

NUREG-0910
Revision 2

NRC Comprehensive Records Disposition Schedule

U.S. Nuclear Regulatory Commission

Office of Information Resources Management



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NRC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE

MARCH 1992

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NRC Comprehensive Records Disposition Schedule

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Office of Information Resources Management
U.S. Nuclear Regulatory Commission
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INTRODUCTION TO THE NRC COMPREHENSIVE RECORDS DISPOSITION SCHEDULE

The NRC Comprehensive Records Disposition Schedule (CRDS) provides the authorized disposition for all NRC records. Each record schedule has been approved by the appropriate NRC officials, and the General Accounting Office, when appropriate, and is authorized by the Archivist of the United States. Application of the disposition schedules is mandatory and is in accord with the National Archives and Records Administration's regulations provided in 36 CFR Part 1228, "Disposition of Federal Records" and statutory requirements set forth in Title 44 U.S. Code, "Public Printing and Documents." NRC's implementing policies are contained in NRC Management Directive 3.53, "Maintenance and Disposition of NRC Official Files and Records."

The CRDS is comprised of NRC Schedules (NRCS) 1 and 2 that apply to NRC's unique administrative and programmatic records, and General Records Schedules (GRS) 1-23 that apply to administrative records that are common to most agencies. NRCS 1 applies to records common to all or most NRC offices, NRCS 2 applies to the records unique to each NRC office. Records that do not have an applicable disposition schedule must be retained until disposition authority is obtained. Procedures for establishing new schedules or revising the retention period for existing schedules are provided in NRC Management Directive 3.53.

Official records are retained in a network of official file stations that are managed by File Custodians. Each official file station has a "Files Maintenance and Disposition Plan" (NRC Form 306) that correlates the record schedule with each record collection retained at the file location. Records Liaison Officers retain a collection of these plans to ensure availability to staff.

Procedures for the retirement or disposal of NRC records are issued from the Information and Records Management Branch, Division of Information Support Services, Office of Information Resources Management. Comments or questions regarding the Comprehensive Records Disposition Schedule or its application may be directed to the Chief, Information and Records Management Branch.

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NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

PART 1. ADMINISTRATIVE FILES COMMON TO MOST OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|------------------------------------|
| 1. | <p><u>Employee Travel Files</u></p> <p>Correspondence, requests, travel authorizations and orders, itineraries, travel vouchers and similar papers pertaining to employee travel exclusive of records maintained in the Office of the Controller.</p> | <p>Cut off at close of fiscal year. Destroy when 1 year old.</p> | <p>NC1-431-81-5 Item 1.1.6</p> |
| 2. | <p><u>Office General Personnel Files</u></p> <p>Documents that relate to the day-to-day administration of personnel in individual offices. Included are papers that relate to attendance and overtime, notices of holidays and hours worked, notices and lists of persons to attend training sessions, papers concerning participation in employee and community affairs; campaigns, drives; and comparable or related papers arranged as appropriate.</p> | <p>Cut off at close of fiscal year. Destroy when 2 years old.</p> | <p>NC1-431-81-5 Item 1.1.7</p> |
| 3. | <p><u>Office Organization Reference Files</u></p> <p>Documents relating to the organization and function of an office. Included are copies of organization and functional charts and statements; documents relating to office staffing; documents concerning functional assignments and changes. Also included are documents reflecting minor changes in the office organization or functional assignments which are made by the office chief.</p> | <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> | <p>NC1-431-81-5 Item 1.1.4</p> |

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED CITATION |
|----------|---|---|-----------------------------|
| 4. | <u>Policy and Precedent Reference Files</u> Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of non-record copies maintained only for convenience of reference. | Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes. | NC1-431-81-5 Item 1.1.12 |
| 5. | <u>Reading or Chronological Files</u> Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel. <u>Exception</u> Applicable to the Commissioners' chronological file of outgoing correspondence comprised of letters signed by the Commissioners. See NRC Schedule 2, Part 6, Item 1. | Cut off at close of fiscal year. Destroy when 1 year old or when reference value has been exhausted, whichever is sooner. | NC1-431-81-5 Item 1.1.11 |
| 6. | <u>Reference Publication Files</u> Copies of NRC internal and/or external directives, and | Destroy when superseded, obsolete, or no longer | NC1-431-81-5 Item 1.1.14 |

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--|--------------------------------------|
| | publications issued by other Government agencies and non-governmental organizations maintained for reference within an office. | needed for reference purposes. | |
| 7. | <u>Reimbursable Agreements and Contract Files</u> | | |
| | Includes all contractual and reimbursable agreement files (under Memorandum of Understanding - DOE/NRC) pertaining to work done for NRC by any outside source. | See General Records Schedule 3, Item 3 for authorized disposition. | NC1-431-81-5 Item 1.1.9 |
| 8. | <u>Staff Working File</u> | | |
| | Reference files maintained for convenience by individual staff members. Includes copies of docket material and other records maintained in official NRC files. | Destroy at the same time the related subject file is destroyed, or earlier if no longer needed for reference purposes. | NC1-431-81-5 Item 1.1.13 |
| 9. | <u>Technical Reference Files</u> | | |
| | Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally. Note: Reference materials relevant to permanent records accessioned by or scheduled to be accessioned by the National Archives should be offered to NARA. | Review annually and destroy material of no further reference value. | Nonrecord (GRS-23-6 Oct. 1982) |

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
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| 10. | <u>Vu-graphs</u> Vu-graphs maintained in any office. | Destroy when no longer needed. | NCI-431-81-4 Item 2.c |
| 11. | <u>Weekly Status Reports</u> Files consist of internal narrative reports containing items of interest on program activities submitted by NRC offices weekly to the Commission. | Destroy when one year old. | NCI-431-81-5 Item 1.1.8 |

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

PART 2. PROGRAMMATIC FILES COMMON TO MOST OFFICES

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED CITATION |
|----------|---|---|-----------------------------|
| 1. | <u>Committee and Conference Records</u> | | |
| | a. Records relating to establishment, organization, membership and policy. | | NC1-431-81-5 Item 1.5.30 |
| | (1) Interagency and international committees. | Permanent. Offer to NARA 10 years after NRC involvement terminates. | |
| | (2) Internal committees. | Destroy 2 years after termination of comm. e. | |
| | b. Records created by committees. | | |
| | (1) Agenda, minutes, final reports, and related records documenting accomplishments. | | |
| | (a) Records created when NRC is the sponsor agency. | Permanent. Offer to NARA 20 years after NRC involvement terminates. | |
| | (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. | |
| 2. | <u>General Program Correspondence Files (Subject Files)</u> | | |
| | Letters, memoranda, messages, studies, reports, forms, and other data documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions | | NC1-431-81-5 Item 1.2.15 |

NRC SCHEDULE 1

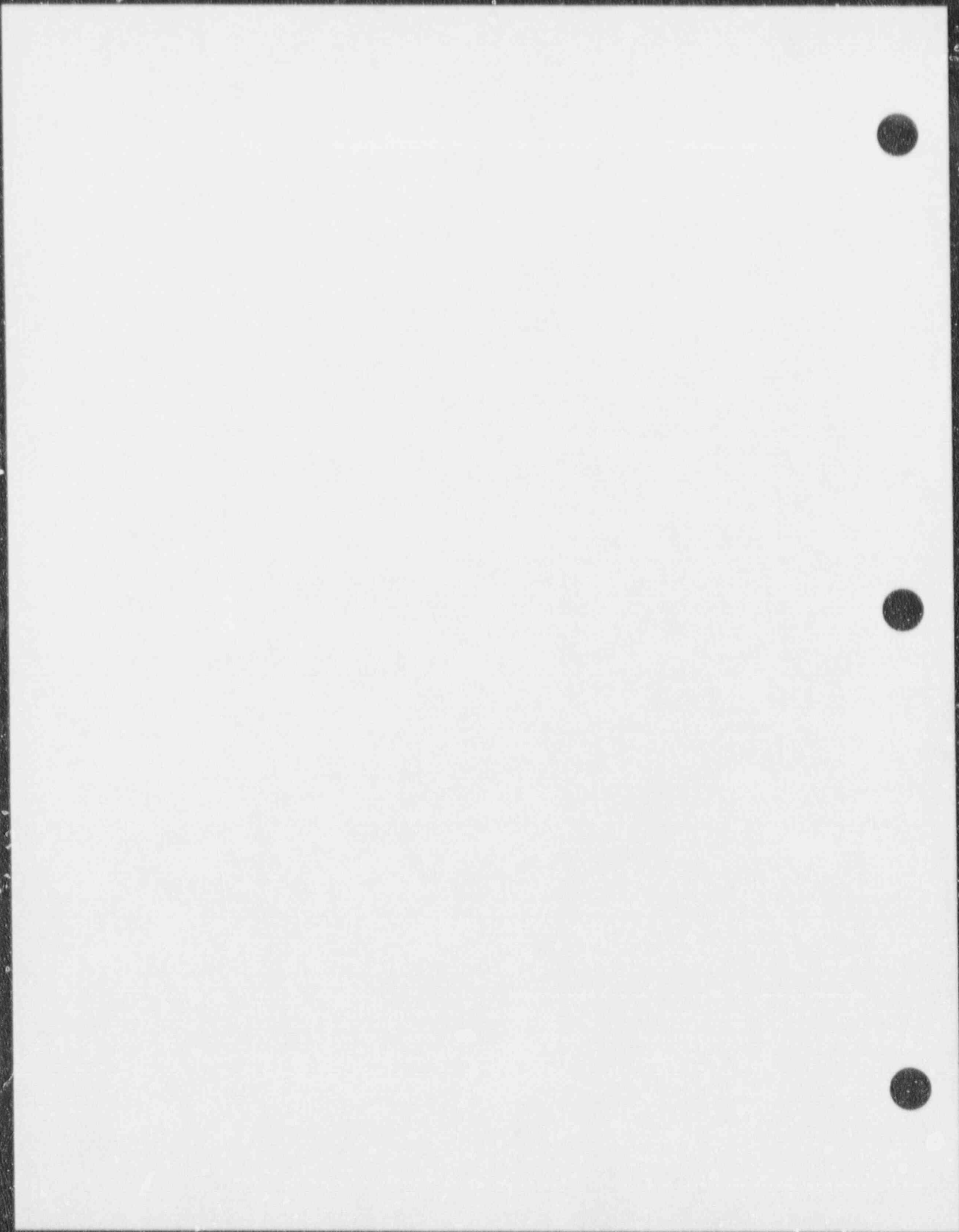
RECORDS COMMON TO MOST OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|---|-------------------------------|
| | <p>pertaining to NRC program and staff activities.</p> | | |
| a. | <p><u>Program Correspondence Files at the office level or above.</u> These files document policymaking decisions or significant NRC program management functions. They are accumulated by the Advisory Committee or Rea; or Safeguards (ACRS), the Secretary of the Commission, Office Directors reporting to the Commission, and those reporting to the Office of the Executive Director for Operations and are filed in either large central collections or in decentralized locations. Excluded is that program correspondence which documents routine transactions and covered by item 2.c. below.</p> | <p>Permanent. Cut off at close of fiscal year. Hold 2 years and retire to WNRC. Offer to NARA when 20 years old.</p> | |
| b. | <p><u>Program Correspondence Files maintained at the division level and below in NRC Headquarters Offices and in Regional Offices</u></p> | <p>Cut off at close of fiscal year. Hold 2 years and retire to FARC/WNRC as appropriate. Destroy 10 years after cutoff.</p> | |
| c. | <p><u>Routine Program Correspondence Files maintained at all organizational levels.</u> Files documenting program transactions of a routine or recurring nature, the record content of which is summarized or duplicated in Item 2.a. or b. above.</p> | <p>Destroy when two years old or sooner if purpose has been served.</p> | |

NRC SCHEDULE 1

RECORDS COMMON TO MOST OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
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| 3. | <u>Regulatory History Files for Proposed and Final Rulemakings</u> | | |
| | Case files documenting proposed and final rulemakings. Contents include interoffice correspondence, all source documents relied upon in preparing proposed and final rules, public comments, CRGR minutes and recommendations, ACRS comments, Commission papers, transcripts, indexes, and Federal Register Notices. | | |
| | a. Official case files located in originating offices of NRC. | <u>Permanent</u> . Transfer to RHA 2 years after issuance. Offer to NARA in 5-year blocks when 20 years old. | NC1-431-85-1 Item 1 |
| | b. Indexes to official case files maintained by the Regulatory Publications Branch, Division of Freedom of Information and Publications Services. | <u>Permanent</u> . Offer to NARA in 5-year blocks when 20 years old. | |



NRC SCHEDULE 2

RECORDS OF NRC OFFICES

FART 1. RECORDS OF THE OFFICE OF ADMINISTRATION

The Office of Administration (ADM) is responsible for providing centralized administrative services in the areas of procurement, property management, facilities support, transportation, rulemaking support, Freedom of Information Act requests, publications services, local public document rooms, and security.

The following record schedules were developed for records unique to ADM. Reference NRC Schedule 4, "Records Common To Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED CITATION |
|----------|--|--|-----------------------------|
| 1. | <u>Administrative Budget Control (ABC)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NCi-431-81-2 Item 13.I.1 |
| 2. | <u>Central Personnel Clearance Index (CPCI)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.J.2 |
| 3. | <u>Classified Document Control System (CDCS)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.J.4 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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| 4. | <u>Contracts System</u> The system maintains data and information on contract pre-award, post-award and status, such as: action requested, date RFP issued, estimated cost, dollar value, award date, expiration date, contract type number, contractor name, contract title and program office contact. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.1.2 |
| 5. | <u>Directive Case Files</u> Internal directives issued at the Commission level, maintained in the Office of Administration. | | |
| | a. Record copy documenting important aspects of the development of the issuance. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.31 |
| | b. Working papers and background material. | Destroy 6 months after directive is issued. | |
| | c. Other copies of directives. | Destroy when superseded. | |
| 6. | <u>Drug Testing Program Files</u> (Also reference schedules under GRS 1-36) | | |
| | a. <u>Policies and Procedures for Administering Drug Testing Program</u> Documentation generated or received and maintained by the Division of Security that is representative of the formulation and implementation of the agency's Drug Testing Program. | Permanent. Offer to NARA when 10 years old in 5 year blocks. | NI-431-88-4 Item 1 |

NRC SCHEDULE 2
RECORDS OF NRC OFFICES

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| | Official records include background authority for program; e.g., E.O. 12564 and related legislation, NRC Drug Testing Plan, communications with HHS, including approval of NRC plan, and other supporting information that pertains to the development and implementation of the NRC Drug Testing Program. | | |
| b. | <u>Random Selection of Employees for Testing</u> | | |
| | Records generated or received by the Headquarters Assistant Drug Program Coordinator (HQ ADPC) that officially document NRC's procedures for selecting employees for drug testing. Records generated or received by the HQ ADPC that officially document coordination with collection contractors and other NRC staff regarding the notification and scheduling of employees selected to be tested. | | N1-431-88-4 Item 2 |
| | (1) Official, annotated, dated, signed "Random Test Lists" or other documentation that represent the employees, consultants or applicants slated for drug testing, documentation related to their selection, communications with collection contractors, supervisors, Regional ADPCs, site coordinators, etc. | | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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| | <p>regarding the scheduling of employees for testing, collection contractor actual schedules for testing, and similar documentation that pertains to the notification and scheduling of employees selected for drug testing.</p> | | |
| | <p>(a) Records on tests yielding negative results for employees, consultants and for applicants who enter on duty with NRC.</p> | <p>Destroy when individual terminates employment or consultant relationship with NRC.</p> | |
| | <p>(b) Records on tests yielding negative results for applicants who do not enter on duty with NRC.</p> | <p>Destroy two months after determination that applicant will not enter on duty.</p> | |
| | <p>(c) Records on tests yielding positive results for employees and consultants.</p> | <p>Destroy following administrative/judicial disposition and/or appeal rights of tested party or when the individual terminates employment or consultant relationship with the NRC, whichever is longer.</p> | |
| | <p>(d) Records on tests yielding positive results for applicants who do not enter on duty with NRC.</p> | <p>Destroy following administrative/judicial disposition and/or appeal rights of tested party or after six months, whichever is longer.</p> | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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|--------------------------------|---|--|-------------------------------|
| (2) | Copies of scheduling documentation received from collection contractor upon termination of contract. | Review documentation for duplication. Consolidate non-duplicative material with official files maintained by Headquarters Assistant Drug Program Coordinator (HQ ADPC) and destroy duplicative material immediately. | |
| (3) | Documents and selection lists used by Regional ADPC's and Site Coordinators. | Transmit to Headquarters ADPC immediately after the collection of specimens is completed. | |
| c. <u>Drug Testing Program</u> | | | |
| (1) | All records generated received and maintained by the Headquarters ADPC that document the actual procedures and process employed in administering drug testing, including data necessary to ensure proper chain of custody procedures and accountability controls. | Permanent. Offer to NARA when 10 years old in 5 year blocks. | N1-431-88-4 Item 3 |
| (2) | Copies of documentation received from the Medical Review Officer (MRO) and Collection Contractor upon termination of contract. | Review documentation for duplication. Consolidate non-duplicative material with official files maintained by Headquarters ADPC and destroy duplicative material immediately. | |
| d. <u>Drug Testing Results</u> | | | |
| (1) | All records generated, received and maintained by the Headquarters ADPC that support the results of each individual's drug testing, | | N1-431-88-4 Item 4 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

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| | <p>reports of individual drug testing results, notification of results to employees/employing personnel offices, notification of reasonable suspicion, post accident and followup testing and related documentation that pertains to drug testing results and the disposition thereof.</p> | | |
| | <p>(a) Records on tests yielding negative results for employees, consultants and for applicants who enter on duty with NRC.</p> | <p>Destroy when individual terminates employment or consultant relationship with NRC.</p> | |
| | <p>(b) Records on tests yielding negative results for applicants who do not enter on duty with NRC.</p> | <p>Destroy two months after determination that applicant will not enter on duty.</p> | |
| | <p>(c) Records on tests yielding positive results for employees and consultants.</p> | <p>Destroy following administrative/judicial disposition and/or appeal rights of tested party or when the individual terminates employment or consultant relationship with the NRC, whichever is longer.</p> | |
| | <p>(d) Records on tests yielding positive results for applicants who do not enter on duty with NRC.</p> | <p>Destroy following administrative/judicial disposition and/or appeal rights of tested party or after six months, whichever is longer.</p> | |

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RECORDS OF NRC OFFICES

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| (2) | All records from the MRO used to support MRO's determination that individuals test results are accurate. Documentation includes evaluation of medical reports, results of interviews, written statements, information regarding the use of prescription or non-prescription drugs, type substance used in the past, frequency of use, and related documentation. | Review documentation for duplication. Consolidate non-duplicative material with official files maintained by Headquarters ADPC and destroy duplicative material immediately. | |
| (3) | Copies of documentation received from the MRO, the Collection Contractor, and the Laboratory Testing Contractor upon termination of contract. | Review documentation for duplication. Consolidate non-duplicative material with official files maintained by Headquarters ADPC and destroy duplicative material immediately. | |
| (4) | Statistical reports and other summary data which NRC may collect and develop in order to comply with annual reporting requirements to Congress on NRC drug testing activities. | Destroy when 5 years old. | |
| e. <u>Disciplinary Action</u> | | | |
| (1) | Documentation generated, received and maintained by the supervisor to support disciplinary action taken against an employee because of illegal use of drugs, | Destroy 4 years after case is closed. | GRS-1, Item 30.b. |

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| | verified positive urinalysis findings, possession of illegal drugs on duty/agency property, drug trafficking, failure to comply with procedures during collection of specimen for drug testing, failure to provide specimen, tampering with specimen, and similar actions. | | |
| 7. | <u>Grants' Files</u> (Also reference GRS 3-14, "Grant Administrative Files.") | | |
| | a. Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants. | Destroy 6 years and three months after case is closed. | NC1-431-81-5 Item 1.5.33 |
| | b. Reports, books, studies, or any other final grant product and related records accumulated in the Division of Contracts and Property Management. | <u>Permanent</u> . Offer to NARA when 10 years old. | |
| 8. | <u>Graphic Arts Files</u> | | |
| | a. Original artwork line and half-tone negatives, and other camera-ready copy prepared for brochures, posters and other NRC publications by the Division of Freedom of Information and Publications Services, Office of Administration. | Destroy when no longer needed for publication or reprinting. | NC1-431-81-4 Item 2 |

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| 9. | <u>Holding Action System (HAS)</u> This system maintains locator information on all documents in the printing and distribution cycle. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.1.9 |
| 10. | <u>Organizational Records</u> | | |
| | a. Official organization charts, telephone books and related records which document the organization and functions of the agency. | | |
| | (1) Record copy maintained by the Office of Administration. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.35 |
| | (2) All other copies. | Destroy when superseded or obsolete. | |
| 11. | <u>Property and Supply System (PASS)</u> The Property and Supply System maintains records of all NRC actions concerning property and supplies examples such as: property and supply transactions, maintenance transactions, warehouse inventory, consumable usage, stockage reorder points, NRC item identification catalog, abnormal maintenance incident rates, fiscal data for contract renewal and suspense items overdue return from vendor. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.1.4 |
| 12. | <u>Security Policy Files</u> Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed by Division of Security, Office of Administration in the administration and | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.37 |

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| | direction of security and protective services programs. | | |
| 13. | <u>Security Violations (felonies) Files</u> | | |
| | Use files relating to investigations of alleged security violations of exceptional historical and evidential value. Maintained by Division of Security, Office of Administration. | <u>Permanent.</u> Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.38 |
| 14. | <u>Still Photography Files</u> | | |
| | a. Portraits of NRC Chairman and Commissioners, maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration, and photographs of reactor sites and noteworthy NRC-related activities. Arranged by name or subject. | | |
| | (1) The original negative and captioned print or contact sheet, and inter-negative, if one exists. | <u>Permanent.</u> Break file every five years. Offer to NARA five years after file break. | NC1-431-81-4 Item 1.a |
| | (2) Duplicate prints maintained in any NRC office. | Destroy when no longer needed | |
| | b. 35mm color slides of reactor sites, maintained by Printing, Audiovisual, and Mail Services Branch, Office of Administration, arranged by reactor name. | | |
| | (1) The original transparency and one duplicate, if one exists. | <u>Permanent.</u> Break file every five years. Offer to NARA five years after file break. | NC1-431-81-4 Item 1.b |

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| | (2) Duplicate copies maintained by any NRC office. | Destroy when no longer needed. | |
| c. | Portraits of NRC officials below the Commissioner Level, and photographs of routine activities such as awards, retirements, and administrative functions, maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration. | Destroy when no longer needed. | |
| 15. | <u>Systems Security Records</u> | | |
| a. | <u>Access Request Files</u> | | |
| | Requests and authorization for individuals to have access to communication security (COMSEC) information. | Destroy 2 years after authorization expires. | NC1-431-81-5 Item 1.5.39 |
| b. | <u>Document and Material Transfer Records</u> | | |
| | COMSEC document and material transfer records, package receipts and COMSEC material reports, SF-153. | Destroy 2 years after completion of transaction. | NC1-431-81-5 Item 1.5.39 |
| c. | <u>Inventory of COMSEC Documents and Material</u> | | |
| (1) | Periodic inventories of COMSEC documents and material in cases where no discrepancies exist. | Destroy after the succeeding inventory is submitted and verified. | NC1-431-81-5 Item 1.5.39 |
| (2) | Periodic inventories of COMSEC documents and material where discrepancies exist. | Destroy after the succeeding inventory is submitted and verified and all discrepancies resolved. | |

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RECORDS OF NRC OFFICES

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| | (3) Inventories conducted on change or absence of COMSEC custodian. | Destroy 1 year after conducted and verified and all discrepancies resolved. | |
| | (4) Inventories conducted periodically or on change or absence of COMSEC custodian where irregularities exist or have existed. | Destroy when all purposes have been served. | |
| d. | <u>Loss or Compromise of Accountable COMSEC Documents or Material</u> | | |
| | Message reports, letter reports or other documents relating to loss or compromise of accountable COMSEC documents or material. | Destroy only after accountability established or evidence of compromise negated. | NC1-431-81-5 Item 1.5.39 |
| e. | <u>Document and Material Destruction</u> | | |
| | Key card disposition record, key list disposition record and other records of destruction of accountable COMSEC documents or material. | Destroy when 2 years old. | NC1-431-31-5 Item 1.5.39 |
| f. | <u>Reportable Telecommunications Insecurities</u> | | |
| | Reports of any deviation or incident which could adversely affect the security of a telecommunication system. | Destroy 5 years after all action has been completed. | NC1-431-81-5 Item 1.5.39 |
| g. | <u>Security Proposals for the Establishment of Centers and Use of Equipment</u> | | |
| | Security proposals for the establishment of secure | Destroy 2 years after the center is deactivated, | NC1-431-81-5 Item 1.5.39 |

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| | communications centers, installation of equipment or systems. | equipment has been replaced or system is changed. | |
| h. | <u>Equipment</u> | | |
| | List of equipment comprising a secure telecommunications system (e.g., terminal equipment, cryptographic equipment and modems). | Destroy when no longer applicable. | NC1-431-81-5 Item 1.5.39 |
| i. | <u>Floor Plans</u> | | |
| | Floor plans of secure communications centers showing the location of equipment, the construction of walls, floors and ceilings of the room(s) or separate architectural details such as doors, windows or ducts. | Destroy when secure communications centers have been relocated. | NC1-431-81-5 Item 1.5.39 |
| j. | <u>Installation Drawings</u> | | |
| | Installation drawings, e.g., writing diagrams conduct plans for the secure telecommunications equipment. | Destroy when equipment has been replaced. | NC1-431-81-5 Item 1.5.39 |
| k. | <u>Standard Operating Instructions</u> | | |
| | Standard operating instructions for secure communications centers. | Destroy when secure communications center is no longer operable. | NC1-431-81-5 Item 1.5.39 |
| l. | <u>Tempest and Acoustic Tests</u> | | |
| | Documents relating to Tempest tests or tests conducted of secure communications centers. | Destroy after subsequent tests have been conducted and results approved. | NC1-431-81-5 Item 1.5.39 |

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RECORDS OF NRC OFFICES

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| m. | <p><u>Audio Countermeasure Inspection Files</u></p> <p>Records of sweep requests (NRC Form 337) and sweep reports (NRC Form 336) relating to the examination and inspection using sophisticated electronic equipment.</p> | <p>Destroy after the succeeding inspection is conducted.</p> | <p>NC1-431-81-5 Item 1.5.39</p> |
| 16. | <p><u>Video Recording Files</u></p> | | |
| a. | <p>NRC-sponsored 3/4-inch video productions intended for public distribution. These include educational programs produced by Los Alamos Scientific Laboratory and distributed by the National Audiovisual Center.</p> | <p><u>Permanent</u>. Offer master and one dubbing to NARA when no longer in current distribution.</p> | <p>NC1-431-81-4 Item 3</p> |
| b. | <p>Off-the-air recordings of media coverage of NRC-related activities and events, or appearances of NRC officials.</p> | <p>Erase and reuse when no longer needed.</p> | |
| c. | <p>Original 3/4-inch video recordings of public meetings, speeches, conferences, testimony of NRC officials before Congress and other hearings made and maintained by the Printing, Audiovisual, and Mail Services Branch, Office of Administration.</p> | <p><u>Permanent</u>. Break file every five years. Offer master and one dubbing to NARA five years after file break.</p> | |
| d. | <p>Video productions purchased from outside sources for technical training of NRC staff and maintained in the Printing, Audiovisual, and Mail Services Branch, Office of Administration.</p> | <p>Destroy and reuse when no longer needed.</p> | |

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| e. | Duplicate dubbings of any recording described in a, b, c, or d above maintained by any NRC office. | Erase and reuse when no longer needed. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 2. RECORDS OF THE ADVISORY COMMITTEE ON NUCLEAR WASTE

The Advisory Committee on Nuclear Waste (ACNW) shall report to and advise the Nuclear Regulatory Commission (NRC) on all aspects of nuclear waste management, as appropriate, within the purview of NRC's regulatory responsibilities. The primary emphasis will be on disposal but will also include other aspects such as handling, processing, transporting, storing, and safeguarding nuclear wastes including spent fuel, nuclear wastes mixed with other hazardous substances, and uranium mill tailings. In performing its work, the Committee will examine and report on specific areas of concern referred to it by the Commission or designated representatives of the Commission. The Committee is authorized to undertake other studies and activities on its own initiative, as appropriate, to carry out its responsibilities.

The following record schedules were developed for records unique to the ACNW. Reference NRC Schedule 1, 'Records Common to Most Offices', and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Advisory Committee on Nuclear Waste (ACNW) Project Case Files</u> | | |
| a. | Official project case files containing records generated or received by ACNW that reflect the committee's analyses and recommendations on specific activities relating to the regulation and licensing of high-level waste repositories and low-level waste disposal facilities. Such activities include handling, processing, transporting, storing and safeguarding nuclear waste, including but not limited to spent fuel, nuclear waste mixed with other hazardous substances, and uranium mill tailings. | Permanent. Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old. | N1-431-88-1 Item 1 |

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| b. | All other copies | Destroy when 2 years old or when no longer needed for reference. | |
| 2. | <u>Consultants Reports</u> | | |
| | Reports prepared by advisory committee consultants specific to studies/special projects that are maintained by ACNW and used to aid the ACNW in making recommendations to the Commission and to aid the Commission in decision-makings that pertain to all aspects of nuclear waste. | <u>Permanent</u> . Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old. | N1-431-88-1 Item 3 |
| 3. | <u>Minutes of the Committee</u> | | |
| | Files maintained by the Secretary of ACNW containing certified minutes of the general and subcommittee meetings with appropriate enclosures arranged chronologically. | <u>Permanent</u> . Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old. | N1-431-88-1 Item 4 |
| 4. | <u>Program Correspondence Files</u> | | |
| a. | Records generated or received by ACNW in the conduct of business that are used as bases for advising the Commission on all aspects of the nuclear waste management program: e.g., its direction and implementation, and resulting documentation that reflects Commission policy making decisions. | <u>Permanent</u> . Cut off files annually and retire to IRMB when 2 years old. Offer to NARA when 20 years old. (See NRC Schedule 1-2.2.a) | N1-431-88-1 Item 2 |
| b. | All other copies | Destroy when 2 years old or no longer needed for reference. | |

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RECORDS OF NRC OFFICES

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| 5. | <u>Waste Management Licensing Files</u> | | |
| | <p>a. Copies of Waste Management Licensing Files maintained by ACNW and used for its review and analysis of waste management issues and the formulation of recommendations to the Commission on the licensing of waste management activities. These files reflect the issuance of construction permits and the licensing of the U.S. Department of Energy to receive and possess byproduct, source, and special nuclear material at a geologic repository and the licensing of companies, institutions and facilities to receive, possess and dispose of low-level radioactive wastes containing byproduct, source and special nuclear material at a land disposal facility pursuant to Parts 60 and 61, Title 10, Code of Federal Regulations. Documents include applications, site characterizations, licenses, license amendments, and related documentation. The official record copy is retained in NRC's File Center and is scheduled under NRCS 2-19.2 and 2-19.3.</p> | <p>Maintain for life of committee.</p> | <p>N1-431-88-1 Item 5</p> |
| | <p>b. All other copies.</p> | <p>Destroy when 2 years old or when no longer needed for reference.</p> | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 3. RECORDS OF THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

The Advisory Committee on Reactor Safeguards (ACRS) reviews safety studies and applications for construction permits and facility operating licenses, and makes reports thereon; advises the Commission with regard to hazards of proposed or existing reactor facilities and the adequacy of proposed reactor safety standards; upon request of the Department of Energy (DOE), reviews and advises with regard to the hazards of DOE nuclear activities and facilities; reviews any generic issues or other matters referred to it by the Commission for advice. On its own initiative may conduct reviews of specific generic matters or nuclear facility safety-related items. Conducts studies of reactor safety research, prepares, and submits annually to the U.S. Congress a report containing the results of such study.

