

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-310-05-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 12-1-2004	
1. FROM (Agency or establishment) Agricultural Research Service		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION National Arboretum			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Stephen Pollard	5. TELEPHONE NUMBER (202) 720-3359	DATE 8/10/04	ARCHIVIST OF THE UNITED STATES <i>Althea W...</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>26</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 11/10/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Stephen Pollard</i>		TITLE <i>Agency Records Officer</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Record Group 310 - The National Arboretum (See attached items)		
<i>cc Agency, NWMD, NWME, NWMA, NWCT</i>			

Records of the National Arboretum

The U.S. National Arboretum (NA) was established by Congress in 1927 to conduct research, provide education, and conserve and display trees, shrubs, flowers, and other plants to enhance the environment. It is the primary Federal research and education center in the nation for landscape trees, shrubs, and horticultural plants. Its living plant collections and germplasm repositories and its herbarium of preserved taxonomic specimens of woody landscape plants are unique national treasures that have international significance to scientists, scholars, and industry practitioners.

Arboretum staff is responsible for directing, planning, coordinating, and evaluating overall woody and herbaceous landscape plants, trees, and other research programs. The NA provides leadership and operational accountability for assigned programs and activities. This includes planning, directing, and evaluating research and education programs. The Arboretum works with Federal and private agencies, the White House, Congress, District of Columbia Government, institutions, international and foreign officials, industry representatives, the public, and others having common interest in the National Arboretum's mission. The National Arboretum also coordinates its activities with support organizations – Friends of the National Arboretum, The National Bonsai Foundation, The National Capital Area Federation of Garden Clubs, The Herb Society of America, and others. It has the authority to accept donations of funds and property, and also has the authority to dispose of donated property. It may collect fees for public services and collect funds to provide additional security for events held at the Arboretum.

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7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
1.	<p><u>Director's Files.</u></p> <p>Correspondence, reports, and related material signed or originated by the Director that document the functions and activities of the NA. Files also document program planning and other activities that are commonly coordinated with Federal, State, local and foreign agencies; trade associations; universities; public and private laboratories; private companies; and other non-research groups. These files also contain correspondence, forms, reports, publications, and other items that document such activities as the openings and dedications of Arboretum buildings, gardens, and museums; the acquisition of property, artwork, and museum objects; major public events, exhibits, and educational programs; the formulation of policies and procedures; and the drafting of legislation.</p> <p>a. Significant Director's Files.</p> <p>Files contain acceptance and acknowledgement letters and substantive correspondence and other records involving NA supporting organizations, stakeholder groups, and major programs and projects.</p> <p>Disposition: PERMANENT. Cut off files at end of calendar year. Transfer to WNRC 10 years after cutoff. Transfer to NARA 20 years after cutoff.</p> <p>Inclusive Dates: 1928 – Present Volume: 23.0 cubic feet Annual Accumulation: 2.0 cubic feet</p> <p>b. Duplicate Copies.</p> <p>Working files and reference copies of historical correspondence, forms, reports, and related materials located in all NA Units.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 5 years after cutoff, or when no longer needed for reference.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
1. Cont'd	<p><u>Director's Files (Cont'd)</u></p> <p>c. Routine Director's Correspondence Files.</p> <p>Files consist of routine correspondence relating to daily administrative and housekeeping activities such as requests for information, budget, personnel, procurement, and travel, and dealing with associations including garden clubs, nurseries, seed supply houses, and so on.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Offer to the National Agricultural Library (NAL) when 10 years old. Keep longer if needed for administrative use. Destroy materials not accepted by NAL.</p> <p>d. Alphabetical Correspondence Files (Pink Copy).</p> <p>Copies of letters arranged alphabetically and used as a finding aid.</p> <p>Disposition: PERMANENT. Cut off files at end of calendar year. Transfer to WNRC 10 years after cutoff. Transfer to NARA 20 years after cutoff.</p> <p>e. Chronological Correspondence Files (White Copy).</p> <p>Copies of letters filed chronologically and used for quick reference.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 10 years after cutoff, or when no longer needed for administrative use.</p>		

