

# SUPERSEDED

## GRS Record Schedules

Folder: General Records Schedules

Date shipped:

AUG 23 2006

Items contained in folder:

- National Archives Official Circular No. 48-54 dated 11/28/1947; subject: Issuance of Circular Letter No. 48-2 and Arrangements for Its Distribution to Other Agencies
- National Archives Official Circular No. 47-8 dated 8/7/1946; subject: Issuance of General Schedule Nos. 4 and 5 and Arrangements for Their Distribution to Other Agencies
- National Archives Official Circular No. 47-52 dated 5/26/1947; subject: Issuance of Revision A of General Schedule No.1 and Arrangements for Its Distribution to other Agencies
- Copy of General Schedules and Federal Records by Isadore Perlman (no date)
- Interagency Records Administration Conference, Report of Sixth Meeting, 1947-48 Season March 12, 1948; Development and Application of General Schedules (11 pages)
- Interagency Records Administration Conference, Report of Fifth Meeting, 1953-1954 Season March 26, 1954; General Records Schedules (18 pages)
- National Archives circular letter No.46-1 dated 3/13/1946 sent to all government agencies, subject: Issuance o General Schedule No.1 for the Disposal of Records Common to Several or All Agencies
- National Archives circular letter No. 46-2 dated 3/13/1946 sent to all government agencies; subject: Issuance of General Schedule No.2 for the disposal of records common to several or all agencies
- National Archives circular letter No. 46-4 dated 5/23/1946 sent to all government agencies; subject: Issuance of General Schedule No.3 for the disposal of records common to several or all agencies
- National Archives circular letter No. 47-1 dated 8/7/1946 sent to all government agencies; subject: Issuance of General Schedule No.4 for the disposal of records common to several or all agencies

GRS Record Schedules

# SUPERSEDED

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- National Archives circular letter No. 47-2 dated 8/7/1946 sent to all government agencies; subject: Issuance of General Schedule No. 5 for the disposal of Records Common to Several or all agencies
- National Archives circular letter No. 47-3 dated 5/26/1947 sent to all government agencies; subject: Issuance of Revision A of General Schedule No.1 for the Disposal of Records Common to Several or All Agencies
- National Archives circular letter No. 48-1 dated 7/7/1947 sent to all government agencies; subject: Issuance of General Schedule No. 6 for the disposal of Records Common to Several or All Agencies
- National Archives circular letter No. 48-2 dated 11/28/1947 sent to all government agencies; subject: Record Character of Maps, and the Accessioning Policy of the National Archives with Respect to Them
- GSA letter dated 11/2/1951 sent to heads of federal agencies; subject: General Schedule no. 1 (June 1951 Revision)
- Letter dated 4/3/1953 sent to chief archivist, Natural Resources Branch; subject: Comments on a proposal for General Schedule provision authorizing disposition of the official personnel folders
- General Records Schedules (schedules 1-14) (August 1952)
- GSA Transmittal Letter No. 3-7 dated 8/31/1955 sent to Heads of Federal Agencies; Regulations of the General Services Administration Title 3, Federal Records
- Department of the Interior letter dated 7/21/1977 sent to director, Records disposition division (NCD), NARS

List prepared by: Courtney Ford

Date of list completion: 8/21/2006



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(2-1-10) 48-54

THE NATIONAL ARCHIVES

OFFICIAL CIRCULAR No. 48-54

November 28, 1947

SUBJECT: Issuance of Circular Letter No. 48-2 and Arrangements  
for Its Distribution to Other Agencies

1. On this date there is being issued Circular Letter No. 48-2, addressed to all Government agencies, relating to the record character of maps and the accessioning policy of the National Archives with respect to such records. Copies of this Circular Letter are being distributed to the heads of all operating units simultaneously with the issuance of this circular. Additional copies may be obtained by calling extension 347.

2. The director of each records office will transmit an appropriate supply of Circular Letter No. 48-2 to each of the several agencies allocated to his office for purposes of liaison and will transmit additional copies separately to such officials in those agencies as should in his judgment be specially informed of the issuance of this statement. The Chief of the Division of Cartographic Records will distribute additional copies of Circular Letter No. 48-2 to those officials in selected agencies of the Government who are responsible for the administration of cartographic material.

3. A report on an endorsement sheet on action taken in accordance with the provisions of the preceding paragraph will be made to the Assistant Archivist by the director of each records office and by the Chief of the Division of Cartographic Records no later than December 17, 1947.

By direction of the Archivist:

(046-169)

WAYNE C. GROVER  
Assistant Archivist

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(2-3-12) 47-8

THE NATIONAL ARCHIVES

OFFICIAL CIRCULAR No. 47-8

August 7, 1946

SUBJECT: Issuance of General Schedule Nos. 4 and 5 and Arrangements  
for Their Distribution to Other Agencies

1. The disposal of records common to several or all agencies covered by General Schedule No. 4, having to do with mail and postal records, and General Schedule No. 5, having to do with fiscal and accounting records, has been authorized by Congress in H. Rept. 2637, 79th Cong., 2d sess., dated July 23, 1946.

2. The approval of General Schedules Nos. 4 and 5 is being announced to other Government agencies by Circular Letter Nos. 47-1 and 47-2, respectively, copies of which are being distributed simultaneously with the issuance of this circular. Additional copies of the Circular Letters and their attached general schedules may be obtained from the Records Appraisal Officer.

3. The head of each departmental records division or office will transmit an appropriate supply of Circular Letter Nos. 47-1 and 47-2 with their attached general schedules to each of the several agencies that are allocated to his division or office for purposes of liaison and will transmit additional copies separately to such officials in these agencies as should in his judgment be specially informed of the issuance of the general schedules. No other general distribution is being made.

4. A report on action taken in accordance with the provisions of the preceding paragraph will be made to the Records Appraisal Officer in writing by each head of a departmental records division or office before August 28, 1946.

By direction of the Archivist:

(246-7)  
(246-14)

PHILIP C. BROOKS  
Records Appraisal Officer

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## THE NATIONAL ARCHIVES

OFFICIAL CIRCULAR No. 47-52

May 26, 1947

**SUBJECT: Issuance of Revision A of General Schedule No. 1  
and Arrangements for Its Distribution to Other Agencies**

1. The disposal of records common to several or all agencies covered by Revision A of General Schedule No. 1, having to do with personnel records, has been authorized by Congress in H. Rept. 420, 80th Cong., 1st sess., dated May 22, 1947.
2. The approval of Revision A of General Schedule No. 1 is being announced to other Government agencies by Circular Letter No. 47-3, copies of which are being distributed simultaneously with the issuance of this circular. Additional copies of the Circular Letter and its attached general schedule may be obtained from the Secretary's Office.
3. The director of each records office, other than the Director of Photography, will transmit an appropriate supply of Circular Letter No. 47-3 with its attached general schedule to each of the several agencies that are allocated to his office for purposes of liaison and will transmit additional copies separately to such officials in these agencies as should in his judgment be specially informed of the issuance of the general schedule. No other general distribution is being made.
4. A report on action taken in accordance with the provisions of the preceding paragraph will be made to the Secretary in writing before June 16, 1947.

By direction of the Archivist:

(247-14)

ARTHUR E. YOUNG  
Secretary

# General Schedules and Federal Records

BY ISADORE PERLMAN

*Records Management Division  
National Archives and  
Records Service*

THE National Archives Act of 1934 provided that Federal agencies had to obtain the approval of the Archivist of the United States and Congress before they could destroy Government records. By 1941 it had become clear that individual agencies were submitting for approval year after year repetitious disposal lists affecting the same types of records, thus causing excessive paper work for themselves, the National Archives, and Congress. Therefore Congress passed the Records Disposal Act of 1943, which authorized agencies to submit disposal schedules to the Archivist. Such schedules, when approved, permitted agencies periodically to dispose of certain specified series of records continuously created, thus making unnecessary the repeated submission of disposal lists covering them.

The National Archives anticipated a flood of schedules from the agencies as a result of this legislation, but the flood never came. By October 1944 schedules had been received from but 26 agencies, and only 6 agencies had scheduled an appreciable portion of their records. Consequently the National Archives decided to seek amendment of the disposal act which would permit the Archivist himself to initiate schedules covering records common to several or all agencies of the Government. In proposing changes in the law, the Archivist wrote to the Director of the Bureau of the Budget on October 19, 1944, that

... failure on the part of Government agencies to schedule for disposal records of temporary value means that these records and similar records that are now being and hereafter will be created will either be retained beyond the period of their temporary usefulness or repetitious disposal lists will have to be prepared at frequent intervals to cover them. Either procedure is indeed costly and involves needless and unjustifiable expenditures of public funds.

The Bureau approved the Archivist's proposals and they became a part of the disposal act on July 6, 1945.

Two sections of the amended disposal act relate to the preparation and issuance of what are now called general schedules. Section 4 provides that

the Archivist may . . . submit to Congress . . . at such times as he may deem expedient, schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character common to several or all agencies that have either accumulated or may accumulate in such agencies and that apparently will not, after the lapse of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government.

Section 6 provides that general schedules are permissive, not mandatory, i.e., agencies are encouraged to destroy records covered by such schedules after the retention periods specified by the schedules have elapsed, but they are not required to do so. When the amendments were under consideration the Bureau of the Budget argued that it was illogical to issue standards for the disposal of records common to the agencies and at the same time to make the application of those standards permissive. The National Archives successfully held, however, that agencies must be in a position to interpret disposal authorizations in terms of their own administrative circumstances.

Under the authority of the amended disposal act, the National Archives developed and issued seven general schedules which covered the following types of records:

- No. 1 Records relating to civilian personnel, issued March 13, 1946, and revised May 26, 1947.
- No. 2 Records relating to the deferment of Federal employees from military service, issued March 13, 1946.
- No. 3 Records of informational services and relations with the public, issued May 23, 1946.
- No. 4 Agency mail and postal records, not including those of the Post Office Department, issued August 7, 1946.
- No. 5 Fiscal and accounting records, issued August 7, 1946.
- No. 6 Bankruptcy records of United States Courts of Bankruptcy, issued July 7, 1947.
- No. 7 Health records of Federal employees, issued May 15, 1950.

## PREPARATION OF GENERAL SCHEDULES

The development and issuance of general schedules is based on the premise that Federal records fall into two broad categories:

(a) Those which reflect the substantive functions of agencies in accomplishing the missions assigned to them by the Congress and the President. These records will normally be subjected to detailed appraisal and analysis,

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and will yield any records of archival value to be designated for permanent retention.

(b) Those which reflect the fiscal and administrative management of agencies. General schedules, on the whole, are concerned with the disposal of the records in this category, for it is records of this type that normally are common to all agencies of the Government.

General schedules represent a reduction to the lowest common denominator of certain types of records found in all or several agencies of the Government; and they enable the records officer to appraise validly all records similar in form and purpose regardless of what agency possesses them. This common denominator has been made somewhat easier to achieve because certain Federal staff organizations have demanded standardization of record keeping in the operating agencies. Thus the Civil Service Commission, through the *Federal Personnel Manual* and other issuances, has standardized the methods of maintaining Federal personnel records. The Treasury Department, the Budget Bureau, the General Accounting Office, and the General Services Administration — agencies which share the staff coordination and direction of the fiscal and administrative management activities of the Government — have also tended to standardize agency record keeping for those activities. General schedules are not limited, however, to those types of records for which record keeping has been standardized. In general, records arising from functions common to several agencies are covered by such schedules, but records peculiar to a single agency reflecting a Government-wide function are *not* included.

Although uniformity of record keeping in the major "house-keeping" activities of the Federal Government has been the principal factor facilitating the scheduling of records common to agencies, authorized local agency variations in procedures have made difficult the formulation of instructions intended to apply to the Government generally. Although pay-rolling and pay administration functions have been standardized for most agencies of the Government by *General Regulations No. 102* of the Comptroller General, some agencies, with his approval, use locally developed forms and procedures, while others process their pay rolls in accordance with procedures varying from the regulations. Because of these variations from the norm the wording of a general schedule relating to pay records must be sufficiently adroit to cover the internal differences and yet not lose force and meaning.

The preparation of a general schedule involves a thorough

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analysis of the functions of agencies in relation to the records to be scheduled. Such an analysis poses and answers the following questions:

- a. To what extent do the records possess uniformity of physical characteristics?
- b. To what extent are the records prescribed by staff management agencies of the Federal Government, and what values do they possess for the staff agencies that require them?
- c. If not prescribed, how are the records similar from agency to agency?
- d. What role do the records play in the administrative procedures and management of each agency?
- e. To what extent do the records possess legal values which will influence their retention or disposal?
- f. Will any of the records be eligible for transfer to a Federal Records Center but not yet eligible for disposal when they become inactive?<sup>1</sup>
- g. Will any records possess values meriting preservation in the National Archives when they become inactive?

The answers to these questions provide a substantial clue to the value of the records to be scheduled. Following this analysis, a retention period for each type of record is stated in terms of the lowest period consistent with its value. Because of the permissive nature of the general schedule, agency records officers may designate and request authority to lengthen or shorten the retention periods specified in a general schedule, but they are encouraged to follow the prescribed periods wherever possible.

General schedules originally supplied only instructions for the disposal of records. The program responsibilities of the National Archives and Records Service as defined in the Federal Records Act of 1950 dictated a wider scope for such schedules. Consequently, in addition to disposal provisions, they now include data on:

(1) *Recommended methods of filing* — Agencies are provided with a recommended method of filing consistent with normal operating needs for each type of record listed in a general schedule. These recommendations are designed to facilitate the disposal of the records after the prescribed retention period has elapsed. When records are filed in accordance with special instructions issued by staff agency directives the general schedule merely cites the applicable directive.

<sup>1</sup>This question was not one that was considered in the preparation of the general schedules prior to the passage of the Federal Records Act of 1950, and the establishment of Federal Records Centers.