The following record schedules were developed for records unique to the ACRS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>ACRS Members Personnel Files</u> Records pertaining to the background of individual members of the Committee and containing information on their activities during their membership with the Committee. | Retain for life of committee, then destroy immediately. | NC1-431-81-5 Item 3.2 |
| 2. | <u>Annual Reports of the ACRS to the U.S. Congress</u> Reports pertaining to ACRS evaluation of the effectiveness of NRC effort in reactor safety research issued as NUREG documents and retained permanently in microfiche form (See NRCS 2, Part 14, Item 8.a.2). | | NC1-431-81-5 Item 8 |
| | a. Paper copies of annual reports. | Destroy when microfiche copies have been determined to be an adequate substitute for original records. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--|-------------------------------|
| | b. Reference copies of microfiche. | Retain for life of Committee. | |
| 3. | <u>Classified Defense Information File</u> Reports, correspondence and other records pertaining to DOD reactors and to DOE production facilities, arranged by subject. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 11 |
| 4. | <u>Committee Files on Regulation Guidelines</u> Correspondence, memoranda, and reports pertaining to committee and public comments on the formulation of all NRC regulations relating to nuclear operating standards, arranged numerically by NRC Regulatory Guide number. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 5 |
| 5. | <u>Consultant Personnel Files</u> Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with ACRS. | Destroy 10 years after termination of contract. | NC1-431-81-5 Item 6 |
| 6. | <u>General Program Correspondence Files</u> | Apply the applicable disposition standards contained in NRCS #1, Part 2, Item 2, subject to the record-keeping requirements imposed by the Federal Advisory Committee Act (PL-92-463). | NC1-431-81-5 Item 3.1 |
| 7. | <u>Keyword Index (KWIC/KWOC)</u> The ACRS Keyword Index provides a means to identify and physically locate any document that | Retain until it has been determined by a competent NRC Official that data | NC1-431-81-2 Item 13.K |

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| | has been received or generated by the ACRS. In addition, the system can track any action required by an ACRS member, staff, fellow, or consultant in response to incoming documents. | are no longer needed; erase and reuse tape, etc. | |
| 8. | <u>Minutes of the Committee</u> | | |
| | a. Complete set of formal minutes of general and subcommittee meetings with all attachments. Arranged chronologically. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 3.3 |
| | b. Silver master of microfiche minutes prepared (without all attachments and containing some deletions) for Public Document Room use. | Destroy when no longer needed. | |
| | c. Reference copies of microfiche. | Destroy when no longer needed. | |
| 9. | <u>Nuclear Power Plant Docket Files</u> | | |
| | Official records documenting licensing of the construction and operation of commercial nuclear reactors for power generation pursuant to Parts 2, 20, 50, 100 and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in the review, evaluation, and authorization stages of the licensing process. Sources of documents included in case files are: applicant utility organization; NRC/Regulatory Offices; Federal and State agencies; safety boards and committees; private organizations and parties | Maintain for life of Committee. | NC1-431-81-5 Item 10 |

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| | intervenors, and individuals commenting on licensing actions. | | |
| 10. | <u>Nuclear Reactor Project Files</u> | | |
| | Case files on individual nuclear reactors including correspondence memoranda, studies, reports, and analyses pertaining to nuclear safety-related matters. Arranged alphabetically by name of reactor. | <u>Permanent.</u> Offer to NARA 10 years after termination of license. | NC1-431-81-5 Item 9 |
| 11. | <u>Reports of Consultants</u> | | |
| | Reports submitted by advisory consultants, pertaining to various aspects of nuclear reactor safety. | | |
| | a. Silver master and one diazo copy for each formal report. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 7 |
| | b. Extra copies of reports in paper or microfilm form. | Destroy when no longer needed for reference. | |
| 12. | <u>Transcripts of ACRS Meetings</u> | | |
| | Transcripts of verbatim accounts of all general and subcommittee meetings. | | |
| | a. Paper copies of transcripts. | Destroy when microfiche copies have been determined to be an adequate substitute for original records. | NC1-431-81-5 Item 4 |
| | b. Silver master and diazo duplicate of microfiche copies of transcripts. | <u>Permanent.</u> Offer to NARA when two years old. | |
| | c. Reference copies of microfiche. | Destroy when no longer needed. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 4. RECORDS OF THE OFFICE FOR ANALYSIS AND EVALUATION OF OPERATIONAL DATA

The Office for Analysis and Evaluation of Operational Data (AEOD) is responsible for assuring the proper analysis of operational data associated with all NRC-licensed activities and the feedback of such analyses to improve safety. This office identifies key analyses to be conducted, taking into account such factors as postulated accident sequences and data availability; selects appropriate analytical techniques and propose data gathering mechanisms for data not currently available; conducts systematic safety analyses and evaluations of operational data to seek trends that would forecast a potential problem; develops recommendations to resolve problems revealed by operational data analyses and evaluations; provides analytical guidance to, accept technical input from, and coordinate efforts of, operational data analysis groups in other NRC offices; reviews overall NRC and industry response to assess implementation of recommended actions; and serves as focal point for interaction with ACRS and industry groups involved in operational data analysis and evaluation.

The following record schedules were developed for records unique to the AEOD. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Abnormal Occurrence Case Files</u> All formal correspondence with detailed background documentation relating to preparation of abnormal occurrence reports submitted quarterly to Congress. | <u>Permanent.</u> Cut off files every 3 years transfer to FRC. Offer to NARA when 20 years old. | NCI-431-87-1 Item 1 |
| 2. | <u>Aerial Photography of Facilities</u> Aerial and oblique photography of facilities maintained by the Office of Analysis and Evaluation of Operational Data in connection with emergency response. Prints and some negatives are maintained in NRC and remaining negatives are maintained by contractor. Photographs cover approximately 70 sites and are arranged alphabetically by name of site. | <u>Permanent.</u> Break file every 10 years and offer to NARA 10 years after file break. | NCI-431-81-4 Item 1.d |

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RECORDS OF NRC OFFICES

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| 3. | <u>Audiocassettes for Technical Training</u> Audiocassettes purchased from outside sources for technical training of NRC Staff. | Erase and reuse when no longer needed. | NC1-431-81-4 Item 4.a |
| 4. | <u>Case Study Report Files</u> Copies of reports with all background documentation providing detailed information on formal evaluations of events with the highest potential risk to the public as identified by prior screening of LERs by AEOD engineers. Arranged numerically by case study number. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-5 Item 4.1.2 |
| 5. | <u>Emergency Planning Files</u> | | |
| a. | Case files accumulated in the Office for Analysis and Evaluation of Operational Data, consisting of a record copy of each plan or directive issued, when related background papers. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.a |
| b. | Record set of NRC reports of operation tests accumulated in the Office for Analysis and Evaluation of Operational Data, consisting of consolidated or comprehensive reports reflecting NRC-wide results of tests conducted under emergency plans. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.b |
| c. | Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC. | Destroy when superseded or obsolete. | NC1-431-81-1 Item 3.c |

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RECORDS OF NRC OFFICES

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| 6. | <p><u>Emergency Planning Maps</u></p> <p>Maps are used in NRC's emergency preparedness program.</p> | <p>Permanent. Offer to NARA when 10 years old.</p> <p>Permanent. Offer to NARA when 10 years old.</p> | <p>NC1-431-81-3 Item 1</p> |
| a. | <p>Record set maps, developed from USGS 7.5 minute series topographical maps depicting a 10 mile radius of each nuclear power plant.</p> | <p>Permanent. Offer to NARA when 10 years old.</p> | <p>NC1-431-81-3 Item 1</p> |
| b. | <p>Record set of maps of the ingestion pathway emergency planning zone depicting a 50-mile radius of each power plant. Maps are developed from USGS 1:250,000 scale series topographic maps.</p> | <p>Permanent. Offer to NARA when 10 years old.</p> | |
| c. | <p>Copies of maps described in a. and b. above.</p> | <p>Destroy when superseded or obsolete.</p> | |
| 7. | <p><u>Operational Data and Information Screening Files</u></p> <p>Files consist of document control sheets describing AEOD's review of Licensee Event Reports (LERs) and other operational data and information submitted for final review.</p> | <p>Destroy when five years old or one year after completion of formal case study, whichever occurs first.</p> | <p>NC1-431-81-5 Item 4.1.1</p> |
| 8. | <p><u>Regulatory Information Tracking System - AEOD (AEOD-RITS)</u></p> <p>This system consolidates/integrates three automated systems (TACS, MPS, and IRTS) which provide AEOD management with an information source to assist in planning, scheduling and budgeting office resources.</p> | <p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p> | <p>NC1-431-81-2 Item 12.1.1</p> |

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RECORDS OF NRC OFFICES

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| 9. | <u>Telephone Recordings Alerting the NRC Duty Officer</u> | | |
| a. | Telephone recording from NRC Licensees (Nuclear Power Plants) alerting the NRC duty officer of unusual occurrences or events as required by 10 CFR 50.72. Recordings that result in significant change in regulatory activities and procedures and are the subject of Congressional investigations or hearings, or will be of great interest to public. | <u>Permanent.</u> Offer to NARA when 5 years old or when no longer needed, both multichannel original tapes and re-recordings done on standard 1/4-inch audio tape, full-track, at 1-7/8 IPF or higher. Available transcripts should accompany the recordings. | NC1-431-83-5 Item 1 |
| b. | Those recordings that have significant value but not the magnitude of 1 above. | Retain for 3 years, erase and reuse tape. | |
| c. | Those recordings that are of routine nature day-to-day. | Erase and reuse tape. | |
| 10. | <u>Training Aids</u> | | |
| a. | One copy of each manual, syllabus, textbook, and other training aid for management and technical subjects developed by the Commission and maintained by the Organizational Development and Training staff and the AEOD Training officers, both Headquarters and Chattanooga, Tennessee. | <u>Permanent.</u> Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.40 |
| b. | Training aids from other agencies or private institutions. | Destroy when superseded or obsolete. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 5.. RECORDS OF THE ATOMIC SAFETY AND LICENSING BOARD PANEL

The Atomic Safety and Licensing Board Panel (ASLBP) develops procedures applicable to activities of hearing boards and makes appropriate recommendations to the Commission relating to the conduct of hearings, and hearing procedures for the guidance of the boards. Atomic Safety and Licensing Board conducts such hearings as the Commission may authorize or direct; make such intermediate or final decisions as the Commission may authorize in proceedings to grant, suspend, revoke, or amend licenses or authorizations; and perform such other regulatory functions as the Commission deems appropriate.

The following record schedules were developed for records unique to the ASLBP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Advisory Screening Committee Consultant Personnel Files</u> Correspondence, reports, and other records pertaining to the qualifications and employment of outside technical advisors or consultants under contract with the Committees. | Destroy ten years after termination of contract. | NC1-431-81-5 Item 2.2.6 |
| 2. | <u>Memoranda to Panel Board Members</u> Memoranda of an informational nature on technical matters of use to full-time and part-time panel members, arranged numerically by memorandum numbers within fiscal years. | | |
| | a. Legal memos. | <u>Permanent</u> . Offer to NARA when 20 years old. | NC1-431-81-5 Item 2.2.2 |
| | b. Technical memos. | <u>Permanent</u> . Offer to NARA when 20 years old. | |
| 3. | <u>Minutes of Advisory Screening Committees</u> Minutes of each advisory screening committee and copies | Retain for life of committee | NC1-431-81-5 Item 2.2.5 |

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| | of other documents related to the minutes. | | |
| 4. | <u>Panel Board's Monthly Status Report to Commissioners</u> | | |
| | Reports from the Chairman of the Panel to the Commission summarizing the activities of the Board. | Destroy when 10 years old. Cut off files annually. | NC1-341-81-5 Item 2.2.3 |
| 5. | <u>Power Reactor License Docket Files of the ASLBP</u> | | |
| | Case files containing copies of license applications, staff papers, letters of intervenors, letters from the Board, I&E Reports, Commissioners' reports, and other docket-related documentation. | Cut off files upon completion of ASLBP action. Retire inactive files in annual blocks. Destroy inactive files when 4 years old. | NI-431-89-3 Item 1 |
| 6. | <u>Transcripts of ASLBP Hearings</u> | | |
| | Verbatim transcripts of the formal ASLBP hearings. These transcripts are filed in the Commission's Official Decisional Docket File (NRC Schedule 2, Part 25, Item 4). | Destroy when no longer needed for reference. | NC1-431-81-5 Item 2.2.4 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 6. RECORDS OF THE OFFICE OF THE COMMISSION

The Commission is responsible for licensing and regulating nuclear facilities and materials, and for conducting research in support of the licensing and regulatory process, as mandated by the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, and the Nuclear Nonproliferation Act of 1978; and in accordance with the National Environmental Policy Act of 1969, as amended, and other applicable statutes. These responsibilities include protecting public health and safety, protecting the environment, protecting and safeguarding materials and plants in the interest of national security, and assuring conformity with antitrust laws. Agency functions are performed through: standards-setting and rulemaking; technical reviews and studies; conduct of public hearings; issuance of authorizations, permits and licenses, inspection, investigation and enforcement; evaluation of operating experience, and research. The Commission is composed of five members, appointed by the President and confirmed by the Senate, one of whom is designated by the President as Chairman. The Chairman is the principal executive officer and the official spokesman of the Commission.

The following record schedules were developed for records unique to the Commission. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Commissioners' Chronological Files</u> Copies of all outgoing correspondence and reports prepared by the individual commissioners, arranged chronologically. | <u>Permanent. Offer to NARA when 10 years old.</u> | NC1-431-81-6 Item 2.1.1 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 7. RECORDS OF THE OFFICE OF COMMISSION APPELLATE ADJUDICATION

The Office of Commission Appellate Adjudication is responsible for monitoring cases pending before the licensing boards, providing the Commission with analyses of appellate adjudicatory matters with available options for Commission consideration, and drafting the formal appellate adjudicatory decisions, once the Commission makes a decision.

Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules are identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 8. RECORDS OF THE OFFICE OF CONGRESSIONAL AFFAIRS

The Office of Congressional Affairs (OCA) provides advice and assistance to the Chairman, Commission, and NRC staff on all NRC relations with Congress and views of Congress toward NRC policies, plans and activities; maintains liaison with Congressional committees and members of Congress on matters of interest to NRC; serves as primary contact point for all NRC communications with Congress, reviewing and concurring in all outgoing correspondence to members of Congress; coordinates NRC internal activities with Congress; participates in planning and developing NRC's legislative program; and monitors legislative proposals, bills and hearings.

The following record schedules were developed for records unique to OCA. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Congressional Correspondence Files</u> | Cut off file every 2 years. Transfer to WNRC 2 years after file break. Destroy when 10 years old. | NRC-431-81-5 Item 2.5.14 |
| 2. | <u>Congressional Correspondence System</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NRC-431-81-2 Item 13.F.5 |
| 3. | <u>Legislative Files</u> | Destroy when legislation is passed or when no longer needed. | NRC-431-81-5 Item 2.5.16 |
| | Copies of proposed House and Senate bills relating to NRC operation and related correspondence. | | |

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RECORDS OF NRC OFFICES

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| 4. | <u>Senate and House Members Profile Files</u> Files containing biographical information on members of the U.S. Congress. | Destroy when 5 years old or sooner if purpose has been served. | NC1-431-81-6 Item 2.5.15 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 9. RECORDS OF THE OFFICE OF CONSOLIDATION

The Office of Consolidation identifies reorganization concepts for review by the Planning Committee; coordinates NRC interaction with GSA, its contractors and consultants and other Government agencies; reviews and approves planning documents developed by GSA, the design architect, the interior space architect, the construction company and subcontractors, and other vendors; coordinates and directs activities of consultants and contractors to assure that NRC's requirements are satisfied; assures that critical milestones are identified and scheduled activities are accomplished as planned; provides overall coordination for procurement of goods and services required for occupancy of new buildings, oversees development of budgets and monitors commitments related to consolidation costs; and coordinates all consolidation related activities including move planning and implementation.

No schedules have been developed for material unique to this office. Reference NRC Schedule 1, "Records Common To Most Offices," and the General Records Schedules 1 through 23 for applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 10. RECORDS OF THE OFFICE OF THE CONTROLLER

The Office of the Controller (OC) is responsible for preparation of the agency's Five-Year Plan and Budget. This Office is also responsible for all accounting and financial systems management functions including payroll, travel, and license fees, and provides agency support for employee relocation services and internal control activities.

The following record schedule was developed for records unique to OC. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

1. Accounting System (CAB)

This system maintains data and information regarding NRC's financial transactions such as: collections and disbursements, unexpended allotments, obligations, payments, costs, appropriation and cash accounting balance. Produces reports such as: debits and credits, monthly transactions, trial balance and license fee invoices.

Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. NC1-431-81-2 Item 13.H.4

2. Budget Files

a. Correspondence or subject files in the Office of the Controller documenting Commission policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

Permanent. Offer to NARA when 10 years old. NC1-431-81-5 Item 1.5.29

b. Copies of budget estimates and justifications prepared and maintained by the Division of Budget and Analysis, Office of the Controller. Included are appropriation language sheets, narrative statements, and related schedules and data.

Permanent. Offer to NARA when 10 years old.

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| | c. Working papers and background materials maintained at all organizational levels. | Destroy 1 year after the close of the fiscal year covered by the budget. | |
| 3. | <u>License Fee Branch Reporting System (FEES)</u> | | |
| | The system maintains data and information on inspections conducted for safety/safeguards, materials, test, research or commercial reactors, and fuel facilities and is used to establish a basis for determining license fees. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.C.2 |
| 4. | <u>Integrated Financial Management Information System (IFMIS)</u> | | |
| | The system maintains data and information integrating accounting functions such as: general ledger, funds control, travel, accounts receivable, accounts payable, plant and capital equipment, and appropriation and funds. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.H.1 |
| 5. | <u>Payroll System (PAY)</u> | | |
| | Time and attendance cards are processed to determine leave status and deductions such as: health and life insurance, credit union, Federal and State taxes, bonds, pension, dependencies (per W-4 form) and CFF contributions. The system prepares a check tape, prints bonds and time and attendance slips. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.H.3 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 11. RECORDS OF THE OFFICE OF ENFORCEMENT

The Office of Enforcement develops policies and programs for enforcement of NRC requirements; manages major enforcement actions, assesses effectiveness and uniformity of Regional enforcement actions.

No schedules have been developed for material unique to this office. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 12. RECORDS OF THE OFFICE OF THE EXECUTIVE DIRECTOR FOR OPERATIONS

The operational activities of NRC carried out by several program and staff offices, are supervised and coordinated by the Executive Director for Operations (EDO). The EDO is also responsible for implementation of Commission policy directives pertaining to all program and staff offices reporting to him.

The following record schedule was developed for records unique to this office. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Work Item Tracking System (WITS-II)</u> The system, an upgrade of the current operating WITS, provides a common data base for Commission action items which can be shared by all NRC offices. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.F.3 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 13. RECORDS OF THE OFFICE OF THE GENERAL COUNSEL

The Office of the General Counsel (OGC) directs matters of law and legal policy, providing opinions, advice and assistance to the agency with respect to all of its activities; reviews and prepares appropriate draft Commission decisions on decisions and rulings, public petitions seeking direct Commission action, and rulemaking proceedings involving hearings; provides interpretation of laws, regulations, and other sources of authority, and the legal form and content of proposed official actions; prepares or concurs in all contractual documents, interagency agreements, delegations of authority, regulations, orders, licenses, and other legal documents and prepares legal interpretations thereof; reviews and directs intellectual property work; represents and protects the interests of the NRC in legal matters and in court proceedings, and in relation to other government agencies, administrative bodies, Committees of Congress, foreign governments and members of the public.

The following record schedules were developed for records unique to OGC. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Commission Memorandum File</u> | | |
| | Copies of memoranda to Commissioners containing legal opinions on a variety of subjects. Memoranda are numbered sequentially within years. | | |
| a. | Record set consisting of one copy of each memorandum. | <u>Permanent.</u> Transfer to WNRC when 10 years old. Offer to NARA when 20 years old. | NC1-431-81-5 Item 2.4.12 |
| b. | Other copies. | Destroy when no longer needed. | |
| 2. | <u>Legislative Files</u> | | |
| | Case files of legislation proposed by NRC consisting of proposals, staff comments, internal memos, correspondence with OMB, testimony, and draft bills. Arranged numerically by bill | <u>Permanent.</u> Transfer to WNRC when 10 years old. Offer to NARA when 20 years old. | NC1-431-81-5 Item 2.4.13 |

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| | number or by subject if more than one bill is involved. | | |
| 3. | <u>Licensing Docket Formal Hearing Files</u> | | |
| | Case files maintained by the Offices of the General Counsel on hearings before the Commission, Boards and Panels relating to antitrust actions, and applications for construction permits and operating licenses for individual nuclear facilities. Files consist of correspondence, briefs, pleadings, hearing transcripts, and related records on cases and are used by OGC staff in arguing cases. | | NC1-431-81-5 Item 1.3.19 |
| | a. Paper records. | Destroy after verification that microfiche copies are adequate substitutes for original records. | |
| | b. Silver master and one diazo copy of microfiche. | Offer to NARA. If not accepted by the National Archives, maintain until no longer needed by agency. | |
| | c. Reference copies of microfiche. | Destroy when no longer needed. | |
| 4. | <u>Litigation Case Files</u> | | |
| | Correspondence and copies of all papers filed in actions brought by or against the NRC. Arranged alphabetically by the name of the party involved in the suit. | Permanent. Transfer closed files to WNRC 7 years after cases are closed. Offer to NARA 20 years after cases are closed. | NC1-431-81-5 Item 2.4.11 |

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RECORDS OF NRC OFFICES

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|-----------------|---|--|-------------------------------|
| 5. | <u>Patent and Technical Data Files</u> | | |
| a. | Invention docket containing copy of invention disclosure and pertinent correspondence. | Destroy 10 years after file is closed. | NC1-431-81-5 Item 4.2.3 |
| b. | Case files of U.S. patent applications containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references as follows. | | |
| | (1) Abandoned patent applications. | Destroy 10 years after application is abandoned. | |
| | (2) Issued patents. | Destroy 25 years after patent is issued. | |
| c. | Files on contracts, subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts. | Destroy 10 years after patent clearance. | |
| d. | License agreement and assignment files containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments. | Destroy 25 years after issuance of patent. | |

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RECORDS OF NRC OFFICES

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|-----------------|--|---|-------------------------------|
| e. | Patent Agreement Forms, "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment. | Destroy when 56 years old. | NC1-431-81-5 Item 4.2.3 |
| f. | Docket files containing findings determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals, and U.S. Court of Claims. | Destroy when 25 years old. | |
| g. | Infringement files containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions. | Destroy when 30 years old. | |
| h. | Case files containing correspondence with contractors regarding U.S. patent applications referred for review under sections 151 and 152 of the Atomic Energy Act. | | |
| | (1) 151 "C" Reports and Applications. | Destroy 25 years after date of last action. | |
| | (2) 152 Applications. | Destroy 10 years after patent expires. | |
| i. | Ledgers and log record showing invention disclosures reported date, disposition, and U.S. office actions. | Destroy 10 years after last entry. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 14. RECORDS OF THE OFFICE OF INFORMATION RESOURCES MANAGEMENT

The Office of Information Resources Management (IRM) is responsible for centralized information resources in the areas of computer, telecommunications, and information services including data administration, office automation, microcomputers, systems development, computer operations, nationwide telecommunications equipment and services, the information technology support center, graphics, document control and management, records management and services, and the library.

The following record schedules were developed for records unique to IRM. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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|-----------------|--|--|-------------------------------|
| 1. | <u>Automated Information Documentation System (AIDS)</u> This system utilizes data sets which are created and maintained via WYLBUR to produce various printouts needed to document the programs, data files and data elements comprising a given system. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.F.4 |
| 2. | <u>Forms Files</u> | | |
| a. | One record copy of each NRC form created that is maintained by IRMB with related instructions. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.32 |
| b. | Working papers, background materials, requisitions, specifications, processing data, and control records maintained at all organizational levels. | Destroy when related form is discontinued, superseded, or cancelled. | |
| 3. | <u>Graphic Arts Files</u> | | |
| a. | Original artwork line and half-tone negatives, and other camera-ready copy pre- | Destroy when no longer needed for publication or reprinting. | NC1-431-81-4 Item 2 |

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RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| | pared for brochures, posters and other NRC publications by the Office of Administration and the Information Technology Services Branch, Office of Information Resources Management. | | |
| | b. Record set of posters distributed agency-wide or to the public and maintained by the Office of Administration and the Information Technology Services Branch, Office of Information Resources Management. Arranged chronologically. | <u>Permanent.</u> Offer to NARA when 10 years old. | |
| | c. Vu-graphs maintained in any NRC office. | Destroy when no longer needed. | |
| 4. | <u>Information Requirements Control Automated System (IRCAS)</u> | | |
| | The system, as an information locator, is used to plan and control NRC information collection requirements. Information is controlled at the subject or title level which includes cost number of respondents, originator, prescribing authority, staffhour burden, and whatever other administrative information is required. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.I.13 |
| 5. | <u>Regulatory Information Tracking Systems - IRM (IRM-RITS)</u> | | |
| | IRM-RITS is an integration of two computer systems (TACS, MPS) which are updated weekly. Data within the system are retained by staff member, and technical/ staff assignments. The system retains current and historical data on project schedules and staff resources. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.F.H |

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RECORDS OF NRC OFFICES

| | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA <u>APPROVED CITATION</u> |
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| | <p><u>Manpower System (MPS)</u></p> <p>The system maintains a data base of manhours charged against projects and programs, providing management with data for manpower analysis, reallocation, planning, budget validation and license-fee purposes.</p> | <p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p> | <p>NC1-431-81-2 Item 13.F.1</p> |
| 7. | <p><u>Project Management System (PMS)</u></p> <p>The system will maintain data and information to monitor and interrelate OANDB efforts on contracts, purchase orders, projects, tasks or subtasks, work orders and invoices.</p> | <p>Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc.</p> | <p>NC1-431-81-2 Item 12.J.1</p> |
| 8. | <p><u>Publications</u></p> <p>NUREGS, Pamphlets, reports, leaflets, regulations, manuals or the last manuscript copy if not published, relating to NRC matters.</p> | | |
| a. | <p>Record copy maintained in the Information and Records Management Branch, Office of Information Resources Management.</p> | | |
| (1) | <p>Publication in paper form only.</p> | <p><u>Permanent.</u> Offer to NARA when 10 years old.</p> | <p>NC1-431-81-5 Item 1.5.36</p> |
| (2) | <p>Publication in microform - silver master and one diazo copy.</p> | <p><u>Permanent.</u> Offer to NARA when 2 years old. Destroy paper records when it has been determined that microform copies are adequate substitutes for original records.</p> | |
| b. | <p>Work papers and background materials.</p> | <p>Destroy 6 months after publication.</p> | |

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RECORDS OF NRC OFFICES

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|-----------------|---|---|-------------------------------|
| | c. Other copies. | Destroy when no longer needed. | |
| 9. | <u>Records Retirement Lists</u> Copies of documents located in the IRMB created in retiring files to Federal Archives and Records Centers or similar records storage areas. Included are NRC Form 35, Standard Form 135, or similar lists, and related papers. | Retain in active files until all records listed thereon have been destroyed, maintain list in headquarters for permanent reference. | NC1-431-81-5 Item 1.1.1 |
| 10. | <u>Statistical Information System For Operating Reactors (SISOR)</u> The system maintains records of monthly operating data for each nuclear power plant in commercial operation. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 11.E.1 |
| 11. | <u>Technical Assignment Control System (TACS)</u> A computer data base containing items of information identifying, describing, documenting, and accounting for the recording and status reporting of all non-case related work in an office. TACS is a tool which allows for the systematic control of the total office work effort. (Both case and non-case work). | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.F.1 |
| 12. | <u>Telephone Directory System (TEL)</u> System maintains assignment of NRC telephone lines to users (employees) and identity of retired phone lines and changes; ensures rapid certification and payment of all long distance toll charges. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.I.3 |

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| 13. | <u>Timesharing Accounts Management System (TAMS)</u> This system provides detailed cost data on computer timesharing expenditures at NIH/DCRT. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.F.3 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 15. RECORDS OF THE OFFICE OF THE INSPECTOR GENERAL

The Office of the Inspector General (OIG) conducts investigations and inspections to ascertain and verify the integrity of all NRC operations; investigates allegations of NRC employee misconduct, equal employment opportunity and civil rights complaints; develops policies and standards governing the Commission's financial and management audit program, and administers Commission's day-to-day audit activities; serves as point of contact with the GAO on matters affecting NRC's financial and management audit function; makes such reports to the Commission as necessary to keep the Commission fully informed on its financial management responsibilities, and on the results of investigations and inspections, hears individual employee concerns regarding NRC operations and activities; refers criminal matters to the Dept. of Justice and maintains liaison with the Dept. of Justice and other law enforcement agencies.

Reference General Records Schedule (GRS) 22, "Inspector General Records," for schedules specific to the OIG. Also, reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 16. RECORDS OF THE OFFICE OF INTERNATIONAL PROGRAMS

The Office of International Programs (OIP) formulates and recommends policies concerning nuclear exports and imports, international safeguards, international physical security, nonproliferation matters, and international cooperation and assistance in nuclear safety and radiation protection. Plans, develops, and implements programs to carry out policies established in these areas. Plans develops, and manages international nuclear safety information exchange programs and coordinates international research agreements. Obtains, evaluates, and uses pertinent information from other NRC and U.S. Government offices in processing nuclear export and import license applications.

OIP also establishes and maintains working relationships with individual countries and international nuclear organizations, as well as other involved U.S. Government agencies. Assures that all international activities carried out by the Commission and staff are well coordinated internally and Government-wide and are consistent with NRC and U.S. policies.

The following record schedules were developed for records unique to OIP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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|-----------------|--|--|-------------------------------|
| 1. | <u>Country Files, Export/Import and International Safeguards Records</u> Files on individual foreign countries, including correspondence and other documents pertaining to international safeguards in handling nuclear materials, components and facilities, analyses of physical security, and agreements for cooperation. Filed alphabetically by name of country. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 4.5.13 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| ITEM NC. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED <u>CITATION</u> |
|-------------|--|--|-------------------------------------|
| 2. | <u>Country Files, International Arrangements</u> | Permanent. Offer to NARA 10 years after file becomes inactive. | NC1-431-81-5 Item 4.5.14 |
| 3. | <u>Export/Import License Docket File</u> | Permanent. Retire to WNRC when 10 years old. Offer to NARA 10 years after license has expired. | NC1-431-81-5 Item 1.3.21 |
| | Case files containing correspondence studies, analyses, and copies of formal bi-lateral arrangements documents pertaining to NRC formal arrangements. Program to exchange nuclear regulatory and safety information and to cooperate on the development of regulatory and safety standards. Also included are copies of research agreements and related correspondence. | | |
| | Case files and related control logs pertaining to the licensing of companies and individuals pursuant to 10 CFR Part 110 to export or import nuclear material and equipment and nuclear components and facilities. Included are license applications, a copy of the license, and all other documentation pertaining to the licensing process arranged numerically by license number. | | |
| | a. Official files maintained in the Office of International Programs. | | |
| | b. Other copies throughout NRC. | Destroy when no longer needed. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED CITATION |
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| 4. | <u>Files of Department of State Cables and Atomic International Forum Wires</u> | Destroy when 1 year old. Cut off files annually. | NC1-431-81-5 Item 4.5.18 |
| 5. | <u>Foreign Visitor Files</u> | | NC1-431-81-5 Item 4.5.16 |
| | Correspondence, memoranda, reports, program curricula, biographical data pertaining to the visit to NRC of foreign nationals for the purpose of exchanging information on nuclear safety and safeguards. | | |
| | a. Files on incidental visitors. | Destroy when 5 years old. Cut off files annually. | |
| | b. Files on visitors who have long term (3 to 6 months or longer) assignments working with NRC. | Destroy 10 years after termination of assignment. | |
| 6. | <u>Formal Arrangement and Agreement Files</u> | | |
| | Signed bi-lateral arrangement documents and original research agreements with foreign governments. Arranged alphabetically by name of foreign country. | <u>Permanent</u> . Cut off file when arrangement expires. Offer to NARA 10 years after expiration of arrangement. | NC1-431-81-5 Item 4.5.15 |
| 7. | <u>International Organization Files</u> | | |
| | Correspondence, memoranda, reports, and other records pertaining to NRC involvement with international organizations regarding nuclear safeguards. Arranged alphabetically by name of organization. | <u>Permanent</u> . Cut off file when NRC involvement with organization terminates. Offer to NARA 10 years later or sooner if purpose has been served. | NC1-431-81-5 Item 4.5.17 |

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RECORDS OF NRC OFFICES

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|-----------------|--|--|-------------------------------|
| 8. | <u>International Programs Export/Import License Tracking System (IPELTS)</u> The system maintains a centralized collection of data necessary to track and monitor all applications for nuclear material for export to foreign countries. U.S. import of nuclear material is also monitored. | Retain until it has been determined by a competent NRC Official that data are no longer needed, erase and reuse tape, etc. | NC1-431-2 Item 1.1.1 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 17. RECORDS OF THE OFFICE OF INVESTIGATIONS

The Office of Investigations (OI) conducts investigations of licensees, applicants, contractors or vendors and all allegations of wrongdoing by individuals other than NRC employees and NRC contractors; supervision and quality control of all investigative functions; develops policy, procedures and quality control standards for the conduct of OI investigations; ensures that all OI investigators are properly trained; keeps abreast of inquiries and of NRC licensee, applicant, contractor or vendor operations and advises the Commission, the Executive Director of Operations, and Administrators on the need of formal investigations; keeps the rest of the Agency informed of matters under investigation as they affect safety matters; advise and assist the Office of the Inspector General in appropriate referrals to the Department of Justice.

