical Examination	1(1, 21)
91	Operator's Report of Motor-Vehicle Accident	10(5)
91A	Investigation Report of Motor-Vehicle Accident	10(5)
92	Supervisor's Report of Accident	10(5)
93	Report of Medical History	1(1, 22)
94	Statement of Witness	10(5)
97	Certificate of Release of a Motor Vehicle	4(6)
99	Notice of Award of Contract	3(4)
100	Equal Employment Opportunity Employer Information Report EEO-1	1(26)
108	Statement of Receipts	5(2, 4)
113	Monthly Report of Federal Civilian Employment	1(16)
113A	Monthly Report of Federal Civilian Employment (Short Form)	1(16)
113B	Payroll Report of Federal Civilian Employment	2(17)
113E	Semi-Annual Report of Federal Participation in Enrollee Programs	1(16)
114	Sale of Government Property-Bid and Award	4(1, 6)
114A	Sale of Government Property-Item Bid and Page-Sealed Bid	4(1, 6)
114B	Sale of Government Property-Item Bid Page-Sealed Bid	4(1, 6)
114C	Sale of Government Property - General Sale Terms and Conditions	4(1, 6)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
114C-1	Sale of Government Property - Special Sealed Bid Conditions	4(1, 6)
114C-2	Sale of Government Property - Special Bid - Term Conditions	4(1, 6)
114C-3	Sale of Government Property - Special Spot Bid Conditions	4(1, 6)
114C-4	Sale of Government Property - Special Auction Conditions	4(1, 6)
114D	Sale of Government Property - Amendment of Invitation for Bids/Modification of Contract	4(1, 6)
114E	Sale of Government Property - Negotiated Sales Contract	4(1, 6)
114F	Sale of Government Property - Item Bid Page - Spot Bid or Auction	4(1, 6)
115	Request for Records Disposition Authority	16(3)
115A	Request for Records Disposition Authority - Continuation Sheet	16(3)
118	Report of Excess Real Property	4(3)
118-A	Buildings, Structures, Utilities, and Miscellaneous Facilities	4(3)
118-B	Land-Schedule B-Supplement to Report of Excess Real Property	4(3)
118-C	Related Personal Property	4(5)
119	Contractor's Statement of Contingent or Other Fees	3(1, 4, 6)
120	Report of Excess Personal Property	4(5)
120A	Continuation Sheet (Report of Excess Personal Property)	4(5)
121	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property	4(5)
122	Transfer Order - Excess Personal Property	4(6)
123	Application for Donation of Surplus Personal Property	4(6)
123A	Application for Donation of Surplus Personal Property - Continuation Sheet	4(6)
126	Report of Personal Property for Sale	4(5)
126A	Report of Personal Property for Sale (Continuation Sheet)	4(5)
127	Request for Official Personnel Folder (Separated Employee)	1(17)
129	Bidder's Mailing List Application	3(6)
132	Apportionment and Reapportionment Schedule	5(6)
133	Report on Budget Execution	5(5)
135	Records Transmittal and Receipt	16(3)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
135A	Records Transmittal and Receipt (Continuation Sheet)	16(30)
136	Annual Summary of Records Holdings	16(6)
144	Statement of Prior Federal Civilian/ Military Service	1(1)
145	Order for Telephone Service	3(4)
145A	Continuation Sheet-Order for Telephone Service	3(4)
145B	Agency Request for Telephone Service	3(4)
146	Changes in Telephone Listings	11(3)
147	Order for Supplies or Services	3(4); 6(1)
148	Order for Supplies or Services Continuation Sheet	3(4); 6(1)
150	Deposit Bond-Individual Invitation, Sale of Government Personal Property	4(1, 6)
151	Deposit Bond-Annual Sale of Government Personal Property	4(1, 6)
170	Application for Federal Employment	1(1)
171	Personal Qualifications Statement	1(1)
171A	Continuation Sheet for Standard Form 171 "Personal Qualifications Statement"	1(1)
172	Amendment to Personal Qualifications	1(1)
173	Job Qualifications Statement	1(1)
176	Election, Declination or Waiver of Life Insurance Coverage	1(1)
176A	The Federal Employees Group Life Insurance Program	1(1)
177	Statement of Physical Ability for Light Duty Work	1(1)
220	Statement of Financial Condition As of _____	1(25)
221	Statement of Income and Retained Earnings - July 1, _____ through _____	1(25)
224	Statement of Transactions	6(1)
225	Report on Obligations	5(5)
230	US Government Payroll Savings Plan - Consolidated Quarterly Report	2(7)
300	Budget Schedules - General	5(2)
330T*	Budget Schedules - General	5(2)
304	Object Classification	5(2)
304T*	Object Classification	5(2)
306	Detail of Permanent Positions	5(2)
362	US Government Freight Loss/Damage Claim	9(2)
365	Annual Report - Disposal of Foreign Excess Property	4(6)
1012	Travel Voucher	6(1)
1012A	Travel Voucher (Memorandum)	9(3)