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responsible for "analyzing, developing, promoting, and coordinating standards, procedures and techniques designed to improve the management of records." General schedules are therefore used as one method of promulgating standards to eliminate the creation of superfluous copies of forms and other papers. The Comptroller General, who, in conjunction with the Budget Bureau and the Treasury Department, is authorized by law to prescribe fiscal and accounting systems, has not concerned himself with the problem of agency copies. General Schedule No. 5, now being revised, covers the fiscal, accounting, and supply records of the Federal Government and will designate for each type of record listed the maximum number of record copies that apparently must be created to achieve good administration. By this recommendation the National Archives and Records Service hopes to discourage the creation of copies in excess of normal administrative needs. Administrative requirements may vary, of course, with the size and complexity of the operating agency, but all copies created in addition to those vested with records status in the schedule will be disposable after shorter retention periods than those specified for the record copies.

(5) *Designation of record copies* — Archivists and records management specialists have found that a "no man's land" exists in which files may be designated either as record or nonrecord material depending on the immediate purposes served by them. Such designations are made by the agency concerned. In accordance with authority granted the National Archives and Records Service by the Federal Records Act of 1950, the general schedules will provide the agency with the basis for such determination, particularly in instances where record keeping is fairly well standardized. Thus, in General Schedule No. 5, the designation of record copies is associated with recommendations as to the minimum number of record copies of each required fiscal, accounting, or supply form. For example, two record copies are suggested for travel orders — one to be held by the operating transportation unit preparing, authorizing, and issuing the orders; the other to be held by the fiscal unit primarily interested in the payment for the travel performed and in the accounting for such payment in the books of the agency.

(6) *Justification for authorized disposition* — Attached to each general schedule are statements indicating the legal, administrative, and historical value of each item covered by the schedule. These statements constitute appraisals of the records involved and are justifications for the authorized retirement of the records listed in the body of the schedule. They are based on a detailed study

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(2) *Records of continuing value* — The designation of "records of continuing value" in general schedules is based on the authority given to the Administrator of General Services by the Federal Records Act of 1950 to "establish standards for the selective retention of records of continuing value, and assist Federal agencies in applying such standards to records in their custody." "Continuing value," referring to records the administrative utility of which makes necessary their retention, is not necessarily equated with "archival value," however. The disposal of records covered by general schedules is normally predicated either on the fact that the records will lose their administrative or legal value after the lapse of a specified period of time, or on the fact that the matters they document are adequately recorded in other records to be retained indefinitely. Therefore, general schedules now list the records that are considered to be of continuing value as distinguished from those related to them that are considered to be of temporary value. For example, in the recently revised General Schedule No. 1, which covers Federal records relating to civilian personnel, official personnel folders and employee pay and service record cards are listed for retention while most of the other personnel records are listed for disposal.

(3) *Utilization of Federal Records Centers* — The National Archives and Records Service has now placed in active operation eight Federal Records Centers. These centers serve as intermediate depositories for records that should be retained only briefly in expensive office space but which can not be destroyed or transferred to the National Archives for some time to come. General schedules have therefore been made a vehicle through which agencies are encouraged to send to the centers (a) records designated by the general schedules as being of continuing value but not sufficiently active to be retained in agency operating space; (b) records that are disposable but have not yet reached disposal age; or (c) records that are suitable for eventual transfer to the National Archives but which are still too active to warrant deposit with that agency. Although the centers stand ready to receive files at such times as facilities permit, the schedules recommend orderly and periodic transfers. Thus, the transfer period recommended for contract files is 3 years after the files are closed; but the period for pay and personnel records varies according to their administrative and legal values.

(4) *Number of copies* — Under authority of the Federal Records Act of 1950 the National Archives and Records Service is

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both of the directives requiring the maintenance of the records and of the value of the records to the Government and to the people. They point out subject-content or physical duplication of records and any other factors which affect the determination of retention periods.

The general schedules that have already been prepared and put into operation, including those in process of revision, cover an impressive volume of Federal records. For example, General Schedule No. 1, revised, will accomplish the disposition of about 1½ million cubic feet of personnel records, while General Schedule No. 5, revised, will make possible the disposal of about 2 million cubic feet of fiscal, accounting, and supply records. The other general schedules now in use raise the total figure of records disposable under their provisions to almost 4 million cubic feet. This figure, placed against the more than 23½ million cubic feet of records now estimated to be in Federal custody, is perhaps not too significant. But the use of general schedules in the records management program of each agency yields other results in records analyses and scheduling that are not readily calculable.

## SOME PROBLEMS INVOLVED IN DEVELOPING GENERAL SCHEDULES

Records listed in general schedules are those normally found in operating agencies. This does not mean, however, that every agency must maintain all the records listed if they are not required by the regulations of some Federal staff authority. To make the general schedules cover a group of records common to all or several agencies as efficiently and specifically as possible, however, involves many problems and has occasioned some revision, as illustrated below.

Records covered by General Schedule No. 5 as issued in 1946 are listed by form number. Disposal periods are indicated for each form and, in some instances, the papers that are filed with it. For obvious reasons scheduling by form number has not proved satisfactory. Consequently, in revising the schedule the National Archives and Records Service has decided to arrange the entries on this schedule to reflect the manner in which the records are normally created, i.e., by type of transaction. In short, the revision will emphasize the purpose for which each type of record is maintained rather than its nature in terms of form numbers. As revised, a single item in the schedule will pertain to the disposition of virtually

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all contract and other procurement files in the Government — about 1½ million cubic feet of records!

In the past, agency record copies of vouchers have been considered to be the memorandum copies retained after the original vouchers were forwarded to the General Accounting Office as supporting papers to disbursing returns. With the adoption of the new type of on-the-site audit, however, some agencies are finding that their memorandum copies are now superfluous because they are also maintaining the original vouchers for the General Accounting Office in agency space. Several agencies, such as the General Services Administration, have gone one step further and have eliminated vouchers altogether in most procurement transactions by making the vendor's invoice do double duty as an itemized statement of services rendered or materials purchased and as a voucher document. The final elimination of vouchers, however, must await further study and therefore their elimination was not included as a recommendation in the pending revision of General Schedule No. 5.

Temporary interests of the government may affect disposal provisions incorporated in general schedules. For example, the General Accounting Office normally permits disposal of copies of bills of lading 3 to 5 years after their issuance. Recently that Office has been engaged in several audit programs of freight charges paid by the government, particularly those of the World War II period, which require its examination of freight files of all agencies for the World War II years and in some instances, as early as 1931. Therefore in the pending revision of General Schedule No. 5 the National Archives and Records Service will have no alternative but to designate agency copies of bills of lading and all supporting papers as records of continuing value that must be retained indefinitely either in agency space or in one of the Federal Records Centers. The justification for authorized disposition, appended to this schedule, will point out that the appraisal is temporary and that, once the General Accounting Office audits are completed and the legal situation with respect to the freight records is clarified, specific retention periods will be determined.

Another problem frequently met with in the preparation of general schedules arises from the fact that although a type of record may be common to all or several agencies, the nature of that record may be affected by varying administrative practices. For example, item 5 of General Schedule No. 1, as revised, covers "correspondence in the operating personnel office and its subordinate units re-

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lating to their administration and operation." A 3-year retention period is provided for such correspondence. Surveys have revealed, however, that the content of correspondence files of this type varies from agency to agency. Some correspondence files contain only the most routine administrative material, while others contain more significant material such as reports on civilian personnel to the Civil Service Commission. These reports are covered by item 22 of the same schedule and are disposable after only 2 years. Since the schedule could not be worded to cover all situations, it was finally decided to make each agency records officer responsible for adapting the schedule to his agency's requirements. If personnel reports are filed separately in the personnel office his disposition of them presumably would be governed by item 22. If they are filed with administrative correspondence disposition could be governed by either item 5 or item 22.

Prior to 1949 schedules were largely restricted to records involving clearly defined operating areas. As revisions go forward, however, several subject-matter areas will be telescoped to effect an economy of issuances. For example, General Schedule No. 1, issued in 1946 and revised in 1947, provided for the disposition of personnel records normally found in agency personnel offices. The 1951 revision, however, schedules in a single document all records affecting the service history of Federal employees — employment, pay, and health records. General Schedule No. 7, which covered health records exclusively, has been made a part of the new schedule.

## APPLICATION OF GENERAL SCHEDULES

An agency's application of general schedules involves incorporation of the provisions of the schedules into the comprehensive, detailed schedules developed by the agency records officer. It is his responsibility to adapt the authorizations granted by general schedules and to apply them in his own agency. The permissive nature of schedules provides him with flexible disposition periods and recommendations for the maintenance of files to suit his agency's needs. An agency records officer is not expected to present the general schedules to operating personnel in the form in which he receives them. The fact that the records of one agency differ from those of another in some detail, although they are sufficiently similar to encourage the development of general schedules, requires that the records officer undertake at least a minimum degree of editing in order to adapt the schedules to conditions prevailing

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within his own agency. For example, certain agency administrative or fiscal audits may be in progress, or claims may be pending, that make necessary the temporary retention of given records disposable under a general schedule. In case of a conflict between agency authorization and general schedule authorization affecting the same records, the records officer must decide which of the two to use. In short, he must adapt general schedules to the particular administrative and legal situations obtaining in his own agency.

In one vital respect the authorizations granted the agency records officer by general schedules are not final. The Comptroller General, exercising his prerogatives under section 9 of the Records Disposal Act requires that any records pertaining to accounts, claims, or demands involving the Government of the United States that have not been settled or adjusted in the General Accounting Office may not be disposed of without prior permission from that agency. Under this proviso it is the responsibility of every agency records officer to be aware of such records and to prevent their disposal while settlements are pending. In determining the disposal periods, specified in general schedules, the National Archives and Records Service has always considered the possibility of claims arising that would involve the United States Government. Therefore the Comptroller's approval of general schedules is obtained to ensure the incorporation of his desires with respect to the maintenance and disposition of records in which he has a statutory interest and which may relate to claims. References in general schedules to the requirements for the disposal of records involving "accounts, claims, or demands," are an additional reminder to the records officer of his responsibility to obtain written approvals from the Comptroller General whenever necessary.

The general schedule, properly utilized within an agency, can be a device no less important than other administrative tools forming the basis of the agency records management program. The greatest quantity of an agency's records are likely to be "housekeeping" records. This term, through custom and usage, has come to describe those records documenting such functions as procurement, accounting, supply, and personnel. Thus the Post Office Department and the Federal Security Agency create essentially the same kinds of "housekeeping" records, but the files documenting the programs of these agencies are vastly different in content and structure. By judicious use of general schedules a records officer can quickly schedule his agency's routine records, thus freeing himself to devote his energies to the proper evaluation and scheduling of the pro-

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gram records, which contain the "archival core." This fact is highly significant since the Federal Records Act of 1950 requires agency heads to document adequately agency programs and decisions.

The general schedule will not in itself serve as a substitute for the prosecution of an agency records management program. Records inventories must still be conducted. An inventory of an agency's fiscal and personnel records, for example, may uncover many records peculiar to that agency which are not covered by general schedules. These records must be scheduled by the agency, however, in the interest of administrative efficiency. In scheduling them the records officer may use as a guide the data on retention periods, records maintenance, and creation techniques, as well as legal authorizations, supplied by the general schedules. Furthermore, the data in general schedules can be utilized in the agency's records management program to reduce the number of copies of records created, to prescribe the manner of maintenance of the records, and to obtain full utilization of the authorized retention periods.

## CONCLUSION

The importance of general schedules to Federal records specialists is twofold: (1) to the archivist they present tailor-made appraisals of a substantial segment of the records of the Federal Government; (2) to the records management specialist they present not only appraisals but also standards and aids in solving some of his major records management problems.

General schedules make it unnecessary for the archivist to appraise large masses of records in which records of archival value are not likely to be found; and they enable him to devote his critical faculties to a more detailed appraisal of those records that document the programs and decisions of Government agencies.

The permissive nature of the general schedules in no way lessens their potential effectiveness as a records management tool. They provide the National Archives and Records Service with a yardstick for measuring the effectiveness of such agency programs and enable the agencies themselves to set their own program standards. The agency records officer who does not utilize the general schedules is expected, in the event of a program audit, to have scheduled the records in his custody by his own analysis and appraisal in the light of the data contained in the general schedule, or to be able to point out the factors peculiar to his agency which preclude the use of the general schedules.

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Figures are not available on the number of agencies which have used the *general schedules* since they first appeared in 1946. Most of the agencies with major records accumulations have, however, incorporated various general schedule items into their own schedules, with appropriate amendments and interpretations, and several agencies have used them with little or no change. It is anticipated that the increased records management responsibilities of Federal agencies, as outlined in the Federal Records Act of 1950, will bring about a progressively greater use of the general schedules, with substantial savings and more efficient administration as the result.

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INTERAGENCY RECORDS ADMINISTRATION CONFERENCE

Report of Sixth Meeting, 1947-48 Season

March 12, 1948

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DEVELOPMENT AND APPLICATION  
OF  
GENERAL SCHEDULES

Speakers: Mr. Philip C. Brooks, National Archives  
Mr. John H. Dethman, National Archives  
Mr. C. E. Mayhall, War Assets Administration

This report is distributed for the Interagency Records Administration Conference by the National Archives. For further information, write or call Joseph F. Vaughan, Conference Secretary, National Archives, Ext. 347.

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## Introductory Remarks Philip C. Brooks

For several years after the establishment of the National Archives in 1934, we had experience with spasmodic records retirement activities. We received disposal and transfer jobs at various times and from many agencies that showed no coordinated effort to plan which records of Government-wide standardized activities would be retained and which disposed of. Some of our staff members and some agencies became interested in the need for planned records retirement and began to develop sound programs. But especially in connection with "housekeeping" functions we found ourselves going over the same ground very frequently. For this reason studies were undertaken of standard forms and of those activities common to all agencies that seemed to show the possibilities of general evaluation standards.