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2.	<p><u>National Arboretum Program Archives.</u></p> <p>Correspondence, forms, reports, publications, field notebooks, captioned and uncaptioned photographs, reference materials, newsclippings, papers, and copies of legislation and other duplicate copies regarding the founding, routine administration, and early development of the NA. These records are located at the National Agricultural Library and are described in "The Archives of the NA, November 1995."</p> <p>Disposition: Temporary. Destroy when no longer needed for reference.</p>		

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3.	<p><u>Donation and Bequest Files.</u></p> <p>Documentation of the donations and bequests of money, property, or objects that the NA receives from various public and private associations, individuals, and other outside sources. Files contain correspondence, donations or bequests solicitation and acceptance letters (including collection box donation files), and various related finding aids for tracking donated items.</p> <p>a. Monetary Donations and Donations of Services.</p> <p>(1) Office of Administrative and Marketing Manager.</p> <p>Disposition: Retain onsite until no longer needed for business purposes, then transfer to the National Agricultural Library.</p> <p>(2) All other offices.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference.</p> <p>b. Donations of Objects.</p> <p>(1) Office of Administrative and Marketing Manager.</p> <p>Disposition: Retain onsite indefinitely.</p> <p>(2) Duplicate copies.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference.</p>		

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3. Cont'd	<p><u>Donation and Bequest Files (Cont'd)</u></p> <p>e. Financial and Accountability Files.</p> <p>Statements of transactions and accountability, collection and disbursement schedules, and vouchers with related payment documents, in all media.</p> <p>Disposition: Temporary. Cut off files at the end of the fiscal year. Destroy 6 years and 3 months after balance of payment or donation is received and account closed.</p>	GRS 6, Item 1a	

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4.	<p><u>Fees for Service Program Files.</u></p> <p>Documentation of fees collected for various public services provided by the NA. Files contain correspondence and memoranda concerning such fee-based services as transportation services via the Arboretum <i>TRAM</i>; visitor food services via the box lunch program; public use of the facilities for meetings and events; and permits for the public to take photographs on the grounds. Files also include mailing lists, reports, and forms generated in performing these activities.</p> <p>a. Fees-for-Service Program Files.</p> <p>Disposition: Temporary. Cut off files at end of fiscal year. Transfer to WNRC 5 years after cutoff. Destroy records 10 years after cutoff.</p> <p>b. Duplicate Copies.</p> <p>Working files and reference copies of correspondence, forms, reports, and related materials.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference purposes.</p> <p>e. Financial and Accountability Files.</p> <p>(1) Statements of transactions and accountability, collection and disbursement schedules, and vouchers with related payment documents created and maintained in the Administrative Unit or the Education Services Unit.</p> <p>Disposition: Temporary. Cut off files at end of fiscal year. Destroy 6 years and 3 months after date of final settlement.</p>	<p>GRS 6, Item 1a</p>	

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4. Cont'd	<p><u>Fees for Service Program Files (Cont'd)</u></p> <p>(2) Duplicate Copies.</p> <p>Working files and reference copies of accountability statements and schedules located in all NA units.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 5 years after cutoff, or when no longer needed for reference.</p>		

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5.	<p><u>National Arboretum Events Files.</u></p> <p>Documentation of NA mission and non-mission events (receptions, conferences, meetings, dinners, and so on) involving individual donors, corporate sponsors, special guests, and the public. Files contain correspondence, applications for scheduling events, invitations, brochures, event programs, security information, insurance documents, catering proposals, photographic images of events, press releases, logistical information, invitation lists, clippings, and so on.</p> <p>a. Significant Events Files.</p> <p>Major openings related to the Arboretum's gardens, museums, artwork and museum objects; visits by noted dignitaries; and donations of objects and collections such as dedications or memorials.</p> <p>(1) Summary reports, photographic images, press releases, brochures, event programs, clippings, and formal invitations.</p> <p>Disposition: Incorporate as part of Director's Files.</p> <p>(2) Logistical records relating to catering, security, insurance, and so on.</p> <p>Disposition: Temporary. Cut off files at end of event. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff or when no longer needed for reference.</p> <p>b. Routine Event Files.</p> <p>Documentation created by various NA Units of non-mission or routine, recurring events such as Plant Society Shows, the FONA Garden Fair, and so on.</p> <p>Disposition: Temporary. Cut off files at end of event. Transfer to WNRC 5 years after cutoff. Destroy 10 years after cutoff, or when no longer needed for reference.</p>		