The following record schedules were developed for records unique to the OI. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|---|-------------------------------|
| 1. | <u>Allegation and Inquiry Files</u> Official case files located at NRC Headquarters documenting allegations of possible wrongdoing by licensees, applicants, contractors or vendors. Contains statements, interviews, summary reports, reports of inquiry, recommendations and other related material. | Hold closed allegation case files in office 2 years then retire to WNRC. Destroy 10 years after cases are closed. | NC1-431-83-6 Item 1 |
| 2. | <u>Investigation Case Files</u> Case files documenting investigations of licensees, applicants, contractors or vendors and any wrongdoing by individuals other than NRC employees and NRC contractors. Files include statements, interviews, support information relating to the investigation, interim reports and the report of investigation. | | |

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RECORDS OF NRC OFFICES

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|-----------------|--|---|--------------------------------|
| a. | <p>Official case files located at Headquarters selected by NRC because they meet one or more of the following criteria:</p> <ul style="list-style-type: none"> (1) Received wide attention from the news media; (2) Was of significant interest to Congress, the White House, or NRC commissioners; (3) Was involved in extensive litigation; (4) Was involved in a major policy discussion and/or change in the Office of Investigations or in the Nuclear Regulatory Commission as a whole; and (5) Prompted significant changes in designs or procedures by or relating to the nuclear industry. | <p><u>Permanent</u>. Hold in office for two years after closing. NRC will select cases for archival retention before retiring records to WNRC, using criteria listed above. The cases selected between 1984 and 1992 will be offered to NARA in 2002 and subsequent 10 year blocks will be offered at 10 year intervals thereafter.</p> | <p>NC1-431-83-6 Item 2</p> |
| b. | <p>Other official case files at NRC Headquarters.</p> | <p>Hold in office 2 years after closing then retire to WNRC. Destroy 10 years after cases are closed.</p> | |
| c. | <p>Regional office or investigators copy.</p> | <p>Destroy 2 years after the cases are closed.</p> | |
| | <p><u>Investigation Procedure Memos (IPM'S)</u></p> | | |
| | <p>OI official record set of formal issuances maintained at NRC Headquarters.</p> | <p><u>Permanent</u>. Offer a complete set to NARA in 2002 and at ten year intervals thereafter.</p> | <p>NC1-431-83-6 Item 3</p> |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 18 RECORDS OF THE OFFICE OF THE LICENSING SUPPORT SYSTEM ADMINISTRATOR
(OLSSA)

The OLSSA ensures that the Agency Licensing Support System (LSS) meets 10 CFR Part 2 requirements related to the use of the LSS in the Commission's high-level waste licensing proceedings; advises DOE on the design, development and testing of the LSS; provides for the operation and maintenance of the LSS including the entry of documentary material and access to the system by participants and the public; maintains the integrity and security of the LSS database and participant compliance with applicable rules including DOE compliance with document submission requirements in 10 CFR 2.1003.

No schedules have been developed for material unique to this office. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 19. RECORDS OF THE OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS (NMSS)

The records described in this schedule document NRC responsibility for ensuring public health and safety, protection of the national security, and protection of environmental values in the licensing and regulation of all facilities and materials licensed under the Atomic Energy Act of 1954, as amended, associated with the processing, transport and handling of nuclear materials, including the review and assessment of their safeguards against potential threats, thefts and sabotage.

The following record schedules were developed for records unique to NMSS. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NA&A APPROVED CITATION</u> |
|-----------------|---|--|-----------------------------------|
| 1. | <u>Certificate of Compliance Files</u> Original of NRC Certificates of Compliance documenting approval of licensee transportation of radioactive materials package design under 10 CFR Part 71. These certificates are published by NRC and a copy of all certificates are filed in applicable docket file. | Retain current certificates in notebook. Destroy when certificates are revised. | NC1-431-81-5 Item 4.6.20 |
| 2. | <u>Docket Files for the Disposal of High-Level Radioactive Wastes in Geologic Repositories</u> Case files documenting the licensing of the U.S. Department of Energy to receive and possess source, special nuclear and by-product material at a Geologic Repository Operations Area pursuant to 10 CFR Part 60. Included are license application, site characterization, environmental report, license, amendments and all other related documentation. | | NC1-431-83-2 Item 1 |
| a. | Official case files located in the Office of Nuclear | Permanent. Retire to WNRC 10 years after expiration | |

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|-----------------|---|---|-------------------------------|
| | Material Safety & Safeguards. | or termination of license. Offer to NARA in 5-year blocks after license expiration or termination. | |
| | b. All other copies. | Destroy 1 year after termination or expiration of license or sooner if no longer needed for reference. | |
| 3. | <u>Docket Files for the Land Disposal of Radioactive Wastes</u> | | NC1-431-83-3 Item 1 |
| | Case files documenting the licensing of persons, companies, institutions and facilities to receive, possess and dispose of low-level radioactive wastes containing byproduct, source and special nuclear material at a land disposal facility. Records include application, environmental report, license and license amendments, and all other related documentation. | | |
| 4. | <u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u> | | |
| | Case files documenting the licensing of persons, institutions, facilities or companies to use byproduct, source and special nuclear material, and to transport nuclear material as defined in 10 CFR Parts 30, 40, 50, 70, and 71. Included are the application, license and amendments, and all related documentation. Excluded are case files (under 10 CFR Part 40) with license prefix of "SUA" which are covered by schedule 2, Part 28, Item 1. | Note: Destruction of Official Records suspended until resolution of GAO request to make certain decommissioning records in this series permanent. | NC1-431-81-5 Item 1.3.22 |

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RECORDS OF NRC OFFICES

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| a. | Official case files, except for those files covered by "b" below. Regional case files which include the Official Records for Inspections; also reference NRC 2-24.7, "Inspection & Enforcement Case Files", items a and b.2, and use the longest period applicable. | Retire to WNRC after license is expired or terminated and receipt of certification that premises are free of contamination. Destroy 10 years after date of certification, or Decommissioning Procedure. | |
| b. | Case files covering licensee for which licensing jurisdiction is transferred to the State under agreement covering transfer of function. | Transfer to Agreement States. | |
| c. | All copies in NMSS and Regional Offices. | Destroy when 1 year old or earlier if purpose has been served. | |
| 5. | <u>Independent Spent Fuel Storage Installation Docket Files</u> | | N1-431-89-4 Item 1 |
| | Case files documenting the licensing to possess power reactor spent fuel and other radioactive materials associated with spent fuel storage, in an Independent Spent Fuel Storage Installation (ISFSI) as defined in 10 CFR Part 72. Each license issued is for a period of 20 years. Records consist of all required licensing documents including license application, license and amendments; all required periodic reports; and all other related documentation. | | |
| a. | Official ISFSI Docket files corresponding to Nuclear Power Plant Docket files selected for permanent | <u>Permanent.</u> Cut off files upon termination of license. Retire files to IRMB 1 year after cut | |

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| | retention schedule 2-20.9.a. | off. Transfer to the National Archives 20 years after termination of license. | |
| | b. Official ISFSI Docket files not selected for permanent retention. | Cut off files upon termination of license. Retire files to IRMB 1 year after cut off. Destroy 20 years after termination of license. | |
| | c. All other copies in NMSS, NRR and regional offices. | Destroy 1 year after license terminates or earlier if no longer needed for reference purposes. | |
| 6. | <u>International Safeguards Program Office</u> | | |
| | ISPO files copies of reports developed by U.S. contractors under the Program for Technical Assistance to IAEA Safeguards (POTAS). The ISPO is a part of the Brookhaven National Laboratory and is responsible for coordinating the comments and development process of the POTAS reports. Also included in the files are correspondence between ISPO and NRC, DOE and DOJ and NRC response to ISPO requests for comments on draft reports and copies of final reports. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-5 Item 4.6.24 |
| 7. | <u>Licensee Mismanagement Files</u> | | |
| | Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors or other medical facilities) | Files to be maintained by licensee or State office of radiological safety for 75 years from date of report. If records are deposited with NRC, | NC1-431-81-5 Item 1.4.26 |

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RECORDS OF NRC OFFICES

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| | containing name of individuals and other data pertaining to the mismanagement. | destroy 75 years from date of report. | |
| 8. | <u>NMSS Case Work System (CASE)</u> System provides management with a means to identify and track the status of all case work items relative to licensing nuclear fuel facilities and materials. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.9.4 |
| 9. | <u>Nuclear Material Management and Safeguards System (NMMSS)</u> The NMMSS is a national nuclear material accounting system. It provides information needed to track and regulate production, transfer, possession, use, import, and export of nuclear materials. The system maintains information on the location and quantities of special nuclear materials, SNM, in possession of DOE and NRC licensees. The system is operated by Union Carbide Corp. at the Gaseous Diffusion Plant in Oak Ridge, Tenn. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 11.B.2 |
| 10. | <u>Process Operator License Files</u> Case files documenting the licensing of process operators in reprocessing plants including new and/or renewal applications, medical certificates, licenses and amendments, examinations and results, and related correspondence, including denial information. | | NC1-431-81-5 Item 4.6.19 |
| | a. Latest applications and related correspondence, | Destroy 4 years after expiration or termination | |

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| | license, examination and results; all medical certificates and data; and all examiners reports. | of license or issuance of denial letter. | |
| | b. Superseded applications and related correspondence, licenses, examinations and results; denial letters. | Destroy when 2 years old or when superseded, whichever is later. | |
| 11. | <u>Quality Assurance Files</u> | | |
| | Originals of NRC 311 or its equivalent documenting NRC determination that licensee meets requirements of Sec. 71.51 of 10 CFR Part 71 (Quality Assurance Program on Radioactive Material Packages). Record copy is in Docket File. | Destroy 5 years after termination of license. | NC1-431-81-5 Item 4.6.21 |
| 12. | <u>Regulatory Information Tracking System - NMSS (NMSS-RITS)</u> | | |
| | NMSS-RITS is an integration of five computer systems (NMSS case work, TACS, MPS, BUDS and POPS) which are updated weekly. Data within the system are retained by staff member, licensee, and technical assignments. The system retains current and historical data on project schedules and staff resources. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.B.3 |
| 13. | <u>Safety Evaluation Reports</u> | | |
| | NRC narrative reports and revisions describing actions taken by applicants and NRC, and individual aspects of radioactive material package design under the requirements of 10 CFR Part 71. | Destroy in accordance with the authorized disposition for schedule 2-19.4.a. and b. | NC1-431-81-5 Item 4.6.22 |

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| 14. | <u>Sealed Source and Device Review Files</u> | Destroy in accordance with authorized disposition for schedule 2-19.4.a and b. | NC1-431-81-5 Item 4.6.23 |
| | Case files which document NRC review and approval of the design of sealed sources and/or devices containing licensed radioactive materials. A certificate or registration for sealed sources and/or devices is issued when the design is considered acceptable for licensing. Included are copies of applications, Certificates of Registration, safety analysis summaries and related correspondence. | | |
| 15. | <u>Source and Special (SS) Material Accountability System Files</u> | Destroy when 3 fiscal years old. | NC1-431-81-5 Item 4.6.25 c |
| | a. <u>SS Material Shipping Form Files</u> consisting of DOE/NRC Forms DP-741 or equivalent, used in the transfer of source and special nuclear materials, or other special nuclear materials, or other material controlled by the SS Materials Accountability System at Oak Ridge National Laboratory. | | |
| 15. | <u>Transport Approval Package Information System (TAPIS)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 11.8.1 |
| | The system maintains data and information regarding all packages approved by NRC for use in the transportation of radioactive material. Included are description of package, approval particulars and all licensed users. | | |

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| 17. | <u>UMTRAP Project Licensing Case Files</u> | | |
| | Project files documenting the concurrence and licensing activities for the Uranium Mill Tailings Remedial Action Program (UMTRAP), pursuant to the Uranium Mill Tailings Radiation Control Act of 1978. | | NC1-431-89-1 Item 1 |
| | a. Official project files located in the NRC File Center (Central Files) and Region IV, Uranium Recovery Field Office. | <u>Permanent.</u> Cut off files in 1995 and retire in 5 year blocks thereafter. Retire to WNRC 1 year after cutoff. Case files are to remain in NRC custody until licenses are terminated, expired, or 75 years old, whichever is earlier. Review and offer terminated or expired licenses and material more than 75 years old to NARA at 20 year intervals beginning year 2020. | |
| | b. All other copies. | Destroy one year after termination or expiration of license or sooner if no longer needed for reference. | |
| | | (Note: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid). | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 20. RECORDS OF THE OFFICE OF NUCLEAR REACTOR REGULATION (NRR)

The records described in this schedule document the NRC licensing functions associated with construction and operation of nuclear reactors and with receipt, possession, ownership, and use of special nuclear and byproduct material used at reactor facilities; the review of applications and issue of licenses for reactor facilities required to be licensed under the Atomic Energy Act of 1954, as amended and the evaluation of health, safety, and environmental aspects of facilities and the development of sites; regulations; the analysis of reactor design concepts; the evaluation of methods of transporting nuclear materials and radioactive wastes on reactor sites; and the monitoring and testing of operating reactors, recommending upgrading of facilities and modification of regulations, as appropriate.

The following record schedules were developed for records unique to NRR. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

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| 1. | <u>Antitrust Case Files</u> Files consist of copies of licensee applications with antitrust information on applicant, correspondence with the Office of the General Counsel and Department of Justice relating to findings on the applicant's financial background. | Destroy 20 years after license is approved. | NC1-431-81-5 Item 4.7.26 |
| 2. | <u>E-2 System (IRMS)</u> The system produces manpower computational tables (E-2) and budget estimate tables (E-3A, E-3, E-4). These tables reflect manpower requirements for inspections of facilities by type, phase of construction or operation and age. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.C.4 |
| 3. | <u>Emergency Planning Files</u> | | |
| a. | Case files accumulated in the Office of Nuclear Reactor Regulation, consisting | Permanent. Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.a |

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| | of a record copy of each plan or directive issued, with related background papers. | | |
| b. | Record set of NRC reports of operation tests accumulated in the Office of Nuclear Reactor Regulation, consisting of consolidated or comprehensive reports reflecting NRC-wide results of tests conducted under emergency plans. | <u>Permanent</u> . Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.b |
| c. | Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC. | Destroy when superseded of obsolete. | NC1-431-81-1 Item 3.c |
| 4. | <u>Licensing Project Files</u> | | |
| | Applications for construction permits and/or licensing and related records on withdrawn or otherwise cancelled projects. | | NC1-431-81-1 Item 1 |
| a. | Files under 10 CFR Part 50. | Destroy 20 years after withdrawal or cancellation. | |
| b. | Files under other applicable parts of 10 CFR. | Destroy 1 year after withdrawal or cancellation. | |
| 5. | <u>Morning Reports</u> | | |
| | Reports containing items of interest distributed at both headquarters and Regional offices, containing management information of interest to staff. Report is required by NRC Inspection Manual. | Destroy when 6 months old. | NC1-431-81-5 Item 4.4.11 |

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| 6. | <u>Non-licensing Project Files</u> | | |
| | Reports and correspondence relating to specific DOE developmental projects involving use of nuclear materials. | Destroy 20 years after completion of project. | NC1-431-81-1 Item 2 |
| 7. | <u>NRC Inspection Manual</u> | | |
| | Record copy of the NRC Inspection Manual including all changes thereto. | Permanent. Offer to NARA at periodic intervals when superseded or obsolete. | NC1-431-81-5 Item 4.4.8 |
| 8. | <u>NRC Issuance Files</u> | | |
| | a. NRC official or record set of formal issuances prepared by NRR staff consisting of NRC Circulars, Bulletins, and Information Notices. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-5 Item 4.4.5 |
| | b. Regional office copies and other copies of issuances. | Destroy when no longer needed. | |
| 9. | <u>Nuclear Power Plant Docket Files</u> | | |
| | Records documenting licensing of the construction and operation of commercial nuclear reactors for power generation pursuant to Parts 2, 20, 50, 100 and 140 of Title 10, Code of Federal Regulations. Material consists of individual applicant case files, identified by assigned docket numbers, containing copies of all documents received or generated in the review, evaluation, and authorization stages of the licensing process. Each operating license issued is for a fixed time period specified in the license document but in no case exceeding 40 years. Licenses may be renewed by NRC | Note: Destruction of Official Records suspended until resolution of GAO request to make certain decommissioning records in this series permanent. | NC1-431-81-5 Item 1.3.20 |

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| | upon the expiration of the initially authorized operating period. | | |
| a. | Official docket files of the Office of Nuclear Reactor Regulation, located in the Information and Records Management Branch, determined by the NRC or the NARA to have exceptional value because of the highly significant nature of their contents or their uniqueness. Included are files that: | <u>Permanent.</u> Offer to NARA 20 years after termination of license. | |
| | (1) Result in judicial decisions or legislation that affect the functions and activities of NRC, e.g. Enrico Fermi No. 1 (Power Reactor Demonstration Co. Reactor). | | |
| | (2) Result in significant changes in regulatory activities and procedures, e.g., Brown's Ferry. | | |
| | (3) Were the subject of Congressional investigation or were of great public interest, e.g., TMI. | | |
| b. | Other docket files of NRR except for that part of the files described in Item 9.c. below. | Destroy 20 years after termination of license. | |
| c. | Hearing and intervention correspondence and information; hearing transcripts of | Destroy when 5 years old. | |

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| | boards and panels; inspection reports and related correspondence; and any other documentation duplicated in the permanent file described in a. above and NRC Schedule 2, Part 25, Item 4 and NRC Schedule 2, Part 24, Item 7.a. | | |
| | d. Duplicate docket files located in the PDR, and Regional offices except for documentation described in NRC Schedule 2, Part 24, item 7.a. | Destroy when 5 years old or sooner if purpose has been served. | |
| 10. | <u>Preliminary Notification of Event or Unusual Occurrence</u> <u>PNO, PNS Files</u> | | |
| | Copies of preliminary reports constituting early notice of any significant event of possible safety or public interest. The information contained in reports is as initially received by telephone or other informal notification without verification of evaluation. | Destroy when 4 years old. | NC1-431-81-5 Item 4.4.7 |
| 11. | <u>Regulatory Effectiveness Reviews</u> | | |
| | Case files documenting the evaluations of the overall effectiveness of regulations under which a Nuclear Power Plant operates. Included are team inspections comprising "Vital Area Analyses," "Facility Systems Analysis Reports," internal memoranda, Regulatory Effectiveness Review Reports, and related correspondence. | | N1-431-88-5 Item 1 |

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| a. | Official records retained in the NRC File Center. | Cut off when all RER findings are closed (normally 1-5 years). Retire to the Archival Facility one year after cut off. Destroy 10 years after cut off. | |
| b. | Extra copies of records used for working or reference. | Destroy when no longer needed for reference purposes. | |
| 12. | <u>Regulatory Information Tracking System - NRR (NRR-RITS)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.A.4 |
| 13. | <u>Reports of Defects or Non-Compliance (Part 21 Reports)</u> | Destroy two years after matters reported have been resolved. | NC1-431-81-5 Itr. 4.4.10 |
| 14. | <u>Safeguard Status Reports</u> | Destroy when superseded by new report. | NC1-431-81-5 Item 4.4.9 |
| | Monthly computer printouts containing an inventory of all nuclear material located in NRC licensed facilities throughout | | |

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| | the United States. Reports are derived from information furnished by regional inspectors. | | |
| 15. | <u>Seismic Qualification (SEISMIC)</u> | | |
| | The system maintains data and information regarding seismic equipment qualifications for NRC staff review and evaluation. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 11.A.2 |
| 16. | <u>Statistical and Enforcement Text System (766)</u> | | |
| | The system contains data and information regarding inspection, investigation, inquiry activities and associated enforcement actions. Textual information concern items of noncompliance, licensee identified item, and deviation identified during an inspection activity. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.C.1 |
| 17. | <u>Steam Generators</u> | | |
| | This system maintains a data base of engineering information regarding reactor power plant steam generator operating experience. It is used to evaluate the qualitative and quantitative aspects of steam generator operating experience. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 11.A.3 |
| 18. | <u>Vendor Topical Reports</u> | | |
| | Reports submitted as part of licensing requirements by nuclear steam supply systems vendors containing information of use to utility companies as well as the Commission. | | |

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| a. | Silver master and one diazo copy of microfiche. | Offer to NARA when 20 years old. If the National Archives declines, destroy when no longer needed. | NC1-431-81-5 Item 1.1.10 |
| b. | Paper copies of reports. | Destroy when microfiche copies are determined to be an adequate substitute for paper copies or when no longer needed if office does not have access to microfiche copies. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 21. RECORDS OF THE OFFICE OF NUCLEAR REGULATORY RESEARCH (RES)

The records on this schedule document the planning and implementation of the programs of nuclear regulatory research which the Commission deems necessary for the performance of its licensing and related regulatory functions.

The following record schedules were developed for records unique to RES. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

Note: The Research Records Schedule Items 2, 3, 5, 9, and 13 through 16 have been rescinded per NARA Bulletin 88-2. Records created prior to September 30, 1987 can be destroyed in accordance with the existing schedules in effect at that time. Subsequent records must be retained and destroyed according to the replacement schedules. New records schedules are forthcoming.

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| 1. | <u>Budget System, Research</u> An automated budget, contract and financial plan system maintains data and information regarding laboratory contract proposals, 189's, of the Office of Research; controls, executes and records monthly cost performance of approximately four hundred R&D tasks throughout the budget and financial plan cycles. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.D.3 |
| 2. | <u>Experiment and Test Files</u> Experiment and test records for research projects, as follows: | | NC1-431-81-5 Item 4.8.33 |
| | a. Record print of edited still and motion picture film resulting from experiments and tests. | <u>Permanent</u> . Offer to NARA when 20 years old. | |
| | b. Raw test data consisting of instrumentation material such as film record charts, graphs, tapes, etc. | Destroy when 5 years old. | |

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| | c. Plans and procedures for conducting the experiment or test. | Destroy when 5 years old. | |
| 3. | <u>Field Test Files</u> Records that are accumulated at test sites and consists of various types of motion picture films, oscillograms, magnetic tapes, etc., on which are recorded raw or unevaluated data; and evaluation data resulting from study of above material, including memoranda, graphs, tabulations, reports, and related papers referred to collectively as "Reduced Data." | | NC1-431-81-5 Item 4.8.29 |
| | a. Raw test data, consisting of Mitchell camera film, Askania phototheodolite film, and Fastex film; trajectory data oscillograms, telemetry oscillograms, and magnetic tapes. | Destroy when 5 years old or 1 year after completion of final evaluation report of test project, whichever comes first. | |
| | b. Reduced data as described above. | Destroy when no longer needed. | |
| 4. | <u>Grants' Files</u> | | |
| | a. Case files of contracts, reports, studies, agreements, correspondence, and other records relating to receipt, award, and monitoring of grants. | Destroy 6 years and three months after case is closed. | NC1-431-81-5 Item 1.5.33.a |
| | b. Reports, books, studies, or any other final grant product and related records. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.33.b |

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| c. | Unsuccessful grant application files consisting of applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications. | Destroy 3 years after rejection or withdrawal. | GRS 3-13 |
| d. | Grant administrative files consisting of correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. | Destroy when 2 years old. | GRS 3-14 |
| 5. | <u>Laboratory Notebooks</u> | | |
| | Scientists' notebooks containing resulting from research work, as follows: | | NC1-431-81-5 Item 4.8.34 |
| 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 add significantly to the project file except those described in (1) below. | Destroy 6 months after completion or termination of the related project(s). | |
| (1) | Notebooks containing data essential in establishing patent or invention rights. | Destroy when 25 years old or 6 months after completion or termination of the related project(s) whichever is later. | |
| b. | All other notebooks. | Permanent. Offer to NARA 10 years after completion or termination of the related project(s). | |

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| 6. | <u>National Standards Committee Participation System (SDCOM)</u> The system maintains a computer file of NRC personnel involved in the development of nuclear standards. A Nuclear Standards Directory is produced which associates corporations, committee members and particular standards activities. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape etc. | NC1-431-81-2 Item 13.E.1 |
| 7. | <u>Nuclear Safety Research Review Committee Records (NSRRC)</u> | | |
| | a. <u>Records of the NSRRC</u> Records of the NSRRC consisting of agendas, minutes, briefing materials, transcripts of full committee and subcommittee meetings, reports describing committee and subcommittee findings and recommendations, subject files consisting of internal memorandum, incoming and outgoing correspondence, special studies project files or topics requested by the Director of the Office of Nuclear Regulatory Research or the Commission, and all other documents pertaining to the functions, policies, and program responsibilities of the committee. | Cut off in 5 year blocks and retire to the NRC Archival Facility/ Washington National Records Center. Offer in 5 year blocks to the National Archives and Records Administration when 20 years old. | NI-431-90-3 Item 1 |
| | b. <u>General Administration Files</u> General administrative files pertaining to the routine internal management or general administration of the NSRRC such as budget, | Cut off at close of fiscal year. Destroy when 2 years old or sooner if purpose has been served. | GRS 23-1 |

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| | travel, procurement, etc. rather than the function for which the NSRRC exists. | | |
| 8. | <u>Nuclear Safety Standards Program Files</u> | | |
| | Records accumulated in connection with the development of nuclear safety standards and guides pertaining to the siting of suitable location, design of nuclear power plants, etc. Included are draft standards and guides, comments from staff offices and the public and related records. Standards are formally published as NRC Regulations NUREGS, Guides or Technical Specifications, which are retained permanently in microfiche form. See NRCS 2, Part 14, Item 8.a.(2). | Destroy when 20 years old. | NC1-431-81-5 Item 4.9.37 |
| 9. | <u>Original Tracings of Drawings, Specifications, and Photographs of Completed Product or Apparatus</u> | | |
| | | Permanent. Offer to NARA in annual blocks when 20 years old. | NC1-431-81-5 Item 4.8.36 |
| 10. | <u>Personnel Monitoring Report Files</u> | | |
| | Personnel monitoring reports and related information consisting of reports of individual monitoring from licensees required under 10 CFR Part 20. Documents consist of annual personnel monitoring reports and periodic reports of overexposures including NRC Form 5, the information from which is maintained on magnetic tapes accessed using the Radiation Exposure Information Reporting System (REIRS) at Oak Ridge National Lab. | | |

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| a. | Personnel monitoring reports and personnel overexposure reports submitted by licensees, from which all data are entered into REIRS. | Destroy 2 years after data are input into the REIRS. | N1-431-89-6 Item 1.a |
| b. | Personnel monitoring reports and personnel overexposure reports that are not placed in the REIRS or of which only selected data are entered into the REIRS. | Permanent. Retire to NRC/IRMB in 5 year blocks. Transfer to the National Archives in 5 year blocks when 20 years old. | N1-431-89-6 Item 1.b |
| c. | Electronic records of personnel monitoring report data, 1978-present (maintained at Oak Ridge National Laboratory). (Reference NRCS 2-21.12 "REIRS System.") | Permanent. Transfer data copy immediately on magnetic tape according to NARA technical requirements. Transfer revised data copies to the National Archives every 5 years. | N1-431-89-6 Item 1.c |
| d. | REIRS system programming and documentation. | Permanent. Transfer to the National Archives on an ongoing basis in conjunction with item 10c. | N1-431-89-6 Item 1.d |
| e. | Computer printouts produced by any organizational level. | Destroy when superseded or obsolete. | NC1-431-81-5 Item 1.4.27(c) |
| 11. | <u>Plans and Systems Design Descriptions</u> | | |
| | Drawings and plans of 64 systems associated with the LOFT * reactor. Maintained by the research contractor at the facility. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-3 Item 2 |

*Loss of fluid test.

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| 12. | <p><u>Radiation Exposure Information System (REIRS)</u></p> <p>The system maintains radiation exposure data reported by NRC licensee according to category such as: commercial reactors, industrial radiographers, fuel fabricators and processors and commercial distributors of specified quantities of by-product material. Such data assist in the evaluation of the effectiveness of NRC's regulatory program.</p> | <p><u>Permanent.</u> Transfer data copy immediately on magnetic tape according to NARA technical requirements. Transfer revised data copies to the National Archives every 5 years. (Initial transfer occurred 8/24/90.)</p> | <p>NC1-431-89-6 Item 1.c</p> |
| 13. | <p><u>Rejected Research Project Proposals</u></p> <p>Rejected proposals for research projects consisting of unsolicited contract proposals from individuals and organizations which on evaluation by NRC were determined to be unacceptable and were subsequently rejected.</p> | <p>Destroy 2 years after rejection.</p> | <p>NC1-431-81-5 Item 4.8.30</p> |
| 14. | <p><u>Research Background Files</u></p> <p>Records which are background papers and data which serve as backup to laboratory notebooks and scientific and technical reports.</p> <p>a. Source data files, punch cards, magnetic tapes, computer printouts, recorder charts, preliminary drawings, film, questionnaires, surveys, etc., 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</p> | <p>Destroy when the program manager determines that the records have no probable value.</p> | <p>NC1-431-81-5 Item 4.8.35</p> |

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| | and used for reference in arriving at determinations in the conduct of research projects. | | |
| | b. Summary data, and/or records reflecting significant findings or containing scientific data not duplicated elsewhere which serve as backup for notebook entries and/or reports. | Destroy when 7 years old. | |
| 15. | <u>Research Program Files</u> | | |
| | Program files consisting of various documents, data, and correspondence accumulated by divisions and offices responsible for the formulation, planning, direction, review, and evaluation of research and development in assigned areas. | <u>Permanent</u> offer to NARA when 20 years old. | NC1-431-81-5 Item 4.8.31 |
| 16. | <u>Research Project Case Files</u> | | |
| | Project Case Files reflecting the history of a project from initiation to completion, including research, design, and test results. | | NC1-431-81-5 Item 4.8.32 |
| | Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles, and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and films resulting from the project. | | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| a. | Case files deemed by the NRC, contractor, or the National Archives and Records Administration to have exceptional value because of the highly significant nature of the research involved or uniqueness of the case file. Included are files that: | Permanent. Offer to NARA in annual blocks when 20 years old. | |
| | (1) Show development of new and significant techniques. | | |
| | (2) Relate to new and significant methodology and materials. | | |
| | (3) Were the subject of Congressional investigation or came under intensive public scrutiny. | | |
| | (4) Result in judicial decisions or legislative activities affecting the functions and activities of the NRC. | | |
| | (5) Result in significant changes in regulatory activities and functions of the NRC. | | |
| b. | All other case files. | | |
| 17. | <u>Scientific and Technical Reports</u> These are published and unpublished scientific and technical reports, as defined in NRC Management Directive 3.8. | | NC1-431-81-5 Item 4.8.28 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|---|-------------------------------|
| a. | Record copy officially designated by the originating NRC office or contractor. | | |
| (1) | Published reports. | See NCRS 2, Part 14, Item 8.a. for authorized disposition. | |
| (2) | Unpublished reports. | Permanent. Offer to NARA in annual blocks when 20 years old. | |
| b. | All other copies. | Destroy when no longer needed for reference. | |
| 18. | <u>Still Photographs Associated With LOFT</u> | Permanent. Break file every five years. Offer negative and print to NARA five years after file break. | NC1-431-81-4 Item 1.e |
| | Still photographs of instruments, facilities, procedures and special visits associated with the LOFT reactor. Prints are maintained in the Office of Nuclear Regulatory Research, Division of Accident Evaluation, Experimental Programs Branch and negatives are maintained by the research contractor arranged by subject. | | |
| 19. | <u>Video Recordings For Research Projects</u> | Permanent. Offer original, intermediate copy and print or dubbing to the National Archives when five years old. | NC1-431-81-4 Item 3.F |
| | Experiment and Test records for research projects, as follows: | | |
| a. | Edited, educational motion picture film or video-recordings on the LOFT program. Originals may be maintained by contractors and prints or dubbings maintained in the Office of Nuclear Regulatory Research, | | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--------------------------------|-------------------------------|
| | Division of Accident Evaluation, Experimental Programs Branch. | | |
| b. | Unedited documentary motion picture film or video recordings resulting from LOFT experiments and tests. | Destroy when no longer needed. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

RECORDS OF THE OFFICE OF PERSONNEL

The Office of Personnel (OP) plans and implements NRC policies, programs and services to provide for the effective organization, utilization and development of the agency's human resources.