In March 1944 we began devising revised legislation to allow the Archivist to take the initiative on disposal schedules of Government-wide applicability. An appropriate amendment to the National Archives Act was passed and was signed July 6, 1945 (59 Stat. 434) and the first general schedule was approved shortly after the beginning of the following session of Congress. The major provision of the amendment added to Section 4 of the Disposal Act of 1943 the following: "The Archivist may also submit to Congress, together with recommendations of the National Archives Council with respect thereto, and at such times as he may deem expedient, schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character common to several or all agencies that either have accumulated or may accumulate in such agencies and that apparently will not, after the lapse of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government."

When we came to the actual development of general schedules the first problem was the selection of the common types of records that could be included. This involved studies of current administrative procedures throughout the Government and to some extent the participation of National Archives staff members in the revision and codification of those procedures. This has been illustrated by our work with the Federal Personnel Council on the Official Personnel Folder regulations. This concern with current procedures highlights the importance of general schedules in relation to management planning. We think of these schedules not just as convenient means of providing disposal authorization but also as constructive devices in orderly records retirement programs. For consideration of what is to be disposed of is only part of a whole picture of planning the administrative documentation of an agency.

Work on general schedules has brought us into close cooperation with other staff and control agencies. For example, the General Accounting Office has provided invaluable assistance in the production of the fiscal records schedule. The Treasury Department has assisted in the same field. The Civil Service Commission and its subordinate unit, the Federal Personnel Council, have been right with us in our work on the personnel records

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schedule as have some units of the Bureau of the Budget. The Post Office Department has assisted on the mail and postal records schedule. We may note that in addition the first three of these agencies have adopted the general schedules in their own administrative procedures. For example, the personnel records schedule is applicable to the Personnel Division of the Civil Service Commission itself as well as to those of all other agencies.

An important point in relation to these other agencies is that when a general schedule is issued it has extensive clearance and approval. That we believe should make records officers throughout the Government quite safe in using it. The draft of a schedule is cleared with all divisions of the National Archives working directly on the records problems of various agencies. It is worked out with the appropriate staff agency as I have noted. After the Archivist has approved the draft, the National Archives Council has a turn. This Council includes the heads of major executive departments, or their designated representatives, the heads of certain independent agencies, and those of certain Congressional committees. We have had many valuable suggestions from the members of the Council on all the schedules. Congress has the last word, as it does on other disposal jobs. We have already found that some Congressmen realize the broad importance of general schedules and take more interest in them than in disposal jobs applying to individual agencies.

Even though the schedules have been so extensively cleared, they are still permissive, according to the law. This is necessary because special circumstances in some agencies require retention of certain series somewhat longer than is provided on the general schedules. We urge all agencies to take advantage of the shortest possible retention periods because one main purpose of general schedules is to expedite disposal for reasons of economy. Nevertheless, the permissive element necessitates an administrative determination in each agency as to how these general schedules are to be used or adapted for use in each agency. This again stresses the significance of this activity in relation to management planning. We hope that the administrative determination is made seriously and with a full view of the comprehensive records retirement program of the agency.

So far we have produced six general schedules. Five are Government-wide in coverage, applying to records of personnel management, draft deferment of Government employees, informational services and public relations, mail and postal records, and fiscal operations. The sixth is the only one for which we have made use of the provision in the law that general schedules may apply to several as well as to all Government agencies. It covers bankruptcy records of District courts. The District courts, of which there are more than eighty, constitute several agencies with voluminous records. So while this schedule is not Government-wide in character it does cover a considerable quantity of material.

We chose those fields for general schedules because they were the ones where the need was greatest and where the standardization of procedures was greatest. Such standardization makes the records produced

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much more readily susceptible to general scheduling than is the case with procedures which vary widely among agencies.

To promote the utilization of general schedules we have given them wide distribution. We send them to responsible records officials of all agencies, our distribution being chiefly through the staff members of our divisions who actually work with records officers and can explain to them directly the opportunities presented by general schedules and their significance in relation to planned records retirement. We do hope that all agencies make use of the general schedules. We know at the same time that all agencies encounter certain problems in applying them and for our future work it is important to know what those problems are and what suggestions may be derived from the experience of other agencies.

In order to learn something of the problems both over development of general schedules in the National Archives and of their application in another agency we shall hear first from John H. Dethman, a member of the National Archives staff since 1939 who did much of the spadework on the general schedule covering fiscal records. In addition, Mr. Dethman was detailed to the Office of Price Administration and its subsequent liquidating unit from the middle of 1944 to December 1947 where he was engaged in actual disposal of records covered by general schedules.

The second speaker is Mr. C. E. Mayhall, Chief Analyst of the Records Management Section, War Assets Administration. Mr. Mayhall was in the Division of Records and Communications, Department of Justice, from 1927 to 1942, in the Office of the Housing Administrator and successor agencies from 1942 to 1944 and has been with the successive agencies handling surplus property since 1944. While most of his experience has been in records work, he was a Management Analyst for three years and thus embodies a valuable liaison between management officials as such and records officers.

## Remarks by Mr. Dethman

I realize that a probing of the development and application of the general disposal schedules may seem elementary to most of us because at one time or another each of you has seen and used them, and the principles upon which they are based and work are quite clear. However, I hope that we can profit by analyzing and discussing together some of the basic problems encountered in developing the schedules and by considering some of the fundamental application problems.

As the agency responsible for the preservation of records that appear to have sufficient administrative, legal, research, or other value to warrant their retention by the Federal Government, the National Archives, in common with most federal agencies, shares the aversion to the idea of destruction of records. The systematic disposal of useless records, however, is a basic preliminary to the preservation of valuable records. This systematic disposal, which is as important as systematic accumulation and filing, can be accomplished, it is believed, by the preparation of disposal schedules.

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The aim of a disposal schedule is to prevent either the inadvertent retention or the indiscriminate elimination of records by means of a planned program for their management. A disposal schedule represents an attempt to determine in advance the life expectancy of each type of records. It is simply a written plan of procedure for the eventual disposal of records made on the basis of a systematic analysis of the materials produced. The issuance of the six general disposal schedules, upon the initiative of the National Archives, is part of such a planned program. They can be used as tools by any agency in scheduling the disposal of its records since they are the result of systematic analysis and because they are a statement of archival policy on the disposal of certain types of records.

In developing the various general disposal schedules, a number of problems were encountered. For the sake of clarity, I would like to limit these development problems to five, and for the sake of brevity, I will merely state the problem and its solution leaving out all the ramifications, conferences, arguments, blue tickets, etc., that document the solutions.

The first problem was one of determining what types or classes of records were to be included and what types or classes were to be excluded. Because of their nature and application, the proposed disposal schedules had to be limited to those records common to most federal agencies and for which the National Archives was willing to state a definite disposal policy. The first limitation was and is perhaps a legal one, inherent in the amendment to the Disposal Act of 1943. The second limitation was one of policy since the schedules would establish a uniform, standard, and considered policy for the disposal of certain records. Consequently, the types of records to be scheduled were those which were and are created and accumulated in the normal housekeeping or accessory activities of most federal agencies, such as personnel, fiscal and accounting of monies, property accountability, mail room operations, information, service operations, printing, and distribution.

The second problem was one of how were the schedules to be prepared, or the question of form vs. function. Should the schedule be by form number or should it identify the function? Since scheduling by function imposes the obvious necessity of scrupulous care in identifying the records and in applying the schedule, it was decided to schedule, wherever possible, by form. This permitted the schedules to be specific and exact. In this connection, let me add a note here on the concept of functional scheduling. Basically, the general disposal schedules are functional schedules. Each, taken as a whole, represents a function if we accept the definition of a function as "a sphere of activity dealing with definitely limited subject matter and having both a definite purpose and at least a moderately specialized technique." This concept of a functional schedule has its origin in the functional approach to evaluation of records, and is particularly useful in securing Archival and Congressional authorization for the disposal of valueless records. The functional approach to scheduling does have its limitations in the actual application since it is so often necessary to interpret and expand the various items

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in order to match it with the way the records are filed.

A third problem was one of duplicated records. You will have noticed that in the general schedules no effort has been made to distinguish or identify the various copies of the scheduled form or file series known to exist in the organizational units in any one agency. Because of the various methods of distribution and filing employed in the agencies, the various copy designations and the applicable retention periods could not be established by the National Archives. Rather it was decided that the scheduled material would refer to the archival concept of "all record copies," and in the circular letter, which accompanies the schedule, the matter of other copies would be raised. For example, in Revision A of General Schedule No. 1, this statement is contained in the covering Circular Letter:

"The attached schedule refers only to record copies of documents. It is realized that many agencies do not file some of the papers of the forms or characters specified in the schedule and maintain them as record material. It is not the intent of this schedule to impart record character to documents previously defined by your agency as nonrecord material. \*\*\*\*\* Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency."

What this actually means is that the National Archives appears to sanction the concept of nonrecord materials as applied to the disposal of filed material. It gives the agencies considerable latitude in determining which copies may be considered nonrecord.

A fourth problem was one of accompanying papers, or what to do with the problem of the files series. Since every step in the development of a schedule should be taken with the purpose of facilitating disposal, some device was necessary to make the schedule conform as closely as possible to the way the records would be filed. For example, if requisitions for non-expendable supplies were filed in the same folders with invitations to bid, purchase orders, receiving and inspection reports, vouchers relative to the respective purchases, and related correspondence, it would be useless to have an item in the schedule relating to only one of the forms. As we were already committed to form itemization, it was imperative that the contents of a folder or all the records that were filed in a folder as a file series be authorized for disposal. This required the use of the terms "accompanying papers," "all papers properly filed therewith," or "all accompanying papers that specifically support the expenditure."

And finally, the fifth problem - and a major one - was the retention period for each scheduled item. This was a two-fold problem involving what was to be the retention period and how should it be expressed.

As to the first part of this fifth problem we adopted a general rule that the period of time records should be kept is determined, first, by their value as administrative tools, second, by their value as legal or

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other official evidence, and third, by their historical or other research value. Generally speaking, in the development of any schedule, the agency has primary responsibility for determining the administrative and legal value of the records and then fixing a period of retention. In the case of the general disposal schedules, the National Archives took the initiative and determined a suggested administrative and legal period of retention. In determining the retention period for each item, we did not pick one out of the air and say "This is it." Analyses were made to determine what was or had been the retention policy as expressed in approved disposal lists and schedules. This information was supplemented by studies involving the legal and administrative needs for the records. While the present schedules specify only what records can be destroyed - a negative approach to the evaluation of records - a complete analysis and evaluation of all records involved had to be made. Analyses were made of such things as the statute of limitations, the inter-relationship of forms or file items between the administrative and regulatory agency, the extent of content duplication, physical duplication, the use of the records in investigations, the need of the records for audits of fiscal accounts, and, finally, what records that National Archives wanted to be preserved indefinitely because of their continuing values.

The second part of this fifth problem - how was the retention period to be expressed - was nearly as complicated as the first part! It was determined early in the development of the schedules that the period of retention would be the minimum period of time. If an agency wishes to dispose of records of the same form or character as those authorized for disposal in a general schedule in less time than the period specified, the agency must obtain authorization by means of a disposal list or schedule. Further, "it was decided that the retention period was to be specific in terms of when the records could be disposed of. Three different methods were approved. First, as a fixed period of time - for example - "5 years," which means 5 years after the records are created or received. Second, as an elastic period ending with some specific future date or event - for example - "to be retained until cancelled." And third, as a fixed period of time following a future event - for example - "to be retained 3 years after sale of truck."

Let me now turn to the other part of our discussion - the problems of application.

In considering and analyzing the problems of development, you will have noted that an attempt was constantly made to forecast the problems of agency application. Every known factor that would affect the workability of the schedules was considered. Studies were made of the operational procedures involved in the use and filing of each scheduled form or item, and in many instances trial application was pre-tested in selected agencies. Consequently, many of the development problems have their counterpart in applying the general disposal schedules.

In considering with you the application of the schedules, as a part of a planned records program, let me note four problem areas.

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First, there is the problem of assignment of responsibility. No records disposal schedule will operate of its own accord, nor will it apply itself. The records officer or administrator, or some individual on his staff should be made responsible for the review, analysis, and application of the general disposal schedules. Since most agencies have records officers, this problem can be easily handled.

Second, there is the problem of records analysis by the designated person. The general disposal schedule are only tools to be used in the agency's own record program. A study must be made of the operational procedures involved in the use of each scheduled item or form and the relationship of that item or form to the agency's own records. The various copies of the form or the item must be traced through the organizational levels of the agency, considering the national office and all field offices. And, as is the usual case, the designated person should consult with the operating officials who may be concerned with the particular records, to be certain that no conditions exist which would require their retention for a longer period than that specified.

Third, there is the problem of determining within the agency which are the record copies of the scheduled item or form. The specific retention periods authorized in the various general schedules are intended to apply to all record copies. There may be several copies of each form described on the general fiscal schedule created or accumulated in an agency. The purpose served by the form or the item covered by the schedule must be taken into account in determining which are the record copies.

Fundamentally, the determination of the record copies is based upon the relationship of the form or item to the administrative organization and activities of any agency or its subdivision. From an administrative viewpoint, "record copies" may be defined as the particular copies of a form or item which serve as the official record of a certain function or activity. Those copies of a scheduled item or form which are maintained at any level of organization which preserve the evidence of the functioning or activities of that organizational unit, should be designated the "record copies." They may be located at the Washington headquarters, or in its field offices. It should be understood, however, that duplicate copies of the same form or item may serve as the official record of different functions. For example, a copy of a voucher, with all its supporting documents, may be retained by the originating office as evidence of its action, while another copy may be retained by the finance office as evidence of its action. Both copies serve record purposes and are, therefore, "record copies." All identical duplicate copies of a scheduled form or item which does not serve as the official record of a particular function or activity and which are maintained solely for convenience of reference are not "record copies," and should be considered as extra copies - or as sometimes called "nonrecords."