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5. Cont'd	<p><u>National Arboretum Events Files (Cont'd)</u></p> <p>c. Duplicate Copies.</p> <p>Working files and reference copies of correspondence, forms, and reports related to Significant and Routine Events.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference.</p>		

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6.	<p><u>National Arboretum Exhibition Files.</u></p> <p>Descriptions and documentation for exhibitions planned for individual donors, corporate sponsors, special guests, and the public that take place at the NA. Files contain documents relating to the creation, production, and presentation of NA exhibits, and include original exhibit proposal, purpose, and function justifications; insurance evaluations and borrower's agreements of insurance liability; request and approval documentation for loan of exhibit items; exhibit research; and photography, negatives, and publicity items.</p> <p>a. Exhibition Files.</p> <p>(1) Items documenting the Bonsai Museum and other major, non-recurring, non-routine exhibits; visits by noted dignitaries; and events commemorating donations of objects and collections such as dedications or memorials. These may include photographic images, press releases, brochures, event programs, clippings, and formal invitations.</p> <p>Disposition: Cut off files at end of exhibit. Incorporate as part of Director's Files within 3 years after cutoff.</p> <p>(2) Materials relating to routine and recurring exhibits, as well as logistical items such as the questionnaires, design files, invitations, meeting notes, and contracts generated for all exhibits. Routine exhibitions include:</p> <ul style="list-style-type: none"> -USDA Booths <ul style="list-style-type: none"> Southern Nursery Association (SNA) Mid-Atlantic Nursery Tradeshow (MANT) -Beltsville Agriculture Research Center (BARC) Field Day <p>Disposition: Temporary. Cut off files at end of exhibit. Destroy 3 years after cutoff.</p>		

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6. Cont'd	<p data-bbox="285 369 821 401"><u>National Arboretum Exhibition Files (Cont'd)</u></p> <p data-bbox="285 432 548 464">b. Duplicate Copies.</p> <p data-bbox="334 495 894 600">Working files and reference copies of correspondence, forms, and reports related to exhibition activities undertaken by all NA units.</p> <p data-bbox="334 632 894 737">Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference.</p>		

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7.	<p><u>Fee Based Public Education Program Files.</u></p> <p>Documentation and descriptions for the establishment and implementation of various public educational programs offered by the NA. Files include press releases, program brochures, correspondence, registration forms, and related documents for projecting program costs, establishing registration requirements, developing curricula, participant questionnaires, and statistical reports. Data on expenses, registrants, and evaluations are also entered into the Fee Based Public Education Program database.</p> <p>a. Press Releases and Program Brochures.</p> <p>Disposition: Incorporate as part of Director's Files.</p> <p>b. All Other Fee Based Public Education Program Files.</p> <p>Disposition: Temporary. Cut off files at end of event. Destroy 10 years after cutoff, or when no longer needed for reference.</p> <p>e. Financial and Accountability Files.</p> <p>Statements of transactions and accountability, collection and disbursement schedules and vouchers with related payment documents created and maintained in the Administrative Unit or the Education Services Unit.</p> <p>Disposition: Temporary. Cut off files at end of fiscal year. Destroy 6 years and 3 months after final settlement.</p>	<p>GRS 6, Item 1a</p>	

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
7. Cont'd	<p><u>Fee Based Public Education Program Files (Cont'd)</u></p> <p>d. Duplicate Copies.</p> <p>Working files and reference copies of correspondence, forms, reports, statements of transactions and accountability, collection and disbursement schedules and vouchers, and other related Education Program documents located in all NA units.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 3 years after cutoff, or when no longer needed for reference.</p> <p>e. Fee Based Public Education Program Database.</p> <p>Software used to track Education Program registrants, expenses, evaluations, and trends.</p> <p>(1) Masterfile.</p> <p>Disposition: Temporary. Cut off data at end of calendar year. Delete data when obsolete or no longer needed for reference.</p> <p>(2) Inputs.</p> <p>A. Registration and evaluation forms.</p> <p>Disposition: See Item 7b for disposition.</p> <p>B. Vouchers and other financial records.</p> <p>Disposition: See Item 7c for disposition.</p> <p>(3) Outputs.</p> <p>Lists of registrants, evaluation summaries, and financial reports.</p> <p>Disposition: Temporary. Cut off at end of event. Destroy 5 years after cutoff.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
7. Cont'd	<p><u>Fee Based Public Education Program Files (Cont'd)</u></p> <p>(4) System Documentation.</p> <p>User manuals.</p> <p>Disposition: Temporary. Destroy when superseded or obsolete, or when migrated to a new platform.</p>		