*T (Transition)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
1012B	Travel Voucher - Continuation Sheet	9(3)
1012C	Travel Voucher - Continuation Sheet	9(3)
1013A	Payroll for Personal Services	2(13)
1013C	Payroll for Personal Services	2(13)
1014	General Ledger	7(2)
1014A	General Ledger	7(2)
1014M	Disbursing Office Ledger	7(2)
1015	Allotment Ledger	7(3)
1016	Distribution Ledger	7(4)
1016B	Distribution Ledger	7(4)
1017C	Register of Allotment Ledger Transactions	7(4)
1017G	Journal Voucher	7(4)
1034	Public Voucher for Purchases and Services Other Than Personal	6(1)
1034A	Public Voucher for Purchases and Services Other Than Personal	6(1)
1035	Public Voucher for Purchases and Service Other than Personal	6(1)
1035A	Public Voucher for Purchases and Services Other Than Personal (Memorandum)	6(1)
1036	Statement and Certificate of Award	6(1); 3(4)
1038	Application and Account for Advance of Funds	9(4)
1047	Public Voucher for Refunds	6(1)
1048	Memorandum - Public Voucher for Refunds	6(1); 2(16)
1049	Public Voucher for Refunds	6(1)
1050	Public Voucher for Refunds	6(1)
1069	Voucher for Allowances at Foreign Posts of Duty	6(1)
1069A	Voucher for Allowances at Foreign Posts of Duty - Memo	6(1)
1072A	Payroll for Personal Services	2(13)
1074A	Payroll for Personal Services-- Miscellaneous	2(13)
1074C	Payroll for Personal Services-- Miscellaneous	2(13)
1074E	Payroll Certification and Summary- Memorandum	2(13)
1075	Pay Receipt for Cash Payment	2(13)
1080	Voucher for Transfer Between Appro- priations and/or Funds	6(1)
1081	Voucher and Schedule for Withdrawals and Credits	6(1)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
1096	Schedule of Voucher Deductions	6(1); 2(16)
1097	Voucher and Schedule to Effect Correction of Errors	6(1)
1098	Schedule of Canceled Checks	6(1)
1100	GAO Notice of Exception	6(2)
1101	Miscellaneous Obligation Record	7(3)
1103A	U.S. Government Bill of Lading Memorandum Copy	9(1)
1104	U.S. Government Bill of Lading - Shipping Order	9(1)
1105	U. S. Government Freight Waybill - Original	9(1)
1109A	U.S. Government Bill of Lading - Continuation Sheet (Memo)	9(1)
1111	U.S. Government Freight Waybill - Original (Continuation Sheet)	9(1)
1113	Public Voucher for Transportation Charges	6(1)
1113A	Public Voucher for Transportation Charges (Memorandum)	6(1); 9(1, 3)
1114	Bill for Collection	6(1)
1114A	Official Receipt	6(1)
1114B	Collection Voucher	6(1); 4(6)
1120	Transportation Request Accountability Record	9(5)
1121	Bill of Lading Accountability Record	9(5)
1125A	Payroll Control Register	2(14)
1126	Payroll Change Slip	1(1); 2(15)
1127	Individual Pay Card	2(1)
1128A	Payroll for Personal Services - Payroll Certification and Summary - Memorandum	2(13)
1129	Reimbursement Voucher	6(1)
1129A	Reimbursement Voucher (Memorandum).	6(1)
1130	Time and Attendance Report	2(3, 9)
1130A	Time and Attendance Report (For Use Abroad)	2(3, 9)
1131A	U.S. Government Transit Bill of Lading Memorandum Copy	9(1)
1132	U.S. Government Transit Bill of Lading Shipping Order	9(1)
1133	U.S. Government Transit Freight Waybill Original	9(1)
1135	Time and Attendance Report	2(3)
1136	Time and Attendance Report	2(3)
1137	Leave Record	2(9)
1143	Advertising Order	6(1)
1145	Voucher for Payment Under Federal Tort Claims Act	6(1)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
1145A	Voucher for Payment Under Federal Tort Claims Act - Memorandum	6(1)