It is, therefore, necessary for the agency to determine which are the record copies and which are the extra or nonrecord copies. All such extra copies should be clearly identified. Many devices can be

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used to identify these extra copies, such as "fiscal record copies," "administrative officer's copies," "service operation copies," or "regional office copies." It is necessary that the extra copies or nonrecord materials be scheduled for a shorter retention period. The concept of "record copies" is a fundamental consideration and the determination of such copies is a necessary preliminary step in applying the schedules.

And fourth, there is the problem of administrative determination of the retention periods. The general disposal schedules are permissive, not mandatory. The retention period established by them is a minimum period of time and is the National Archives and Congress' authority for the disposal of the item or form. In order to achieve the maximum utilization of the general disposal schedules, each agency should supplement the disposition authorizations of the schedules with administrative determinations of retention periods for each scheduled item. In each agency, after full information has been obtained on the identity and location of record and "extra" copies and the legal and administrative needs for the records have been established, definite retention periods should be established. In no case may the retention period for the record copies be less than those specified on the general schedules. Extra copies of the scheduled material should not be retained for a longer period than that established for the record copies. In addition, all form records or file series which are the equivalent to any of the items listed on the general schedules should be identified. The retention periods for these equivalent items shall be governed by the general schedules.

This discussion of the problems of development and application for the general disposal schedules would not be complete if I did not mention their value for the administrative agency. They can serve as a tool for the scheduling of housekeeping records since they are a written plan for the eventual disposal of records, based upon a systematic analysis of the material produced. They enable the administrative agency's records personnel to devote their time to the more important task of evaluating, analyzing, and scheduling its program or operational records. Finally, they serve as a shield and a lever in selling and developing the agency's program by being able to indicate that the schedules are blessed with the approval of the National Archives and Congress.

## Remarks by Mr. Mayhall

In the War Assets Administration we have a definite records program - the program was designed to cope with the problems that are common to most agencies' records work, and those which are peculiar to the War Assets Administration. We have in War Assets Administration a different type of organization, and a different type of life expectancy, than in most agencies. We were organized as War Assets Administration (WAA) early in 1946. We were made up at that time of a number of agencies which had been participating in surplus property disposal - an outfit that was with RFC, one that was with Commerce and had formerly come from the Treasury Department, other phases from Maritime Commission, etc. Now

8  
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ever since War Assets Administration has come into existence we have had, unlike most other agencies a liquidation date or closing date firmly in mind. Our first administrator made a statement early in his administration that all surplus property would be sold by a certain date, and we'd be out of business. The fact that the date has been amended and pushed forward hasn't changed our picture very much. We still feel and have felt all along that we have a records problem, and a records responsibility that has to be prosecuted more vigorously and more quickly than in most agencies. For that reason I feel that we have had in War Assets a very comprehensive experience with records retirement problems, one that other agencies with longer life expectancy would encounter only over a much longer period of time. However, in this program I am rather new. I came into records work for the second time a very short time ago after being out of records work for possibly four years. When I came back last fall I found that during my absence from records work many new devices had been developed to cope with and meet various records problems. Among these devices I found general schedules. Now general schedules were a new thing to me. They were a device that had been applied to some extent in WAA prior to the time I had been assigned to records work. After general schedules came out, they were used "as is." As Mr. Dethman remarked a few moments ago, general schedules weren't intended to be used that way. They were intended to be used only after agency adaptation. Suppose you went into a store and bought a suit. That suit would have to be altered by the tailor to fit you. The same situation exists when the general schedules are utilized. When we in WAA found out that was true, we set about altering and adapting our use of general schedules in many cases, and we think we have now a pretty good working knowledge of how general schedules are employed to the advantage of an agency.

Now substantially here's what we do - we have a policy of presenting to all of our field offices of which there were a total of 35 or 40, a records retirement program in the form of retention and disposal standards. These standards describe all the records of the agency on the theory that we are going to have to do something with all of them. In these descriptions it has been our aim to send to the field for the help and assistance of field records personnel a description which would be practically their own words in describing their records. For example, we feel that we can do our most effective work if we place ourselves in a position of an individual who has been presented with a file case of records and told to get rid of it. The first thing he wants to know is where did it come from, what's in it, how valuable is it, etc. We've asked ourselves these questions in the preparation of our retention and disposal standards, and in asking those questions many of the answers have been supplied by items in the general schedules. This is one use of general schedules.

An entirely different form of presentation than the form used in general schedules was used in preparing our standards. This did not make use of general schedules either difficult or impossible. As Mr. Dethman told you, in general schedules the form rather than the function was used as the medium of expression. In War Assets Administration we used a functional presentation. We have divided all of the functions of our administration into seventeen groups. An example of that would

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be Personnel - the personnel function is not limited to the Personnel Division as far as we are concerned. The personnel function extends beyond the Personnel Division to the Divisional Administrative Officer's records whenever that Divisional Administrative Officer performs some action that ties into personnel. For example, the preparation of a Request for Personnel Action. Personnel records as we use them will be found in many offices. We have adapted the personnel general schedules to that functional presentation with no trouble at all. We do that by making a functional statement stating that the records documenting this function or produced and accumulated as a result of this function are as follows and those that follow will be the general schedule items in many cases.

We used the accounting schedules, which Mr. Dethman described in his experience with OPA as being used, as is almost. We used the accounting schedules as is originally in the War Assets Administration and immediately withdrew them. In that form they were not an effective instrument, of the records administration at all. We then reissued them on a sensible basis for our agency; for example, instead of individual items of general schedule we have grouped together items which appear together in files or folders. In doing that we present to the records person in the field who is going to be faced with the problem of keeping or throwing away this folder, we think, an accurate picture of where to find that folder and what will be in it. If he has to assemble information regarding the contents of the folder from various items and various places in the schedule, the standard loses a great part of its effectiveness. We have used almost every one of the 184 items that you find in the fiscal and accounting general schedules. We have used almost every one of the items in the personnel schedule. We are in the same position as OPA in that we haven't used any bankruptcy schedules whatsoever. We found in much the same way that OPA found that the informational services and public relations general schedules were not of too great a value for us - they didn't fit into our picture. We do a tremendous amount of advertising in the merchandising of surplus property, and we have quite a large informational setup and our information and public relations setup was not such that it fitted in with general schedules at all. Of the three general schedules that we used, postal, personnel, and accounting, we've used almost 100 percent.

Now, I want to make a point, we got off to a bad start in using some of the general schedule records without adaptation, but we didn't sell general schedules short - we didn't throw them in the wastebasket - we merely adapted them to our use in the agency. I've mentioned most of our experience with them for just that reason. I want to point out to you that, properly used as administrative tools, general schedules are very helpful and very effective. If you should go off the deep end, and almost everybody has at one time or another, and used the general schedule improperly, perhaps improperly adapted them, remember that it doesn't prove that general schedules aren't good. That isn't their fault - it's the way you use them, so realign your program so that you can use them in a way that will be really helpful.

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Many agencies have not reached the point in their records program that the Executive Order, which required a records program in each agency, expected them to reach. This Executive Order is Executive Order 9784 which states very explicitly that it is the responsibility of every Government agency and Government department to have an active records program. Well, we all know, as a matter of practicality there are some offices, some agencies, some departments which do not have an effective records program either because of budgetary limitations or because of administrative backwardness. I consider that the general schedule is a terrific aid to the overburdened record man in such an agency. They fill the place of another analyst or two that might be required to pick up all this information.

Now, so much for our use of it, so much for my experience with it! I have a suggestion or two, one which I have already given. Substantially, we would find it very helpful, I think, in War Assets if we had encountered within the item form setup a limited series arrangement in that you would have grouped together items of standard forms or standard types of communications, which are usually found in groups in all or several Government offices. I believe that the personnel file is a fairly standard instrument, and I think that possibly the non-permanent papers are filed on the left-hand side of the employee's folder. I imagine that is fairly standard, I don't know. It would seem very helpful to me if the papers that appear in this group could be grouped together in the general schedule and designated as a series. Further, I think Mr. Dethman mentioned it to some extent - I would like to elaborate on using the general schedule as a lever. It has been our experience that when we go into a division to talk retention periods with personnel of that division most records are regarded as permanent. Now if you have an authoritative expression as to a document's value and you have it here in the general schedule representing the viewpoint of the National Archives and their consulting agencies or assisting agencies, such as the General Accounting Office and the Civil Service Commission, you have an expert opinion on the retention period that should be applied to those records. We found that very valuable in reducing this so-called 100 percent permanency, which is part of our responsibility.

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INTERAGENCY RECORDS ADMINISTRATION CONFERENCE

Report of Fifth Meeting, 1953-1954 Season

March 26, 1954

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GENERAL RECORDS SCHEDULES

Presiding: Mr. Arthur E. Young  
General Services Administration (Chairman)

Speakerso Dr. Edward G. Campbell  
National Archives and Records Service  
General Services Administration

Mr. W. T. Luman  
Department of Agriculture

Mr. Allen N. Humphrey  
General Accounting Office

This report is distributed for the Interagency Records Administration Conference by the National Archives and Records Service, General Services Administration. For further information write or call James E. Cole, Jr., Conference Secretary, Code 151, Extg 5183.

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Mr. Arthur E. Young

Good morning, Ladies and Gentlemen. This morning we're going to have a discussion on the subject of General Records Schedules. In lining up the discussion, your Steering Committee decided to get a panel of speakers who can tackle this problem from all points of view. General Records Schedules, of course, involve our housekeeping records. The first speaker will be Dr. Edward G. Campbell of the Records Management Division, National Archives and Records Service, who will speak about developing and issuing the schedules. Ned knows a lot about schedules, and he's lived with them now for over 10 years. Then we're going to have the subject of putting general records schedules to work discussed by Mr. W. T. Luman, Chief of the Records Administration Division, Office of Plant and Operations, Department of Agriculture. Agriculture has had a very effective and vigorous records management program and has had a lot of experience in using them. Mr. Allen Humphrey, Chief of Records Management and Services Branch of the Office of Administrative Services, General Accounting Office, will discuss schedules from the point of view of his agency's interest in them.

Dr. Edward G. Campbell

General Records Schedules are issued to all agencies of the Government with a lot of fine print. I think all of you have noticed they start with fine print and they end with fine print. Probably a good many of you think there's too much of this fine print. You may be right, but it seems like a good idea this morning to try to explain, first, how the GSA goes about developing these schedules and then secondly, the purpose behind some of this fine print.

First, I want to mention very briefly the legislative background of the general schedules. The Disposal Act of 1943 provided that the Archivist at such times as he may deem expedient, should propose schedules covering records of a specified form or character, common to several or all agencies. In a later section of the Act, it provided that the disposal authorization in general schedules shall be permissive, not mandatory.

We've often been asked why these schedules are permissive, and why we do not try to get them made mandatory. The Budget Bureau asked that same question when the legislation was first proposed. Then as now, the National Archives has taken the position that they should not be mandatory. If every agency were required to dispose of records strictly in accordance with the general schedules, I doubt if we would ever get any of them issued. There is enough similarity in the records of various agencies in certain fields to warrant issuing a general schedule covering them. But there are agencies with peculiar situations. If these schedules were mandatory, we would have to check every agency to make sure exactly what peculiarities might exist, and what the effect of the proposed disposition would be. In other words, we would have to issue separate schedules for each agency. Therefore, we have continued on the basis that General Records Schedules are permissive and should remain permissive.

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Under this original legislative authority, the National Archives issued six general schedules in 1946 and 1947. As most of you know, the best sellers of those were the ones on personnel records and on procurement and fiscal records. And these schedules covered only records that were disposable; every item on each schedule provided that the record be disposed of.

In 1950 the Federal Records Act specifically directed the Administrator of General Services to establish standards for the selective retention of records of continuing value and to assist Federal agencies in applying such standards. The sixteen general records schedules issued in the past two years attempt, in part, to carry out this provision of the 1950 Act by including retirement provisions for records that are not disposable. At the present, neither the provisions for disposal of records in the general schedules nor for the transfers to centers are mandatory.

Indirectly, you may say, there is one exception to this generality: the general schedule authorizes an agency to destroy records after a given period of time. An agency can apply this disposal authorization at its discretion, provided it does not destroy records sooner than provided by the general schedule unless it gets specific authority to do so! There is one question that comes up constantly which I would like to try to answer: if an agency already has disposal authorization to throw out records sooner than is provided in the general schedule, the agency's own authorization continues in effect. The general schedules do not revoke any disposal authorization except those in prior general schedules on the same subject. The agency's own authorization remains legally valid.

For the most part in developing the general schedules, we have directed our attention towards the so-called housekeeping records of the government. But we have already made one exception, in which we directed a general schedule towards so-called program records. It is apparent that there are a number of other areas that are not housekeeping areas which in the future we hope to cover with general schedules! As to what records should be covered by general schedules, we are glad to receive any suggestions at any time either as to additional items or additional schedules. Any files that can be covered by general schedules more effectively than by an agency schedule we will try to cover.

The origins of various schedules that we have now do not follow any particular pattern; we get our ideas wherever we can. Some of you may have noticed a rather fat and complicated item 7 on schedule 4, relating to certain documents that can be turned over to purchasers of Federal real estate. This item was suggested by Public Buildings Service. They had a real problem. If an industry bought a factory or a building from the Federal government, the industry wanted records that would show where the light plugs were, where the power pipes went, where heat vents were, all of that sort of thing. At the same time Public Buildings had no authorization to give away those records. They were Federal records and must remain in the custody of the Federal Government until Congress acted upon a disposal job. I suspect a few times the records disappeared and the private purchaser got them, but this item 7 was designed to make such actions legal. It was necessary, but merely illegal, to give the papers, to the private owner.

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Other items on general schedules have been suggested by agency records officers. Others are suggested by members of our own staff, who find bugs in them as they go around other agencies here in Washington and in the field applying the schedules. A major source for suggestions as to records that might properly be covered by general schedules lies in a review that we make of all agency schedules that come through the National Archives. We watch to see if agency after agency is submitting essentially the same item on disposal schedules. If so, there is at least superficial evidence that a lot of paper work could be cut out if that item were put on a general schedule applicable to all agencies!