The following record schedules were developed for records unique to OP. Reference NRC Schedule 1, "Records Common To Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the Office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--|-------------------------------|
| 1. | <u>Audiocassettes for Technical Training</u> Audiocassettes purchased from outside sources for technical training of NRC Staff. | Erase and reuse when no longer needed. | NC1-431-81-4 Item 4 |
| 2. | <u>Automated Personnel System (APS)</u> The Automated Personnel System maintains records on NRC personnel regarding previous employment, history of NRC employment and present status. Information and data regarding various employee actions are input to the system. These actions are: accessions, transfers, terminations; and/or regular reports such as: notice of in-grade step, employment trends, minority employment, skills and levels, grades by sex or minority and anticipated retirement levels. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.I.6 |
| 3. | <u>Awards Files</u> a. Records relating to meritorious and distinguished service awards made at the Commission level and maintained by the Office of Personnel. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.28 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|---|-------------------------------|
| | b. Copies of records described in a. above exclusive of those filed in Official Personnel Folders. | Destroy 2 years after award is made. | |
| 4. | <u>Health Records Files</u> Health case files on NRC employees, exclusive of records relating to unique occupational hazards of the atomic energy program, covered by the Personnel Exposure Files schedule, comprising forms and correspondence and related papers documenting medical treatment. | Sec GRS 1, Item 21 for authorized disposition | NC1-431-81-5 Item 1.4.24 |
| 5. | <u>Personnel Exposure Files</u> Records accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes. | | |
| | a. Individual NRC personnel folders containing data and radiation exposure. | Destroy 75 years from the date of the creation of the record. | NC1-431-81-5 Item 1.4.25 |
| | b. Film badge processing reports. | Destroy 75 years from date of report | |
| 6. | <u>Training Aids</u> | | |
| | a. One copy of each manual, syllabus, textbook, and other training aid for management and technical subjects developed by the Commission and maintained by the Organizational Development and Training staff and the AEOD Training officers, both Headquarters and Chattanooga, Tennessee. | <u>Permanent.</u> Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.40 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|---------------------|--|--------------------------------------|---------------------------------------|
| b. | Training aids from other agencies or private institutions. | Destroy when superseded or obsolete. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 23. RECORDS OF THE OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs (OPA) develops policies, programs and procedures for the Chairman's approval for informing the public of NRC activities. Prepares, clears, and disseminates information to the public and the news media concerning NRC policies, programs, and activities; keeps NRC management informed on media coverage of activities of interest to the agency; plans, directs, and coordinates the activities of public information staffs located at Regional Offices; conducts a cooperative program with schools and carries out assigned activities in the area of consumer affairs.

The following record schedules were developed for records unique to OPA. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|---|-------------------------------|
| 1. | <u>Information Files</u> | | |
| a. | Complete set of formal informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Office of Public Affairs. | Permanent. Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.34 |
| b. | Copies of records described in a. above. | Destroy when no longer needed. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 24. RECORDS OF THE REGIONAL OFFICES

The NRC Regional Offices execute established NRC policies and assigned programs relating to inspection, enforcement, licensing, state agreements, state liaison and emergency response within their Regional boundaries.

The following record schedules were developed for records unique to the Regions. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA APPROVED CITATION |
|----------|---|--|-------------------------------|
| 1. | <u>Action Item Tracking System (AITS)</u> | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.C.1 |
| 2. | <u>Duplicate NPP Docket Files</u> | Destroy when 5 years old or sooner if purpose has been served. | NC1-431-81-5 Item 1.3.20.d |
| 3. | <u>Emergency Planning Files</u> | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.a |
| | a. Case files accumulated in the Regional Offices, consisting of a record copy of each plan or directive issued, and related background papers. | | |
| | b. Record set of NRC reports of operation tests accumulated in the Regional Offices, consisting of consolidated or comprehensive reports reflecting results of tests conducted under emergency plans. | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-1 Item 3.b |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|---|-------------------------------|
| c. | Copies of records pertaining to office participation in emergency planning exercises and tests maintained in the various offices throughout NRC. | Destroy when superseded or obsolete. | NC1-431-81-1 Item 3.c |
| 4. | <u>Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files</u> | Note: Destruction of Official Records suspended until resolution of GAO request to make certain decommissioning records in this series permanent. | NC1-431-81-5 Item 1.3.22 |
| a. | Official case files, except for those files covered by "b" below. Regional case files which include the Office Records for Inspections; also reference NRCS 2-24.7, "Inspection & Enforcement Case Files", items a and b.2, and use the longest period applicable. | Retire to WNRC after license is expired or terminated and receipt of certification that premises are free of contamination. Destroy 10 years after date of certification, or Decommissioning Procedure. | |
| b. | Case files covering licensee for which licensing jurisdiction is transferred to the State under agreement covering transfer of function. | Transfer to Agreement States. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| | c. All copies in NMSS and Regional Offices. | Destroy when 1 year old or earlier if purpose has been served. | |
| 5. | <u>Health Records Files</u> Health case files on NRC employees, exclusive of records relating to unique occupational hazards of the atomic energy program, covered by item 12 of this schedule, comprising forms and correspondence and related papers documenting medical treatment. | See GRS 1, Item 21 for authorized disposition | NC1-431-81-5 Item 1.4.24 |
| 6. | <u>Information Files</u> | | |
| | a. Complete set of formal informational releases and publications, press conference transcripts, official speeches, and indexes thereto maintained by the Regional Offices. | <u>Permanent.</u> Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.34 |
| | b. Copies of records described in a. above. | Destroy when no longer needed. | |
| 7. | <u>Inspection and Enforcement Case Files</u> Files documenting the inspection activity and action relating to power reactors, byproduct, source and special nuclear material licensees, including copy of license, inspection and followup reports, inspectors' notes, enforcement action documents, final certification that premises are free of radiological contamination, and related documentation. | Note: Destruction of official records suspended until resolution of CAO request to make certain decommissioning records permanent. | NC1-431-81-5 Item 4.4.6 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| a. | <p>Official Case Files located in Regional Office determined by the NRC or the NARA to have exceptional value because of the highly significant nature of their contents or their uniqueness. Included are those inspection files that relate to the docket records to be retained permanently identified in NRC Schedule (2, Part 20, Item 9.a) i.e., those files that:</p> | <p><u>Permanent.</u> Offer to NARA 20 years after termination of license.</p> | |
| | <p>(1) result in judicial decisions or legislation that affect the functions and activities of NRC;</p> <p>(2) result in significant changes in regulatory activities and procedures; or</p> <p>(3) were the subject of Congressional investigation or were of great public interest.</p> | | |
| b. | <p>Other case files in Regional Offices except those described in (1) through (3) below.</p> | <p>Retire to WNRC after final certification. Destroy 10 years after final certification.</p> | |
| | <p>(1) Inspection Case Files of licenses under NRC jurisdiction which are allowed to expire or are terminated or superseded and not covered by 7.b.(2) below.</p> | <p>Destroy 3 years after final certification.</p> | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| | (2) Unique or special cases and/or cases where licensees are required to make extensive decontamination efforts as a result of the clearance survey. | Destroy 20 years after final certification. | |
| | (3) Case files of both Headquarters and Regional offices, consisting of material remaining after files are transferred to a State under agreement covering transfer of regulatory function. | Destroy 1 year after official file is transferred. | |
| | c. Copies of case files located in Headquarters Offices. | Destroy 1 year after final certification. | |
| | d. All other copies in NRR, NNS and Regional Offices. | Nonrecord. Destroy when 1 year old or earlier if no longer needed. | |
| 8. | <u>Licensee Mismanagement Files</u> | | |
| | Licensee reports and other records relating to incidents of the mismanagement of radiation administered to individuals by licensees (primarily doctors or other medical facilities) containing name of individuals and other data pertaining to the mismanagement. | Files to be maintained by licensee or State office of radiological safety for 75 years from date of report. If records are deposited with NRC, destroy 75 years from date of report. | NC1-431-81-5 Item 1.4.26 |
| 9. | <u>Module Status Report System</u> | | |
| | The system maintains the status of all modules required to be inspected under various inspection programs. Information includes definition of inspection program being monitored, facilities selected for review, | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.C.4 |

NRC SCHEDULE 2
RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| | modules with overdue inspections, inspection profile and a transaction listing of all facilities included in the review. | | |
| 10. | <u>Nuclear Material Accountability Worksheets</u> | | |
| | Worksheets maintained by regional inspectors in accounting for nuclear materials located at NRC licensed facilities. | Destroy when superseded or no longer needed. | NC1-431-81-5 Item 4.4.12 |
| 11. | <u>Outstanding Item Systems (OIS)</u> | | |
| | This system tracks all items which require follow-up action by Project and Specialist Inspectors. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.C.3 |
| 12. | <u>Personnel Exposure Files</u> | | |
| | Records accumulated to measure the degree of radiation exposure of individuals to external radiation and internally deposited isotopes. | | |
| | a. Individual NRC personnel folders containing data and radiation exposure. | Destroy 75 years from the date of the creation of the record. | NC1-431-81-5 Item 1.4.25 |
| | b. Film badge processing reports. | Destroy 75 years from date of report. | |
| 13. | <u>Reactor Operator and Senior Operator Docket Files</u> | | |
| | Case files containing information pertaining to 10 CFR Part 55 applicants for a license, licensed operators and individuals who previously held licenses. Documentation includes | Cutoff files upon latest license expiration/termination/revocation, application denial or withdrawal, or issuance of denial letter. Retire | NC1-431-90-4 Item 1 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|---------------------|--|---|---------------------------------------|
| | applications for a license, licenses, denial letters, and related licensing correspon- dence, correspondence pertain- ing to actions taken against a licensee, 10 CFR Part 50.74 notifications, certifications of medical examinations and related medical information, fitness for duty information, examination results and other docket information. | to FRC when 3 years old. Destroy when 10 years old. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 25. RECORDS OF THE OFFICE OF THE SECRETARY

The Office of the Secretary of the Commission (SECY) develops policies and procedures for the provision of complete secretariat services required for the discharge of Commission business and implementation of Commission decisions. The Secretary advises and assists; the Commission, offices reporting directly to the Commission, and staff on the planning, scheduling, and conduct of Commission business. The Assistant Secretary performs functions of the Federal Advisory Committee Management Officer; maintains liaison with certain boards and advisory committees.

The following record schedules were developed for records unique to SECY. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--|-------------------------------|
| 1. | <u>Bibliographic Retrieval System (BRS)</u> The system provides access to bibliographic data on NRC records maintained in the NRC Public Document Room. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 13.J.2 |
| 2. | <u>Commission (SECY) Paper Files</u> Commission Papers, generally referred to as SECY Papers, are formal documents prepared by NRC staff offices, Commission staff offices, ACRS and Boards and Panels as the principal instrument by which the Commission receives recommendations for decision and information on significant matters. Copies of all SECY papers are filed subjectively in the Secretariat subject file (NRC Schedule 1 Part 2, Item 2.a). | | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | NARA <u>APPROVED CITATION</u> |
|-----------------|--|--|----------------------------------|
| a. | <u>Commission (Secy) Paper Comment Folders</u> which are case files comprising the official record of the Commissioners' voting and their comments. Folders include a copy of the Secy Paper, vote sheets, and related comments and correspondence, arranged numerically by Secy Paper Number. | Permanent. Offer to NARA when 20 years old. | NC1-431-81-5 Item 2.3.7 |
| b. | Other copies of Commission (Secy) Papers. | Destroy when no longer needed for reference. | |
| 3. | <u>Commission Tracking System</u> The system generates reports which contain information on all tasks assigned to staff by Commission action; the tasks are contained in SECY Staff Requirements Memorandums, SRMs. The reports list each task according to action office, EDO/Office, OCM/Office, and status such as complete, overdue or on schedule. | Retain until it has been determined by a competent NRC Official that data are no longer needed; erase and reuse tape, etc. | NC1-431-81-2 Item 12.K.1 |
| 4. | <u>Commission's Decisional License Docket Files</u> The official license files of the Commission maintained in the Office of the Secretary containing copies of Licensing Board and Appeal Panel Orders and transcripts of hearings, exhibits consisting of copies of pertinent staff documents, Commission orders and decisions, and filings by various parties and related documentation in all licensing proceedings. The files are arranged numerically by docket number. | Permanent. Offer to NARA 5 years after expiration or revocation of license. | NC1-431-81-5 Item 1.3.16 |

NRC SCHEDULE 2
RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| 5. | <u>Duplicate NPP Docket Files of The PDR</u> Duplicate Nuclear Power Plant docket files located in the PDR. | Destroy when 5 years old or sooner if purpose has been served. | NC1-431-81-5 Item 1.3.20.d |
| 6. | <u>Narrative Histories</u> Narrative histories of the Commission and its work, including oral history projects. | | |
| | a. Record copy maintained by the NRC Historian. | <u>Permanent</u> . Offer to NARA when 10 years old. | NC1-431-81-5 Item 1.5.35 |
| | b. All other copies. | Destroy when superseded or obsolete. | |
| 7. | <u>Oral History Sound Recordings</u> Oral history sound recordings of NRC officials maintained by the Chief Historian, Office of the Secretary. | Erase and reuse when no longer needed. | NC1-431-81-5 Item 4.b |
| 8. | <u>Rulemaking Docket Files</u> Copies of rulemaking documents sent to the Office of the Federal Register for publication, and related correspondence and other documentation. | Destroy 5 years after the completion (through adoption or withdrawal) or rulemaking proceedings noticed in the <u>Federal Register</u> . | NC1-431-81-5 Item 2.3.10 |
| 9. | <u>Stenographic Tapes of Commission Meetings</u> | | |
| | a. Tapes of open meetings. | Destroy when transcribed. | NC1-431-81-5 Item 2.3.9 |
| | b. Tapes of closed meetings. | Destroy when two years old or later when a <u>complete transcript</u> has been disclosed, except that all | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| | | tapes of TMI are to be retained until disposal has been authorized by the Office of General Counsel. | |
| 10. | <u>Transcripts of Commission Meetings</u> | <u>Permanent.</u> Offer to NARA when 20 years old. | NC1-431-81-5 Item 2.3.8 |
| | Verbatim transcripts of open and closed meetings of the Commission, arranged chronologically by date of meeting. | | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 26. RECORDS OF THE OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION AND CIVIL RIGHTS

The Office of Small and Disadvantaged Business Utilization and Civil Rights (OSDBU/CR) develops and implements, in cooperation with the Director, Division of Contracts and Property Management and Directors of other affected Offices, specific policies and procedures to carry out the functions and duties of Sections 8 and 15 of the Small Business Act and Executive Order 12138, as they relate to the NRC. Provides focus for NRC efforts to assist small businesses, small businesses owned by socially or economically disadvantaged individuals, women-owned businesses, and firms in labor surplus areas.

The following record schedule was developed for records unique to the OSDBU/CR. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|---|-------------------------------|
| 1. | <u>General Files</u> General correspondence, memoranda, reports, and other records pertaining to the implementation of the office's program of assisting small and disadvantaged businesses or required by amendments to the Small Business Act of 1956. | Cut off file annually. Destroy when 5 years old. | NC1-431-81-5 Item 4.3.4 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

PART 27. RECORDS OF THE OFFICE OF STATE PROGRAMS

The Office of State Programs (OSP) plans and directs NRC's program of cooperation and liaison with States, local governments, interstate and Indian Tribe organizations. Participates in formulation of policies involving NRC/State cooperation and liaison; develops and directs administrative and contractual programs for coordinating and integrating Federal and State regulatory activities; maintains liaison between NRC and State, interstate, regional, Indian Tribe and quasi-governmental organizations on regulatory matters; monitors nuclear-related State legislative activities; and directs regulatory activities of State Liaison Officers located in Regional Offices. Participates in policy matters on State Public Utility Commissions (PUCs).

OSP also plans, implements, and manages the State Agreements program under the provisions of Section 274 of the Atomic Energy of 1954, as amended. Monitors the State Agreements program to evaluate its compatibility with the NRC regulatory program and adequacy to protect the public health and safety. Provides and coordinates training and technical assistance to the Agreement States. Recommends and administers policy for the Agreements State programs. Directs regulatory activities of State Agreement Officers located in Regional Offices. Provides technical support and guidance to other NRC offices whose functional responsibilities require liaison with State Agreement operations. Reviews Agreement State materials licensing and inspection programs for technical adequacy and consistency.

The following record schedules were developed for records unique to OSP. Reference NRC Schedule 1, "Records Common to Most Offices", and the General Records Schedules 1 through 28 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|---|-------------------------------|
| 1. | <u>Agreement State Files</u> | | |
| a. | Copies of State enabling legislation cooperative agreements between NRC and State government agencies, and Commission papers on the Agreements. | Permanent. Offer to NARA 5 years after any revocations or termination of agreement. | NC1-431-81-5 Item 4.10.38 |
| b. | Review meeting reports and correspondence with individual Agreement States. | Permanent. Offer to NARA when 5 years old. | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|--|--|-------------------------------|
| 2. | <u>Health Training Files</u> Correspondence and reports pertaining to the presentation of and attendance at individual NRC-sponsored training courses for Agreement State personnel. Courses pertain to radiation control and radiological response programs. | Destroy when 3 years old or sooner if purpose has been served. | NC1-431-81-5 Item 4.10.40 |
| 3. | <u>Information Report on State Legislation</u> Summary report published bi-monthly reflecting individual States' legislation pertaining to nuclear regulatory matters. | | |
| | a. Record set of each report maintained by Office of State Programs. | Permanent. Offer to NARA in biannual blocks when 5 years old. | NC1-431-81-5 Item 4.10.42 |
| | b. Other copies. | Destroy when no longer needed. | |
| 4. | <u>Non-Agreement State Files</u> Copies of State Acts pertaining to nuclear regulatory matters and related correspondence with individual non-Agreement States. | Destroy when 10 years old. | NC1-431-81-5 Item 4.10.39 |
| 5. | <u>State Legislation Files</u> Copies of proposed State legislation relating to nuclear control and regulations obtained for NRC by contractor. Information is used in the preparation of the Information Report on State Legislation (Item 3 above). | Destroy when no longer needed for reference. | NC1-431-81-5 Item 4.10.41 |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

Part 28. RECORDS OF THE URANIUM RECOVERY FIELD OFFICE

The Uranium Recovery Field Office (URFO) implements NRC policy regarding uranium recovery facilities and remedial actions for inactive processing sites.

The following records schedules were developed for records unique to URFO. Reference NRC Schedule 1, "Records Common to Most Offices," and the General Records Schedules 1 through 23 for other applicable schedules. Applicable schedules have been identified on the "Files Maintenance and Disposition Plans" retained by the office Records Liaison Officer.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|---|--|-------------------------------|
| 1. | <u>High-Level, Low-Level, and Uranium Recovery Docket Files</u> Case Files documenting the licensing of high-level, or low-level and uranium recovery operations including mills, solution mining, and heat leaching of ion exchange facilities in non-Agreement States as defined in 10 CFR 40 with license transfer prefix of "SUA." Includes applications, licenses and amendments and other related material. The files are arranged by docket number. | <u>Permanent.</u> Offer to NARA when 10 years old. | NCI-431-81-5 Item 1.3.23 |
| 2. | <u>UMTRAP Project Licensing Case Files</u> Project files documenting the concurrence and licensing activity for the Uranium Mill Tailings Remedial Action Program (UMTRAP), pursuant to the Uranium Mill Tailings Radiation Control Act of 1978. | | NCI-431-89-1 Item 1 |
| a. | Official project files located in the NRC File Center (Central Files) and Region IV, Uranium Recovery Field Office. | <u>Permanent.</u> Cut off files in 1995 and retire in 5 year blocks thereafter. Retire to WNRC 1 year after cutoff. Case files are to remain in NRC custody until licenses are | |

NRC SCHEDULE 2

RECORDS OF NRC OFFICES

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> | <u>NARA APPROVED CITATION</u> |
|-----------------|-------------------------------|--|-------------------------------|
| | | terminated, expired, or 75 years old, whichever is earlier. Review and offer terminated or expired licenses and material more than 75 years old to NARA at 20 year intervals beginning year 2020. | |
| | b. All other copies | Destroy one year after termination or expiration of license or sooner if no longer needed for reference. (NOTE: Transfer textual finding aid to NARA at the time of transfer of official files corresponding to finding aid.) | |

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| Electronic Records, Admin. Master Files | See GRS 20-3 |
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| General Program Correspondence Files | I-2.1 | 1-2.2 | |
| Docket Files | I-3 | | See NRC Office |
| Commission's Decisional License Docket Files | I-3.1 | 2-25.4 | |
| Power Reactor Docket Files of the ASLBP | I-3.2 | 2-5.5 | |
| Power Reactor Docket Files of the ASLAP | I-3.3 | | Deleted |
| Licensing Docket Formal Hearing Files | I-3.4 | 2-13.3 | |
| Nuclear Power Plant Docket Files | I-3.5 | 2-20.9 | |
| Duplicate NPP Docket Files of the Regions | I-3.5.d | 2-24.2 | |
| Duplicate NPP Docket Files of the TDR | I-3.5.d | 2-25.5 | |
| Export/Import License Docket Files | I-3.6 | 2-16.3 | |
| Fuel Facilities, Transportation, Byproduct, Source, and Special Nuclear Material Docket Files | I-3.7 | 2-19.4 2-24.4 | |
| High-Level, Low-Level, and Uranium Recovery Docket Files | I-3.8 | 2-28.1 | |
| Non-Licensing Project Files | I-3.10 | 2-20.6 | |
| Emergency Planning Files, AEOD | I-3.11 | 2-4.5 | |
| Emergency Planning Files, NRR | I-3.11 | 2-20.3 | |
| Emergency Planning Files, Regions | I-3.11 | 2-24.3 | |
| Regulatory History Case Files for Proposed and Final Rulemaking | I-3.12 | 1-2.3 | |
| Medical and Health Files | I-4 | | See NRC Office |

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| Series | Former Citation | Current Citation | Comments |
|--|-----------------|------------------|----------------|
| Licensing Project Files | I-3.9 | 2-20.4 | |
| Health Records Files, OP | I-4.1 | 2-22.4 | |
| Health Records Files, Regions | I-4.1 | 2-24.5 | |
| Personnel Exposure Files, OP | I-4.2 | 2-22.5 | |
| Personnel Exposure Files, Regions | I-4.2 | 2-24.12 | |
| Licensee Mismanagement Files, NMSS | I-4.3 | 2-19.7 | |
| Licensee Mismanagement Files, Regions | I-4.3 | 2-24.8 | |
| Advisory Committee on Nuclear Waste Project Case Files | | 2-2.1 | New Item |
| Consultants Reports | | 2-2.2 | New Item |
| Minutes of the Committee | | 2-2.3 | New Item |
| Program Correspondence Files | | 2-2.4 | New Item |
| Waste Management Licensing Files | | 2-2.5 | New Item |
| Personnel Monitoring Reports | I-4.4 | 2-21.10 | |
| Program Administration Files | I-5 | | See NRC Office |
| Awards Files | I-5.1 | 2-22.3 | |
| Budget Files | I-5.2 | 2-10.2 | |
| Committee and Conference Records | I-5.3 | 1-2.1 | |
| Directive Case Files | I-5.4 | 2-1.5 | |
| Forms Files | I-5.5 | 2-14.2 | |
| Grants Files, ADM | I-5.6 | 2-1.7 | |
| Grants Files, RES | I-5.6 | 2-21.4 | |
| Information Files, OPA | I-5.7 | 2-23.1 | |
| Information Files (Press Releases and Speeches), Regions | I-5.7 | 2-24.6 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------------|
| Organizational Records | I-5.8 | 2-1.10 | |
| Narrative Histories | I-5.8.b | 2-25.6 | |
| Publications | I-5.9 | 2-14.8 | |
| Security Policy Files | I-5.10 | 2-1.12 | |
| Security Violations (Felonies) Files | I-5.11 | 2-1.13 | |
| Systems Security Records | I-5.12 | 2-1.15 | |
| Training Aids, AEOD | I-5.13 | 2-4.10 | |
| Training Aids, OP | I-5.13 | 2-22.6 | |
| Cartographic Records | I-6 | | See NRC Office |
| Emergency Planning Maps | I-6.1 | 2-4.6 | |
| Plans and Systems Design Descriptions | I-6.2 | 2-21.11 | |
| Machine Readable Records | I-7 | | See NRC Office |
| Commission Tracking System | I-7.1 | 2-25.3 | |
| Commission Staff Paper File System (CSPFS) | I-7.2 | | Deleted |
| Bibliographic Retrieval System | I-7.3 | 2-25.1 | |
| Program Action Tracking System | I-7.3.a | | Deleted |
| Keyword Index (KWIC/KWOC) | I-7.4 | 2-3.7 | |
| Material Surveillance (MATSURV) | I-7.5 | | Deleted |
| Seismic Qualification (SIESMIC) | I-7.6 | 2-20.15 | |
| Steam Generators | I-7.7 | 2-20.17 | |
| Franklin Institute - Licensing Action Status | I-7.8 | | Deleted |
| Regulatory Information Tracking System (NRR-RITS) | I-7.9 | 2-20.12 | |
| TMI Action Item Tracking System | I-7.10 | | Deleted |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------|
| Construction Status Reporting Systems | I-7.11 | | Deleted |
| NRR Personnel/Training System | I-7.12 | | Deleted |
| Transport Approval Package Information System (TAPIS) | I-7.13 | 2-19.16 | |
| UMTRAP Project Licensing Case Files | | 2-19.17 | New Item |
| Nuclear Material Management and Safeguards System (NMMSS) | I-7.14 | 2-19.9 | |
| NMSS Budget System (BUDS) | I-7.15 | | Deleted |
| Budget System, NMSS | I-7.16 | | Deleted |
| Regulatory Information Tracking System (NMSS-RITS) | I-7.17 | 2-19.12 | |
| NMSS Case Work System (CASE) | I-7.18 | 2-19.8 | |
| Material Licensing System | I-7.19 | | Deleted |
| Project Control System, NMSS | I-7.20 | | Deleted |
| Environmental Qualification (ENQUAL) | I-7.21 | | Deleted |
| Action Item Tracking System (AITS) | I-7.22 | 2-24.1 | |
| Program Support Management System (PSMS) | I-7.23 | | Deleted |
| Outstanding Item System (OIS) | I-7.24 | 2-24.11 | |
| Incident Response Center Data System | I-7.25 | | Deleted |
| Part 21 Data System | I-7.26 | | Deleted |
| Vendor Selection System | I-7.27 | | Deleted |
| Module Status Report System | I-7.28 | 2-24.9 | |
| Statistical and Enforcement Test System (766) | I-7.29 | 2-20.16 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------|
| License Fee Reporting System (FEES) | I-7.30 | 2-10.3 | |
| Career Management Branch System, I&E | I-7.31 | | Deleted |
| E-2 System (IRMS) | I-7.32 | 2-20.2 | |
| Headquarters/Regions Communications | I-7.33 | | Deleted |
| Monthly Management Report System, I&E | I-7.34 | | Deleted |
| Personnel System, Research | I-7.35 | | Deleted |
| Travel System, Research | I-7.36 | | Deleted |
| Budget System | I-7.37 | 2-21.1 | |
| Research Request Log System | I-7.38 | | Deleted |
| Research Results Transfer and Organization Information System | I-7.39 | | Deleted |
| National Standards Committee Participation System (SDCOM) | I-7.40 | 2-21.6 | |
| Comments and Proposed Rule Changes Published in the Federal Register (CPRC) | I-7.41 | | Deleted |
| IEEE Component Failure Rates (IEEE) | I-7.42 | | Deleted |
| Standards Project Control System (SPCS) | I-7.43 | | Deleted |
| Resource Allocation Systems For Standards (RASS) | I-7.44 | | Deleted |
| Standards Accountability Management System (SAMS) | I-7.45 | | Deleted |
| Technical Assignment Control System (TACS) | I-7.46 | 2-14.11 | |
| Work Item Tracking System (WITS-II) | I-7.47 | 2-12.1 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------|
| Regulatory Information Tracking System (IRM-RITS) | I-7.48 | 2-14.5 | |
| Statistical Information System for Operating Reactors (SISOR) | I-7.49 | 2-14.10 | |
| Radiation Exposure Information System (REIRS) | I-7.50 | 2-21.12 | |
| Nuclear Plant Reliability Data System (NPRDS) | I-7.51 | | Deleted |
| Manpower System (MPS) | I-7.52 | 2-14.6 | |
| ADP Contractor Cost Tracking System (ACTS) | I-7.53 | | Deleted |
| Timesharing Accounts Management System (TAMS) | I-7.54 | 2-14.13 | |
| Automated Information Documentation System (AIDS) | I-7.55 | 2-14.1 | |
| Congressional Correspondence System | I-7.56 | 2-8.2 | |
| Project Management System (PMS) | I-7.57 | 2-14.7 | |
| ADP/Management Information System | I-7.58 | | Deleted |
| Tape Library System | I-7.59 | | Deleted |
| Integrated Financial Management System (IFMIS) | I-7.60 | 2-10.4 | |
| Travel Authorization and Voucher System (TRAVEL) | I-7.61 | | Deleted |
| Payroll (PAY) | I-7.62 | 2-10.5 | |
| Accounting System (CAB) | I-7.63 | 2-10.1 | |
| Budget Financial Analysis System (BFAS) | I-7.64 | | Deleted |
| Staff Year Analysis System (SAS) | I-7.65 | | Deleted |
| Controller Budget System (CBS) | I-7.66 | | Deleted |