1147	Request for Issuance of Replacement Check Due to Error in Name and/or Designation of Payee	6(6)
1149	Statement of Designated Depository Account	6(5)
1150	Record of Leave Data	2(10)
1151	Nonexpenditure Transfer Authorization	6(1)
1152	Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee	1(1)
1153	Claim for Unpaid Compensation of Deceased Civilian Employee	6(1)
1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	6(1)
1154A	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee - Memo	6(1)
1156	Public Voucher for Fees and Mileage of Witnesses	6(1)
1156A	Public Voucher for Fees and Mileage of Witnesses - Memorandum	6(1); 9(4)
1157A	Claim for Fees and Mileage of Witness Memorandum	9(4)
1164	Claim for Reimbursement for Expenditures on Official Business	9(4)
1165	Receipt for Cash - Subvoucher	6(1)
1166	Voucher and Schedule of Payments	6(1)
1166A	Voucher and Schedule of Payments - Memo	6(1)
1167	Voucher and Schedule of Payments (Continuation Sheet)	6(1)
1167A	Voucher and Schedule of Payments - Memo (Continuation Sheet)	6(1)
1169	Transportation Request	9(3)
1170	Redemption of Unused Tickets	9(3)
1172	Certificate in Lieu of Lost U.S.A. Transportation Request	9(3)
1177	U.S. Savings Bond Issue File Action Request	2(6)
1180	Request for Stop Payment	2(13, 23)
1180A	Request for Stop Payment	2(13, 23)
1180B, C	Advice of Request for Stop Payment	2(13, 23)
1180D	Record of Request for Stop Payment and Request to Remove Stop Payment	2(13, 23)
1180E	Notice for Returned Check File	2(13, 23)
1181	Request for Removal of Stop Payment	2(13, 23)
1181a	Notice of Payee or Claimant	2(13, 23)
1181b	Record of Request for Removal of Stop Payment	2(13, 23)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
1182	Subscriber List for Issuance of U.S. Savings Bonds	2(5)
1183	Subscriber List for Issuance of U.S. Savings Bonds	2(5)
1184	Unavailable Check Cancellation	2(13)
a-g 1185	Schedule of Undeliverable Checks for Credit to Government Accounts	6(1)
1186	Transmittal for Transportation Schedules and Related Basic Documents	9(1)
1187	Request and Authorization for Voluntary Allotment of Compensation for Payment of Labor Organization Dues	2(4)
1188	Revocation of Voluntary Authorization for Allotment of Compensation for Payment of Labor Organization Dues	2(4)
1189	Request for Employee for Payment of Salaries or Wages by Credit to Account at a Financial Organization	2(4)
1192	U.S. Savings Bonds Authorization	2(4)
1198	Request by Employee for Allotment of Pay for Credit to Savings Account with a Financial Organization	2(4)
1218	Statement of Accountability (Account Current) U.S. Dollar Account	6(1)
1219	Statement of Accountability	6(1)
1220	Statement of Transactions According to Appropriations, Funds, and Receipt Accounts	6(1, 5)
1221	Statement of Transactions According to Appropriation, Funds and Receipt Accounts (Foreign Service Account)	6(1, 5)
2800	Application for Death Benefits - Civil Service Retirement System	1(1)
2801	Application for Retirement - Civil Service Retirement System	1(1)
2801-1	Information in Support of Civil Service Retirement Application	1(1)
2801A	Superior Officer's Statement in Connection with Disability Retirement	1(1)
2801B	Physician's Retirement Purposes	1(1)
2801C	Transmittal of Medical and Related Documents for Employee Disability Retirement	1(1)
2801D	Request for Medical Records (To Hospital or Institution) in Connection with Disability Retirement	1(1)