Under the law it's the responsibility of the Administrator of GSA to develop general schedules. In developing them, we try to be sure that any other agencies that have staff responsibility in a given field, or that have a major interest for some other reason, have an opportunity to clear the schedules in draft or long before they become final. For this reason, any changes in schedules covering personnel records are cleared with Civil Service Commission; we try to make sure there are no contradictions between the schedules and the Civil Service Commission Manual. The Treasury Department has a legitimate interest in any proposal involving accounting records and records relating to tax deductions. The Congressional Joint Committee on Printing reviewed and approved the schedule that we issued some time ago on printing, binding, and distribution records. Housing and Home Finance reviewed our draft of a schedule covering records of housing activities. In that case, the draft specifically excluded from coverage the Housing and Home Finance records. We asked for their opinion mainly because of their experience in the field. As it turned out, the Agency recommended to us that the schedule be extended to cover their records and we were glad to do it. This was the case I referred to a few minutes ago, the first case in which we have covered program records with general schedules.

From our point of view these clearances are invaluable. Even after a rather extensive review of a given record keeping area, we need all the advice and assistance we can get from specialists in the various fields. This way we get it. I don't want to minimize the help we have gotten from others, but I do want to say we would have never gotten out the schedules on fiscal and related records without the great amount of help we got from George Freedman of Treasury,--we hoped to have him here today but he was not able to make it, he was too busy with some other project--and Al Humphrey of the General Accounting Office. They really worked.

As many of you have noticed, we have made changes in the issuance pattern for general schedules, both since 1947 and within the last two or three years. In the first place, they are now formally issued as Appendix B to GSA Regulations, Title 3, Federal Records. That is done in the belief that it will be easier for agencies if all of the material they get from GSA on records is in one package. They don't have to search for separate leaflets, separate issuances under differing systems.

Secondly, schedules covering bankruptcy records and criminal records of U.S. Courts have been approved by Congress. You may remember the bankruptcy schedule was included in the former series of general schedules, but

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it is not issued as a part of the series of general schedules in Appendix B. Since only the courts have that type of record, it did not seem to us advisable to clutter up the schedules that were used by all agencies of the government with schedules that were pertinent to only one branch of the government. We did not mean to give the impression that those court schedules had been revoked or were not still in effect. They are still in effect for the courts!

Most of the other elements in the present arrangement for issuing the general schedules are dictated by our firm belief that these schedules should be susceptible to easy and frequent amendment. They became a part of Appendix B of the regulations less than a year ago; the appendix was issued on July 10, 1953. A month later 5 schedules were amended, either by addition of items or by revision of existing items. Also, two additional schedules were issued in August, a month after the original issuance in July. At present we have changes in 4 schedules in the mill, in one stage or another.

You may have apprehensions that these changes will be too frequent. We hope not, although they may be. In so far as possible, we intend to issue the changes on a once-a-year basis and in most cases this can be done. If the change involves keeping a record longer than hitherto, we may have to issue that change as soon as Congress approves it. But if it is simply a matter of cutting the retention period or of covering new and different records, we will wait so that when Congress adjourns we can issue all changes that have been approved by that session of Congress, and thereby avoid your having to constantly interleaf new pages.

The number of changes we have made and that we have in process do not seem to us excessive. Probably that is because we feel that any schedule should be reviewed at least once a year and probably is going to need some kind of revision at least every other year. Since we are dealing with the records of all the agencies of the government, it is not surprising that the general schedules need rather frequent revision. Here are some of the revisions we have in the mill right now: one is the revision of the item covering unsuccessful applications for employment. At present I believe that those records are disposable after 6 months. Since that provision was approved by Congress, there have been changes in personnel procedures involving more delegation of authority by the Civil Service Commission to the agencies. Therefore there is more need for careful inspection by Civil Service Commission of what agencies are doing. Because of that inspection angle, we are having to lengthen the retention period on those records. Otherwise the records will have been destroyed before Civil Service ever has a chance to make its inspection.

The schedule on pay records and the schedule on accountable officers records are being amended. As most of you know, there are extra copies of periodic pay records, those pertaining to civilian employees of the government, to pensioners, and to others who get periodic checks from the government. Those extra copies are security copies. There is no need to keep them indefinitely, so we are amending those two schedules to allow disposal of the extra copies after a relatively short holding period.

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There is another change we are hoping to make, but we have not even started this one on its way; the last several items of the present personnel schedule cover health records maintained by welfare rooms, by dispensaries and so forth. It has been called to our attention that the language used in citing a specific Act means that the schedule is only applicable to records of about half the Federal agencies. If we knock out the reference to the specific Act of Congress, we can cover other records that are exactly comparable. Again, that means a revision.

We were a little embarrassed by one other change we made. Originally, the accountable officer's accounts schedule covered records of disbursing officers and certifying officers. Congress approved it that way and we issued it. Later it came to our attention that there were also collecting officers in the government! They were in no wise different from the disbursing or certifying officers as far as certain of their records went, but again we had to go back to Congress and then issue an amendment to the schedule.

In general, we feel these revisions are necessary to develop better schedules, to change schedules so they can be applied more easily, to change them so that records can be retired more quickly, and at times to keep terminology in line with actual usage. Finally, of course, they are necessary to take into account changes in procedure.

We expect this need for changes to continue. That is one reason why we try to keep each of these schedules relatively short. The first couple, on personnel records and pay records, sort of ran away with us. They got a little longer than we like. We prefer to have each schedule quite short, so that when we revise it, it is a simple matter to replace it. We want to avoid unnecessary expense in reproduction, typing or anything else. We realize that in keeping the schedules short we get into a matter of overlapping titles and scopes. Many of the records in our schedule 2 on payroll records and many in schedule 9 on travel and transportation records could, and perhaps should, be included under the schedule on accountable officers' accounts. But because of the volume of records involved, we wanted to treat pay records separately. Because of the peculiar, and we hope relatively temporary, need for long term retention of bills of lading and related papers, we put them in a separate schedule to emphasize that those records must be kept. In time, we may very well drop the separate schedule on traveling and transportation records and merge it with the schedule covering accountable officers accounts.

We do not believe our present pattern, the scope of each schedule and the records covered by it, is meant to last for the ages. It is based on what appears to us at this time to be most expedient, our effort to make the schedules most easily understood and susceptible to amendment. We try to take care of overlaps by a rather generous use of cross reference comment.

As I indicated, at times our changes in general schedules take the shape of new schedules. We do not know how many new ones there will be. At present, we are working on a schedule that would cover, in so far as we

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can see, all mapping and cartographic records. This job is being done by Herman Friis, the Archivist in charge of the National Archives Cartographic Records Branch. He speaks the language of the geographers. We hope that we will be able to submit that schedule to Congress during the present session. We are also working on a schedule to cover the more common types of records found in government legal offices! We hope that this one, too, will be approved by the present Congress but we can not yet be sure.

We will continue to attempt to improve the coverage of these schedules both by including new types of records and by completing coverage in the fields already partly covered. We believe that the schedules covering personnel records and pay records are relatively comprehensive; we find that they cover most of the records in personnel offices and most of the pay-rolling records. We know that in the future retention periods for these records will be changed as procedures change and for other reasons. And we know that from time to time there will be new series of records in these fields that will require new items. On the other hand, we know that our schedule covering records of administrative management is very fragmentary. It covers only a very few of the records in that field. The schedule was not issued primarily to authorize disposal of large quantities of records, but because the items on it time and again were coming in from various agencies. Quite properly most of the records need to be kept; only a few can be thrown out. The schedule was issued to eliminate the need for each agency to cover the same ground again and again.

Many of you have asked us at one time or another why we restrict the coverage of these schedules to records created after a given date. In the case of most of the schedules this date "floor" is January 1, 1921. In the case of procurement records, the date is 1894; in the case of administrative management records, 1939. Excluding the earlier records from coverage does not mean necessarily that we think they are valuable or that they are trash. It simply means that so far as we know procedures in that particular field were not sufficiently standardized before the specified date to permit scheduling the records across the board. There may be no difference in the value of the records or there may be. We have not gone that far back in studying the records, and it seems more expedient to put the date floor in the schedule. Most of the records prior to 1921 have already been retired, so they don't constitute a great problem for agencies. We simply say, do not apply the schedule further back than this date because we have not gone into it and we do not know whether the same criteria apply.

The 1921 date that is standard for all the schedules, except as otherwise noted, is not any magic date. We determined to use that date because, first, that was the year in which GAO and the Budget Bureau were created and since that time both those agencies have been assisting the general standardization of records and procedures in their respective fields! Secondly, 1921 brings us past World War I; wartime measures had disappeared from the scene and records were beginning to fall into a peacetime pattern. Now those are not very conclusive reasons but they were sufficient to persuade us that it was as good a date as we could find except in particular cases where there was a specific reason for departing from it.

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In addition to excluding records from a general records coverage on the basis of date, at times we exclude them on an organizational basis or on a geographical basis. In the case of housing records we specify the schedule is only applicable to records of housing in the continental United States. Quite possibly the same standards should apply to records of government housing in Germany, Japan, or Alaska! We do not know and since most of the records seem to relate to that type of activity in this country, it seemed wiser to get the schedule out and to worry about the records of overseas housing some other time.

In the case of administrative management records, we specified that the schedule only applied at certain central office levels. We did not mean that the records necessarily differed at lower levels or in the field, but we did feel there would be too much variation in the value of administrative management records in the field to permit handling by the general schedule. The value of the records would often depend upon the degree to which authority was decentralized to the field officials of a given agency.

Another type of record that we exclude from the coverage of most general records schedules consist of the records of the responsible staff agency. Consistently we have excluded these from general records coverage. The personnel records schedule can be applied to the records of the personnel office of the Civil Service Commission but not to all the other personnel records in the Civil Service Commission. In the same way the budget schedule can be applied to the records of the Budget Bureau's own budget unit but not to all the Budget Bureau's records relating to budgets of other government agencies. In at least one case I think we have overdone this. In the procurement schedule we carefully stated that Federal Supply Service was not covered, yet some of the Federal Supply procurement records undoubtedly are no different from those of other agencies. The most complicated exclusion from general records coverage undoubtedly is that involving GAO records. The general record schedules are applicable to memorandum copies of papers formerly submitted to the GAO, and now held in agency space for site audit. But I am not going to go into that. Mr. Humphrey is here to answer any questions about GAO's interest in the general records schedules.

I want to emphasize that these ground rules for exclusion of records from general records schedule coverage are spelled out in this fine print, of which I spoke at the beginning. Each general record schedule has three parts! It has an introduction with the fine print saying what records it applies to and what records it does not apply to. Often it seems to me an agency that wants to use the general record schedule need not reprint for its own use all this introductory material. If the agency records officer looks at it, he will find for instance that the accountable officer's schedule should not be applied to records of the Disbursement Division in Treasury. Since there are no such records in Interior, Commerce, and so forth, there is really no need to carry that exclusion over, when the schedule is issued in those departments. Similarly, there is no need to mention the pertinent floor date if the agency was created after 1921. It will not have any records that are involved in that exclusion. We can not

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omit this fine print in issuing the schedules for all agencies, however, because some agencies are affected by every one of these exclusions.

The second part of the schedule consists of a description of the records, a proposed filing system that will permit normal administrative use of the records and at the same time make it easier to throw them out or to retire them. Again, the proposed filing system is entirely a suggestion, not meant in any sense to be mandatory. Finally, of course, there is the provision for retiring the records.

General schedule items necessarily are as general as we can make them and still have them meaningful. They are based on what the record does, not on its organizational placement or the name of the unit creating it. It has to be a description based on what purpose the given record serves!

At the end of the schedule we have an explanation of how we arrived at the specified retention period, what reasons we had for proposing the disposal after a given time, or for proposing retention. Some of our appraisals at the end of the schedules are better than others! At the present time, among the revisions that we are making in the schedule on payroll records is a general elaboration of what seem to us rather cryptic explanations. On the other hand, I believe that our appraisal of item 7 on schedule 4 dealing with records to be turned over to purchasers of federal property explains our reasoning fairly fully.

One thing I want to emphasize, I have spoken of the fine print. It is there, no question about it. We try to keep it to a minimum but we can not eliminate it. Any time an agency has trouble in trying to decide how a general record schedule fits its records or if it does, we will be glad to explain at least our interest in developing the appropriate general schedule. I think that most of the time we will be able, cooperatively with the records officer, to work out pretty quickly the extent to which any given body of records is covered by one of these schedules. Don't let the fine print lead you to just file them. Try to use them. APPIAUSE.

Mr. Arthur"X. Young

Thank you very much, Ned, for a very penetrating analysis. I think we can see we have a dynamic situation. Mr. Luman of the Department of Agriculture now wants to tell us how they go about putting these schedules to work. Mr. Luman.

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Mr. W. T. Luman

Mr. Chairman, Fellow Panel Members, Ladies and Gentlemen, in one of my weaker moments I agreed to become a participant in this program, by speaking to you on the subject of "Putting the General Records Schedules to work in the Department of Agriculture."

It seems desirable to tell you at this time that the Office of Plant and Operations, of which the Records Administration is a part, is responsible for administering the records management program in the Department of Agriculture. This responsibility includes the coordination of records management activities of all agencies of the Department, both in Washington and in the field, and the establishment of general policies, standards and procedures relating thereto!

I shall discuss for a few moments the procedure the Records Administration Division followed upon receipt of the fourteen General Records Schedules. We have and will follow similar procedures on subsequent schedules.

Since the records covered by these schedules include those pertaining to civilian personnel, fiscal, accounting, procurement matters, and other common functions, they were referred to the office of personnel and the Office of Budget and Finance for their concurrence in permitting the agencies to apply the authorities. Both of these offices are staff offices in the Office of the Secretary. The Office of Personnel took exception to one item in General Records Schedule 1.