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| Series | Former Citation | Current Citation | Comments |
|--|-----------------|------------------|----------|
| Licensing and Inspection Planning Profile System (LIPP) | I-7.67 | | Deleted |
| Radiological Emergency Response Plan (RERP) | I-7.68 | | Deleted |
| Peacetime Radiological Emergency Response Analysis Devise (PRERAD) | I-7.69 | | Deleted |
| State Legislation | I-7.70 | | Deleted |
| State Agreements Tracking and Updating System (Status) | I-7.71 | | Deleted |
| International Programs Export, Import License Tracking System (IPELTS) | I-7.72 | 2-16.8 | |
| Licensee Event Reporting (LER) | I-7.73 | | Deleted |
| Regulatory Information Tracking System (AEOD-RITS) | I-7.74 | 2-4.8 | |
| Coordination of Licensee Events Analysis and Review (CLEAR) | I-7.75 | | Deleted |
| Central Personnel Clearance Index (CPCI) | I-7.76 | 2-1.2 | |
| Central Personnel Security Clearance Index (CPSCI) | I-7.77 | | Deleted |
| Classified Document Control System (CDCS) | I-7.78 | 2-1.3 | |
| Administrative Budget Control System (ABC) | I-7.79 | 2-1.1 | |
| Contracts System | I-7.80 | 2-1.4 | |
| Telephone Directory System (TEL) | I-7.81 | 2-14.12 | |
| Property and Supply System (PASS) | I-7.82 | 2-1.11 | |
| Personnel (PARIS) | I-7.83 | | Deleted |
| Serial Information Control System (SICS) | I-7.84 | | Deleted |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------------|
| Information Requirements Control Automated System (IRCAS) | I-7.85 | 2-14.4 | |
| Personnel Education and Training Information System (PETIS) | I-7.86 | | Deleted |
| DOE/RECON | I-7.87 | | Deleted |
| Holding Action System (HAS) | I-7.88 | 2-1.9 | |
| Machine Readable Cataloging System (MARC) | I-7.89 | | Deleted |
| Automated Personnel System (APS) | I-7.90 | 2-22.2 | |
| Audiovisual Records | I-8 | | See NRC Office |
| Still Photography Files | I-8.1 | 2-1.14 | |
| Aerial Photography of Facilities | I-8.1.d | 2-4.2 | |
| Still Photographs Associated With LOFT | I-8.1.e | 2-21.18 | |
| Graphic Arts Files, ADM | I-8.2 | 2-1.8 | |
| Graphic Arts Files, IRM | I-8.2 | 2-14.3 | |
| View Graphs | I-8.2.c | 1-1.10 | |
| Video Recording Files | I-8.3 | 2-1.16 | |
| Video Recordings for Research Projects | I-8.3.f | 2-21.19 | |
| Audiocassettes for Technical Training, AEOD | I-8.4.a | 2-4.3 | |
| Audiocassettes for Technical Training, OP | I-8.4.a | 2-22.1 | |
| Oral History Sound Recordings | I-8.4.b | 2-25.7 | |
| Telephone Recordings Alerting the NRC Duty Officer | I-8.4.c/e | 2-4.9 | |
| Records of NRC Offices | II, III, IV | 2 | Merged |

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| Series | Former Citation | Current Citation | Comments |
|--|-----------------|------------------|----------|
| Records of the Commission | II | 2-1 - 2-28 | |
| Records of the Office of the Commission | II-1 | 2-6 | Retitled |
| Commissioners' Chronological Files | II-1.1 | 2-6.1 | |
| Records of the Office of Commission Appellate Adjudication | | 2-7 | New Item |
| Records of the Atomic Safety and Licensing Board Panel | II-2 | 2-5 | Retitled |
| Memoranda to Panel Board Members | II-2.1 | 2-5.2 | |
| Panel Board's Monthly Status Report to Commissioners | II-2.2 | 2-5.4 | |
| Transcripts of ASLBP Hearings | II-2.3 | 2-5.6 | |
| Minutes of Advisory Screening Committees | II-2.4 | 2-5.3 | |
| Advisory Screening Committee Consultant Personnel Files | II-2.5 | 2-5.1 | |
| Records of the Office of the Secretary | II-3 | 2-25 | |
| Commission (SECY) Paper Files | II-3.1 | 2-25.2 | |
| Transcripts of Commission Meetings | II-3.2 | 2-25.10 | |
| Stenographic Tapes of Commission Meetings | II-3.3 | 2-25.9 | |
| Rulemaking Docket Files | II-3.4 | 2-25.8 | |
| Records of the Office of the General Counsel | II-4 | 2-13 | |
| Litigation Case Files | II-4.1 | 2-13.4 | |
| Commission Memorandum Files | II-4.2 | 2-13.1 | |
| Legislative Files | II-4.3 | 2-13.2 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------------|
| Office of Congressional Affairs | II-5 | 2-8 | |
| Congressional Correspondence Files | II-5.1 | 2-8.1 | |
| Senate and House Members Profile Files | II-5.2 | 2-8.4 | |
| Legislative Files | II-5.3 | 2-8.3 | |
| Records of the Office of Inspector and Auditor | II-6 | | See OIG |
| Audit and Inspection Files | II-6.1 | | See OIG |
| Investigation Files | II-6.2 | | See OIG |
| Records of the Office of the Inspector General | | 2-15 | New Item |
| Office of Policy Evaluation | II-7 | | Deleted |
| Evaluation Background Files | II-7.1 | | Deleted |
| Records of the Office of Investigations | II-8 | 2-17 | |
| Allegation and Inquiry Files | II-8.1 | 2-17.1 | |
| Investigation Case Files | II-8.2 | 2-17.2 | |
| Investigation Procedure Memo (IPM) | II-8.3 | 2-17.3 | |
| Records of the Office of the Licensing Support System Administrator | | 2-18 | New Item |
| Records of Advisory Committees | III | | See NRC Office |
| Records of the Advisory Committee on Nuclear Waste | | 2-2 | New Item |
| Records of the Advisory Committee on Reactor Safeguards | III.1 | 2-? | |
| General Program Correspondence Files | III-1.1 | 2-3.6 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------------|
| ACRS Members Personnel Files | III-1.2 | 2-3.1 | |
| Minutes of the Committee | III-1.3 | 2-3.8 | |
| Transcripts of ACRS Meetings | III-1.4 | 2-3.12 | |
| Committee Files on Regulation Guidelines | III-1.5 | 2-3.4 | |
| Consultant Personnel Files | III-1.6 | 2-3.5 | |
| Reports of Consultants | III-1.7 | 2-3.11 | |
| Annual Reports of the ACRS to the U.S. Congress | III-1.8 | 2-3.2 | |
| Nuclear Reactor Project Files | III-1.9 | 2-3.10 | |
| Nuclear Power Plant Docket Files | III-1.10 | 2-3.9 | |
| Classified Defense Information Files | III-1.11 | 2-3.3 | |
| Records of Executive Operations | IV | | See NRC Office |
| Records of the Office of Administration | | 2-1 | New Item |
| Drug Testing Program Files | | 2-1.6 | New Item |
| Records of the Office for Analysis and Evaluation of Operational Data | IV-1 | 2-4 | |
| Operational Data and Information Screening Files | IV-1.1 | 2-4.7 | |
| Case Study Report Files | IV-1.2 | 2-4.4 | |
| Abnormal Occurance Case Files | IV-1.3 | 2-4.1 | |
| Records of the Office of Consolidation | | 2-9 | New Item |
| Records of the Office of the Controller | | 2-10 | New Item |
| Records of the Office of Enforcement | | 2-11 | New Item |

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| Series | Former Citation | Current Citation | Comments |
|--|-----------------|------------------|----------------|
| Records of the Office of the Executive Director for Operations | | 2-12 | New Item |
| Records of the Office of the Executive Legal Director | IV-2 | | See OGC |
| Patent and Technical Data Files | IV-2.1 | 2-13.5 | |
| Records of the Office of Information Resources Management | | 2-14 | New Item |
| Records of the Office of Small and Disadvantaged Business Utilization and Civil Rights | IV-3 | 2-26 | |
| General Files | IV-3.1 | 2-26.1 | |
| Inspection and Enforcement Records | IV-4 | | See NRC Office |
| NRC Issuance Files | IV-4.1 | 2-20.8 | |
| Inspection and Enforcement Case Files | IV-4.2 | 2-24.7 | |
| Preliminary Notification of Event or Unusual Occurrence PNO, PNS Files | IV-4.3 | 2-20.10 | |
| NRC Inspection Manual | IV-4.4 | 2-20.7 | |
| Safeguards Status Reports | IV-4.5 | 2-20.14 | |
| Reports of Defects or Non-Compliance (Part 21 Reports) | IV-4.6 | 2-20.13 | |
| Morning Reports | IV-4.7 | 2-20.5 | |
| Nuclear Material Accountability Worksheets | IV-4.8 | 2-24.10 | |
| International Program Records | IV-5 | 2-16 | |
| Country Files, Export/Import and International Safeguards | IV-5.1 | 2-16.1 | |
| Country Files, International Arrangements | IV-5.2 | 2-16.2 | |

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| Series | Former Citation | Current Citation | Comments |
|---|-----------------|------------------|----------|
| Formal Arrangement and Agreement Files | IV-5.3 | 2-16.6 | |
| Foreign Visitor Files | IV-5.4 | 2-16.5 | |
| International Organization Files | IV-5.5 | 2-16.7 | |
| Files of Department of State Cables and Atomic International Forum Wires | IV-5.6 | 2-16.4 | |
| Records of the Office of Nuclear Material Safety and Safeguards | IV-6 | 2-19 | |
| Process Operator License Files | IV-6.1 | 2-19.10 | |
| Certificate of Compliance Files | IV-6.2 | 2-19.1 | |
| Quality Assurance Files | IV-6.3 | 2-19.11 | |
| Safety Evaluation Reports | IV-6.4 | 2-19.13 | |
| Sealed Source and Device Review Files | IV-6.5 | 2-19.14 | |
| International Safeguards Program Office | IV-6.6 | 2-19.6 | |
| Source and Special (SS) Nuclear Accountability System Files | IV-6.7 | 2-19.15 | |
| Docket Files for the Disposal of High-Level Radioactive Wastes in Geologic Repositories | IV-6.8 | 2-19.2 | |
| Docket Files for Land Disposal of Radioactive Wastes | IV-6.9 | 2-19.3 | |
| Independent Spent Fuel Storage Installation Docket Files | | 2-19.5 | New Item |
| Records of the Office of Nuclear Reactor Regulation | IV-7 | 2-20 | |
| Antitrust Case Files | IV-7.1 | 2-20.1 | |

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| Series | Former Citation | Current Citation | Comments |
|--|-----------------|------------------|----------|
| Reactor Operator and Senior Operator Docket Files | IV-7.2 | 2-24.13 | |
| Regulatory Effectiveness Reviews | | 2-20.11 | New Item |
| Records of the Office of Nuclear Regulatory Research | IV-8 | 2-21 | |
| Scientific and Technical Reports | IV-8.1 | 2-21.17 | |
| Field Test Files | IV-8.2 | 2-21.3 | |
| Rejected Research Project Proposals | IV-8.3 | 2-21.13 | |
| Research Program Files | IV-8.4 | 2-21.15 | |
| Research Project Case Files | IV-8.5 | 2-21.16 | |
| Experiment and Test Files | IV-8.6 | 2-21.2 | |
| Laboratory Notebooks | IV-8.7 | 2-21.5 | |
| Research Background Files | IV-8.8 | 2-21.14 | |
| Original Tracings of Drawings, Specifications, and Photographs of Completed Product or Apparatus | IV-8.9 | 2-21.9 | |
| Nuclear Safety Research Review Committee Records | | 2-21.7 | New Item |
| Records of the Office of Personnel | | 2-22 | New Item |
| Records of the Regional Offices | | 2-24 | New Item |
| Standards and Policy Development Records | IV-9 | | See RES |
| Nuclear Safety Standards Program Files | IV-9.1 | 2-21.8 | |
| State Program Records | IV-10 | 2-27 | |
| Agreement State Files | IV-10.1 | 2-27.1 | |
| Non-Agreement State Files | IV-10.2 | 2-27.4 | |

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| Series | Former Citation | Current Citation | Comments |
|---|--------------------|---------------------|----------|
| Health Training Files | IV-10.3 | 2-27.2 | |
| State Legislation Files | IV-10.4 | 2-27.5 | |
| Information Report on State Legislation | IV-10.5 | 2-27.3 | |
| Records of the Uranium Recovery Field Office | | 2-28 | New Item |
| UMTRAP Project Licensing Case Files | | 2-28.2 | New Item |

*National Archives and
Records Administration*

Washington, DC 20408

GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 3

February 22, 1991

TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules.

2. Background. The General Records Schedules (GRS) provide mandatory disposition instructions for records common to several Federal agencies. A complete set of the schedules was issued in 1988. The pages provided with this transmittal contain additions, revisions, and corrections to several schedules and to the Subject Index.

3. Explanation of changes.

a. General Records Schedule 1. Item 30a was modified to correct an editorial error, and a new item 36 has been added to cover employee drug testing records.

b. General Records Schedule 3. The cross-reference in the disposition instructions for items 5a and 5b(2)(b) was corrected to read "(see item 3 of this schedule)."

c. General Records Schedule 9. A new item 5 was added to cover records relating to official passports.

d. General Records Schedule 12. The disposition for item 3b was corrected to read "Destroy when 2 years old."

e. General Records Schedule 18. Item 22 was modified to specify that it applies to case files created under Office of Personnel Management regulations only. A reference in the introduction was updated.

f. General Records Schedule 21. Item 13 was changed to read "Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184."

g. General Records Schedule 22. Item 1 was changed to exclude significant investigative case files and the introduction was modified to reflect the change to item 1.

h. Subject Index. The index was modified to correct an editorial error and add the new items.


February 22, 1991

GRS Transmittal No. 3

4. Availability. Additional copies of this change are available from the Records Administration Information Center (NIA), Washington, DC 20408. Phone: 202-501-6025 or FTS 241-6025.

5. Instructions.

| Remove pages | | | and insert corresponding new pages | | |
|--------------|-----------|------------------|------------------------------------|--|------------------|
| a. | 15 and 19 | of GRS 1 | 15, 19, and 21 | | of GRS 1 |
| b. | 3 and 5 | of GRS 3 | 3 and 5 | | of GRS 3 |
| c. | 3 | of GRS 9 | 3 | | of GRS 9 |
| d. | 1 | of GRS 12 | 1 | | of GRS 12 |
| e. | 7 | of GRS 18 | 7 | | of GRS 18 |
| f. | 1 | of GRS 21 | 1 | | of GRS 21 |
| g. | 1 | of GRS 22 | 1 | | of GRS 22 |
| h. | 5-21 | of Subject Index | 5-21 | | of Subject Index |



DON W. WILSON
Archivist of the United States

Attachments

National Archives and
Records Administration

Washington, DC 20408

GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 2

October 30, 1989

TO: Heads of Federal Agencies

1. Purpose. This transmittal conveys changes to the General Records Schedules.

2. Background. Last year the entire set of General Records Schedules was reissued. Since that time, several new items and changes to existing items have been approved. In addition, a number of typographical and editorial errors have been identified. The pages provided with this transmittal contain the new and changed items as well as corrections.

3. Explanation of changes. In addition to typographical corrections throughout the General Records Schedules, the following changes are made:

a. Introduction to the General Records Schedules. Non-substantive editorial revisions were made.

b. General Records Schedule 1.

(1) An additional note has been added after item 1 to clarify that all agencies do not send OPP's to the National Personnel Records Center.

(2) Item 7d was modified to provide separate disposition instructions for position classification appeals case files and certificates of classification issued by OPM in order to ensure that the certificates are retained for as long as they are in effect.

(3) The disposition instruction for item 18b was corrected to read "Destroy when 6 months old."

(4) Item 19 was revised to incorporate all medical records that are not part of the Employee Medical File.

c. General Records Schedule 3. The cross-reference in the disposition instructions for items 5a and 5b(2)(b) were corrected to read "(see item 3 of this schedule)."

d. General Records Schedule 9. The form number in item 1b was corrected to read "SF 1113A."

e. General Records Schedule 10. Nonsubstantive editorial revisions were made.

f. General Records Schedule 14.

(a) The cross-reference in the disposition instructions for GRS 14, items 21a(2)(b) and 21a(3)(b) were corrected to read "Item 22."

(b) A new item 36 covering records relating to erroneous release of information was added.

g. General Records Schedule 16. A new item 8c covering records relating to committee management was added.

h. General Records Schedule 18. The form number in item 25 was changed to read "SF 312," reflecting a change in the standard form.

i. General Records Schedule 20.

(1) The introduction to General Records Schedule 20 was modified to highlight inclusion in the schedule of specified hard copy or microform records, including printouts, that are integrally related to the electronic records.

(2) Printouts were added to items 1a and 1c.

j. General Records Schedule 21. Item 13 was corrected to read "Duplicate prints and pre-print elements not required for preservation."

k. General Records Schedule 23.

(1) The introduction to General Records Schedule 23 was modified to clarify coverage of the schedule.

(2) Printouts were added to item 3.

l. Subject Index and Forms Index. The indexes were modified to reflect the changes in the General Records Schedules.

m. Conversion Table. Typographical corrections were made. This table will not be updated in the future.

4. Availability. Additional copies of this change are available from the Records Administration Information Center (NIA), Washington, DC 20408. Phone: 202-724-1471.

October 30, 1989

General Records Schedules
Transmittal No. 2

5. Instructions.

| Remove pages | | and insert corresponding new pages | |
|------------------------|------------------------|--|------------------------|
| a. 1-2 | of Introduction | 1-2 | of Introduction |
| b. 1-4, 7-18 | of GRS 1 | 1-4, 7-19 | of GRS 1 |
| c. 3-4 | of GRS 2 | 3-4 | of GRS 2 |
| d. 3 | of GRS 9 | 3 | of GRS 9 |
| e. 1-2 | of GRS 10 | 1-2 | of GRS 10 |
| f. 1-9 | of GRS 14 | 1-10 | of GRS 14 |
| g. 3-6 | of GRS 16 | 3-6 | of GRS 16 |
| h. 7-8 | of GRS 18 | 7-8 | of GRS 18 |
| i. 1-6 | of GRS 20 | 1-6 | of GRS 20 |
| j. 1-2 | of GRS 21 | 1-2 | of GRS 21 |
| k. 1-5 | of GRS 23 | 1-5 | of GRS 23 |
| l. 3-20 | of Subject Index | 3-21 | of Subject Index |
| m. 3-8 | of Forms Index | 3-8 | of Forms Index |
| n. 3-6, 9-16, 19-22 | of Conversion Table | 3-6, 9-16 19-22 | of Conversion Table |



DON W. WILSON
Archivist of the United States

Enclosures

*National Archives and
Records Administration*

Washington, DC 20540

GENERAL RECORDS SCHEDULES TRANSMITTAL

NO. 1

August 10, 1988

TO: Heads of Federal Agencies

1. Purpose. This transmittal announces a revision of the General Records Schedules (GRS).

2. Background.

a. Over the past 2 years, the National Archives and Records Administration has been reviewing and modifying the General Records Schedules. Many of the changes were made in response to agency suggestions. Several of the most significant changes or additions have been announced through NARA bulletins (see paragraph 6). Though many items remain unchanged from the previous edition, sufficient changes were made to require that the entire set of schedules be reissued.

b. The GRS now cover only disposable records. Supplementary information on scheduling records not covered by the GRS is found in several NARA publications. Comprehensive guidance is provided in the Disposition of Federal Records handbook, available from the Federal Supply Service (stock number 7610-01-055-8704). Specific guidance on scheduling nontextual records will be provided in three NARA instructional guides, "Managing Cartographic and Architectural Records," "Managing Audiovisual Records," and "Managing Electronic Records." An additional instructional guide, "Managing the Records of Temporary Commissions," is also being developed. These four publications will be issued in the near future and their availability will be announced in a NARA bulletin.

3. Explanation of changes.

a. Records previously scheduled as "permanent," "submit an SF 115," and "submit an SF 258," have been deleted. Such records must be scheduled individually by agencies that create or acquire them. Potentially permanent records must be appraised by NARA. Their inclusion in the GRS proved to be misleading in some instances, as some agencies assumed that all items scheduled as "submit an SF 115" or "submit an SF 258" would automatically be permanent. Inclusion of permanent and potentially permanent items also led some agencies to believe that the GRS could be used to cover unique program records.

(1) The 19 items previously scheduled as permanent will have to be rescheduled by submission of an SF 115, unless NARA has already approved their disposition on an SF 115.

(a) In most cases the records should be proposed for permanent retention, but NARA appraisal may find a few of them disposable. For example, news releases at all levels of an organization may not be permanent.

(b) In other cases, the GRS provided guidelines rather than definitive descriptions of permanent series. For example, the GRS scheduled a representative sample of globes, terrain models, and raised relief maps as well as agency histories and selected background materials as permanent. Agency history files are particularly important for documenting an agency's activities. It is very important for NARA to have a complete description of the files in an agency's historian's office in order to conduct an appraisal of all materials created or collected by that office.

(2) The deletion of the items for which the disposition was "submit an SF 115" or "submit an SF 258" will impose no additional workload on agencies, as they had to be scheduled separately under the superseded GRS.

(3) One disposable item, Telephone Summaries (previously GRS 12, item 4), was deleted because it did not adequately cover the records created under current procedures. NARA is working with the General Services Administration (GSA) and the General Accounting Office (GAO) to develop a disposition standard for current records. Pending resolution of this matter, agencies that want to dispose of these records should submit an SF 115 to NARA and request GAO concurrence.

(4) GRS 22, Design and Construction Drawings and Related Records, has been deleted and its disposal authorities have been added to GRS 17 (previously Cartographic, Remote Sensing Imagery, and Related Records), now titled Cartographic, Aerial Photographic, Architectural, and Engineering Records.

(5) Most of the items that were deleted covered nontextual records; i.e., audiovisual records, cartographic and architectural records, and electronic records. The instructional guides mentioned in subparagraph 2b will include criteria for identifying potentially permanent records.

(6) GRS 19, Research and Development Records, has been rescinded, as announced in NARA Bulletin 88-2. Most items in GRS 19 were scheduled "submit an SF 115." In addition, the generic descriptions of research records were difficult to properly apply because they did not clearly match the actual arrangement and content of most research and development records.

(7) GRS 24, Records of Temporary Commissions, Committees, and Boards, has been deleted. GRS 24 covered the records of temporary commissions and the like, not internal

agency committees. Almost all items were scheduled "submit an SF 258." GRS 24 provided no unique disposal authority and will be replaced with an instructional guide, as mentioned in subparagraph 2b.

b. Disposal authorities for electronic records are provided in GRS 20, Electronic Records (previously titled Machine-Readable Records), and GRS 23, Records Common to Most Offices Within Agencies. GRS 20 covers common types of disposable records created in central computer processing operations. GRS 23 authorities have been extended to cover many records created through office automation applications.

c. Many other new items have been added to the GRS, including the Employee Medical Folder, records created in reviewing records for declassification under mandatory review procedures, administrative claims and waivers of claims files, performance records for SES employees, microform inspection logs and reports, records documenting information resources management triennial reviews and information collection budgets, files on certain types of notices printed in the Federal Register, and records relating to membership in the National Defense Reserve system.

d. Because of the deletion of so many items and some of the complete schedules, the GRS have been renumbered. A conversion chart listing each old and new item is appended to the GRS to facilitate its use.

4. Availability. NARA has contacted agency records management officers to determine the number of copies needed by each agency and will provide those separately. If additional copies (paper or electronic) are required in the future, please contact the Records Administration Information Center (NIA), Washington, DC 20408. Phone: 202-724-1471.

5. Instructions. Discard all previous issues of the GRS and replace them with this new edition.

6. GRS transmittal series. NARA has established the GRS transmittal series to announce all changes to the GRS. The transmittals will be sequentially numbered to facilitate updating the GRS and to make it easier to determine if all changes have been received. Each transmittal should be filed in the front of the looseleaf GRS after the instructions contained in the transmittal have been followed (e.g., the attached GRS pages have been interfiled or pen-and-ink changes have been annotated on the appropriate pages of the GRS). NARA will list the GRS transmittals issued to date in the first NARA Bulletin of each fiscal year.

August 10, 1988

GRS TRANSMITTAL 1

7. Cancellation. FPMR Bulletin B-124 with Supplements 1-4, and NARA Bulletins 87-6, 88-2, and 88-3 are canceled.

8. Additional Information. Agencies needing additional information should contact the Records Appraisal and Disposition Division (NIR), Washington, DC 20408. Phone: 202-724-1457.



E. N. WILSON
Archivist of the United States

Attachment

GENERAL RECORDS SCHEDULES



National Archives and Records Administration
Washington, DC

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Schedule 6. Accountable Officers' Accounts Records

Schedule 7. Expenditure Accounting Records

Schedule 8. Stores, Plant, and Cos' Accounting Records

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Schedule 10. Motor Vehicle Maintenance and Operations Records

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Schedule 12. Communications Records

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Schedule 14. Information Services Records

Schedule 15. Housing Records

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Schedule 19. Research and Development Records (RESCINDED)

Schedule 20. Electronic Records

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions; and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

The GRS does not cover all records of an agency. It must be supplemented by schedules for unique program records. Agencies should exercise particular care in applying the GRS to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than three years. Program subject files may be needed by the agency for ten years or more, and may have archival value as well. Agencies should maintain administrative records separately from program records. If administrative records are mixed with program records and cannot be economically segregated, the entire file should be kept for the period of time approved for the program records. Similarly, if 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.

GRS items cover record copies. In some instances, more than one copy of a document or file would be considered a record, if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the National Archives and Records Administration (NARA) to determine the record or nonrecord status of a particular file.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers may use the schedules either as an appendix to an agency printed schedule or tailored to the agency's own particular needs and incorporated into agency schedules.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects the records, they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies, and destroy the paper copies after verification of the film, unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit an SF 115 providing justification for the deviation.

The GRS includes two indexes, an alphabetical Subject Index and an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various government agencies.

As provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies, the disposal instructions for most records in the remaining schedules are applicable to both hard copy and electronic versions of the records described. GRS 20 specifies certain exceptions to this authority. In those cases, the electronic version of the file must be scheduled on an SF 115.

The previous edition of the GRS included items designated as "permanent," and others for which the disposition instruction was "Submit an SF 115" or "Submit an SF 258." These items have been deleted. GRS authorizations now provide only disposal authority for temporary records, and agencies will now have to include all other records on SF 115s. Many of the items in previous schedules 17, Cartographic, Remote Sensing Imagery, and Related Records, 21, Audiovisual Records, and 22, Design and Construction Drawings and Related Records, have been deleted. GRS 17 and 22 are now combined as GRS 17, Cartographic, Aerial Photographic, Architectural, and Engineering Records. NARA is preparing a series of pamphlets that will provide guidance on scheduling nontextual records that are not covered by the GRS.

GRS 24, Temporary Commissions, Committees, and Boards Records, has been deleted and will be replaced by a NARA handbook on the maintenance and disposition of such records. GRS 19, Research and Development Records, has been deleted because it did not accurately reflect current recordkeeping practices in most agencies. Because of these changes, a conversion table has been appended to this edition. For more information on scheduling unique program records, including potentially permanent records, see the Disposition of Federal Records Handbook, available through the Federal Supply Service (stock number 7610-01-055-8704).

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Records Appraisal and Disposition Division, NARA, from offices in the Washington, DC area, or the Director of the nearest Federal Records Center (FRC) from offices outside the Washington area.

Some records series covered by the GRS are eligible for retirement to an FRC. Records should be retired from agency space to an FRC only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to FRCs should have a remaining retention of at least one year. If 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 FRC Director. Procedures for transfer of records to FRCs are found in NARA regulations (36 CFR 1228.152).

The GRS are issued in a looseleaf format for ease of updating. They will no longer be distributed under cover of NARA bulletins. NARA has established a special General Records Schedule transmittal format for disseminating these schedules and subsequent additions and changes. The transmittal documents will be sequentially numbered. In addition, the first NARA bulletin of each fiscal year will list the current GRS transmittals in effect.

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 other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management, the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folder, are maintained according to Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel.

With the exceptions of electronic records created in central data processing facilities described under items 1, 21, 22, and 25f, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, under GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

1. Official Personnel Folders.

Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.

a. Transferred employees.

See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|-------------------------------|--|
| b. | Separated employees. | Transfer folder to National Personnel Records Center St. Louis, MO, 30 days after separation [see note 2]. NPRC will destroy 65 years after separation from Federal service. |

[NOTES: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact the NARA Records Appraisal and Disposition Division to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPFs to NPRC. These agencies retain OPFs for the period specified in item 1b of this schedule and effect destruction after that period has elapsed. (3) Master files and data bases created in central data processing facilities to supplement or replace the OPFs are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

2. Service Record Cards.

Service Record Card (Standard Form 7 or equivalent).

- | | | |
|----|--|--|
| a. | Cards for employees separated or transferred on or before December 31, 1947. | Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action. |
| b. | Cards for employees separated or transferred on or after January 1, 1948. | Destroy 3 years after separation or transfer of employee. |

3. Personnel Correspondence Files.

Correspondence reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

4. Offers of Employment Files.

Correspondence including letters and telegrams offering appointments to potential employees.

- | | | |
|----|------------------|----------------------|
| a. | Accepted offers. | Destroy immediately. |
|----|------------------|----------------------|

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|---|
| | b. Declined offers: | |
| | (1) When name is received from certificate of eligibles. | Return to OPM with reply and application. |
| | (2) Temporary or excepted appointment. | File with application (see item 15 of this schedule). |
| | (3) All others. | Destroy immediately. |
| 5. | <u>Certificate of Eligibles Files.</u> | |
| | Copies obtained from OPM of 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. | <u>Employee Record Cards.</u> | |
| | Employee record cards used for informational purposes outside personnel offices (such as SF 7-B). | Destroy on separation or transfer of employee. |
| 7. | <u>Position Classification Files.</u> | |
| | a. Position Classification Standards Files. | |
| | (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. | Destroy when superseded or obsolete. |
| | (2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM 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. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Position Descriptions.

Record copy of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents.

Destroy 2 years after position is abolished or description superseded.

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

(2) Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits and evaluations.

Destroy when obsolete or superseded.

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

8. Interview Records.

Correspondence, reports and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews.

Destroy 1 year after case is closed.

10. Temporary Individual Employee Records.

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 292-31, EXCLUDING performance-related records.

Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. See item 23 of this schedule for disposition of temporary performance-related records.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|--|
| 11. | <u>Position Identification Strips.</u> Strips such as SF 7D, used to provide summary data on each position occupied. | Destroy when superseded or obsolete. |
| 12. | <u>Employee Awards Files.</u> | |
| a. | General awards records, EXCLUDING those relating to departmental level awards. | |
| | (1) Case files including recommendations, approved nominations, 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 pertaining to awards from other Federal agencies or non-Federal organizations. | Destroy when 2 years old. |
| b. | Length of service and sick leave awards files. Records including correspondence, 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 OPF. | Destroy when 2 years old. |
| d. | Lists or indexes to agency award nominations. Lists of nominees and winners and indexes of nominations. | Destroy when superseded or obsolete. |

[NOTE: Records relating to departmental level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|--|
| 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 Actions.</u> Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF. a. Chronological file copies, including fact sheets, maintained in personnel offices. b. All other copies maintained in personnel offices. | Destroy when 2 years old. Destroy when 1 year old. |
| 15. | <u>Employment Applications.</u> Applications (SF 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF. | Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed. |
| 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 OPFs and not provided for elsewhere in this schedule. a. Correspondence and forms relating to pending personnel actions. b. Retention registers (1) Registers used to effect reduction-in-force actions. | Destroy when action is completed. Destroy when 2 years old. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|--|---|
| | (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>Supervisors' Personnel Files and Duplicate OFF Documentation.</u> | |
| | a. Supervisors' Personnel Files. | |
| | Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OFF. | Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. |
| | b. Duplicate Documentation. | |
| | Other copies of documents duplicated in OFFs not provided for elsewhere in this schedule. | Destroy when 6 months old. |
| 19. | <u>Individual Non-Occupational Health Record Files.</u> | |
| | Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by item 21 of this schedule. | 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 statistical report. | Destroy 3 months after last entry. |
| | b. If information is not summarized. | Destroy 2 years after last entry. |

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|---|---|
| 21. | <u>Employee Medical Folder (EMF).</u> | |
| | a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293. | |
| | (1) Transferred employees. | See FPM for instructions. |
| | (2) Separated employees. | Transfer to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. |
| | b. Temporary or short-term records as defined in the FPM. | Destroy 1 year after separation or transfer of employee. |
| | c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC. | Destroy 60 years after retirement to FRC. |
| | [NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.] | |
| 22. | <u>Statistical Summaries.</u> | |
| | Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. | Destroy 2 years after date of summary or report. |
| | [NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.] | |

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

23. Employee Performance File System
Records.

a. Non-SES appointees (as defined in
5USC 4301(2)).

- | | |
|--|--|
| (1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents. | Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. |
| (2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. | Destroy when superseded. |
| (3) Performance-related records pertaining to a former employee. | |
| (a) Latest rating of record 3 years old or less and performance plan upon which it is based and any summary rating. | Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule. |
| (b) All other performance plans and ratings. | Destroy when 3 years old or when no longer needed, whichever is sooner. |
| (4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. | Destroy 3 years after date of appraisal. |
| (5) Supporting documents. | Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. SES appointees (as defined in 5 U&C 3132a(2)).