<u>SF Number</u>	<u>Title</u>	<u>GRS Citation</u>
2802	Application for Refund of Retirement Deductions	1(1)
2803	Application To Make Deposit or Redeposit Civil Service Retirement System	1(1)
2804	Application to Make Voluntary Contributions - Civil Service Retirement System	1(1)
2805	Request for Recovery of Debt Due the United States (Civil Service Retirement System)	2(23)
2807	Register of Separations and Transfers - Civil Service Retirement System	2(21)
2807-1	Register of Adjustments - Civil Service Retirement System	2(21)
2807-2	Annual Summary Retirement Fund Transactions	2(21)
2808	Designation of Beneficiary - Civil Service Retirement System	1(1)
2809	Health Benefits Registration Form - Federal Employees Health Benefits Program	1(1)
2810	Notice of Change in Health Benefits Enrollment	1(1)
2811	Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program	2(17)
2812	Report of Withholdings and Contributions, Health Benefits, Group Life Insurance, and Civil Service Retirement	2(17)
2812A	Report of Withholding and Contributions (Continuation)	2(17)

OPTIONAL FORMS INDEX

<u>OF Number</u>	<u>Title</u>	<u>GRS Citation</u>
5	Inquiry as to Availability	1(4)
6	Performance Rating Appeal	1(1, 24)
7	Property Pass	11(4)
8	Position Description	1(7)
12	Request for Door Title Cards and Holders	11(5)
17	Notice to Bidder	4(6)
20	Notice to Surety	4(1, 6)
30	Motor Vehicle Service and Inspection Work Orders	10(2)
36	PM Schedule and Maintenance Control Card	10(2)
36A	Notice of Service and Inspection Overdue	10(2)
37	Nomination for Interagency Training	1(30)
40	Motor Vehicle Service Authorization and Work Order	10(2)
49	Inquiry for United States Government Use Only	1(15)
50	Inquiry for United States Government	1(15)
51	Inquiry for United States Government Use Only	1(15)
55	U. S. Government Identification	11(4)
62	Safe or Cabinet Security Record	18(8)
63	Security Container Information	18(6)
68	Record of Travel Expenses	9(4)
102	Communications Control Record	12(3)
108	Daily Vehicle Usage Report	10(2)
111	Combination Safe Card	18(8)
112	Classified Material Receipt	18(6)
113	Register-Distribution of Classified Material	18(6)
114	Register-Destruction of Classified Material	18(6)
117	Notice of Security Violation	18(25, 26)
118	Record of Violation	18(19, 25, 26)
119	Record of Material Removed for Over- night Custody	18(6)
121	Security Check Sheet	18(19)
122	Report of Closing Hours Security Check	18(19)
136	Application for Retirement	1(1)
137	Designation of Beneficiary	1(1)
138	Application for Refund of Retirement Contributions	1(1)
139	Election of Voluntary Contributions and Designation of Beneficiary	1(1)
140	Election to Receive Extra Service Credit Towards Retirement	1(1)
141	Application for Service Credit	1(1)

<u>OF Number</u>	<u>Title</u>	<u>GRS Citation</u>
151	Incoming Telegram	12(3)
151(H)	Incoming Telegram (Hectograph)	12(3)
152(H)	Outgoing Telegram (Hectograph)	12(3)
152A(H)	Outgoing Telegram (Hectograph), Continuation Sheet)	12(3)
153	Outgoing Telegram	12(3)
153A	Outgoing Telegram Continuation Sheet	12(3)
160	Request for Records (Freedom of Informa- tion Act)	14(16)
170	Request, Authorization, Agreement and Certification of Training	1(30)
185	Outgoing Telegram (OCR)	12(3)
185A	Outgoing Telegram (OCR) (Continuation Sheet)	12(3)
187	Telegram Repeat Request	12(3)
189	Travel Reimbursement Voucher	6(1)
189A	Travel Reimbursement Voucher (Memo)	6(1)
189B	Travel Reimbursement Voucher Continuation Sheet)	6(1)
189C	Travel Reimbursement Voucher (Memo Continuation Sheet)	6(1)
196	Performance Rating Report	1(9, 23)
199	Notice of Shipment of Effects	9(1)
200	Monthly Record of Auto Operating Expense	10(2)
203	Privacy Act Information Request	14(25)
206	Purchase Order, Receiving Report and Voucher	3(4)
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3(4)
247	Airgram	12(3)
255	Allotment Ledger	7(3)
261	Travel Advance Application, Voucher, and Account	9(3)
263	Requisition for Equipment, Supplies, Furniture, etc.	3(9)
263A	Requisition for Equipment, Supplies, Furniture, etc. (Continuation Sheet)	3(9)
265	Invitation, Bid and Award (Construction), Alteration or Repair of Building)	3(4, 6)

5/17/68

MANUAL CIRCULAR - RECORDS MANAGEMENT

HEW-68.2

VITAL RECORDS PROTECTION STATUS REPORT

1. Purpose
2. Regulations
3. Forms
4. Preparation of Forms
5. Reporting Periods and Due Dates
6. Copies Required
7. Superseded Instructions

1. PURPOSE

The primary purpose of vital records status reporting is to provide current information for the Office of Emergency Planning to evaluate over-all readiness of the Federal executive departments and agencies in safeguarding records needed for emergency operations. It is also instituted as a reminder to such departments and agencies that their programs should be reviewed periodically for possible improvement.

2. REGULATIONS

The General Services Administration has established a requirement for the submission of a periodic report on vital records protection in the Federal Property Management Regulations (41 CFR Part 101-11).