The Office of Budget and Finance took exceptions to items in four schedules as follows. Schedule 2, Item 1B:-It was decided that agencies should retain pay cards (Standard Form 1127 or equivalent) on active employees for a period of five years after close of file before transferring them to the Federal Records Center at St. Louis! Schedule 2, Items 2, 9 and 15:-For those agencies using a single form for recording time and attendance data, leave, and payroll changes, it was decided that the retention period should be that prescribed for leave record cards! Schedule 5, Item 4:-In this instance, it was not exactly an exception, for agencies were merely cautioned about destroying work papers, cost statements, and rough data accumulated in preparation of annual budgets. In support of this stand, it was stated that repeatedly it had been necessary to adjust old appropriation records and tables for comparability with the current appropriation structure. Schedule 7, Items 2, 3, and 4:-It was decided that the general and allotment ledgers, including supporting journal vouchers, are important as sources of fiscal, expenditure and budgetary data, and should be retained permanently. However, it was also decided that in the review, development, and approval by the General Accounting Office of improved accounting systems for the agencies, consideration would be given on an individual agency basis to the development of an appropriate disposal plan for these and similar types of records. These records, it was said, have proven invaluable in providing historical information requested by other Federal agencies! The Congress, and the public.

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In transmitting these schedules to the agencies in the Department, it was pointed out that the use of the disposal authority granted by these schedules is permissive, not mandatory, and that they could retain records for longer periods when there are sufficiently good reasons for doing so. They were cautioned, however, to follow the schedules as closely as possible. They were also told that if an agency wished to retain some of its "housekeeping" records for shorter periods than those listed in the General Records Schedules, they should prepare disposal schedules and submit them in the usual manner.

Some of you in the audience this morning may be wondering how we utilize the General Records Schedules in the preparation of agency schedules. Most of you have had experience in inventorying records and preparing schedules, particularly during the past two years with a June 1954 deadline to meet. The preparation of comprehensive schedules in the Department of Agriculture has been greatly facilitated--I'd like to emphasize this--by the fact that the General Records Schedules exist; for by their existence, a mere reference to a specific schedule or the General Records Schedules in an appropriate spot in an agency schedule will serve to fix a definite disposal instruction and in most cases to eliminate the necessity for laboriously listing certain records, particularly those of a "housekeeping" nature. Allow me to illustrate these two points:-- First, as you know, in preparing comprehensive schedules, we wish to include all records series, particularly a series of any magnitude and occupying significant amount of filing space, as, for instance, General Information Type Correspondence which we find so much of, particularly in our research agencies. Briefly, this type is generally described as "requests for information from the general public and replies thereto, involving no administrative action, no policy decision, and no special compilations or research for reply."

Now here's how we utilize the General Records Schedules in the disposal instructions covering such correspondence. I quote the disposal instruction from one of our approved schedules:-- "Dispose after three months in accordance with General Records Schedule 14, approved for use by the Department of Agriculture."

Perhaps some of you are wondering why we attempt to include all record series of any importance, if possible, in our comprehensive schedule. These are our reasons:-- It condenses reference and is our experience that it tends to eliminate misunderstanding on the part of other than those who are familiar with the use of the General Records Schedules. It also may serve to make mandatory in our comprehensive schedule provisions that are optional in a General Records Schedule. We even advocate the inclusion of non-record material in comprehensive schedules in order that this type of material is not ignored or forgotten in disposal activities. May I quote to you an excerpt from the Department of Agriculture's Record Disposition Manual, Office of Plant and Operations Publication No. 10: "It is important that a comprehensive records schedule should cover all types of records in an agency with appropriate disposition instructions. Not only should all types of record material be included, but also all 'non-record' material occupying significant amounts of filing equipment or space. If the non-record material

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is omitted, it may be allowed to accumulate indefinitely, whereas, if its disposal is provided for in the same document that controls record material, it cannot be ignored." This principle applies then to large volumes of material, such as General Informational Type previously described.

Let me give you another example of the matter in which use of General Records Schedules facilitate the preparation of agency schedules. Let us assume that we have an item in an agency schedule enumerated as Item 10, General Correspondence Files. These files are then described in broad general terms, except for specific listed records, such as: a. Records reflecting the history and organizational structure; b. Records of a precedent setting nature relating to administration; and c. Other like material of a policy or program planning nature. Records of the sort specifically listed are then covered by a disposition instruction, such as:- Retain. (This material is of such a nature that it may be eventually offered for permanent accession by the National Archives via a Federal Records Center.) Now, you may ask, "what are the other records in the file? How are you covering them in the schedule?" Remember, this is only one item of a comprehensive schedule, so this is how the balance of the records on the Correspondence File were covered and it certainly illustrates a method of applying the General Records Schedules. A "Note" was appended to this particular item in the schedule which stated:- "All other material in the General Correspondence File, excluding those items listed above, is itemized elsewhere in this schedule for disposition, or is covered by General Records Schedules 1 - 16. Such material may be disposed of at the expiration of the required periods."

So to reiterate, incorporation of General Records Schedule provisions in agency schedules has proven to be a facilitating factor in our disposal program.

At the time I was asked to speak to you, it was suggested that I indicate "what problem, if any, do the General Records Schedules present to the agencies in the use of them!" With Mr. Campbell and Mr. Young occupying this platform with me this morning, I could be in a most unenviable position. I am glad to report, however, that, with one not too important exception, we in Agriculture have not encountered any problems in the use of them. The exception was first noted at the time we in the Records Administration Division were preparing our publication entitled "Records Disposition." In this publication we included in an Appendix, the General Records Schedules. We also listed in the Appendix all Standard and Department Forms, arranged numerically. Each Standard and Department Form so listed bears a reference to the appropriate General Records Schedule or Schedules and the pertinent item or items therein governing the disposition of that form.

In some instances, it was difficult to relate the form to the proper schedule and item therein.

Finally, I was asked to mention any suggestions we might have in Agriculture for making the General Records Schedules more useful. After much consideration and discussion, we were able to unearth only two minor suggestions.

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The first of these is that the schedules might be written so as to be more readily understandable by other than Records Officers, and the second one is that an index would be helpful.

Thank you very much for listening. APPLAUSE

Mr. Arthur E. Young

Thank you very much Mr. Luman for telling us how Agriculture goes about putting the schedules to work? We will now hear from Mr. Humphrey about GAO's interest in general records schedules.

Mr. Allen H. Humphrey

Mr. Chairman, Guests and Members of IRAC:

Dr. Campbell invited me to participate in today's meeting of IRAC by discussing with you the interest of the General Accounting Office in General Records Schedules. I think that we can best express the interests of the General Accounting Office in the application of General Records Schedules by the various departments and agencies of the Government by attempting to answer some questions which have been raised by representatives of the various agencies. That is what I am going to attempt to do today. At the end of my discussion I'll be glad to try to answer any other questions which you may have.

We have been asked on numerous occasions over a period of years the question--why does the General Accounting Office want to approve the use of General Records Schedules by each agency when it has already approved the provisions of the schedules prior to their issuance?

At the time the first Records Schedules were designed by the National Archives, the General Accounting Office had very little experience with respect to the disposal of the fiscal records of the various agencies which might be needed in the audit and settlement of accounts, the settlement of claims and demands by or against the United States, or in making investigations. At that time General Records Schedules were designed on an individual item basis; that is by form number or title of the records, rather than on the present functional or classification basis. Because of the growth of the Government and the vast increases in expenditures due to World War II, many types of the work of the General Accounting Office were thrown considerably in arrears. Also at that time, there was no statute governing the time in which exceptions could be taken or accounts settled. In the light of these and other considerations, it was considered necessary that the General Accounting Office specifically approve the use of General Records Schedules by any agency desiring to do so. From a personal standpoint, it appears that in the light of the current condition of the operations of the Office, the complete revision of General Records Schedules, the experience that we have had with the disposal of fiscal

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records of agencies, and Public Law 72 establishing the time limitation on the settlement of accounts, that the specific approval of the General Accounting Office of the use of General Records Schedules by the various agencies may be changed. I believe that in the future we will probably concern ourselves more with the development and approval of the application of General Records Schedules rather than the specific approval of the application of General Records Schedules by agencies.

Another question that has been raised many times is what records are of interest to the General Accounting Office in connection with Section 9 of the Records Disposal Act of 1943?

At the risk of over simplifying the answer to this question, I believe that it may be stated this way — the General Accounting Office is interested in the disposal by any agency of any documents which relate directly to financial transactions. Necessarily, the answer that I give here to this question must be general in its terms. We would be happy to discuss with any agency specific classes of records which are under consideration for disposal.

A question of significance to all of us here today is how does the General Accounting Office want approval requested: (1) by submission of fiscal items only? (2) by submission of entire schedule covering an agency's records, with discretion left to General Accounting Office as to which items are of interest to it? or (3) by submission of entire schedule, with transmittal letter indicating items on which the agency wants General Accounting Office opinion?

I am very glad that this question has been raised. The General Accounting Office would like to have the agencies prepare schedules and lists which contain only those records which relate directly to fiscal transactions. It is our belief that the Records Officers of the agencies are well qualified to determine which of their records would fall within that category. However, if due to internal procedures the agencies would prefer to include items not of interest to the General Accounting Office, we would prefer that the transmittal letters indicate the items on the schedules or lists with respect to which the agencies wish the concurrence of the General Accounting Office. A third method, and the one which may be the easiest for the agencies to follow, would be to list all records on one schedule or list and to indicate thereon by a stamped "X" mark asterisk, or otherwise, those items on which the agencies wish General Accounting Office concurrence. Any one of these methods would help us tremendously and would, in turn, speed up our consideration of the schedules!

I imagine that many of the agencies would like to know how the clearance machinery works inside the General Accounting Office. The General Accounting Office has certain measures which it considers appropriate for general application in the retention of agency fiscal records. These measures are used in the consideration and review of schedules and lists of the agencies and necessarily vary slightly in their application to the records of different agencies. Thru the experience we have gained in

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working with the agencies in the retention and disposal of their fiscal records we are able to take certain calculated risks in the consideration of fiscal records for disposal. Standards applied in the review of agency schedules and lists are relatively elastic and are undergoing changes almost constantly. Due to many varying factors it is sometimes necessary for us to depart from standards previously used and to submit the agency schedules to one or more of the heads of the operating divisions of the Office for their consideration and advice.

The Records Officers of a few government agencies have inquired as to the meaning of General Accounting Office approval language to the effect that the schedule is approved provided records pertaining to unsettled claims and demands, pending litigation and incomplete investigations are not destroyed. Because of the nature of the records involved and the retention periods proposed, it is necessary in a very limited number of cases to provide in the General Accounting Office concurrence that precautions be taken to insure the preservation of essential records pertaining to outstanding exceptions, unsettled claims by or against the United States, incomplete investigations, pending litigation, or any matter involving a specific request made by the Comptroller General of the United States, until the involved transactions are completed. More specifically, this provision is used when an appraisal report does not accompany the request for consideration of the proposed schedule, where the records proposed for disposal are not too clearly described, and where it is more likely that the agency rather than the General Accounting Office would have knowledge of claims pending by or against the United States, or of incomplete investigations, etc.

We have received three or four very recent inquiries from agencies as to whether the auditors of the General Accounting Office are aware of General Records Schedules and their provisions. Some of the agencies believe that the auditors are unaware of the General Records Schedules and make retention recommendations to the agencies contrary to the provisions of the schedules.

When you consider the thousands of Federal statutes and regulations that are in effect in the Federal Government and the fact that these employees are accountants whose primary consideration is the accountability of public funds and not records officers whose consideration is the retention and disposal of public records or documents, I think you will agree that it would be unfair for anyone to expect that the accountants and auditors of the General Accounting Office be aware of all of the provisions of the General Records Schedules or those of the records schedules specially approved for application in any given agency.

With respect to the second part of this question, that the auditors appear unaware of General Records Schedules and make contrary retention or disposal recommendations to the agencies, a directive has been prepared and forwarded to all accountants and auditors of the General Accounting Office advising them to discontinue making recommendations with respect to the retention or disposal of fiscal documents, and also advising them of the placement of the responsibility by the Comptroller General of authorizing

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the disposal of fiscal records of agencies. This function has been placed in the Records Management and Services Branch, Office of Administrative Services, and the Comptroller General has delegated his authority with respect thereto to the chief of that branch and to the administrative officer.

On many occasions we have been asked the question"— Does the General Accounting Office encourage the elimination of memorandum copies of accounts, vouchers, and supporting papers or is it primarily an agency consideration?

The elimination of unnecessary memorandum copies of accounts, vouchers, schedules and other supporting papers is a matter which rests largely with the agency. However, the General Accounting Office does encourage the elimination of memorandum copies of such documents in all instances where it is possible. One of the goals of the site and comprehensive audit programs is the agency use of the original accounts current, vouchers, schedules and other related supporting documents, and contracts in place of the creation, use, and maintenance of duplicate sets of such records, evidence of which is set out in General Regulations No. 115, Revised.

In connection with the second part of this question, it must be understood that the site and comprehensive audit programs have not been extended to all agencies and bureaus of the Government, nor can they be in the very near future. It will be necessary to continue the provisions of General Records Schedule 6, especially item number 1, at least until all agencies and bureaus are under site or comprehensive audit, and thereafter, until the procedures of all agencies require only the creation and utilization of original accounts and related supporting documents.

With a slight flare toward facetiousness, to believe that people would do away entirely with copies of records would be to dream of Utopia.

I understand that one of the members of the Steering Committee recently received a question as to how an agency could draw the line between the fiscal documents which are retained at the site for audit by the General Accounting Office and agency administration records related to accounts.