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

(b) All other performance ratings and plans.

Destroy when 5 years old, or when no longer needed, whichever is sooner.

(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal.

(4) Supporting documents.

Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.

[NOTE: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

24. Financial Disclosure Reports.

- a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).

- (1) Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- (2) All other records including SF 278.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

- b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

25. Equal Employment Opportunity Records.

- a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.

Destroy 4 years after resolution of case.

- b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---|---|--|
| 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 documents and correspondence relating to contractor employment practices. | Destroy when 7 years old. |
| | (2) EEO Compliance Reports. | Destroy when 3 years old. |
| e. | Employee Housing Request Forms requesting agency assistance in housing matters, such as rental or purchase. | Destroy when 1 year old. |
| f. | Employment Statistics Files. Emp' yment statistics relating to race and sex. | Destroy when 5 years old. |
| <p>[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]</p> | | |
| 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 later legislation; and agency EEO Committee meeting 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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| | (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. |
| | (3) Report of on-site reviews of Affirmative Action Programs. | Destroy 5 years from date of report. |
| | (4) Agency copy of annual report of Affirmative Action accomplishments. | Destroy 5 years from date of report. |
| 26. | <u>Personnel Counseling Records.</u> | |
| | 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. |
| 27. | <u>Standards of Conduct Files.</u> | |
| | Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct. | Destroy when obsolete or superseded. |
| 28. | <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 5 years after expiration of agreement. |
| | (2) Other offices. | Destroy when superseded or obsolete. |

| ITEM | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|--|--|
| b. Labor Arbitration General and CaseFiles. | Correspondence, forms, and background papers relating to labor arbitration cases. | Destroy 5 years after final resolution of case. |
| 29. <u>Training Records.</u> | EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. | |
| a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency. | | |
| (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. |
| (2) Background and working files. | | Destroy when 3 years old. |
| b. 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. |

[Note: Records excluded from this item must be scheduled by submission of an SF 115 to NARA. Reference copies of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations, previously included in the GRS, are nonrecord and may be destroyed when superseded or obsolete.]

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

30. Grievance, Disciplinary and Adverse
Action Files

- a. Grievance, Appeals Files (5 CFR
 771).

Records originating in the review of grievances 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.

- 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 documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy 4 years after case is closed.

31. Personal Injury Files

Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|--|--|
| 32. | <u>Merit Promotion Case Files.</u> Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING, any records that duplicate information in the promotion plan, in the OPF, or in any other personnel records. | Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. |
| 33. | <u>Examining and Certification Records.</u> Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment. | |
| | a. Delegated agreements. | Destroy 3 years after termination of agreement. |
| | b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials. | Break annually. Destroy 1 year after break. |
| | c. Test material stock control. Stock control records of examination test material including running inventory of test material in stock. | Destroy when test is superseded or obsolete. |
| | d. Application Record Card (OPM Form 5000A, or equivalent). | Break after examination. Destroy no later than 90 days after break. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

e. Examination Announcement Case Files.

Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications and their development.

Destroy 5 years after termination of related register.

f. Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Break records on individuals with terminated eligibility annually. Destroy 5 years after break.

When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate whichever is sooner.)

g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Break annually. Destroy 1 year after break.

h. Cancelled and ineligible applications, supplemental forms, and attachments.

Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and cancelled applications 90 days after date of action or when register is terminated, whichever is sooner.

i. Test Answer Sheets

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

| ITEM | <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------|------------|--|---|
| j. | | Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required. | Break files annually. Destroy 5 years after break. |
| k. | | Eligible applications. | |
| | (1) | On active register. | Destroy upon termination of the register (except applications that may be brought forward to new register, if any). |
| | (2) | On inactive register. | Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration. |
| l. | | Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form. | Break annually. Destroy 1 year after break. |
| m. | | Certificate Files. | |
| | | SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action. | Break annually. Destroy 5 years after break. |

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|---|--|
| n. | Certification request control index. | Break annually. Destroy 1 year after break. |
| o. | Displaced Employee Program (DEP) application and registration sheet. | Destroy upon expiration of employee's DEP eligibility. |
| p. | DEP control cards, if maintained. | Break annually. Destroy 2 years after break. |
| q. | Reports of audits of delegated examining operations. | Destroy 3 years after date of the report. |
| 34. | <u>Occupational Injury and Illness Files.</u> Reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. | Destroy when 5 years old. |
| 35. | <u>Denied Health Benefits Claims.</u> Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers. | |
| a. | Health benefits denied, not appealed. | Destroy 3 years after denial. |
| b. | Health benefits denied, appealed to OPM for reconsideration. | |
| | (1) Appeal successful - benefits granted. | Create enrollment file in accordance with FPM letter 890-35. |
| | (2) Appeal unsuccessful - benefits denied. | Destroy 3 years after denial. |

[Note: Pursuant to FPM letter 890-35, enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

36. Federal Workplace Drug Testing Program Files.

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, § 503(f), and statistical reports, as required by FPM Letter 792-19, 12/27/89, Section 6.

This authorization does not apply to oversight program records of the Department of Health and Human Services and its subordinate elements; the Office of Personnel Management; the Office of Management and Budget; and the Department of Justice.

- a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. [See note (2).]

- b. Employee acknowledgement of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing designated position. [See note (2).]

ITEM

NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old.
[See note (2).]

d. Records relating to the collection and handling of specimens.

(1) "Permanent" Record Books.

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2).]

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old.
[See note (2).]

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

Destroy when 3 years old.
[See note (2).]

[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which provides for the destruction of records 4 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian 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 (Standard Form 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management; (b) files maintained in agency space for audit by the General Accounting Office 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; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

Documents required by the Comptroller General to be maintained for site 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. 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.

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) Optional Form 1137, which shows leave taken by an employee over a two-year period; and (b) Optional 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 Optional 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 Office of Personnel Management 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.

In many cases the records will be in electronic form, as the payrolling process has been almost universally converted to electronic data processing throughout the Federal government. With the exception of records created in central processing facilities described under item 17, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <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 Optional Form 1127 or equivalent. | Transfer to the National Personnel Records Center (NRPCC), 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. |
| 3. | <u>Time and Attendance Reports Files.</u> a. Optional Form 1130 or equivalent. (1) Payroll preparation and processing copies. (2) All other copies. b. Flexitime Attendance Records. Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems. | Destroy after GAO audit or when 3 years old, whichever is sooner. Destroy 6 months after the end of the pay period. Destroy after GAO audit or when 3 years old, whichever is sooner. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

4. Individual Authorized Allotments Files.

- a. U.S. Savings Bond Authorization, Standard Form 1192 or equivalent, and authorization for individual allotment to the Combined Federal Campaigns.

- (1) If record is maintained on earning record card.

Destroy when superseded or after separation of employee. If employee transfers within an agency or between agencies, these authorizations must also be transferred. See Treasury Fiscal Requirements Manual, para. 6030.10 for instructions regarding savings bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions regarding CFC authorizations.

- (2) If record is not maintained elsewhere.

Destroy 3 years after superseded or 3 years after separation of employee. See (1) above for transfer instructions.

- b. All other authorizations, including union dues and savings.

- (1) If record is maintained on earning record card.

Destroy when superseded or after transfer or separation of employee.

- (2) If record is not maintained elsewhere.

Destroy 3 years after superseded or 3 years after transfer or separation of employee.

5. Bond Registration Files.

Issuing agent's copies of bond registration stubs.

Destroy when 2 years old.

6. Bond Receipt and Transmittal Files.

Receipts for and transmittals of U.S. Savings Bonds and checks.

Destroy 3 months after date of receipt.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| 7. | <u>Bond Purchase Files.</u> Forms and reports with related documents pertaining to deposits and purchases of bonds. | Destroy when 3 years old. |
| 8. | <u>Leave Application Files.</u> Application for Leave, SF 71, or equivalent, and supporting documents relating to requests for and approval of taking leave. a. If timecard has been initialed by employee. b. If timecard has not been initialed by employee. | Destroy at end of applicable pay period. Destroy after GAO audit or when 3 years old, whichever is sooner. |
| 9. | <u>Leave Record Cards.</u> Leave record cards such as OF 1137 or equivalent maintained separately from pay and earnings records, and OF 1130 when used as a leave record. a. Pay or fiscal copies. L. 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 OPF. See GRS 1, item 1. Destroy when 3 years old. |
| 11. | <u>Notification of Personnel Action Files.</u> Pay or fiscal copy of SF 50 or equivalent, not filed in the Official Personnel Folder. | Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. |

| <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 1013A, 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 checklist covering the same payroll unit. Destroy after GAO audit or when 3 years old, whichever is sooner. Transfer to NPRC, St. Louis, Missouri, when 3 years old. Destroy when 10 years old. |
| 14. | <u>Payroll Control Files.</u> Payroll control registers. | 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. b. Disbursing officer copy used in preparing checks. c. All other copies. | Destroy when related payroll records are audited by GAO or when 3 years old, whichever is sooner. Destroy after preparation of checks. Destroy 1 month after the end of the pay period. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---|--|---|
| 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. |
| [NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.] | | |
| 18. | <u>Tax Files.</u> | |
| | a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms. | Destroy 4 years after form is superseded or obsolete. |
| | b. Returns on income taxes withheld such as IRS Form W-2. | Destroy when 4 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 4 years old. |
| 19. | <u>Retirement Files.</u> | |
| | a. Reports and registers. Reports, registers or other control documents, and other records relating to retirement, such as SF 2807 or equivalent. | Destroy when 3 years old. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|--|--|
| 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. |
| 20. | <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. |
| 21. | <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 income taxes or other debts of Federal employees. | Destroy when 3 years old. |
| 22. | <u>Wage Survey Files.</u> Wage survey reports and data, background documents and 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 an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets). | Destroy after completion of second succeeding wage survey. |

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 purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the 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.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the General Accounting Office (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or, (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

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.

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. They also include local acquisition 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 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 includes some of the common 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 the procurement and supply records.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|-------------------------------|-------------------------------|
|------------|-------------------------------|-------------------------------|

1. Real Property Files.

Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

a. Records relating to property acquired after December 31, 1920, 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.

| ITEM NO. | DESCRIPTION OF RECORDS | AUTHORIZED DISPOSITION |
|--|---|---|
| | b. Abstract or certificate of title. | Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. |
| [Note: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of an SF 115 to NARA.] | | |
| 2. | <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. |
| 3. | <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 and 12). | |
| | a. Procurement or purchase organization copy, and related papers. | |
| | (1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000. | Destroy 6 years and 3 months after final payment. |
| | (2) Transactions of \$25,000 or less and construction contracts under \$2,000. | Destroy 3 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. |

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AUTHORIZED DISPOSITION

- d. Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. Destroy when 5 years old.

[NOTE: Unique procurement files, previously described in GRS 3, item 1, are not covered by this schedule. With the standardization of the Government-wide procurement process under the Federal Acquisition Regulations, such files are unlikely to exist. However, if an agency believes that a procurement file that has long-term research value, the records officer should submit an SF 115.]

4. Supply Management Files.

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).

- 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 working documents. Destroy when 1 year old.

5. Solicited and Unsolicited Bids and Proposals Files.

- a. Successful bids and proposals. Destroy with related contract case files (see item 3 of this schedule).
- b. Solicited and unsolicited unsuccessful bids and proposals.
- (1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. Destroy 1 year after date of award or final payment, whichever is later.

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| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|--|--|
| | (2) Relating to transactions above the small purchase limitations in 48 CFR Part 13. | |
| | (a) When filed separately from contract case files. | Destroy when related contract is completed. |
| | (b) When filed with contract case files. | Destroy with related contract case file (see item 3 of this schedule). |
| c. | Cancelled solicitations files. | |
| | (1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation. | Destroy 5 years after date of cancellation. |
| | (2) Unopened bids. | Return to bidder. |
| d. | Lists or card files of acceptable bidders. | Destroy when superseded or obsolete. |
| 6. | <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. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|---|---|
| 7. | <u>Nonpersonal Requisition File.</u> Requisitions for nonpersonal services, such as duplicating, laundering, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6). | Destroy when 1 year old. |
| 8. | <u>Inventory Requisition File.</u> Requisitions for supplies and equipment for current inventory. a. Stockroom copy. b. All other copies. | Destroy 2 years after completion or cancellation of requisition. Destroy when 6 months old. |
| 9. | <u>Inventory Files.</u> a. Inventory lists. b. Inventory cards. 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 from date of list. 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. Destroy 2 years after date of survey action or date of posting medium. |
| 10. | <u>Telephone Records.</u> Telephone statements and toll slips. | Destroy 3 years after period covered by related account. |
| 11. | <u>Contractors' Payroll Files.</u> Contractors' payrolls (Construction contracts) submitted in accordance with Labor Department regulations, with related certifications, antikickback 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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---|---|--|
| 12. | <u>Tax Exemption Files.</u> Tax exemption certificates and related papers. | Destroy 3 years after period covered by related account. |
| 13. | <u>Unsuccessful Grant Application Files.</u> Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications. | Destroy 3 years after rejection or withdrawal. |
| 14. | <u>Grant Administrative Files.</u> Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. | Destroy when 2 years old. |
| <p>[Note: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]</p> | | |
| 15. | <u>Contract Appeals Case Files.</u> Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgements thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers. | |
| | a. Records created prior to October 1, 1979. | Destroy 6 years, 3 months, after final action on decision. |
| | b. Records created after September 30, 1979. | Destroy 1 year after final action on decision. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|--|--|
| 16. | <u>Contractor's Statement of Contingent or Other Fees.</u> Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes. | Destroy when superseded, obsolete, or no longer needed, whichever is sooner. |
| 17. | <u>Small and Disadvantaged Business Utilization Files.</u> Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507. | Destroy when 3 years old. |

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 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 Administration for appraisal 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 an 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. Agencies use SF 120 to report excess personal property to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, General Services Administration, which consolidates the data.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|-------------------------------|
| 1. | <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. |
| 2. | <u>Excess Personal Property Reports.</u> | Destroy when 3 years old. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|---|--|
| 3. | <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. | |
| | a. Transactions of more than \$25,000. | Destroy 6 years after final payment. |
| | b. Transactions of \$25,000 or less. | Destroy 3 years after final payment. |
| 4. | <u>Real Property Files.</u> 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. |

[Note: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

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 (OMB) 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 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' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of 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 Administration 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 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 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 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|--|
| 1. | <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, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices. | Destroy when 2 years old. |
| 2. | <u>Budget Background Records.</u> Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices. | Destroy 1 year after the close of the fiscal year covered by the budget. |
| 3. | <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. |
| 4. | <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. |

[Note: The following budget files are not covered by the GRS:

--Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.

--Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting an SF 115 to NARA.]

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 (GAO). 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 Administration 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 GAO 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 Division of Disbursement of 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 GAO from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 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 includes records held for on-site audit by GAO, 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 GAO 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 GAO cognizance. GAO 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 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, Records Management, GAO. Because the records previously transferred to GAO 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

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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, EXCLUDING accounts and supporting documents pertaining to American Indians. 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 operating the agency. All copies except 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 period covered by account.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
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Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.

- SF 215, Deposit Ticket
- 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
- OF 1114, Bill of Collection
- OF 1114A, Official Receipt
- OF 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
- 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

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NO. DESCRIPTION OF RECORDS

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SF 1220, Statement of Transactions
According to Appropria-
tion, Funds and Receipt
Accounts

SF 1221, Statement of Transactions
According to Appropria-
tion, Funds, and Receipt
Accounts (Foreign Service
Account)

- b. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2.

Destroy when 1 year old.

[NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.]

2. GAO Exceptions Files.

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. Certificates Settlement Files.

Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.

- a. Certificate covering closed account settlements, supplemental settlements, and final balance settlements.

Destroy 2 years after date of settlement.

- b. Certificates covering period settlements.

Destroy when subsequent certificate of settlement is received.

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|---|---|
| 4. | <u>General Fund Files.</u> Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule. | Destroy when 3 years old. |
| 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 bond and attached powers of attorney. | |
| | (1) Bonds purchased before January 1, 1956. | Destroy 15 years after bond becomes inactive. |
| | (2) Bonds purchased after December 31, 1955. | Destroy 15 years after end of bond premium period. |
| | b. Other bond files including other copies of bonds and related documents. | 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 vouchers 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. |

| ITEM NO. | DESCRIPTION OF RECORDS | AUTHORIZED DISPOSITION |
|-------------|---|---|
| 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. |
| 10. | <u>Administrative Claims Files.</u> a. Claims against the United States. Records relating to claims against the United States for moneys which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c below. b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1). | Destroy when 6 years, 3 months old. |
| | Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter 11), EXCLUDING claims covered under subitem c below. | |
| | (1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. | Destroy when 6 years, 3 months old. |
| | (2) Claims for which collection action has been terminated under 4 CFR Part 104. | |
| | (a) Claims for which the Government's right to collect was not extended. | Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued. |
| | (b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action. | Destroy 3 months after the end of the extended period. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|---|
| | (3) Claims which the agency administratively determines are not owed to the United States after collection action was initiated. | Destroy when 6 years, 3 months old. |
| | c. Claims files that are affected by a court order or that are subject to litigation proceedings. | Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later. |
| 11. | <u>Waiver of Claims Files.</u> Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigation reports, decisions by agency and/or GAO approving or denying the waiver, and related records. | |
| | a. Approved waivers (agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount). | Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved. |
| | b. Denied waivers. | Destroy with related claims files in accordance with items 10b and 10c of this schedule. |

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 nonappropriated, 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 as a primary source of data for top management concerned with agency solvency, expenditures, and 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 documents 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 expenditures.

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 of 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 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 Administration before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the General Accounting Office (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or, (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <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 6 years and 3 months 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 appropriations. | Destroy 6 years and 3 months 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 covered elsewhere 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 reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

a. Store Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting 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 records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. Plant Accounting. These records document 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 are also maintained.

c. Cost Accounting. These records are designed to show accumulated 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 costs reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material costs information is collected by posting requisitions for material or procurement documents to intermediate records, and labor costs information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|-------------------------------|
| 1. | <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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---|--|---|
| 2. | <u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes. | Destroy when 3 years old. |
| 3. | <u>Stores Accounting Files.</u> Stores accounting returns and reports. | Destroy when 3 years old. |
| 4. | <u>Stores Accounting Work Papers.</u> Work papers used in accumulating stores accounting data. | Destroy when 2 years old. |
| 5. | <u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those pertaining to structures. | Destroy 3 years after item is withdrawn from plant account. |
| [Note: Plant accounting cards and ledgers pertaining to structures are not disposable under the GRS. Agencies must submit an SF 115 to NARA to schedule these records.] | | |
| 6. | <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. |
| 7. | <u>Cost Report Data Files.</u> Ledgers, forms, and electronic records used to accumulate data for use in cost reports. a. Ledgers and forms. b. Automated records. (1) Detail cards. (2) Summary cards. (3) Tabulations. | Destroy when 3 years old. Destroy when 6 months old. Destroy when 6 months old. Destroy when 1 year old. |

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records relating to the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, vouchers, and similar 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 item 1 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 documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other 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 valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

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

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|--|---|
| 1. | <u>Freight and Passenger Transportation Files.</u> | |
| a. | Original vouchers and support documents covering freight and passenger transportation charges of settled fiscal accounts. Including registers and other control documents. | |
| (1) | Records covering payment for services furnished when the charges for any single bill of lading or passenger transportation request is less than \$100, EXCLUDING those covered by item 1a(4) of this schedule. | Cut off at end of fiscal year. Destroy when 3 years old. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|-------------------------------|
| (2) | Records covering payment for freight and passenger transportation charges for interstate transportation and international transportation by freight forwarders of unaccompanied baggage or privately owned vehicles shipped separate from household goods; the charges for which are published in tariffs lawfully on file with the Interstate Commerce Commission (ICC) or based on tenders or quotations, pursuant to section 22 of the Interstate Commerce Act offering a reduction from the published ICC tariffs. EXCLUDING those covered by item 1a(4) of this schedule. | Destroy when 3 years old. |
| (3) | Records covering payment for all other freight and passenger transportation charges not covered by items 1a(1) and 1(2) above. EXCLUDING those covered by item 1a(4) of this schedule. | Destroy when 6 years old. |
| (4) | Records covering payment for freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) voucher has become involved in litigation, or 6) any other condition that requires the voucher to be retained beyond the 3 or 6-year disposal period, such as detection of an undercharge. | Destroy when 10 years old. |

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- | | | |
|----|--|---|
| b. | Issuing office memorandum copies of Government or commercial bills of lading, passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents. | Destroy when 3 years old. |
| c. | Obligation copy of passenger transportation vouchers. | Destroy when funds are obligated. |
| d. | Unused ticket redemption forms, such as SF 1170. | Destroy when no longer needed for administrative use. |
| 2. | <u>Lost or Damaged Shipments Files.</u> Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act. | Destroy when 3 years old. |
| 3. | <u>Passenger Reimbursement Files.</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel. | |
| a. | Travel administrative office files. | Destroy when 3 years old. |
| b. | Obligation copies. | Destroy when funds are obligated. |
| 4. | <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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| 5. | <u>Records Relating to Official Passports.</u> | |
| a. | Application files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations. | Destroy when 3 years old or upon separation of the bearer, whichever is sooner. |
| b. | Annual reports concerning official passports. Reports to the Department of State concerning the number of official passports issued and related matters. | Destroy when 1 year old. |
| c. | Passport registers. Registers and lists of agency personnel who have official passports. | Destroy when no longer needed. |

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State.]

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.

41 CFR 101-38 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Office of Federal Supply Services, 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 Office of Federal Supply and Services (Standard Form 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>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. |
| | Motor vehicle ledger and work sheets providing cost and expense data. | 3. <u>Motor Vehicle Cost Files.</u> Destroy 3 years after discontinuance of ledger or date of work sheet. |

| ITEM | <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), including SF 82, Agency Report of Motor Vehicle Data, and SF 82-D, Agency Report of Sedan Data. | Destroy 3 years after date of report. |
| 5. | <u>Motor Vehicle Accident Files.</u> Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness. | Destroy 6 years after case is closed. |
| 6. | <u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97A, Agency Record Copy of U.S. Government Certificate of Release of Motor Vehicle. | Destroy 4 years after vehicle leaves agency custody. |
| 7. | <u>Motor Vehicle Operator Files.</u> Records relating to individual employee operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. | Destroy 3 years after separation of employees 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 regulation (41 CFR 101-17); 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 officers' 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 Administration before applying these disposition instructions.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>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 the General Services Administration. | |
| a. | Building plan files, surveys and other records utilized in agency space planning, assignment, and adjustment. | Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| | b. Correspondence with and reports to staff agencies relative to agency space holdings and requirements. | |
| | (1) Agency reports to the General Services Administration, including SF 81, Request for Space, and related documents. | 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. |
| 5. | <u>Building and Equipment Service Files.</u> | |
| | Requests for building and equipment maintenance services, excluding fiscal copies. | Destroy 3 months after work is performed or requisition is cancelled. |

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; 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 service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records which reflect Governmentwide programs, such as records held by the U.S. Postal Service and the Office of Information Resources Management of the General Services Administration, other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the General Services Administration and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

Other than those covered by item 3, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>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 General 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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---|---|--|
| d. | Telecommunications 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 maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office. | Destroy when 2 years old. |
| <p>[NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]</p> | | |
| 4. | <u>Telephone Use Records.</u> | RESERVED. |
| 5. | <u>Post Office and Private Mail Company Records.</u> | |
| | Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service. | |
| a. | Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts. | Destroy when 1 year old. |
| b. | Application for registration and certification of declared value mail. | Destroy when 1 year old. |

| ITEM NO. | DESCRIPTION OF RECORDS | AUTHORIZED DISPOSITION |
|-------------|---|--|
| c. | Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail. | 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. |
| 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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|--|
| 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 disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. 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, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) 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 (c) 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|---|---|
| 1. | <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 documents. | Destroy when 2 years old. |
| 2. | <u>Project Files.</u> Job or project records containing information relating 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 documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency. | Destroy 1 year after completion of job. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|--|---|
| | b. Files pertaining to planning and other technical matters. | Destroy when 3 years old. |
| [NOTE: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to the National Archives. Agencies should describe each series of publications on an SF 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed.] | | |
| 3. | <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. |
| 4. | <u>Mailing Lists.</u> a. Correspondence, request forms, and other records relating to changes in mailing list. b. Card lists. | Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. Destroy individual cards when cancelled or revised. |
| 5. | <u>JCP Reports Files.</u> Reports to Congress and related records. a. Agency report 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. b. Copies in subordinate reporting units and related work papers. | Destroy when 3 years old. Destroy 1 year after date of report. |
| 6. | <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. Item 4 applies only to files maintained in the office responsible for the operation of the informational activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal informational releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other informational services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other informational services records not included in this schedule, agencies submit an SF 115, Request for Records Disposition Authority, to NARA.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|-------------------------------|-------------------------------|
|-----------------|-------------------------------|-------------------------------|

1. Information Requests Files.

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 when 3 months old or when no longer needed, whichever is sooner.

| ITEM | NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------|----------------|--|---|
| | 2. | <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. |
| | 3. | <u>Press Service Files.</u> Press service teletype news and similar materials. | Destroy when 3 months old. |
| | 4. | <u>Information Project Files.</u> Informational service project case files maintained in formally designated informational offices. | Destroy 1 year after close of file or 1 year after completion of project. |
| | 5. | <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. |
| | 6. | <u>Indexes and Check Lists.</u> Bibliographies, check lists, indexes of agency publications and reports, EXCLUDING those relating to records sets scheduled as permanent. | Destroy when superseded or obsolete. |
| | 7. through 10. | <u>Reserved.</u> | |
| | 11. | <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. | |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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 non-
existent records; to requesters
who provide inadequate descrip-
tions; and to those who fail to
pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of
reply.

(b) Request appealed.

Destroy as authorized under
Item 12.

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

(a) Request not appealed.

Destroy 6 years after date of
reply.

(b) Request appealed.

Destroy as authorized under
Item 12.

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.

12. FOIA Appeals Files.

Files created in responding to adminis-
trative 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.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by agency or 6 years after the time at which a requester could file suit, 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 request, whichever is later.

13. FOIA Control Files.

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 requester.

a. Registers or listing.

Destroy 6 years after date of last entry.

b. Other files.

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

14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old or sooner if no longer needed for administrative use.

[NOTE: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives by submitting an SF 115 to NARA.]

| ITEM | NO. DESCRIPTION OF RECORDS | AUTHORIZED DISPOSITION |
|------|---|--|
| 15. | <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. |
| 16. | through 20. <u>Reserved.</u> | |
| 21. | <u>Privacy Act Requests Files.</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply hereto, 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 requesters 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 22. |
| | (3) Denying access to all or part of the records requested. | |
| | (a) Requests <u>not</u> appealed. | Destroy 5 years after date of reply. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

| | | |
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| | (b) Requests appealed. | Destroy as authorized under Item 22. |
| | 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. |
| 22. | <u>Privacy Act Amendment Case Files.</u> Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of 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). | |
| | 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. |

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

23. Privacy Act Accounting of Disclosure Files.

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

24. Privacy Act Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings.

Destroy 5 years after date of last entry.

b. Other files.

Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

25. Privacy Act Reports Files.

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at the all levels.

Destroy when 2 years old.

[NOTE: The GRS does not cover the biennial report to Congress from the Office of Management and Budget.]

26. Privacy Act General Administrative Files.

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.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

27. through 30. Reserved.

31. Mandatory Review For Declassification
 Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

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

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

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

(a) Request not appealed.

Destroy 5 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Official file copy of requested records.

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

c. Sanitizing instructions.

Destroy when superseded, or when requested documents are declassified or destroyed.

32. Mandatory Review for Declassification Appeals Files.

Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12356 and its predecessors for release of information denied by the agency. Files consist 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 7 years after final determination by agency.

b. Official file copy of records under appeal.

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

33. Mandatory Review for Declassification Control Files

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 requester.

a. Registers or listing.

Destroy 5 years after date.

b. Other files.

Destroy 5 years after final action by the agency.

| ITEM | DESCRIPTION OF RECORDS | AUTHORIZED DISPOSITION |
|------|--|---|
| 34. | <u>Mandatory Review for Declassification Reports Files.</u> Reports relating to agency implementation of the mandatory review provisions of E.O. 12356, including annual reports submitted to ISOO. | Destroy when 2 years old or sooner if no longer needed for administrative use. |
| 35. | <u>Mandatory Review for Declassification Administrative Files.</u> Records relating to the general agency implementation of the mandatory review provisions of E.O. 12356, including notices, memoranda, correspondence, and related records. | Destroy when 2 years old or sooner if no longer needed for administrative use. |
| 36. | <u>Erroneous Release Files</u> Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof. | Follow the disposition instructions approved for the released official file copy, or destroy 6 years after the erroneous release, whichever is later. |
| | a. Files that include the official file copy of the released records. | |
| | b. Files that do not include the official file copy of the released records. | Destroy 6 years after the erroneous release. |

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 of staff office files of the supervising agency, or the files of the HUD, the Department of Health and Human Services, 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 overall 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.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>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. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|--|
| | b. Work orders, requisitions, and related papers involved in 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 documents. | 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. b. Individual housing unit cards. | Destroy when tenant vacates unit. 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. b. All others. | Destroy 1 year from date of rejection. Destroy when 2 years old. |

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records 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 and Records Administration 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, the 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 with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of an SF 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials 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, letter or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|--|---|
| 1. | <u>Administrative Issuances.</u> | |
| a. | Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel). | Destroy when superseded or obsolete. |
| b. | Case files related to (a) above which document aspects of the development of the issuance. | Destroy when issuance is destroyed. |
| <p>[NOTE: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget, and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA.]</p> | | |
| 2. | <u>Records Disposition Files.</u> | |
| Descriptive inventories, disposal authorizations, schedules, and reports. | | |
| a. | Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation. | Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. |
| b. | Routine correspondence and memoranda. | Destroy when no longer needed for reference. |
| 3. | <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. | Destroy 5 years after related form is discontinued, superseded, or cancelled. |
| b. | Background materials, requisitions, specifications, processing data, and control records. | Destroy when related form is discontinued, superseded, or cancelled. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|--|
| b. | Background materials, requisitions, specifications, processing data, and control records. | Destroy when related form is discontinued, superseded, or cancelled. |
| 4. | <u>Records Holdings Files.</u> Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer. | |
| a. | Records held by offices which prepare reports on agency-wide records holdings. | Destroy when 3 years old. |
| b. | Records held by other offices. | Destroy when 1 year old. |
| 5. | <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. |
| 6. | <u>Reports Control Files</u> Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements. | Destroy 2 years after the report is discontinued. |
| 7. | <u>Records Management Files.</u> Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. | Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference. |

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

8. Committee and Conference Files.

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|---|---|
| a. Records relating to establishment, organization, membership, and policy of internal committees. | Destroy 2 years after termination of committee. |
| | |
| b. Records created by committees. | |
| (1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat. | Destroy when 3 years old or when no longer needed for reference, whichever is sooner. |

[NOTE: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.]

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|---------------------------------------|---|
| (2) All other committee records. | Destroy when 3 years old or when no longer needed for reference, whichever is sooner. |
|---------------------------------------|---|

[NOTE: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the Act, are permanent records and must be scheduled by submission of an SF 115 to NARA.]

- | | |
|---|---|
| c. Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information. | Destroy 5 years after termination of committee. |
|---|---|

[NOTE: This subitem does not apply to records maintained at the General Services Administration or records covered elsewhere in this schedule.]

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|---|--|
| 9. | <u>Feasibility Studies.</u> Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system. | Destroy 5 years after completion or cancellation of study. |
| 10. | <u>Microform Inspection Records.</u> a. Log documenting the inspection of microform records, as required by 36 CFR 1230, including description of the records tested, record category date, elements of inspection, results, and if defects are found, corrective action taken. b. Reports made to the National Archives and Records Administration on the results of microform inspection, as required by 36 CFR 1230, and related correspondence. | Destroy 3 years after date of last entry. Destroy when 3 years old. |
| 11. | <u>IRM Triennial Review Files.</u> Reports required by the General Services Administration concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports. | Destroy when 7 years old. |

| ITEM | <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------|---|---|-------------------------------|
| 12. | <u>Information Collection Budget Files.</u> | Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations. | Destroy when 7 years old. |
| 13. | <u>Documents Published in the Federal Register.</u> | a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b (e) (3); hearing and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the <u>Code of Federal Regulations</u> . | Destroy when 1 year old. |
| | | b. Files documenting the processing of semiannual regulatory agenda. | Destroy when 2 years old. |

[NOTE: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.]