3. FORMS

- A. The report to the General Services Administration is in two parts: Form GSA 2034, Emergency Operating Records, and Form GSA 2035, Rights and Interests Records.
- B. Forms GSA 2034 and 2035 provide that the completed forms be submitted directly to the General Services Administration. Disregard this provision. Operating agencies shall collect reports prepared by their subordinate organizations and forward them to the Department Records Management Officer. The Department Records Management Officer in turn shall submit the forms to the General Services Administration.

Distribution: MS, JIRFC-r

4. PREPARATION OF FORMS

- A. The Vital Operating Records Officer for a given organization shall prepare forms GSA 2034 and 2035 for all vital operating records within his organization.
- B. Officials concerned shall submit to the Department Records Management Officer a special advisory report whenever there is a change in the location of records or whenever a significant change occurs in the status of the program or in the type of records protected. Only that portion of the form applicable to the change need be filled out.
- C. A detailed description of the records and their locations are classified matters. Hence the reports shall be classified "Confidential," unless the information referred to warrants a higher classification.

5. REPORTING PERIODS AND DUE DATES

Reports shall be submitted annually as of June 30. They shall be submitted to the Department Records Management Officer within five working days thereafter.

6. COPIES REQUIRED

- A. The Vital Operating Records Officers of the operating agencies shall submit (1) the original and four copies of each form to the Department Records Management Officer; (2) one copy of each form to each of the representatives outside Washington who is authorized by his respective organization to make the records available in case of emergency. The Office of Field Coordination will assemble the forms prepared in the several Regional Offices and forward them to the Department Records Management Officer.
- B. The Department Records Management Officer, in his capacity as Department Vital Operating Records Officer, shall submit the original and one copy of each form to the National Archives and Records Service, General Services Administration within ten working days following June 30, and one copy of each form to the representative of the Office of the Secretary outside Washington who will have knowledge of the records.

7. The provisions of this Circular supersede Records Management Manual Chapter 100-60. Form GSA 2034 will be used in place of Form HEW-307. Form GSA 2035 will be used in place of Form HEW-307A. Form HEW-307B is eliminated with no form replacing it.



GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE
VITAL RECORDS PROTECTION STATUS REPORT
(PART I - EMERGENCY OPERATING RECORDS)

1. PROGRAM STATUS AS OF (Month, day, year)

INSTRUCTIONS

Please submit this report in duplicate to the address shown below. This report shall be prepared for bureau level or above and shall incorporate subordinate unit program reports before being submitted to GSA. Use plain bond paper to complete any report items.

TO: ~~General Services Administration
National Archives and Records Service
Office of Federal Records Centers
Washington, D.C. 20408~~

DISREGARD: Submit reports through channels to Department Records Management Officer

7. DEPARTMENT OR AGENCY

8. BUREAU OR SERVICE

4. REPORT COVERS

a. TOTAL ORGANIZATION b. OTHER (Specify)

5. ADDRESS OF REPORTING OFFICE (Number, street, city, State and code)

OVER-ALL PROGRAM STATUS

OBJECTIVES

CHECK ONE

COMPLETE (1) INCOMPLETE (2)

PLANS FOR PRESERVING EMERGENCY OPERATING RECORDS

EMERGENCY ORGANIZATIONAL AND MANNING RECORDS (READINGS) PRELOCATED

EMERGENCY SUBSTANTIVE AND PROCEDURAL RECORDS (OPERATING) PRELOCATED

9. RECORDS NOT PRELOCATED MARKED FOR EMERGENCY MOVEMENT

6. EQUIPMENT NEEDED FOR USE OF PRELOCATED RECORDS PROVIDED

7. STATUS OF RECORDS OF MAJOR PARTICIPATING UNITS COMPLETE NO. INCOMPLETE NO. 8. PERCENT OF OVER-ALL PROGRAM COMPLETED AND MAINTAINED CURRENT PERCENT

9. MAJOR LOCATION(S) OF PROTECTED RECORDS

(YES OR NO)

UNITS OF ORIGIN

ADDRESSES

SPACE PROTECTED

IN, OR ACCESSIBLE TO, EMERGENCY OPERATING FACILITY

RECORDS IN USABLE FORM

RECORDS COMPLETE

10. PROGRAM REVIEWED

a. ANNUALLY b. SEMIANNUALLY c. OTHER (Specify)

11. GIVE REASON(S) FOR UNCOMPLETED PROGRAM ACTIONS FOR EACH ITEM INCOMPLETE UNDER ITEMS 6 AND 8.

12. LIST DEFINITIVE CORRECTIVE ACTIONS TO BE TAKEN THIS FISCAL YEAR AND INTERIM STOP-GAP MEASURES FOR EACH ITEM INCOMPLETE UNDER ITEMS 6 AND 8.