It is stated that this question frequently arises in applying General Records Schedule No. 6. The fiscal documents of the General Accounting Office which are retained at the site for audit is best described in Section 117 (b) of the Budget and Accounting Procedures Act of 1950 and in Paragraph 7 of General Regulations No. 115, Revised. At the risk of brevity, it may be said that they are the originals of the accountable officers accounts current, vouchers, schedules and other related supporting documents and contracts which are required under existing law to be submitted to the General Accounting Office. There should be very little confusion in drawing the line between these classes of fiscal documents and the agencies administrative fiscal records. In any cases wherein confusion may arise we would be very glad to render whatever assistance is necessary.

A question of interest to the General Services Administration was received by the Chief of one of the Federal Records Centers as to how

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he would know when to destroy disbursing records in the light of his instructions which are "destroy when accounts are settled by the General Accounting Office."

I do not fully understand this question, mainly because I am not aware of any specific instances of the use of such a standard nor the reasons prompting such an early transfer of fiscal records to a Federal Records Center. However, I will attempt to answer the question this way. It is presumed that it is directed to the fiscal records of agencies such as those described in General Records Schedule 6, which have been transferred to Federal Records Centers and not the original accounts, vouchers, and related supporting papers, and contracts of the General Accounting Office which were retained at the site for audit. It is also presumed that the General Accounting Office has approved retention standards for the records involved.

General Services Administration Regulation 3-IV-302406 provides that "No records of a Federal agency still in existence are to be disposed of by a Federal Records Center except with the concurrence of the agency concerned." It is the policy of the General Accounting Office to send a copy of the certificate of settlement of a disbursing officer's account to the agency when the audit and settlement of his account has been completed. Under normal procedures these settlements are made on a 12 month basis unless something intervenes to require settlement for a shorter period, such as the closing of the account. In order that the Federal Records Centers may dispose of the administrative fiscal records of agencies when accounts have been settled by the General Accounting Office, it seems that it is incumbent on the agencies to advise the Federal Records Centers of the receipt of a certificate of settlement of account giving the periods involved therein.

Mr. Arthur E. Young

Thank you very much Al. At this time we will have the question period.

Dr. Edward G. Campbell

I will first read and then try to answer these.

Is Item 7, Schedule 4 applicable only to real estate or is real property more inclusive? I just took a quick look and the wording we use is real property. We mean the more inclusive term covering both the land and the building.

Second, what is the legal authority making the application of schedules permissive? The Disposal Act of 1943 says that General Schedules are permissive. Section 6 is the specific section.

Why does the Federal Records Center accept records from various agencies when they are disposable under general schedule within a year or less?

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Mr. Aldredge could answer that better than I, but I would presume it is because in a given case equipment may be needed right away and not a year from now, or because of some other similar reason.

Why are disposable records in the National Archives not covered by general schedules? It has always been the policy of the Archivist not to apply general schedules to records in the Archives. Little would be gained anyway, because it's just as easy to go to the agency and ask approval of a disposal list as it is to ask them for authority to apply the general schedule.

To what extent does the records officer accept, in operating offices, statements that files are working files to be retained or disposed of at pleasure? That question gets beyond the general schedules. I won't try to answer it right now.

Has the June 30 deadline inadvertently held up the application of general schedules and authorizations usually scheduled in regional offices? I don't know. I don't know whether they have held up disposal or not. It would depend, I should imagine, what regional office and what agency is concerned.

What date will the schedule revisions be issued? Will they be issued on the same date each year? Unless it is pure accident, they will not be issued on the same date each year. The date they will be issued will probably be shortly after Congress adjourns when there is no chance of more amendments being made that year.

Does GSA have any interest as to whether an agency's schedule is mandatory or not? Under the Federal Records Act and the Disposal Act, agency schedules are mandatory. General schedules are not. There is no question of whether GSA has an interest. There are provisions in the GSA Regulations for agencies to request authorization to keep records longer than provided in a schedule. Otherwise under law schedules are mandatory.

A number of agencies feel it necessary to redo the general schedules in more detail for internal distribution in their agencies. Is there any way this considerable task can be made unnecessary? There probably is some way, but we haven't found it. Thank you.

Mr. Allen N. Humphrey

"Please give the number and the date of directive issued to GAO's site auditors asking that they not request changes in general schedules?" That's not quite the same thing that I was talking about I'm afraid, but here's the proposition. We issued the directive as an internal one. A copy of it went to each auditor and accountant who is engaged in the comprehensive audit program of the General Accounting Office. The date was, guessing a little, the middle of March 1954.

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Why is it necessary to obtain GAO approval of the transfer of records retained at the site for audit to Federal Records Centers?" That's always a good question. Under the site or comprehensive audit programs, the various regional offices of the General Accounting Office, of course, have to do their segment of the audit of a particular agency or bureau within their region. After they have completed their portion of the audit, their reports and working papers are sent to Washington. I'm not familiar with all the intermediate procedures but all the reports and papers are combined into one report which is, in final, submitted to the agency and the Congress. Until the time that the office is satisfied that the audit for a particular bureau, activity, installation, or agency is completed, the office has no way of knowing whether it has a further need for the records and, necessarily, whether they may be transferred from the audit site. It follows then that no transfer of fiscal records may be made until the notification of completion of audit has been issued and the GAO has specifically authorized the transfer.

"What is the retention period for original accountable officers accounts audited at the site?" As far as the accounts, vouchers, schedules, and supporting papers are concerned--those papers which are transferred to Federal Records Centers--the retention period is 12 years. Some papers are retained a shorter time, and of course some papers a little longer. Generally 12 years.

"Why should all bills of lading and freight vouchers be retained indefinitely when only certain land grant cases are involved?" Generally speaking, disposal of all bills of lading and freight vouchers, including all supporting documents has been suspended in the General Records Schedules. In the reaudit program it was found necessary to suspend this disposal of such records because we had to go back and reaudit the World War II period. Now then, as I understand it, the World War II period doesn't concern only land grant. The carriers have 10 years to file a claim from the date that the GAO takes an exception against a payment under this program--the same as any other claimant. So it appears that we will have to continue this suspension of disposal until the conclusion of the reaudit program. Once we get over the hump of the reaudit program, I believe that we will be able to shorten the periods.

Mr. Arthur E. Young

I want to thank the audience for the fine questions submitted this morning, and each member of the panel for participating so fully in this very interesting discussion.

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**The National Archives**

Washington 25, D. C.

CIRCULAR LETTER No. 46-1

March 13, 1946

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 1 for the Disposal of  
Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 1 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with personnel records.

Disposal of the records described in this schedule has been authorized (H. Rept. 1596, 79th Cong., 2d sess.) under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected.

The attached schedule refers only to record copies of documents. It is realized that many agencies do not file some of the papers of the forms or characters specified in the schedule and maintain them as record material. It is not the intent of this schedule to impart record character to documents previously defined by your agency as nonrecord material. It should also be noted that the schedule applies to record copies wherever filed in the agency. Item No. 2, for example, refers not only to duplicates of papers filed in the principal individual personnel folder that may be in the folder itself but also to duplicates that may be filed elsewhere in your agency. Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency.

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The exclusion in item 18 of copies of absence and time reports filed in agency fiscal offices is intended to cover those copies that support pay roll vouchers, which are filed in the fiscal offices of most agencies. Documents that support pay roll vouchers in whatever offices they are filed, however, may not be disposed of before completion of audit of the related accounts except by permission of the Comptroller General, under the terms of Section 9 of the Disposal Act of July 7, 1943, cited above.

Insofar as the attached schedule is applicable to any records of your agency it will not hereafter be necessary to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule. Any schedules previously approved for individual agencies remain in effect even though their retention periods vary from those on this General Schedule.

Additional copies of the attached schedule or information concerning its application may be obtained from the records division of the National Archives having liaison with your agency or from the Records Appraisal Officer of the National Archives (telephone: National Archives, Extension 347).



Archivist of the United States

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 1

Page No. 1

Item No.	Title and Description Kinds of Copies	Period of time to be retained
	<p>APPLICABILITY OF THIS SCHEDULE: This schedule applies to all record copies of the kinds specified in all agencies of the Government except the Civil Service Commission. With respect to the Civil Service Commission, it applies only to record copies in the Division of Personnel relating to employees of the Civil Service Commission.</p> <p>TYPE OF RECORDS INCLUDED: Personnel records.</p>	
1.	Unsuccessful applications for employment, and all supporting papers and correspondence relating thereto, EXCLUDING records relating to appointments requiring Senatorial confirmations. All record copies.	1 year
2.	Duplicates of papers filed in principal personal history folder. Duplicate record copies.	3 months
3.	Applications for leave (annual, sick, and other) and all supporting papers. All record copies.	1 year
4.	Leave record cards or any summarization of leave taken by or owed to an employee. All record copies.	3 years after separation of employee
5.	Efficiency rating reports (Standard Form 51 or equivalent). All record copies EXCLUDING the final report prepared on each separated employee.	5 years
6.	Lists of efficiency ratings (Standard Form 52 or equivalent). All record copies.	2 years
7.	Notice of efficiency rating. All record copies.	1 year
8.	Correspondence concerning personal credit. All record copies.	5 years or until separation of employee
9.	Letters and telegrams offering appointments. All record copies.	6 months
10.	Welcoming letters. All record copies.	3 months
11.	Letters of introductions. All record copies.	3 months

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 1

Page No. 2

Item No.	Title and Description	Period of time to be retained
	Kinds of Copies	
12.	Forms, memoranda, or other documents that request the assignment of personnel not specifically named or not at the time of submission employed by the agency and that have been withdrawn, disapproved, or not acted on. All record copies.	1 year
13.	Forms, memoranda, or other documents that propose appointments, transfers, reclassifications, promotions, demotions, separations, or other personnel actions affecting individually named employees (commonly referred to as "personnel action papers") and that have been withdrawn, disapproved, or not acted on. All record copies.	Until separation of employee named
14.	Papers submitted in examinations given by individual agencies to determine the suitability of employees for promotion or reassignment. All record copies.	1 year
15.	Statistical work reports on interviews, separations, and other personnel actions. All record copies.	18 months or until annual or summary report prepared
16.	Lists of names for and papers relating to changes in employee and telephone directories. All record copies.	6 months
17.	Reports of tardiness. All record copies.	18 months
18.	Daily, weekly, semi-monthly, and monthly reports of absences and time, EXCLUDING Standard Form 72 and 72a — Time and Attendance Report. All record copies EXCEPT record copies in agency fiscal offices.	18 months

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**The National Archives**

Washington 25, D. C.

**CIRCULAR LETTER No. 46-2**

March 13, 1946

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 2 for the Disposal of  
Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 2 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with deferment records.

Disposal of the records described in this schedule has been authorized (H. Rept. 1596, 79th Cong., 2d sess.) under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected.

The attached schedule refers only to record copies of documents. Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency.

Insofar as the attached schedule is applicable to any records of your agency it will not hereafter be necessary to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule. Any schedules previously approved for individual agencies remain in effect even though their retention periods vary from those on this General Schedule.

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Additional copies of the attached schedule or information concerning its application may be obtained from the records division of the National Archives having liaison with your agency or from the Records Appraisal Officer of the National Archives (telephone: . National Archives; Extension 347).

*Solon J. Buck*

Archivist of the United States

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 2

Page No. 1

Item No.	Title and Description Kinds of Copies	Period of time to be retained
	<p>APPLICABILITY OF THIS SCHEDULE: This schedule applies to record copies in all agencies of the Government except the Selective Service System and the Congress of the United States, and it does not apply to records created by the Review Committee on Deferment of Government Employees or its predecessors that have been maintained in the War Manpower Commission or its successors or in the custody of the Archivist of the United States.</p> <p>TYPE OF RECORDS INCLUDED: Deferment records.</p>	
1.	Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WAC Form 27 or equivalent). All record copies.	6 months
2.	Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers. All record copies.	6 months
3.	Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers. All record copies.	6 months
4.	Correspondence between individual agencies and the Review Committee on Deferment of Government employees and its predecessors. All record copies.	6 months
5.	Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions." All record copies.	6 months
6.	Reports made within an agency by individual employees on their Selective Service status. All record copies.	6 months

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**The National Archives**

Washington 25, D. C.

CIRCULAR LETTER No. 46-4

May 23, 1946

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 3 for the Disposal of  
Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 3 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with records of informational services and relations with the public.

Disposal of the records described in this schedule has been authorized (H. Repts 2052, 79th Cong., 2d sess.) under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected.

The attached schedule refers only to record copies of documents. It is realized that many agencies do not file some of the papers of the forms or characters specified in the schedule and maintain them as record material. It is not the intention of this schedule to impart record character to documents previously defined by your agency as nonrecord material. It should also be noted that the schedule applies to record copies wherever filed in the agency. Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency.

Insofar as the attached schedule is applicable to any records of your agency, it will not hereafter be necessary for your agency to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule.

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Additional copies of the attached schedule or information concerning its application may be obtained from the records division of the National Archives having liaison with your agency or from the Records Appraisal Officer of the National Archives (telephone National Archives, Extension 347).

*Solon J. Buck*

Archivist of the United States

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 3

Page No. 1

Item No.	Title and Description King 88 Copies	Period of time to be retained
	<b>APPLICABILITY OF THIS SCHEDULE:</b> This schedule applies to record copies in all agencies of the Government.	
	<b>TYPE OF RECORDS INCLUDED:</b> Informational Services and Relations with the Public.	
1.	Mailing lists. All record copies.	Until superseded or obsolete
2.	Correspondence, request forms, and other records relating to changes in mailing lists. All record copies.	3 months or until changes made in mailing lists
3.	Requests for publications and photographs (including applications and requests made by form and by letter) and acknowledgments and replies to them. All record copies.	3 months
4.	Acknowledgments of inquiries and requests that have been referred to other Government agencies for reply. All record copies.	3 months
5.	Letters referring inquiries and requests to other Government agencies for reply. All record copies.	3 months
6.	Requests for information and replies thereto involving no administrative action, no policy decisions, and no special compilations or research for reply, including requests for information and inquiries to which replies are made by printed or duplicated material. All record copies.	3 months
7.	Anonymous letters and letters of commendation, complaint, criticism, and suggestion and replies to them EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records. All record copies.	3 months

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**The National Archives**

Washington 25, D. C.