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8.	<p><u>Plant Records.</u></p> <p>Documentation and descriptions of plant material associated with onsite plant collections. Records for all plants that are associated with the NA are assigned an NA accession number. This documentation includes distribution records, accession cards, release notices, breeding records, plant name files, and other indexes such as, but not limited to, Breeding Record Cards, Card Index Files, Holly Plant Name Card Files, Bell/PI Card Files, and Accession Binders [Black Books]. Data from these files are inputs for the plant records database.</p> <p>a. Plant Records.</p> <p>(1) Accession Binders [Black Books].</p> <p>The binders contain accession request forms and other available information related to an accession such as correspondence, collection notes, and acquisition source record. Files are arranged in the binders sequentially by accession number.</p> <p>Disposition: Retain onsite indefinitely. Delete or destroy only after all master file data have been entered and verified, or when no longer needed for reference.</p> <p>(2) Shipping Records.</p> <p>Plant records regarding shipments to and from domestic and foreign destinations. Current records are entered into the plant records database. As time permits, data from shipping records from earlier years have also been entered into the database. Shipping records that have not yet been entered are arranged in file folders organized by calendar year.</p> <p>Disposition: Temporary. Destroy after all pertinent information has been entered into the database and verified.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
8. Cont'd	<p><u>Plant Records (Cont'd)</u></p> <p>b. Plant Inventory Binders [White Books].</p> <p>Annual inventory report, produced from the plant records database, listing plant materials acquired by the NA and noting their location on the grounds. Copies are retained in the library and at the front desk for use by visitors and researchers. These annual reports provide a historical record of NA plantings and their locations.</p> <p>Disposition: Retain onsite indefinitely.</p> <p>c. Plant Card Indexes.</p> <p>Research tools used to provide access to plant records. Information from one set of cards, arranged by scientific name and cross-referenced to another set of cards by NA accession number, has been entered into the plant records database. As time permits, information from all other plant card records will also be entered.</p> <p>Disposition: Temporary. Destroy after all information has been incorporated into the plant records binders and/or database.</p>		