13. DESCRIPTION OF RECORDS AT LOCATION(S)	RECORDING MEDIUM (Paper, microfilm, punch-cards, etc.)
LIST OF RECORDS BY GENERAL HEADINGS OR GROUPINGS	

14. REPORTED BY (Official responsible for Vital Records Program)	
SIGNATURE	NAME AND TITLE (Please print)
ORGANIZATIONAL UNIT	TELEPHONE NO. (Or code) AND

234

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE
VITAL RECORDS PROTECTION STATUS REPORT
(PART II - RIGHTS AND INTERESTS RECORDS)

1. PROGRAM STATUS AS OF (Month, Day, Year)

INSTRUCTIONS

Please submit this report in duplicate to the address shown below. This report is to be filled-out for the same reporting element which GSA Form 2044, dealing with computer operations records, was completed.

TO: ~~General Services Administration
National Archives and Records Service
Office of Federal Records Centers
Washington, D.C. 20408~~

DISREGARD: Submit reports through channels to Department Records Management Officer

2. DEPARTMENT OR AGENCY 3. BUREAU OR SERVICE

4. REPORT COVERS

a. TOTAL ORGANIZATION b. OTHER (Specify)

5. ADDRESS OF REPORTING OFFICE (Number, Street, City, State and Code)

6. OVER-ALL PROGRAM STATUS

OBJECTIVES	CHECK ONE	
	COMPLETE (1)	INCOMPLETE (2)
7. PLANS FOR PRESERVING RIGHTS AND INTERESTS RECORDS		
APPROPRIATE RIGHTS AND INTERESTS RECORDS OF DEPARTMENT OR AGENCY EMPLOYEES PRESERVED		
APPROPRIATE RIGHTS AND INTERESTS RECORDS OF PUBLIC INSTITUTIONS PRESERVED		
APPROPRIATE RIGHTS AND INTERESTS RECORDS OF DEPARTMENT OR AGENCY PRESERVED		
8. STATUS OF RECORDS OF MAJOR PARTICIPATING UNITS	COMPLETE NO.	INCOMPLETE NO.
		9. PERCENT OF OVER-ALL PROGRAM COMPLETED AND MAINTAINED CURRENT PERCENT

9. MAJOR LOCATION(S) OF RECORDS DEPOSITORIES (YES OR NO)

UNIT OF ORIGIN	ADDRESS	SPACE PROTECTED	RECORD COMPLETE

10. PROGRAM REVIEW

a. ANNUALLY b. SEMIANNUALLY c. OTHER (Specify)

11. GIVE REASONS FOR INCOMPLETE PROGRAM ACTIONS FOR EACH ITEM INCOMPLETE UNDER ITEMS 6 AND 8.

12. LIST DEFINITIVE CORRECTIVE ACTIONS TO BE TAKEN THIS FISCAL YEAR AND INTERIM STOP-GAP MEASURES FOR EACH ITEM INCOMPLETE UNDER ITEMS 6 AND 8.

135

13.

DESCRIPTION OF RECORDS AT LOCATION(S)

LIST OF RECORDS BY GENERAL HEADINGS OR GROUPINGS
a.

RECORDING MEDIUM (Paper,
microfilm, punch-cards, etc.)
b.

REPORTED BY (Official responsible for Vital Records Program)	
SIGNATURE	NAME AND TITLE (Please print)
ORGANIZATIONAL UNIT	TELEPHONE NO. (Or code) AND