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural,
and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both the historically valuable and the disposable records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only disposable records. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to insure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives before applying the disposition instructions in this schedule.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|---|---|
| 1. | <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 informational content is duplicated by the final published map. | Destroy when no longer needed for revision. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|--|--|
| 2. | <u>Vertical and Oblique Aerial Photography.</u> Vertical and oblique film in black and white, color, or "false color," including related photo indexes (controlled or uncontrolled mosaics), flight line indexes, or coordinate grid systems used as finding aids. | |
| a. | <u>Unannotated</u> duplicate copy negatives, internegatives, rectified negatives, and glass plate negatives. | Destroy when no longer needed for agency use. |
| b. | <u>Unannotated</u> prints when original film negatives exist. | Destroy when no longer needed for agency use. |
| <p>[NOTE: The term aerial photography means visual images of the surface of the earth, of other planetary bodies, or of the atmosphere, taken from airborne vehicles for the purpose of evaluating, measuring, or mapping the cultural and physical features of the landscape or sky, 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 remote sensing imagery, such as that from orbiting satellites, which requires conversion or alteration of sensor data from digital, electronic, or computerized form to photographic or videographic images must be scheduled for disposition on a case by case basis.]</p> | | |
| 3. | <u>Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.</u> | |
| | Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations. | Destroy when no longer needed for administrative purposes. |
| 4. | <u>Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.</u> | Destroy when no longer needed for administrative purposes. |
| 5. | <u>Contract Negotiation Drawings.</u> | |
| | Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings. | Destroy when no longer needed for administrative purposes. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|---|---|
| 6. | <u>Space Assignment Plans.</u> Outline floor plans indicating occupancy of a building. | Destroy when no longer needed for administrative purposes. |
| 7. | <u>Architectural Models.</u> Models prepared for illustrative or presentation purposes. | Dispose of when no longer needed for administrative purposes. |
| [NOTE: These models may be offered for donation to museums or similar organizations after approval by NARA under the provisions of 36 CFR 1228.74(c).] | | |
| 8. | <u>Engineering Drawings of Routine Minor Parts.</u> Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe-fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file. | Destroy when no longer needed for administrative purposes. |
| 9. | <u>Drawings Reflecting Minor Modifications.</u> Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file. | Destroy when no longer needed for administrative purposes. |
| 10. | <u>Paint Plans and Samples.</u> Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for painting appliances, elevators, and other mechanical parts of all buildings. | Destroy when no longer needed for administrative use. |

[NOTE: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting an SF 115 to NARA.]

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 ensure 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 selected 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 overall policies and determinations 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 Administration before applying these disposition instructions.

With the exception of item 5, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|-------------------------------|-------------------------------|
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Classified Information Accounting and Control Records

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

1. Classified Documents Administrative Correspondence Files.

Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for security and protective services programs.]

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|--|--|--|
| 2. | <u>Document Receipt Files.</u> Records documenting the receipt and issuance of classified documents. | Destroy when 2 years old. |
| 3. | <u>Destruction Certificates Files.</u> Certificates relating to the destruction of classified documents. | Destroy when 2 years old. |
| 4. | <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. |
| 5. | <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 ensure 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. |
| [NOTE: Master files and data bases created in central data processing facilities to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.] | | |
| 6. | <u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files. | Destroy 2 years after authorization expires. |

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

7. Classified Document Container Security Files.

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.

Facilities Security and Protective Services Records

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.

8. Security and Protective Services Administrative Correspondence Files.

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for security and protective services programs.]

9. Survey and Inspection Files.
(Government-owned facilities)

Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.

10. Survey and Inspection Files.
(privately owned facilities)

Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related documents.

Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|---|
| 11. | <u>Investigative Files.</u> Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. | Destroy when 2 years old. |
| 12. | <u>Property Pass Files.</u> Property pass files, authorizing removal of property or materials. | Destroy 3 months after expiration or revocation. |
| 13. | <u>Guard Assignment Files.</u> Files relating to guard assignments and strength. a. Ledger records. b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements. | Destroy 3 years after final entry. Destroy when 2 years old. |
| 14. | <u>Police Functions Files.</u> Files relating to exercise of police functions. a. Ledger records of arrest, cars ticketed, and outside police contacts. b. Reports, statements of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations. c. Reports on contact of outside police with building occupants. | Destroy 3 years after final entry. Destroy when 2 years old. Destroy when 1 year old. |

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|--|--|
| 15. | <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 documents relating to lost and found articles. | Destroy when 1 year old. |
| 16. | <u>Key Accountability Files.</u> Files relating to accountability for keys issued. | |
| | a. For areas under maximum security. | Destroy 3 years after turn-in of key. |
| | b. For other areas. | Destroy 6 months after turn-in of key. |
| 17. | <u>Visitor Control Files.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers. | |
| | a. For areas under maximum security. | Destroy 5 years after final entry or 5 years after date of document, as appropriate. |
| | b. For other areas. | Destroy 2 years after final entry or 2 years after date of document, as appropriate. |
| 18. | <u>Facilities Checks Files.</u> Files relating to periodic guard force facility checks. | |
| | a. Data sheets, log slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule). | Destroy when 1 year old. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|---|--|
| | 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 24 of this schedule. | Destroy when 1 month old. |
| 19. | <u>Guard Service Control Files.</u> | |
| | a. Control center key or code records, emergency call cards, and building record and employee identification cards. | Destroy when superseded or obsolete. |
| | b. Round reports, service reports on interruptions and tests, and punch clock dial sheets. | Destroy when 1 year old. |
| | 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. |
| 20. | <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. |
| | <u>Personnel Security Clearance Records</u> | |
| | Records accumulating from investigations of personnel conducted under Executive Orders and statutory or regulatory requirements. | |
| 21. | <u>Security Clearance Administrative Subject Files.</u> | |
| | Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule. | Destroy when 2 years old. |

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to government facilities or sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Destroy in accordance with the investigating agency instructions.

c. Index to the Personnel Security Case Files.

Destroy with related case file.

23. Personnel Security Clearance Status Files.

Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete.

24. Security Violations Files.

Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|---|
| | a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations. | Destroy 5 years after close of case. |
| | b. All other files, exclusive of documents placed in official personnel folders. | Destroy 2 years after completion of final action or when no longer needed, whichever is sooner. |

25. Classified or Classifiable Information Nondisclosure Agreements.

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by employees with access to information which is classified or classifiable under standards put forth by Executive Order 12356. These forms should be maintained separately from personnel security clearance files.

Destroy when 50 years old.

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.

26. Emergency Planning Administrative Correspondence Files.

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

Destroy when 2 years old.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for emergency programs.]

ITEM
NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

27. Emergency Planning Case Files.

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.

Destroy 3 years after issuance of a new plan or directive.

[NOTES: (1) If the emergency plan is not included in the agency's set of master directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives by submission of an SF 115. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives by submission of an SF 115.]

28. Emergency Operations Tests Files.

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

Destroy when 3 years old.

29. National Defense Executive Reserve (NDER) Case Files.

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists.

Destroy 5 years after termination from NDER program.

b. Case files individuals whose applications were rejected or withdrawn.

Destroy when 5 years old.

GENERAL RECORDS SCHEDULE 19

Research and Development Records

The previous editions of the General Records Schedules (GRS) included GRS 19, Research and Development Records. However, GRS 19 has not provided meaningful records disposition authority for Federal research and development records. Because of the varied nature of research and development activities in the Federal Government, uniform disposition standards cannot be mandated for most series of records created in carrying out such functions. Retention periods were not specified for the more substantive records series. In addition, many research and development activities do not generate records as described in the previous version of GRS 19. It is important for agencies to schedule their research and development records individually, so that they may be accurately described. This approach will allow proper appraisal of the records by the National Archives and Records Administration and facilitate preservation of significant records for future research.

The National Archives has determined that the disposition of research and development records should not be governed by a General Records Schedule.

GRS 19 is therefore RESCINDED.

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records.

This schedule applies to disposable electronic records routinely stored on magnetic media by Federal agencies in central data processing facilities, including ones operated for agencies by contractors. It covers records created by computer operators, programmers, analysts, and systems administrators in order to store and maintain computer files in such facilities; certain master files, including some that are components of data base management systems and certain files created from master files for specific purposes. Items covering disposable electronic records produced by end users in office automation applications (e.g., word processing files, certain text files, and data bases developed on personal computers in support of administrative functions) are included in General Records Schedule 23, Records Common to Most Offices Within Agencies. GRS 20 and 23 do not cover all electronic records. Electronic records not covered by items in GRS 20 or GRS 23 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA).

The records covered by several of the items in this schedule are authorized for erasure or deletion when no longer needed. NARA could not establish a more definite retention that would be appropriate in all applications. The agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records authorized for destruction when no longer needed by the GRS.

Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records regardless of the medium in which such documentation and programs exist.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Files/Records Created in Central ADP Facilities to Create, Use, and Maintain Master Files.

a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.

Delete/destroy when no longer needed.

b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

Delete after information has been transferred to the master file and verified.

c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Delete/destroy when no longer needed in accordance with sound business practice and agency standard operating procedures.

2. Input/Source Records.

a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the back-up to, the master file, whichever is later.

b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

c. Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or data base, whichever is later.

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or data base.

Delete after the necessary data have been incorporated into a master file.

3. Master Files, (Including Master Files that are Components of Data Base Management Systems) Relating to Administrative Functions.

Master files that:

- a) replace, in whole or in part, administrative records scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; and
- b) consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates;

EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 1, 21, 22, 25f; GRS 2, item 17; GRS 12, item 2; and GRS 18, item 5.

Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

4. Data Files Consisting of Summarized Information.

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are:

- a) created as disclosure-free files to allow public access to the data; or
- b) created from a master file or data base that is unscheduled, that was scheduled as permanent but no longer exists, or can no longer be accessed;

which may not be destroyed before securing NARA approval.

Delete when no longer needed for current business.

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA approved disposition job, EXCLUDING extracts that are:

- a) produced as disclosure-free files to allow public access to the data; or
- b) produced from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists, or can no longer be accessed; or
- c) produced by an extraction process which changes the informational content of the source master file or data base;

which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 respectively.

Delete when no longer needed for current business.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and reports.

Delete when no longer needed.

7. Technical Reformat File.

Electronic file consisting of data copied from a master file or data base for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when no longer needed.

8. Security Backup File.

Electronic file consisting of data identical in physical format to a master file or data base and retained in case the master file or data base is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been transferred to the National Archives and successfully copied, or when replaced by a subsequent security backup file.

b. File identical to record authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.

ITEM

NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

9. Finding Aids (or indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when no longer needed, whichever is later.

10. Special Purpose Programs.

Application software necessary solely to use or maintain a master file or data base authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to the National Archives.

Delete when related master file or data base has been deleted.

11. Documentation.

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for disposal in a NARA-approved records schedule, EXCLUDING documentation relating to any unscheduled master file or data base or relating to any master file or data base scheduled for transfer to the National Archives.

Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.

[NOTE: See item 1a of this schedule for documentation relating to system testing.]

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting an SF 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records, and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide." Copies are available from the NARA Office of Records Administration.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-1003-3, "Recovery of Precious Metals and Strategic and Critical Materials."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|-------------------------------|-------------------------------|
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Still Photography

- | | | |
|----|--|---|
| 1. | Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency. | Destroy when one year old or when no longer needed. |
| 2. | Personnel identification or passport photographs. | Destroy when five years old or when no longer needed. |

| <u>ITEM</u> <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|---------------------------|---|--|
| 3. | Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of the agency. | Destroy one year after completion of training program. |
| 4. | Duplicate items in excess of record elements required for preservation, duplication, and reference service by 36 CFR 1228.184. | Destroy when no longer needed. |
| <u>Graphic Arts</u> | | |
| 5. | Viewgraphs. | Destroy one year after use or when no longer needed. |
| 6. | Routine artwork for handbills, flyers, posters, letterhead, and other graphics. | Destroy one year after final publication or when no longer needed. |
| 7. | Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction. | Destroy when no longer needed for publication or reprinting. |
| 8. | Line copies of graphs and charts. | Destroy one year after final production or when no longer needed. |
| <u>Motion Pictures</u> | | |
| 9. | Films acquired from outside sources for personnel and management training. | Destroy one year after completion of training program. |
| 10. | Films acquired from outside sources for personnel entertainment and recreation. | Destroy when no longer needed. |
| 11. | Routine surveillance footage. | Destroy when no longer needed. |
| 12. | Routine scientific, medical or engineering footage. | Destroy when two years old or when no longer needed. |
| 13. | Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184. | Destroy when no longer needed. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------------------|--|--|
| <u>Video Recordings</u> | | |
| 14. | Programs acquired from outside sources for personnel and management training. | Destroy one year after completion of training program. |
| 15. | Programs acquired from outside sources for personnel entertainment and recreation. | Destroy when no longer needed. |
| 16. | Rehearsal or practice tapes. | Destroy immediately. |
| 17. | Internal personnel and administrative training programs that do <u>not</u> reflect the mission of the agency. (These include "role-play" sessions, management and supervisory instruction, etc.) | Destroy one year after completion of training program. |
| 18. | Routine surveillance recordings. | Destroy when no longer needed. |
| 19. | Routine scientific, medical or engineering recordings. | Destroy when two years old or when no longer needed. |
| 20. | Recordings that document routine meetings and award presentations. | Destroy when no longer needed. |
| 21. | Duplicate dubbings and pre-mix elements in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184. | Destroy when no longer needed. |

Audio (Sound) Recordings

| | | |
|-----|---|--------------------------------|
| 22. | Recordings of meetings made exclusively for notetaking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. | Destroy immediately after use. |
|-----|---|--------------------------------|

[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.]

| | | |
|-----|--|--------------------------------|
| 23. | Dictation belts or tapes. | Destroy immediately after use. |
| 24. | Pre-mix sound elements created during the course of a motion picture, television, or radio production. | Destroy immediately after use. |

| <u>ITEM NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-----------------|--|---|
| 25. | Library sound recordings (e.g., effects, music). | Destroy when no longer needed. |
| 26. | Daily or spot news recordings available to local radio stations on a call-in basis. | Destroy when six months old or when no longer needed. |
| 27. | Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184. | Destroy when no longer needed. |

Related Documentation

| | | |
|-----|--|--|
| 28. | Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. | Dispose of according to the instructions covering the related audiovisual records. |
| 29. | Finding aids for identification, retrieval, or use of temporary audiovisual records. | Dispose of according to the instructions covering the related audiovisual records. |

GENERAL RECORDS SCHEDULE 22

Inspector General Records

The Inspectors General monitor agency programs and operation to prevent waste, reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected Government agencies. Several other agencies have created nonstatutory OIGs. An OIG conducts and supervises audits and investigations; recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. OIGs must submit reports to the Congress.

This schedule covers the two major series of disposable investigative, audit and related records created or maintained by an OIG. Indexes to these files are covered by General Records Schedule 23, Records Common to Most Offices Within Agencies, item 9. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not specifically described in this schedule must be scheduled by each agency individually. This schedule does not authorize disposal of investigative case files for cases that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Such files must be scheduled by submission of an SF 115.

This schedule does not apply to records created or accumulated by Inspectors General of military agencies (i.e., the Department of Defense and all DOD components) and the Central Intelligence Agency.

The records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|---|-------------------------------|
| 1. | <u>Investigative Case Files for Civilian Agencies other than the Central Intelligence Agency.</u> | |

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases relate to agency personnel and programs and operations administered or financed by the agency.

| ITEM NO. | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|-------------|---|--|
| | including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. | |
| a. | Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations. | Destroy when 5 years old. |
| b. | All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others. | Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. |
| | [NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures are not covered by this item. The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF 115.] | |
| 2. | <u>Audit Case Files of Civilian Agencies Other than the Central Intelligence Agency.</u> | |
| | Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consists of audit reports, correspondence, memoranda, and supporting working papers. | Cut off at end of fiscal year in which case is closed. Destroy 8 years after cutoff. |

GENERAL RECORDS SCHEDULE 23

Records Common to Most Offices Within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents; as well as certain types of records created in electronic form on stand-alone or networked micro-and mini-computers.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

ITEM

| <u>NO.</u> | <u>DESCRIPTION OF RECORDS</u> | <u>AUTHORIZED DISPOSITION</u> |
|------------|--|--|
| 1. | <u>Office Administrative Files.</u> Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. | Destroy when 2 years old, or when no longer needed, whichever is sooner. |

[NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF 115 to NARA.]

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2. Word Processing Files.

Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes:

- a. When used to produce hard copy which is maintained in organized files.
- b. When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy providing that the hard copy has been authorized for destruction by the GRS or a NARA-approved SF 115.

Delete when no longer needed to create a hard copy.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115.

3. Administrative Data Bases.

Data bases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by the GRS or a NARA-approved SF 115, if the hard copy records are maintained in organized files, and hard-copy printouts from those data bases created for short-term administrative purposes.

Delete information in the data base when no longer needed.

4. Electronic Spreadsheets.

Spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes:

- a. When used to produce hard copy which is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods, and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

5. Schedules of Daily Activities.

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, created and maintained in hard copy or electronic form, EXCLUDING materials determined to be personal.

- a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials (see note).

Destroy or delete when 2 years old.

[NOTE: High level officials include the heads of departments and independent agencies, their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA.]

- b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Destroy or delete when no longer needed.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

6. Suspense Files.

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

- a. A note or other reminder to take action.
- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Destroy after action is taken.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

7. Transitory Files.

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

- a. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
- b. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.
- c. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

Destroy when 3 months old, or when no longer needed, whichever is sooner.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

3. Tracking and Control Records.

Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

Destroy when no longer needed.

9. Finding Aids (or indexes).

Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Destroy or delete with the related records or sooner if no longer needed.

GENERAL RECORDS SCHEDULES

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| | <u>Schedule</u> | <u>Item</u> |
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| | <u>Schedule</u> | <u>Item</u> |
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| 1221 | Statement of Transactions According to Appropriations, Funds, and Receipt Accounts (Foreign Service Account) | 6(1,5) |
| 1303 | Request for Federal Cataloging/Supply Support Action | 3(2,4) |
| 2800 | Application for Death Benefits - Civil Service Retirement System | 1(1) |
| 2801 | Application for Retirement - Civil Service Retirement System | 1(1) |
| 2801A | Superior Officer's Statement in Connection with Disability Retirement | 1(1) |
| 2801B | Physician's Statement for Employee Disability 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) |
| 2802 | Application for Refund of Retirement Deductions | 1(1) |

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|------------------|--|---------------------|
| 2803 | Application to Make Deposit or Redeposit | 1(1) |
| 2804 | Application to Make Voluntary Contribution | 1(1) |
| 2805 | Request for Recovery of Debt Due the United States (Civil Service Retirement System) | 2(21) |
| 2807 | Register of Separations and Transfers - Civil Service Retirement System | 2(19) |
| 2807 | Register of Adjustments - Civil Service Retirement System | 2(19) |
| 2807-2 | Annual Summary Retirement Fund Transactions | 2(19) |
| 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 for Health Benefits, Group Life Insurance, and Civil Service Retirement | 2(17) |
| 2812A | Report of Withholdings and Contributions, Continuation | 2(17) |
| 2815 | Employee Service Statement | 1(1) |
| 2816 | Election of Coverage and Benefits | 1(1) |
| 2823 | Debit Voucher | 6(1) |
| 5515 | Designation of Beneficiary | 1(1) |

OPTIONAL FORMS INDEX

| <u>OF NUMBER</u> | <u>TITLE</u> | <u>GRS CITATION</u> |
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| 7 | Property Pass | 11(4) |
| 8 | Position Description | 1(7) |
| 12 | Request for Door Title Cards and Holders | 11(5) |
| 13 | Form Design Guide Sheet (8" x 10 1/2") | 16(3) |
| 13A | Form Design Guide Sheet (16" x 10 1/2") | 16(3) |
| 13B | Form Design Guide Sheet For 33 - 1/3/4 Reduction of 8" x 10 1/2" | 16(3) |
| 13C | ADP Form Design Spacing Guide | 16(3) |
| 16 | Sales Slip (Sale of Government Personal Property) | 4(3) |
| 17 | Notice to Bidder | 4(3) |
| 20 | Notice of Surety | 4(3) |
| 26 | Data Bearing Upon Scope of Employment of Motor Vehicle Operator | 10(5) |
| 30 | Motor Vehicle Service and Inspection Work Orders | 10(2) |
| 37 | Nomination for Interagency Training | 1(29) |
| 40A | Motor Vehicle Service Authorization | 10(2) |
| 49 | Inquiry for United States Government Use Only | 1(15) |
| 50 | Inquiry for United States Government Use Only | 1(15) |
| 51 | Inquiry for United States Government Use Only | 1(15) |
| 55 | U.S. Government Identification (Card) | 11(4) |
| 59 | Contract Pricing Proposal | 3(3) |
| 60 | Contract Pricing Proposal (Research and Development) | 3(3) |

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| <u>OF NUMBER</u> | <u>TITLE</u> | <u>GRS CITATION</u> |
|------------------|--|---------------------|
| 61 | Subcontracting Program - Quarterly Report of Participating Large Company on Subcontract Commitments (To Small Business Concerns and Minority Business Enterprises and Labor Surplus Area Concerns) | 3(3) |
| 62 | Safe or Cabinet Security Record | 18(7) |
| 63 | Security Container Information | 18(7) |
| 68 | Record of Travel Expenses | 9(3) |
| 101 | Summary Worksheet for Estimating Reporting Costs | 16(6) |
| 108 | Daily Vehicle Usage Report | 10(2) |
| 111 | Combination Safe Card | 18(7) |
| 112 | Classified Material Receipt | 18(5) |
| 113 | Register--Distribution of Classified Material | 18(5) |
| 114 | Register--Destruction of Classified Materials (Non-Record Copies) | 18(5) |
| 115 | Top Secret Cover Sheet | 18(5) |
| 116 | Record of Top Secret Material | 18(5) |
| 117 | Notice of Security Violation | 18(24) |
| 118 | Record of Violation | 18(18,24) |
| 119 | Record of Material Removed for Overnight Custody | 18(4,5) |
| 122 | Report of Closing Hours Security Check | 18(18) |
| 123 | Top Secret Document Inventory Record | 18(5) |
| 131 | Stock Control Card | 3(9) |
| 136 | Application for Retirement--Foreign Service Retirement System | 1(1) |
| 137 | Designation of Beneficiary | 1(1) |
| 138 | Application for Refund of Retirement Contributions (Foreign Service Retirement System) | 1(1) |

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| <u>OF NUMBER</u> | <u>TITLE</u> | <u>GRS CITATION</u> |
|------------------|--|---------------------|
| 140 | Election to Receive Extra Service Credit Towards Retirement (or Revocation Thereof) | 1(1) |
| 141 | Application for Service Credit | 1(1) |
| 144 | Temporary Duty (TDY) Official Travel Authorization | 9(1) |
| 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) |
| 158 | General Receipt | 6(1) |
| 160 | Request for Records (Freedom of Information Act) | 14(11) |
| 163 | Employee Suggestion Form | 1(12) |
| 164 | Meritorious Service Increase Certificate | 1(12) |
| 187 | Telegram Repeat Request | 12(3) |
| 189 | Travel Reimbursement Voucher | 6(1) |
| 189A | Travel Reimbursement Voucher (Memo) | 6(1);9(1) |
| 189B | Travel Reimbursement Voucher (Continuation Sheet) | 6(1) |
| 189C | Travel Reimbursement Voucher (Memo Continuation Sheet) | 6(1);9(1) |
| 190 | Foreign Service Emergency Locator Information | 1(6) |
| 191 | Outgoing Telegram | 12(3) |
| 191A | Outgoing Telegram (Continuation) | 12(3) |
| 199 | Notice of Shipment of Effects Residence-to-Residence Method | 9(1) |

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| <u>OF NUMBER</u> | <u>TITLE</u> | <u>GRS CITATION</u> |
|------------------|---|---------------------|
| 200 | Monthly Record of Vehicle Operation Cost | 10(2) |
| 202 | Leave Record | 2(3) |
| 202A | Leave Summary | 2(3) |
| 203 | Privacy Act Information Request | 14(21) |
| 205 | Statement of Operating Cash Advance and Replenishment Voucher | 6(1) |
| 206 | Purchase Order, Receiving Report and Voucher | 3(3) |
| 206A | Purchase Order, Receiving Report and Voucher (Continuation Sheet) | 3(3) |
| 208 | Statement of Collections | 6(1) |
| 1014 | General Ledger | 7(2) |
| 1014A | General 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) |
| 1101 | Miscellaneous Obligation Record | 7(3) |
| 1114 | Bill for Collection | 6(1) |
| 1114A | Official Receipt | 6(1) |
| 1114B | Collection Voucher | 6(1);4(3) |
| 1120 | Transportation Request Accountability Record | 9(4) |
| 1121 | Bill of Lading Accountability Record | 9(1) |
| 1127 | Individual Pay Card | 2(1) |
| 1130 | Time and Attendance Report | 2(3.9) |
| 1130A | Time and Attendance Report (For Use Abroad) | 2(3.9) |

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| <u>OF NUMBER</u> | <u>TITLE</u> | <u>GRS CITATION</u> |
|------------------|----------------------------|---------------------|
| 1135 | Time and Attendance Report | 2(3) |
| 1136 | Time and Attendance Report | 2(3) |
| 1137 | Leave Record | 2(9) |

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GRS CONVERSION TABLE

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---------------------------------------|---|---|---------------------|
| CIVILIAN PERSONNEL RECORDS | | | |
| Official Personnel Folder | 1/1a 1/1b | 1/1a 1/1b(1) 1/1b(2) | Deleted - see note |
| Service Record Card | 1/2a 1/2b | 1/2a 1/2b | |
| Personnel Correspondence | 1/3 | 1/3 | |
| Offers of Employment | 1/4a 1/4b(1) 1/4b(2) 1/4b(3) | 1/4a 1/4b(1) 1/4b(2) 1/4b(3) | |
| Certificates of Eligibles | 1/5 | 1/5 | |
| Employee Record Card | 1/6 | 1/6 | |
| Position Classification Files | 1/7a(1) 1/7a(2)(a) 1/7a(2)(b) 1/7b 1/7c(1) 1/7c(2) 1/7d | 1/7a(1) 1/7a(2)(a) 1/7a(2)(b) 1/7b(1) 1/7b(2) 1/7c(1) 1/7c(2) 1/7d | Deleted - nonrecord |
| Interview Records | 1/8 | 1/8 | |
| Performance Rating Board Case Files | 1/9 | 1/9 | |
| Temporary Individual Employee Records | 1/10 | 1/10 | |
| Position Identification Strips | 1/11 | 1/11 | |
| Employee Awards Files | 1/12a(1) 1/12a(2) 1/12b 1/12c 1/12d | 1/12a(1) 1/12a(2) 1/12b 1/12c 1/12d 1/12e | Deleted - see note |
| Incentive Awards Reports | 1/13 | 1/13 | |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|-----------------------------------|--|---|--|
| Notifications of Personnel Action | 1/14a 1/14b | 1/i4a 1/14b | |
| Employment Applications | 1/15 | 1/15 | |
| Statistical Reports | 1/16 | 1/16 | |
| Correspondence and Forms | 1/17a 1/17b(1) 1/17b(2) 1/17c | 1/17a 1/17b(1) 1/17b(2) 1/17c | |
| Supervisors' Personnel Files | 1/18a 1/18b | 1/18a 1/18b | |
| Individual Health Records | 1/19 | 1/19 | |
| Health Unit Control Files | 1/20a 1/20b | 1/20a 1/20b | |
| Employee Medical Folder | 1/21a(1) 1/21a(2) 1/21b 1/21c | 1/21 | Formerly Individual Employee Health Case Files |
| Statistical Summaries | 1/22 | 1/22 | |
| Employee Performance Records | 1/23a(1) 1/23a(2) 1/23a(3)(a) 1/23a(3)(b) 1/23a(4) 1/23a(5) 1/23b(1) 1/23b(2)(a) 1/23b(2)(b) 1/23b(3) 1/23b(4) | 1/23a(1) 1/23a(2) 1/23a(3) 1/23a(4) 1/23a(5) 1/23b(1) 1/23b(2) 1/23b(2) 1/23b(3) 1/23b(4) 1/23c | New item New item; previously disposition pending New item; previously disposition pending Deleted - see note |
| Motor Vehicle Operation Files | | 1/24 | Deleted - unnecessary cross-reference |
| Financial Disclosure Reports | 1/24a(1) 1/24a(2) 1/24b | 1/25a(1) 1/25a(2) 1/25b | |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|------------------------------|------------------------|--------------------|
| Equal Employment Opportunity Records | 1/25a | 1/26a | |
| | 1/25b | 1/26b | |
| | 1/25c | 1/26c | |
| | 1/25d(1) | 1/26d(1) | |
| | 1/25d(2) | 1/26d(2) | |
| | 1/25e | 1/26e | |
| | 1/25f | 1/26f | |
| | 1/25g | 1/26g | |
| | 1/25h(1) | 1/26h(1) | |
| | 1/25h(2) | 1/26h(2) | |
| | 1/25h(3) | 1/26h(3) | |
| | 1/25h(4) | 1/26h(4) | |
| | Personnel Counseling Records | 1/26a | 1/27a |
| 1/26b | | 1/27b | |
| Standards of Conduct Files | 1/27 | 1/28 | |
| Labor Management Relations Records | 1/28a(1) | 1/29a(1) | |
| | 1/28a(2) | 1/29a(2) | |
| | 1/28b | 1/29b | |
| Training Records | | 1/30a(1) | Deleted - see note |
| | | 1/30a(2) | Deleted - see note |
| | 1/29a(1) | 1/30b(1) | |
| | 1/29a(2) | 1/30b(2) | |
| | 1/29b | 1/30c | |
| | 1/30d | Deleted - see note | |
| Grievance, Disciplinary and Adverse Action Files | 1/30a | 1/31a | |
| | 1/30b | 1/31b | |
| Personal Injury Files | 1/31 | 1/32 | |
| Merit Promotion Cases | 1/32 | 1/33 | |
| Examining and Certification Files | 1/33a | | New item |
| | 1/33b | 1/34a | |
| | 1/33c | 1/34b | |
| | 1/33d | 1/34c | |
| | 1/33e | 1/34d | |
| | 1/33f | 1/34e | |
| | 1/33g | 1/34f | |
| | 1/33h | 1/34g | |
| | 1/33i | 1/34h | |
| | 1/33j | 1/34i | |
| | 1/33k(1) | 1/34j(1) | |
| | 1/33k(2) | 1/34j(2) | |
| | 1/33l | 1/34k | |
| | 1/33m | 1/34l | |
| 1/33n | 1/34m | | |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|--|--|--|
| | 1/33o | 1/34n | |
| | 1/33p | 1/34o | |
| | 1/33q | 1/34p | |
| Occupational Injury and Illness Files | 1/34 | | New item |
| Denied Health Benefits Claims | 1/35a 1/35b(1) 1/35b(2) | | New items |
| PAYROLLING AND PAY ADMINISTRATION RECORDS | | | |
| Individual Accounts | 2/1 | 2/1 | |
| Payroll Correspondence | 2/2 | 2/2 | |
| Time and Attendance Reports | 2/3a(1) 2/3a(2) 2/3b | 2/3a(1) 2/3a(2) 2/3b | |
| Individual Authorized Allotments | 2/4a(1) 2/4a(2) 2/4b(1) 2/4b(2) | 2/4a(1) 2/4a(2) 2/4b(1) 2/4b(2) | |
| Bond Registration Files | 2/5 | 2/5 | |
| Bond Receipt and Transmittal | 2/6 | 2/6 | |
| Bond Purchase Files | 2/7 | 2/7 | |
| Leave Application Files | 2/8a 2/8b | 2/8a 2/8b | |
| Leave Record Cards | 2/9a 2/9b | 2/9a 2/9b | |
| Leave Data Files | 2/10a 2/10b | 2/10a 2/10b | |
| Notification of Personnel Action | 2/11 | 2/11a 2/11b | Deleted - unnecessary cross-reference |
| Budget Authorization Files | 2/12 | 2/12 | |
| Payroll Files | 2/13a 2/13b(1) 2/13b(2) | 2/13a 2/13b(1) 2/13b(2) | |