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9.	<p><u>Non-Living Collection Object Files.</u></p> <p>Documentation and descriptions of non-living items received for inclusion in the Arboretum's non-living collections. Files contain correspondence, acquisition receipts, descriptions, and photographs of non-living objects and their value, including electronic computer generated reports detailing pertinent individual object information. Data from these files are inputs for a computerized database (PastPerfect or its successor) to generate inventory and management reports.</p> <p>a. Non-Living Collection Object Files.</p> <p>Disposition: Retain onsite indefinitely.</p> <p>b. Duplicate Copies.</p> <p>Working files and reference copies of correspondence, forms, and reports related to non-living items received for inclusion into the Arboretum's non-living collections.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 10 years after cutoff or when no longer needed for reference.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
10.	<p><u>NA Botanical Garden Database.</u></p> <p>This system enables curators to create and maintain accession, inventory, and distribution data for living plant and herbarium collections. Data in this system span the years 1939 to present.</p> <p>a. Data Inputs.</p> <p>(1) This information is derived from the Plant Records, including Accession Binders [Black Books], Shipping Records, and Plant Card Indexes.</p> <p>Disposition: See Items 8a and 8c for disposition.</p> <p>(2) Herbarium Specimen Records: herbarium number, plant name, collection date, wild-origin details (country, collection notes, collector, collection date, latitude & longitude coordinates), and any other miscellaneous information that accompanies the specimen. These files also include details of the herbarium inventory, loans, and shipments for tracking purposes. The herbarium contains other written materials (notes, reprints, and so on) that are used in conjunction with the collection. The data contained in these records often form part of the herbarium specimen, and, as such, are to be preserved in the herbarium.</p> <p>Disposition: Retain onsite indefinitely.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
10. Cont'd	<p><u>NA Botanical Garden Database (Cont'd)</u></p> <p>b. Master File: The system contains comprehensive historical data (from plant introduction to final distribution) about the various seeds and plants grown, bred, or received by the NA. One database record is created for each assigned accession number.</p> <p>Disposition: PERMANENT. Transfer records from 1939 to the present to NARA immediately upon approval of schedule. Thereafter, transfer a snapshot annually to NARA.</p> <p>c. Data Outputs: screens, printouts, shipping invoices, inventories, and plant and herbarium specimen labels.</p> <p>(1) Electronic Copy.</p> <p>Disposition: Temporary. Delete after recordkeeping copy is produced, or when no longer needed for operational purposes, whichever is later.</p> <p>(2) Annual Plant Inventory [White Books].</p> <p>Annual inventory report, produced from the Botanical Garden Database, listing plant materials acquired by the NA and noting their location on the grounds. Copies are retained in the library and at the front desk for use by visitors and researchers. These annual reports provide a historical record of NA plantings and their locations.</p> <p>Disposition: See Item 8b for disposition.</p> <p>(3) All other printouts.</p> <p>Disposition: Temporary. Cut off files at end of calendar year. Destroy 2 years after cutoff, or when no longer needed for reference.</p>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken NARA Use (Only)
10. Cont'd	<p><u>NA Botanical Garden Database (Cont'd)</u></p> <p>d. System Documentation: User Manuals.</p> <p>Disposition: PERMANENT. Transfer a copy to the National Archives with the Master File.</p> <p>e. BG Map Database.</p> <p>Database directly related to the Botanical Garden Database that contains mapping data, specifically latitude and longitude coordinates, used to locate the sources of accessioned plant materials.</p> <p>Disposition: Retain onsite indefinitely.</p>		

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11.	<p><u>Museum Object Database.</u></p> <p>Currently, the PastPerfect Database system (or its successor systems) maintained by the NA Gardens Unit is used to capture electronic information about the objects and archives of the National Bonsai and Penjing Museum. This system tracks accessions; inventory; and donor, ownership, and exhibition information.</p> <p>a. Data Inputs:</p> <p>Accession Documents: accession number, object name, date and method of receipt, donor and ownership information, quantity, and the source, condition, and description of the object.</p> <p>Disposition: See Item 9a for disposition authority.</p> <p>b. Master File: The system contains historical data about the non-living collections (the objects and archives of the National Bonsai and Penjing Museum). One database record is created for each assigned accession. Records can be sorted by accession number, object name, location, date received, sources, and so on.</p> <p>Disposition: Temporary. Retain onsite until data are migrated to a new system and verified.</p> <p>c. Outputs: Report screens, printouts, reports, thank you letters, deeds of gift, shipping invoices, inventories, object exhibit labels, and accession barcode labels.</p> <p>(1) Electronic Copy.</p> <p>Disposition: Temporary. Delete after recordkeeping copy is produced, or when no longer needed for operational purposes, whichever is later.</p>		

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11. Cont'd	<p><u>Museum Object Database (Cont'd)</u></p> <p>(2) Recordkeeping Copy.</p> <p>Disposition: Temporary. Cut off files annually. Destroy when no longer needed for reference.</p> <p>d. System Documentation: User's Manual.</p> <p>Disposition: Temporary. Destroy when superseded or obsolete.</p>		

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12.	<p><u>NA Website Records.</u></p> <p>The NA web site is a collection of linked electronic pages and databases used to disseminate information about the NA to the public via the Internet. It consists of a homepage with general information about the NA and a number of linked pages with additional information about the mission and activities of the NA.</p> <p>Information provided by the web site consists of copies of articles and photographs related to what's new at the NA and a main topics section that covers important notices, a calendar of events, educational programs, and horticulture and research. Each of the main topics pages provides a related link to further information.</p> <p>Disposition: Temporary. Delete these pages as they are superseded.</p>		

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13.	<p><u>Electronic Records created by all NA Units using electronic mail systems or word processing applications.</u></p> <p>a. Copies that have no further administrative value after recordkeeping copy is made.</p> <p>Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Disposition: Temporary. Delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Disposition: Temporary. Delete when dissemination, revision, or updating is complete.</p>		