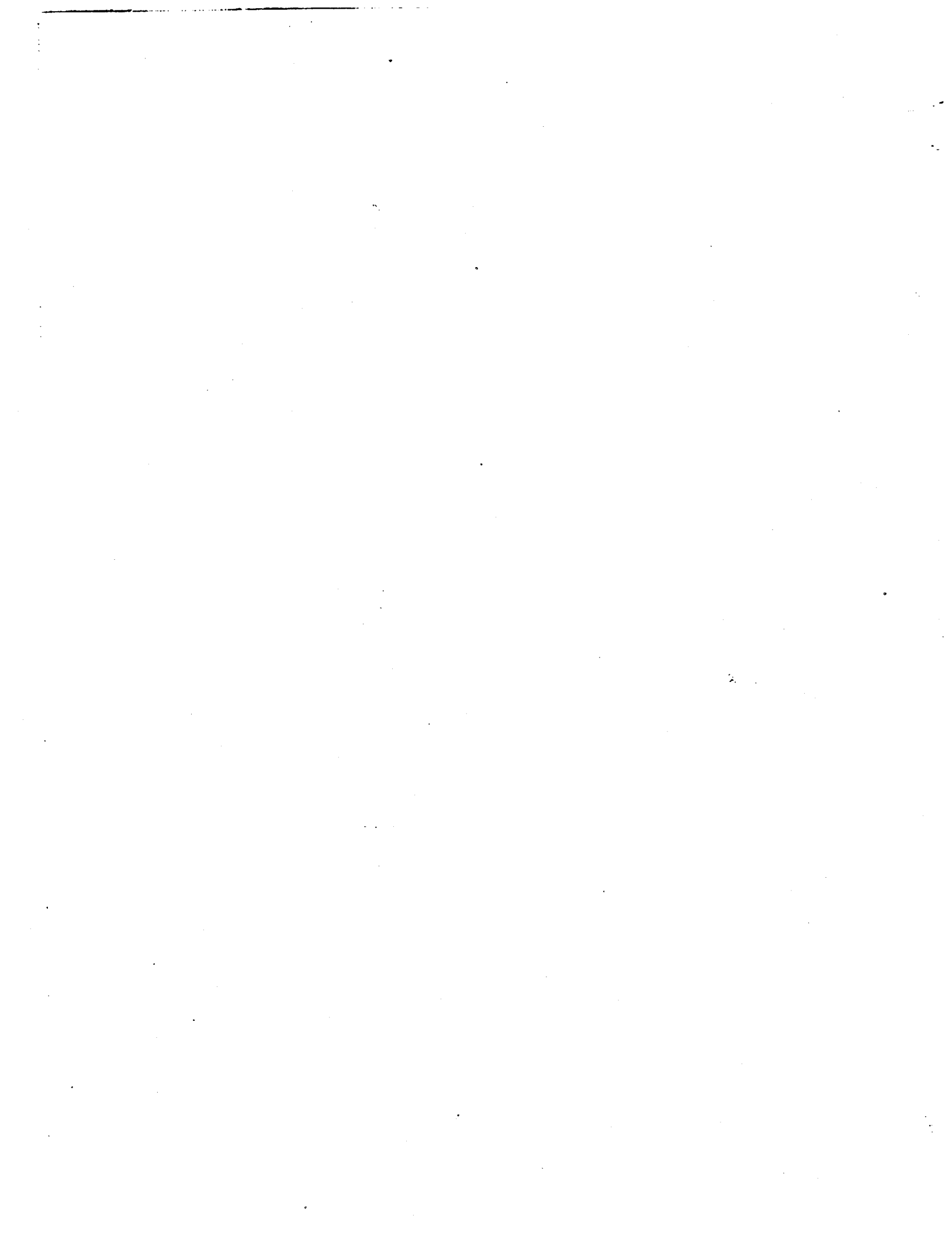
This Circular transmits GSA Bulletin FPMR B-49, which announces some significant changes in NARS policy on the scheduling of records. There are two important new requirements which must be followed:

1. All records that either are not scheduled or for which retention periods have not been set, must be scheduled by June 30, 1975, and assigned retention periods.

2. All scheduled non-permanent records must be reviewed for possible reduction in retention periods by December 31, 1976, and submitted in a comprehensive schedule to NARS.

The GSA Bulletin defines permanent records and gives procedures to be followed in scheduling the records. You should route any scheduling changes on Standard Form 115 through the Department Records Management Officer, Division of Management Policy and Directives, Room 3447, HEW North Building.

Distribution: MS.HRFC-r
Expires December 31, 1976



GENERAL SERVICES ADMINISTRATION
WASHINGTON, DC 20405

August 7, 1974

GSA BULLETIN FPMR B-40
ARCHIVES AND RECORDS

TO : Heads of Federal agencies

SUBJECT: Records scheduling

1. Purpose. This bulletin clarifies provisions of FPMR 101-11.4 and informs all Federal agencies to (a) schedule by June 30, 1975, all records that currently are not listed on any records control schedule as well as those that are listed but have no definitely established retention period and (b) review for possible reduction the retention periods of all non-permanent records and submit to the National Archives and Records Service updated comprehensive records control schedules by December 31, 1976.
2. Expiration date. This bulletin will remain in effect until December 31, 1976.
3. Background.
 - a. GSA Bulletin FPMR B-38, Disposition of records, March 23, 1973, stated that records designated by an agency in such terms as "permanent," "retain," "indefinite," or "do not destroy" are not necessarily permanent records. Any records so designated but not included in a category listed in b, below, are considered unscheduled.
 - b. Permanent records consist of:
 - (1) Specific series of records identified as permanent in NARS approved agency records retention plans (These plans must include both Parts I and II.);
 - (2) Specific series of records offered by an agency and formally accepted by the National Archives and Records Service as National Archives of the United States; or
 - (3) Specific series of records identified as permanent on all Standard Forms 115, Request for Authority to Dispose of Records, approved by NARS since May 14, 1973.
 - c. The prompt and orderly reduction in the quantity of records of the Federal Government, as called for in FPMR 101-11.401-1, implies that the shortest practical retention periods should be scheduled for all such records. Many agencies, however, have set unrealistically long retention periods on many series of records.