General Records Schedule Conversion Table

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|--|------------------------------------|---------------------------------------|
| Payroll Control | 2/14 | 2/14 | |
| Payroll Change Files | 2/15a 2/15b 2/15c | 2/15a 2/15b 2/15c | |
| Fiscal Schedules | 2/16a 2/16b | 2/16a 2/16b | |
| Administrative Payroll Reports | 2/17a 2/17b | 2/17a 2/17b | |
| Tax Files | 2/18a 2/18b 2/18c | 2/18a 2/18b 2/18c | |
| Income Tax Return Files | | 2/19 | Deleted - unnecessary cross-reference |
| Tax Report Files | | 2/20 | Deleted - unnecessary cross-reference |
| Retirement Files | 2/19a 2/19b | 2/21a 2/21b | |
| Insurance Deduction Files | 2/20 | 2/22 | |
| Levy and Garnishment Files | 2/21 | 2/23 | |
| Wage Survey Files | 2/22 | 2/24 | |
| PROCUREMENT, SUPPLY, AND GRANT RECORDS | | | |
| Unique Procurement Files | | 3/1 | Deleted - see note following item 3 |
| Real Property Files | 3/1a 3/1b | 3/2a 3/2b 3/2c | Deleted - see note |
| General Correspondence | 3/2 | 3/3 | |
| Routine Procurement Files | 3/3a(1) 3/3a(2) 3/3b 3/3c 3/3d | 3/4a(1) 3/4a(2) 3/4b 3/4c | New item |
| Supply Management Files | 3/4a 3/4b | 3/5a 3/5b | |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|--|--|---|
| Bids and Proposals | 3/5a 3/5b(1) 3/5b(2) 3/5c(1) 3/5c(2) 3/5d | 3/6a 3/6b(1) 3/6b(2) 3/6c(1) 3/6c(2) 3/6d | |
| Public Printer Files | 3/6a 3/6b | 3/7a 3/7b | |
| Nonpersonal Requisitions | 3/7 | 3/8 | |
| Inventory Requisitions | 3/8a 3/8b | 3/9a 3/9b | |
| Inventory Files | 3/9a 3/9b 3/9c | 3/10a 3/10b 3/10c | |
| Telephone Records | 3/10 | 3/11 | |
| Contractors' Payrolls | 3/11 | 3/12 | |
| Tax Exemption Files | 3/12 | 3/13 | |
| Unsuccessful Grant Applications | 3/13 | 3/14a 3/14b | Deleted - see note |
| Grant Case Files | | 3/15 | Deleted - see note |
| Grant Control Files | | 3/16 | Deleted - unnecessary - covered by GRS 23 |
| Grant Subject Files | 3/14 | 3/17a 3/17b 3/18 | Deleted - see note Deleted - see note |
| Contracts Appeals Cases | 3/15a 3/15b | 3/19 3/19 | |
| Contractor's Statement of Contingent or Other Fees | 3/16 | 3/20 | |
| Small and Disadvantaged Business Utilization Files | 3/17 | | New item |
| PROPERTY DISPOSAL RECORDS | | | |
| Surplus Property Precedential Cases | | 4/1 | Deleted - see note |

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|----------------------------------|-------------------------|------------------------|--------------------|
| Property Disposal Cases | | 4/2 | Deleted - see note |
| Excess Real Property Reports | | 4/3 | Deleted - see note |
| Property Disposal Correspondence | 4/1 | 4/4 | |
| Excess Personal Property Reports | 4/2 | 4/5 | |
| Surplus Property Cases | 4/3a 4/3b | 4/6a 4/6b | |
| Real Property Files | 4/4 | 4/7 | |

BUDGET PREPARATION, PRESENTATION, AND APPORTIONMENT RECORDS

| | | | |
|--------------------------------------|--------------|--------------|--------------------|
| Budget Policy Files | | 5/1 | Deleted - see note |
| Budgets Estimates and Justifications | | 5/2a 5/2b | Deleted - see note |
| Budget Correspondence | 5/1 | 5/3 | |
| Budget Background Records | 5/2 | 5/4 | |
| Budget Reports | 5/3a 5/3b | 5/5a 5/5b | |
| Budget Apportionment Files | 5/4 | 5/6 | |

ACCOUNTABLE OFFICERS' ACCOUNTS RECORDS

| | | | |
|---------------------------------|--------------|----------------------------|--------------------|
| Accountable Officers' Files | 6/1a 6/1b | 6/1a(1) 6/1a(2) 6/1b | Deleted - see note |
| GAC Exceptions Files | 6/2 | 6/2 | |
| Certificates Settlement Files | 6/3a 6/3b | 6/3a 6/3b | |
| General Fund Files | 6/4 | 6/4 | |
| Accounting Administrative Files | 6/5a 6/5b | 6/5a 6/5b | |

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|-------------------------------------|--|----------------------------|--|
| Federal Personnel Surety Bond Files | 6/6a(1) 6/6a(2) 6/6b | 6/6a(1) 6/6a(2) 5/6b | |
| Gusoline Sales Tickets | 6/7 | 6/7 | |
| Telephone Toll Tickets | 6/8 | 6/8 | |
| Telegrams | 6/9 | 6/9 | |
| Administrative Claims Files | 6/10a 6/10b(1) 6/10b(2)(a) 6/10b(2)(b) 6/10b(3) 6/10c | | New item New item New item New item New item New item |
| Waiver of Claims | 6/11a 6/11b | | New item New item |

EXPENDITURE ACCOUNTING RECORDS

| | | | |
|--|--------------|--------------|--|
| Expenditure Accounting Subject Files | 7/1 | 7/1 | |
| General Accounting Ledgers | 7/2 | 7/2 | |
| Appropriation Allotment Files | 7/3 | 7/3 | |
| Expenditure Accounting Posting and Control Files | 7/4a 7/4b | 7/4a 7/4b | |

STORES, PLANT, AND COST ACCOUNTING RECORDS

| | | | |
|--|-----|-----|--------------------|
| Plant Accounting Files | | 8/1 | Deleted - see note |
| Plant, Cost, and Stores General Correspondence | 8/1 | 8/2 | |
| Stores Invoice Files | 8/2 | 8/3 | |
| Stores Accounting Files | 8/3 | 8/4 | |
| Stores Accounting Work Files | 8/4 | 8/5 | |
| Plant Accounting Files | 8/5 | 8/6 | |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|---|--|----------------------|
| Cost Accounting Reports | 8/6a 8/6b | 8/7a 8/7b | |
| Cost Report Data Files | 8/7a 8/7b(1) 8/7b(2) 8/7b(3) | 8/8a 8/8b(1) 8/8b(2) 8/8b(3) | |
| TRAVEL AND TRANSPORTATION RECORDS | | | |
| Freight and Passenger Transportation Files | 9/1a(1)-(4) 9/1b 9/1a(1) & (2) 9/1a(3) 9/1b 9/1c 9/1d | 9/1a 9/1b 9/1c 9/1d 9/3a 9/3b 9/3c | New items Deleted |
| Lost or Damaged Shipments | 9/2 | 9/2 | |
| Passenger Reimbursement | 9/3a 9/3b | 9/4a 9/4b | |
| General Travel and Transportation Files | 9/4a 9/4b | 9/5a 9/5b | |
| MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS | | | |
| Motor Vehicle Correspondence | 10/1 | 10/1 | |
| Motor Vehicle Operating and Maintenance Files | 10/2a 10/2b | 10/2a 10/2b | |
| Motor Vehicle Cost Files | 10/3 | 10/3 | |
| Motor Vehicle Report Files | 10/4 | 10/4 | |
| Motor Vehicle Accident Files | 10/5 | 10/5 | |
| Motor Vehicle Release Files | 10/6 | 10/6 | |
| Motor Vehicle Operation File | 10/7 | 10/7 | |
| SPACE AND MAINTENANCE RECORDS | | | |
| Space and Maintenance Correspondence | 11/1 | 11/1 | |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|--|--|---|
| Agency Space Files | 11/2a 11/2b(1) 11/2b(2) | 11/2a 11/2b(1) 11/2b(2) | |
| Directory Service Files | 11/3 | 11/3 | |
| Credentials Files | 11/4a 11/4b | 11/4a 11/4b | |
| Building and Equipment Service Files | 11/5 | 11/5 | |
| COMMUNICATIONS RECORDS | | | |
| Messenger Service Files | 12/1 | 12/1 | |
| Communication General Files | 12/2a 12/2L 12/2c 12/2d(1) 12/2d(2) 12/2e | 12/2a 12/2b 12/2c 12/2d(1) 12/2d(2) 12/2e | |
| Telecommunications Operations Files | 12/3a 12/3b | 12/3a 12/3b 12/3c | Deleted - see note |
| Telephone Use Records | 12/4 | 12/4 | Formerly, Telephone Summaries. Now RESERVED (see introduction to schedule). |
| Post Office and Private Mail Company Records | 12/5a 12/5b 12/5c | 12/5a 12/5b 12/5c | Formerly, Postal Records |
| Mail and Delivery Service Control Files | 12/6a 12/6b 12/6c 12/6d 12/6e 12/6f 12/6g 12/6h | 12/6a 12/6b 12/6c 12/6d 12/6e 12/6f 12/6g 12/6h | |
| Penalty Mail Reports | 12/7 | 12/7 | |
| Postal Irregularities Files | 12/8 | 12/8 | |

General Records Schedules Conversion Table
June 1988

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|-----------------------------|----------------------------|----------------------------|
| PRINTING, BINDING, DUPLICATION, AND DISTRIBUTION RECORDS | | | |
| Publications Files | | 13/1 | Deleted - see note |
| Printing, Binding, Duplicating, and Distributing Administrative Records | 13/1 | 13/2 | |
| Project Files | 13/2a | 13/3a | |
| | 13/2b | 13/3b | |
| Control Files | 13/3 | 13/4 | |
| Mailing Lists | 13/4a | 13/5a | |
| | 13/4b | 13/5b | |
| | | 13/5c | Deleted - obsolete |
| JCP Reports | 13/5a | 13/6a | |
| | 13/5b | 13/6b | |
| Internal Management Files | 13/6 | 13/7 | |
| INFORMATION SERVICES RECORDS | | | |
| Public Relations Files | | 14/1a | Deleted - see introduction |
| | | 14/1b | Deleted - see introduction |
| Information Subject Files | | 14/2 | Deleted - see introduction |
| Information Requests Files | 14/1 | 14/3 | |
| Acknowledgement Files | 14/2 | 14/4 | |
| Press Service Files | 14/3 | 14/5 | |
| Information Project Files | 14/4 | 14/6 | |
| Commendation/Complaint Correspondence | 14/5 | 14/7 | |
| Indexes and Check Lists | 14/6 | 14/8 | |
| | | 14/7-10 | 14/9-15 Reserved |
| FOIA Requests | 14/11a(1) | 14/16a(1) | |
| | 14/11a(2)(a) | 14/16a(2)(a) | |

General Records Schedule Conversion Table

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|-------------------------|------------------------|--------------------|
| | 14/11a(2)(b) | 14/16a(2)(b) | |
| | 14/11a(3)(a) | 14/16a(3)(a) | |
| | 14/11a(3)(b) | 14/16a(3)(b) | |
| | 14/11b | 14/16b | |
| FOIA Appeals | 14/12a | 14/17a | |
| | 14/12b | 14/17b | |
| FOIA Control Files | 14/13a | 14/18a | |
| | 14/13b | 14/18b | |
| FOIA Reports | | 14/19a | Deleted - see note |
| | 14/14 | 14/19b | |
| FOIA Administrative Files | 14/15 | 14/20 | |
| | 14/16-20 | 14/21-24 | Reserved |
| Privacy Act Requests | 14/21a(1) | 14/25a(1) | |
| | 14/21a(2)(a) | 14/25a(2)(a) | |
| | 14/21a(2)(b) | 14/25a(2)(b) | |
| | 14/21a(3)(a) | 14/25a(3)(a) | |
| | 14/21a(3)(b) | 14/25a(3)(b) | |
| | 14/21b | 14/25b | |
| Privacy Act Amendment Cases | 14/22a | 14/26a | |
| | 14/22b | 14/26b | |
| | 14/22c | 14/26c | |
| Privacy Act Accounting | 14/23 | 14/27 | |
| Privacy Act Control Files | 14/24a | 14/28a | |
| | 14/24b | 14/28b | |
| Privacy Act Reports | | 14/29a | Deleted - see note |
| | 14/25 | 14/29b | |
| Privacy Act Administrative Files | 14/26 | 14/30 | |
| | 14/27-30 | | Reserved |
| Mandatory Review for Declassification Requests | 14/31a(1) | | New items |
| | 14/31a(2)(a) | | |
| | 14/31a(2)(b) | | |
| | 14/31a(3)(a) | | |
| | 14/31a(3)(b) | | |
| | 14/31b | | |
| | 14/31c | | |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|-------------------------|-------------------------|---|
| Mandatory Review Appeals | 14/32a 14/32b | | New item |
| Mandatory Review Control | 14/33a 14/33b | | New item |
| Mandatory Review Reports | 14/34 | | New item |
| Mandatory Review Administrative Files | 14/35 | | New item |
| HOUSING RECORDS | | | |
| Housing Correspondence | 15/1 | 15/1 | |
| Housing Maintenance and Repair | 15/2a 15/2b | 15/2a 15/2b | |
| Housing Management | 15/3 | 15/3 | |
| Housing Lease Files | 15/4 | 15/4 | |
| Housing Assignment and Vacancy Cards | 15/5a 15/5b | 15/5a 15/5b | |
| Housing Inventory | 15/6 | 15/6 | |
| Housing Applications | 15/7a 15/7b | 15/7a 15/7b | |
| ADMINISTRATIVE MANAGEMENT RECORDS | | | |
| Administrative Issuances | | | Formerly Formal Directives Procedural and Operating Manuals |
| | | 16/1a | Deleted - see note |
| | | 16/1b | Deleted - see note |
| | 16/1a | 16/1c | |
| | 16/1b | 16/1d | |
| Publications | | 16/2a 16/2b | Deleted - see note |
| Records Disposition Files | 16/2a 16/2b | 16/3a 16/3b 16/3c | Deleted - unnecessary cross-reference |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--------------------------------|-------------------------|------------------------------|---------------------------------------|
| Forms Files | 16/3a 16/3b | 16/4a 16/4b | |
| Management Improvement Reports | | 16/5 | Deleted - see note following item 1 |
| Records Holdings Files | 16/4a 16/4b | 16/6a 16/6b | |
| Project Control Files | 16/5 | 16/7 | |
| Reports Control Files | 16/6 | 16/8 | |
| | | 16/9 | Deleted - unnecessary cross-reference |
| Working Papers | | 16/10 | Deleted - records have varying value |
| Records Management Files | 16/7 | 16/11 | |
| Committee and Conference | 16/8a | 16/12a(1) 16/12a(2) | Deleted - see note |
| | 16/8b(1) | 16/12b(1)(a) 16/12b(1)(b) | Deleted - see note |
| | 16/8b(2) | 16/12b(2) | |
| | | 16/12c(1) | Deleted - see note |
| | | 16/12c(2) | Deleted - see note |
| | | 16/12c(3) | Deleted - see note |
| | | 16/12c(4) | Deleted - see note |
| Organizational Files | | 16/13a-c | Deleted - must be scheduled |
| Feasibility Studies | 16/9 | 16/14 | |
| Microform Inspection | 16/10a 16/10b | | New item New item |
| IRM Triennial Review | 16/11 | | New item |
| Information Collection Budget | 16/12 | | New item |
| Federal Register Documents | 16/13a 16/13b | | New item New item |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|-------------------------|---|---|
| CARTOGRAPHIC, AERIAL PHOTOGRAPHIC, ARCHITECTURAL, AND ENGINEERING RECORDS | | | |
| Manuscript and Annotated Maps | | 17/1 | Deleted - must be scheduled |
| Cartographic Records Prepared During Intermediate Stages of Publication | 17/1 | 17/2 | |
| Published Maps | | 17/3 | Deleted - must be scheduled |
| Map History Case Files | | 17/4 | Deleted - must be scheduled |
| Maps on Microfilm | | 17/5a 17/5b | Deleted - must be scheduled Deleted - must be scheduled |
| Computer Related Maps | | 17/6a 17/6b | Deleted - must be scheduled |
| Globes, Terrain Models, and Raised Relief Maps | | 17/7a 17/7b | Deleted - must be scheduled Deleted - must be scheduled |
| Finding Aids | | 17/8 | Deleted - see GRS 23 |
| Survey Field Notes, Geodetic Controls, and Computations | | 17/9 | Deleted - must be scheduled |
| | | 17/10-15 | Reserved |
| Vertical and Oblique Aerial Film, Conventional Aircraft | 17/2a | 17/16a 17/16b(1) 17/16b(2) 17/16c(1) | Deleted - must be scheduled Deleted - must be scheduled Deleted - must be scheduled |
| | 17/2b | 17/16c(2) | |
| Infrared, Ultraviolet, Multispectral, Video, Imagery Radar, and Related Data Tapes, Converted to a Film Base | 17/2b | 17/17a 17/17b(1) 17/17b(2) | Deleted - must be scheduled Deleted - must be scheduled |
| Finding Aids | | 17/18 | Deleted - see GRS 23 |
| Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency | 17/3 | 22/1b | |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|-------------------------|------------------------|--------------------|
| Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems | 17/4 | 22/2b | |
| Contract Negotiation Drawings | 17/5 | 22/2b | |
| Space Assignment Plans | 17/6 | 22/2b | |
| Architectural Models | 17/7 | 22/1b | |
| Engineering Drawings of Routine Minor Parts | 17/8 | 22/2b | |
| Drawings Reflecting Minor Modifications | 17/9 | 22/2b | |
| Paint Plans and Samples | 17/10 | | New item |
| SECURITY AND PROTECTIVE SERVICES RECORDS | | | |
| Security Policy Files | | 18/1 | Deleted - see note |
| Classified Documents Administrative Correspondence | 18/1 | 18/2 | |
| Document Receipt Files | 18/2 | 18/3 | |
| Destruction Certificates | 18/3 | 18/4 | |
| Classified Document Inventory | 18/4 | 18/5 | |
| Top Secret Accounting and Control Files | 18/5a 18/5b | 18/6a 18/6b | |
| Access Request Files | 18/6 | 18/7 | |
| Classified Document Container Security Files | 18/7 | 18/8 | |
| Security and Protective Services Correspondence | 18/8 | 18/9 | |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|--------------------------------------|--------------------------------------|-----------------|
| Survey and Inspection Files (Government-owned facilities) | 18/9 | 18/10 | |
| Survey and Inspection Files (privately-owned facilities) | 18/10 | 18/11 | |
| Investigative Files | 18/11 | 18/12 | |
| Property Pass Files | 18/12 | 18/13 | |
| Guard Assignment Files | 18/13a 18/13b | 18/14a 18/14b | |
| Police Functions Files | 18/14a 18/14b 18/14c | 18/15a 18/15b 18/15c | |
| Personal Property Accountability Files | 18/15a 18/15b | 18/16a 18/16b | |
| Key Accountability Files | 18/16a 18/16b | 18/17a 18/17b | |
| Visitor Control Files | 18/17a 18/17b | 18/18a 18/18b | |
| Facilities Checks Files | 18/18a 18/18b | 18/19a 18/19b | |
| Guard Service Files | 18/19a 18/19b 18/19c 18/19d | 18/20a 18/20b 18/20c 18/20d | |
| Logs and Registers | 18/20a 18/20b | 18/21a 18/21b | |
| Security Clearance Administrative Files | 18/21 | 18/22 | |
| Personnel Security Clearance Files | 18/22a 18/22b 18/22c | 18/23a 18/23b 18/23c | |
| Personnel Security Clearance Status Files | 18/23 | 18/24 | |
| Security Violations Files | 18/24a 18/24b | 18/25a 18/25b | |

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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|-------------------------|--|--|
| Nondisclosure Agreements | 18/25 | 18/26 | |
| Emergency Planning Correspondence | 18/26 | 18/27 | |
| Emergency Planning Cases | 18/27 | 18/28a 18/28b | Deleted - see note |
| Emergency Directives Reference Files | | 18/29 | Deleted - nonrecord |
| Emergency Planning Reports | | 18/30 | Deleted - see note |
| Emergency Operations Tests | 18/28 | 18/31 | |
| National Defense Executive Reserve Cases | 18/29a 18/29b | | New item New item |
| GRS 19, RESEARCH AND DEVELOPMENT RECORDS | | | RESCINDED |
| ELECTRONIC RECORDS (FORMERLY MACHINE-READABLE RECORDS) | | | |
| Statistical Master Files | | 20/I 1-12 | Deleted - must be scheduled |
| Scientific Master Files | | 20/I 13-17 | Deleted - must be scheduled |
| Files/Records Created in Central ADP Facilities to Create, Use, and Maintain Master Files | 20/1a | 20/II 2; | |
| | 20/1b | III/ 4 & 5 20/II 1, 11, 12, 13, & 14 | |
| | 20/1c | New item | |
| Input/Source Records | 20/2a | 20/II 3, 6 & 10 | |
| | 20/2b | 20/II 7 | |
| | 20/2c | 20/II 8 | Deleted - must be scheduled |
| | 20/2d | 20/I 18 20/II 5 & 9 | Deleted - must be scheduled |
| Master Files Relating to Administrative Functions | 20/3 | 20/I 27-28 | Formerly, Housekeeping File Note exclusions |
| | | 20/I 29 | Deleted - nonrecord |
| Summarized Information | 20/4 | 20/I 24 | Note exclusions |
| | | 20/I 23 | Deleted - must be scheduled |
| Extracted Information | 20/5 | 20/I 26 | Note exclusions |
| | | 20/I 25 | Deleted - must be scheduled |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|------------------------------------|-------------------------|---------------------------------|---|
| Print File | 20/6 | 20/I 30 32 | |
| Technical Reformat File | 20/7 | 20/I 34 | |
| Security Backup File | 20/8a & b | 20/I 33 | |
| Finding Aids (or indexes) | 20/9 | 20/I 21 20/I 22 | Deleted - nonrecord |
| Special Purpose Programs | 20/10 | 20/III 11 & 12 20/III 13 | See exclusions Deleted - must be scheduled |
| Documentation | 20/11 | 20/III 1-2; 6-10 20/III 3 | See exclusions Deleted - must be scheduled |
| Federal Loan and/or Grant Files | 20/4 | 20/I 19 20/I 20 | Deleted - must be scheduled |

AUDIOVISUAL RECORDS

Still Photography

| | | | |
|-----------------------------|------|------|-----------------------------|
| Administrative Photographs | 21/1 | 21/1 | |
| Identification Photographs | 21/2 | 21/2 | |
| Administrative Filmstrips | 21/3 | 21/3 | |
| Photo Duplicates | 21/4 | 21/4 | |
| Official Portraits | | 21/5 | Deleted - must be scheduled |
| Other Photographs | | 21/6 | Deleted - must be scheduled |
| Other Color Negatives | | 21/7 | Deleted - must be scheduled |
| Other Slides and Filmstrips | | 21/8 | Deleted - must be scheduled |

Graphic Arts

| | | | |
|---|------|-------|--|
| Viewgraphs | 21/5 | 21/9 | |
| Routine Artwork | 21/6 | 21/10 | |
| Materials for Photo- mechanical Reproduction | 21/7 | 21/11 | |

Transmittal No. 2
October 30, 1989

General Records Schedule Conversion Table

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|-----------------------------|----------------------------|-----------------------------|
| Line copies of Graphs and Charts | 21/8 | 21/12 | |
| Posters | | 21/13 | Deleted - must be scheduled |
| Unusual Artwork | | 21/14 | Deleted - must be scheduled |
| Motion Pictures | | | |
| Acquired Training Films | 21/9 | 21/15 | |
| Acquired Entertainment Films | 21/10 | 21/16 | |
| Routine Surveillance Footage | 21/11 | 21/17 | |
| Routine Scientific, Medical, or Engineering Footage | 21/12 | 21/18 | |
| Duplicate Prints and Pre-prints | 21/13 | 21/19 | |
| Agency-sponsored Films | | 21/20-23 | Deleted - must be scheduled |
| Films Produced Under Grant | | 21/24 | Deleted - must be scheduled |
| Acquired Films re Agency Programs | | 21/25 | Deleted - must be scheduled |
| Documentary Footage | | 21/26 | Deleted - must be scheduled |
| Stock Footage, Outtakes, and Trims from Agency Films | | 21/27 | Deleted - must be scheduled |
| Video Recordings | | | |
| Acquired Training Programs | 21/14 | 21/28 | |
| Acquired Entertainment Programs | 21/15 | 21/29 | |
| Rehearsal or Practice Tapes | 21/16 | 21/30 | |
| Internal Administrative and Training Programs | 21/17 | 21/31 | |
| Routine Surveillance Recordings | 21/18 | 21/32 | |

General Records Schedules Conversion Table
June 1988

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|---|-------------------------|------------------------|-----------------------------|
| Routine Scientific, Medical, or Engineering Recordings | 21/19 | 21/33 | |
| Recordings of Routine Meetings and Awards | 21/20 | 21/34 | |
| Duplicate Dubbings and Pre-mix Elements | 21/21 | 21/35 | |
| Agency-sponsored Programs, Releases, and Productions | | 21/36-39 | Deleted - must be scheduled |
| Internal Management News | | 21/40 | Deleted - must be scheduled |
| Recordings of Testimony, and Public Meetings | | 21/41 | Deleted - must be scheduled |
| Programs Submitted under Grant | | 21/42 | Deleted - must be scheduled |
| Acquired Programs re Agency Programs | | 21/42 | Deleted - must be scheduled |
| Media Appearance | | 21/44 | Deleted - must be scheduled |
| Documentaries | | 21/45 | Deleted - must be scheduled |
| Audio (Sound) Recordings | | | |
| Recordings made for Transcription | 21/22 | 21/46 | |
| Dictation Belts or Tapes | 21/23 | 21/47 | |
| Pre-mix Sound Elements | 21/24 | 21/48 | |
| Library Sound Recordings | 21/25 | 21/49 | |
| Daily or Spot News Recordings | 21/26 | 21/50 | |
| Duplicate Dubbings | 21/27 | 21/51 | |
| Agency-sponsored releases, Public Programs, and Announcements | | 21/52-54 | Deleted - must be scheduled |
| Internal Management News | | 21/55 | Deleted - must be scheduled |
| Recordings of Meetings, Speeches, and Testimony | | 21/56 | Deleted - must be scheduled |

| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|-------------------------|------------------------|------------------------------|
| Oral History Collections | | 21/57 | Deleted - must be scheduled |
| Recordings Submitted under Grant | | 21/58 | Deleted - must be scheduled |
| Acquired Programs re Agency Programs | | 21/59 | Deleted - must be scheduled |
| Media Appearances | | 21/60 | Deleted - must be scheduled |
| Documentaries | | 21/61 | Deleted - must be scheduled |
| Related Documentation | | | |
| Production Files | 21/28 | 21/62 | |
| Findings Aids | 21/29 | 21/63 | |
| DESIGN AND CONSTRUCTION DRAWINGS AND RELATED RECORDS | | | |
| Federal Structures Design Files | 17/3 | 22/1a(1) | Deleted - must be scheduled |
| | | 22/1a(2) | Deleted - must be scheduled |
| | | 22/1b | |
| Federal Structures Construction Files | 17/4-9 | 22/2a(1)-(6) 22/2b | Deleted - permanent records |
| Other Architectural and Engineering Drawings | | 22/3a | Deleted - must be scheduled |
| | | 22/3b | Deleted - must be scheduled |
| Measured Drawings | | 22/4 | Deleted - must be scheduled |
| Findings Aids | | 22/5 | Deleted - must be scheduled |
| Microform Files | | 22/6 | Deleted - must be scheduled |
| INSPECTOR GENERAL RECORDS | | | |
| Policy and Procedures Files | | 25/1a-c | Deleted - must be scheduled |
| Report to Congress | | 25/2a-c | Deleted - must be scheduled |
| Investigative Case Files | 22/1a | 25/3a | |
| | 22/1b | 25/3b | |
| Audit Case Files | 22/2 | 25/4 | |
| Indexes to Case Files | | 25/5 | Deleted - see GRS 23, item 9 |

General Records Schedules Conversion Table
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| <u>Series</u> | <u>Current Citation</u> | <u>Former Citation</u> | <u>Comments</u> |
|--|-------------------------|--------------------------------|-----------------------------|
| RECORDS COMMON TO MOST OFFICES WITHIN AGENCIES | | | |
| Office Administrative Files | 23/1 | 23/1 | |
| Word Processing Files | 23/2a 23/2b | | New items |
| Administrative Data Bases | 23/3 | 20/1 27 & 29 | |
| Electronic Spreadsheets | 23/4 | | New item |
| Schedules of Daily Activities | 23/5a 23/5b | 23/2a(1)&(2) 23/2b 23/2c | Deleted - see note |
| Suspense Files | 23/6 | 23/3 | |
| Transitory Files | 23/7 | 23/4 20/1 21 | |
| Tracking and Control Records | 23/8 | 23/5 | |
| Technical Reference Files | | 23/6 | Deleted - nonrecord |
| Finding Aids | 23/9 | 23/7a 23/7b | Deleted - must be scheduled |

BIBLIOGRAPHIC DATA SHEET

(See instructions on the reverse)

1. REPORT NUMBER
(Assigned by NRC. Add Vol., Supp., Rev.,
and Addendum Numbers, if any.)

NUREG-0910
Revision 2

2. TITLE AND SUBTITLE

NRC Comprehensive Records Disposition Schedule

3. DATE REPORT PUBLISHED

MONTH YEAR

March 1992

4. FUND OR GRANT NUMBER

5. AUTHOR(S)

6. TYPE OF REPORT

7. PERIOD COVERED (Include Dates)

8. PERFORMING ORGANIZATION - NAME AND ADDRESS (If NRC, provide Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address. If contractor, provide name and mailing address.)

Division of Information Support Services
Office of Information Resources Management
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555

9. SPONSORING ORGANIZATION - NAME AND ADDRESS (If NRC, type "Same as above"; if contractor, provide NRC Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address.)

Same as above.

10. SUPPLEMENTARY NOTES

11. ABSTRACT (200 words or less)

Title 44 United States Code, "Public Printing and Documents," regulations cited in the General Services Administration's (GSA) "Federal Information Resources Management Regulations" (FIRMR), Part 201-9, "Creation, Maintenance, and Use of Records," and regulations issued by the National Archives and Records Administration (NARA) in 36 CFR Chapter XII, Subchapter B, "Records Management," require each agency to prepare and issue a comprehensive records disposition schedule that contains the NARA approved records disposition schedules for records unique to the agency and contains the NARA's General Records Schedules for records common to several or all agencies. The approved records disposition schedules specify the appropriate duration of retention and the final disposition for records created or maintained by the NRC. NUREG-0910, Rev. 2, contains "NRC's Comprehensive Records Disposition Schedule," and the original authorized approved citation numbers issued by NARA. Rev. 2 totally reorganizes the records schedules from a functional arrangement to an arrangement by the host office. A subject index and a conversion table have also been developed for the NRC schedules to allow staff to identify the new schedule numbers easily and to improve their ability to locate applicable schedules.

12. KEY WORDS/DESCRIPTORS (Use words or phrases that will assist researchers in locating the report.)

Disposition Schedule
Official Records
Records Disposition Schedule
Records Retention Periods
Records Schedules

13. AVAILABILITY STATEMENT

Unlimited

14. SECURITY CLASSIFICATION

(This Page)

Unclassified

(This Report)

Unclassified

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16. PRICE

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