August 7, 1974

d. Most approved agency records control schedules and many Requests for Authority to Dispose of Records approved before May 14, 1973, describe records such as those in a, above, or with too lengthy retention periods, but neither these schedules nor the SF 115's have been reviewed to eliminate such listings.

e. To keep their records control schedules current, all agencies must review them at least annually in accordance with FPMR 101-11.401-3(e).

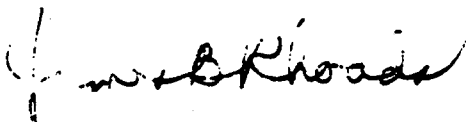
f. Any records control schedule containing such items as described in a and c, above, is considered to be in noncompliance with the Federal Property Management Regulations.

4. Procedures.

a. An SF 115, Request for Authority to Dispose of Records, should be submitted by June 30, 1975, to General Services Administration (NCD), Washington, DC 20408, covering all records series which currently:

- (1) Are not listed on any records control schedule; or
- (2) Are designated as "retain," "do not destroy," etc., on schedules approved by NARS before May 14, 1973, and are not in a category described in subparagraph 3b.

b. All nonpermanent records should be reviewed, and, whenever possible, shorter retention periods should be recommended to NARS. Each agency should submit to NARS an updated comprehensive records control schedule by December 31, 1976. A comprehensive schedule lists all records of any agency whether temporary or archivally permanent.



JAMES B. RHOADS

Analyst of the United States

U.S. Official Mail and Messenger Service

FROM: _____

STOP- _____

**WASHINGTON NATIONAL
RECORDS CENTER**

STOP 386

NEW ACCESSION REFERENCE REQUEST RE-FILE

GSA TEST FORM 1111
JUL 70

244

INFORMATION AND INSTRUCTIONS

TRANSMITTAL NOTICES Consecutively numbered transmittal notices are used to distribute Staff Manual materials. Each issuing organization has its own series of transmittal notices which are distinguished by the organization's initials prefixed to the transmittal notice number.

The number of transmittal series varies according to the variations in audience. Since the total (or *GENERAL*) audience is composed of three elements--- *HEADQUARTERS*, *REGIONAL* Office, and other *FIELD* personnel--- the following transmittal series (one for each variation in audience) may be necessary:

BASIC SERIES OF TRANSMITTAL NOTICES (maximum series from single source)	FIRST TN No.	DISTRIBUTION		
		Hdq.	Reg.	Fld.
General	1	XXX	XXX	XXX
Headquarters	h.1	XXX		
Regional (regional offices only)	r.1		XXX	
Field (outside regional offices)	f.1			XXX
Headquarters-Regional	hr.1	XXX	XXX	
Headquarters-Field	hf.1	XXX		XXX
Regional-Field	rf.1		XXX	XXX

No manual holder will normally receive more than four transmittal series for a given manual from a single source (see above DISTRIBUTION). He may receive transmittals from more than one source (e.g., HEW, PHS, BSS). He will receive all or none of the notices in each established series.

CHECK LISTS The "*CHECK LIST OF (unit initial) TRANSMITTAL NOTICES*" is designed to show which transmittals have been added to your manual. The necessary check lists will be provided by the issuing offices. They should be filed as the first or last page/s of the manual.

You should maintain a separate check list for transmittals of each issuing organization (enter the initials of the issuing organization in the title of the check list, e.g., HEW, SSA, or FCU). The four columns of the check list will accommodate the four series that you may receive from any one issuing organization (specify the series in the column heading when the first notice of a series is received, e.g., h, r, f, hr, hf, or rf).

MAINTAINING YOUR MANUAL Whenever a transmittal notice is received, you should take the following steps promptly to complete your manual:

1. Check its number against the number of the last previous notice. If the number is not the next in sequence for that series, you should request the missing notice/s from the issuing office.
2. Bring your manual up-to-date by making the additions, deletions, or corrections specified in the transmittal notice.
3. Post (on the next line in the proper column of your check list) the number and date of the new notice and your initials.