CIRCULAR LETTER No. 47-1

August 7, 1946

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 4 for the Disposal of  
Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 4 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with mail and postal records.

Disposal of the records described in this schedule was authorized by Congress July 23, 1946 (H. Rept. 2637, 79th Cong., 2d sess.), under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected.

The attached schedule refers only to record copies of documents. It should also be noted that the schedule applies to record copies wherever filed in your agency. Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency.

Insofar as the attached schedule is applicable to any records of your agency it will not hereafter be necessary to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule. Disposal authorizations obtained by an individual agency in previously approved schedules remain in effect even though the approved retention periods may be shorter than those in this General Schedule.

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Additional copies of the attached schedule or information concerning its application may be obtained from the records division of the National Archives having liaison with your agency or from the Records Appraisal Officer of the National Archives (telephone: National Archives, extension 347):

*Solon J. Buck*

Archivist of the United States

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 4

Page No. 1

Item No.	Title and Description Kind of Copies <sup>b</sup>	Period of time to be retained
	<b>APPLICABILITY OF THIS SCHEDULE:</b> This schedule applies to record copies in all agencies of the Government EXCEPT the Post Office Department and the Postal Service.	
	<b>TYPE OF RECORDS INCLUDED:</b> Mail and Postal Records:	
1.	Record of receipt and routing of incoming mail other than registered, insured, and parcel post mail. All copies.	6 months
2.	Record of official penalty mail sent. All copies.	2 years
3.	Statistical reports of postage used on outgoing mail (air-mail, special delivery, registered, foreign, and over 4 pounds). All copies.	6 months
4.	Requisition for stamps. All copies EXCLUDING copies used as supporting documents to payment vouchers.	6 months
5.	Statement of mailing of cancelled or metered matter (P.O. Form 3602A or equivalent). All copies.	1 year
6.	Production reports of mail handled and work performed with compilations derived therefrom. All copies.	6 months
7.	Daily record of incoming and outgoing registered, insured, and special delivery mail, parcel post, express, telegrams, and radiograms. All copies.	1 year
8.	Record of received or dispatched registered mail pouch (P.O. Forms 3851, 3852, 3853; 3854, or equivalent). All copies.	1 year
9.	Application for postal registration and certificate of declared value of matter subject to postal surcharge (P.O. Forms 3877, 3881, 3882, or equivalent). All copies	1 year
10.	Receipt for incoming registered and insured mail (P.O. Forms 3883, 3883A, or equivalent). All copies.	1 year
11.	Record of incoming and outgoing registered and insured mail (P.O. Forms 3877a, 3881-A, 3882-A, or equivalent). All copies.	1 year
12.	Return receipts for registered, insured; and special delivery mail: All copies.	1 year

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GENERAL SCHEDULE FOR DISPOSAL OF RECORDS  
OF THE UNITED STATES GOVERNMENT COMMON  
TO SEVERAL OR ALL AGENCIES

Schedule No. 4

Page No. 2

Item No.	Title and Description Kind of Copies	Period of time to be retained
13.	Report of the loss, riflings delay, wrong delivery, or other improper treatment of mail matter (P.O. Form 1510 or equivalent). All copies.	1 year
14.	Record of remittances (checks, cash, and money orders) and other enclosures received through agency's mail room in incoming mails. All copies.	1 year
15.	Record of mail and packages sent to other Government agencies through Official Mail and Messenger Service. All copies.	6 months
16.	Receipts for mail and packages sent through Official Mail and Messenger Service. All copies.	6 months

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**The National Archives**

Washington 25, D. C.

CIRCULAR LETTER No. 47-2

August 7, 1946

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 5 for the Disposal of Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 5 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with fiscal and accounting records.

Disposal of the records described in this schedule was authorized by Congress July 23, 1946 (H. Rept. 2637, 79th Cong., 2d sessr), under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380); as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

This schedule is issued with the concurrence of the Comptroller General of the United States. It will be necessary, however, for each agency to obtain the written approval of the Comptroller General before destroying records relating to claims, demands, and accounts that have not been settled and adjusted in the General Accounting Office, as required by Section 9 of the Disposal Act of July 7, 1943, cited above.

The preservation by each agency of a minimum core of its "housekeeping" records is necessary in order to reflect the major facilitating operations of the organization and to help in the interpretation of other records representing its main functions. For this reason, certain basic fiscal and accounting records have not been included in this general schedule: these are (a) general ledgers and appropriation and allotment ledgers, and (b) records and registers of original entry.

Insofar as the attached schedule is applicable to any records of your agency it will not hereafter be necessary to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule.

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Disposal authorizations obtained by an individual agency in previously approved schedules remain in effect even though the approved retention periods may be different from those in this General Schedule.

Most agencies keep several copies of many kinds of fiscal and accounting documents. There will generally be a main set of record copies, usually kept in a central fiscal office. There will also usually be duplicate record copies kept in other offices. And there may be still other copies not kept as records at all but only for convenience of reference. This schedule applies only to copies kept as records; copies not kept as records may be disposed of whenever the agency sees fit. The retention periods specified in this schedule are those believed to be proper as minimum retention periods for the main set of record copies of each class of document. If your agency has other duplicate sets of record copies, it may wish to dispose of them after a shorter period. Authority to do so may be obtained by submitting to the National Archives a separate disposal schedule for the duplicate record copies.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected.

Additional copies of the attached schedule or information concerning its application may be obtained from the records division of the National Archives having liaison with your agency or from the Records Appraisal Officer of the National Archives (telephone: National Archives, extension 347).



Archivist of the United States

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 1

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
	<p>APPLICABILITY OF THIS SCHEDULE: This schedule applies to record copies in all agencies of the Government EXCEPT copies submitted to the General Accounting Office in support of accounts, claims, and other fiscal and accounting transactions and, where indicated, copies retained in the affected subdivision of the Treasury Department or other Government agency.</p> <p>TYPE OF RECORDS INCLUDED: Fiscal and accounting records.</p>	
1.	Stand. Form 1, Requisition for Printing and Binding and all supporting papers. All record copies EXCLUDING retained copies in the Government Printing Office.	2 years
2.	Treas. Form 1, Certificate of Deposit. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
3.	Treas. Form 1, Purchase Authority. All record copies EXCLUDING retained copies in the Procurement Division, Treasury Department.	3 years
4.	Stand. Form 2, Standard Form for Government Lease. All record copies.	3 years after expiration of lease
5.	Treas. Form W-2, Withholding Receipt. All record copies EXCLUDING copies filed with the Bureau of Internal Revenue, Treasury Department.	1 year
6.	Treas. Form A-4, Voucher Distribution Slip. All record copies.	2 years
7.	Treas. Form A-5, Notice of Miscellaneous Encumbrance and/or Obligation. All record copies.	2 years
8.	Treas. Form A-5-a, Encumbrance Cancellation. All record copies.	2 years
9.	Treas. Form 8DD, Schedules of Valuables Shipped. All record copies.	18 months
10.	Stand. Form 9, Report of Shipments. All record copies.	3 years
11.	Treas. Form 9DD, Schedules of Valuables Shipped. All record copies.	18 months

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON- TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 2

Item No.	Title and Description Kind of Copies	Period of time to be retained
12.	Stand. Form 10, Request for Routing. All record copies	1 year
13.	Treas Form 10DD, Consolidated Report of Shipment of Valuables. All record copies.	18 months
14.	Stand. Form 18; Transportation Request Register, Series __. All record copies	1 year
15.	Stand. Form 20, Standard Government Form of Invitation for Bids (Construction Contract) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	2 years
16.	Stand. Form 21, Bid (Construction Contract) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
17.	Stand. Form 22, Instruction to Bidders (Construction and Supplies) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
18.	Stand. Form 23; Standard Government Form of Contract (Construction) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
19.	Stand. Form 24; Standard Government Form of Bid Bond (Construction and Supply). All record copies.	3 years after settlement of contract
20.	Stand. Form 25; Standard Government Form of Performance Bond (Construction or Supplies). All record copies.	3 years after settlement of contract

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 3

Item No.	Title and Description Kind of Copies	Period of time to be retained
21.	Stand. Form 25A, Payment Bond (Construction). All record copies.	3 years after settlement of contract
22.	Stand. Form 25B, Performance Bond (and continuations). All record copies.	3 years after settlement of contract
23.	Stand. Form 25C, Payment Bond (and continuation). All record copies.	3 years after settlement of contract
24.	Stand. Form 26, Driver's Report - Accident (Motor Transportation). All record copies.	3 years
25.	Stand. Form 27, Investigating Officer's Report - Accident (Motor Transportation). All record copies.	3 years
26.	Stand. Form 28, Claim for Damages - Accident (Motor Transportation). All record copies.	3 years
27.	Stand. Form 30, Invitation for Bids (Supply Contract) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
28.	Stand. Form 31, Bid (Supply Contract) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
29.	Stand. Form 32, Contract (Supplies) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
30.	Stand. Form 33, Invitation, Bid, and Acceptance and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of	3 years after settlement of contract

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 4

Item No.	Title and Description Kind of Copies	Period of time to be retained
	1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	
31.	Stand. Form 34, Annual Bid Bond (Supplies). All record copies.	3 years after settlement of contract
32.	Stand. Form 35, Annual Performance Bond (Supplies). All record copies.	3 years after settlement of contract
33.	Stand. Form 36, Continuation Schedule for Standard Form 31 or 33 (Supplies) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
34.	Stand. Form 40, Contract for Telephone Service. All record copies.	3 years after settlement of contract
35.	GAO Form 40, Notice of Settlement of Claims. All record copies.	5 years
36.	Stand. Form 41, Contract (Coal) and all papers properly filed therewith. All record copies EXCLUDING records relating to terminated or cancelled war contracts as defined by the Contract Settlement Act of 1944 and regulations issued thereunder and records relating to contracts of more than \$25,000.	3 years after settlement of contract
37.	Stand. Form 44, Motor Fuels Tax Exemption Certificate. All record copies.	1 year
38.	Stand. Form 45, Motor Fuels Tax Exemption Identification Card. All record copies.	1 year after called in
39.	GAO Form 143, Certificate of Settlement of Disbursing Officer's Accounts. All record copies EXCLUDING retained copies in the Division of Disbursement, Bureau of Accounts, Treasury Department.	2 years
40.	Treas. Form 523, Appropriation Warrant. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department	3 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 5

Item No.	Title and Description Kind of Copies	Period of time to be retained
41.	Treas. Form 523, Surplus Fund Warrant. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
42.	Treas. Form 523, (Restore) Warrant. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
43.	Treas. Form 526, Transfer Appropriation Warrant. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
44.	Treas. Form 601, Departmental Deposit List. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
45.	Treas. Form 607b, Transfer and Counter Warrant. All record copies EXCLUDING retained copies in the Division of Bookkeeping and Warrants, Bureau of Accounts, Treasury Department.	3 years
46.	Stand. Form 1003, Schedule of Disbursements. All record copies.	5 years
47.	Stand. Form 1004, Register of Audited Vouchers. All record copies.	5 years
48.	Stand. Form 1004a, Register of Audited Vouchers. All record copies.	5 years
49.	Stand. Form 1005, Register of _____ (insert sheets). All record copies.	5 years
50.	Stand. Form 1006, Register of _____ (item column; first sheet). All record copies.	5 years
51.	Stand. Form 1007, Register of Disbursements and Disbursing Officers' Advances. All record copies.	5 years
52.	Stand. Form 1008, Register of Receipts. All record copies.	5 years
53.	Stand. Form 1009, Register of Deposits of Collections and Unexpended Balances. All record copies.	5 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 6

Item No.	Title and Description Kind of Copies	Period of time to be retained
54.	Stand. Form 1010, Register of Sales and Available Resources. All record copies.	5 years
55.	Stand. Form 1011, Expense (Distribution) Ledger. All record copies.	5 years
56.	Stand. Form 1011A, Expense (Distribution) Ledger. All record copies.	5 years
57.	Stand. Form 1012a, Voucher for Per Diem and/or Reimbursement of Expenses Incident to Official Travel (memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
58.	Stand. Form 1012c, Voucher for Per Diem and/or Reimbursement of Expenses Incident to Official Travel (confirmation sheet of memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
59.	Stand. Form 1012d, Receipt for Cash - Subvoucher. All record copies.	5 years
60.	Stand. Form 1012e, Statement of Travel by Motor Vehicle. All record copies.	5 years
61.	Stand. Form 1013b, Pay Roll for Personal Services (Employees on Annual Salary Basis)(memorandum, brief on back) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
62.	Stand. Form 1013c, Pay Roll for Personal Services (Employees on Annual Salary Basis)(first and follow sheet of memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
63.	Stand. Form 1013e, Pay Roll for Personal Services - Short Form (memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
64.	Stand. Form 1014-H, Disbursing Officer Ledger (ruled) All record copies.	5 years
65.	Stand. Form 1016, Expense Distribution Ledger. All record copies.	5 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 7

Item No.	Title and Description Kind of Copies	Period of time to be retained
66.	Stand; Form 1016, Expense Distribution Ledger (yellow - copy). All record copies.	5 years
67.	Stand. Form 1016, Distribution Ledger (ruled). All record copies.	5 years
68.	Stand. Form 1016-A, Distribution Ledger (unruled). All record copies.	5 years
69.	Stand. Form 1016-W, Expense Distribution Ledger (unruled). All record copies.	5 years
70.	Stand. Form 1016-Y, Expense Distribution Ledger (unruled - yellow copy). All record copies.	5 years
71.	Stand. Form 1017, Register of _____ (for general ledger transactions)(unruled). All record copies.	5 years
72.	Stand. Form 1017-A, Register of Allotment Ledger Transactions (unruled). All record copies.	5 years
73.	Stand. Form 1017-B, Register of _____ (for general ledger transactions)(unruled). All record copies.	5 years
74.	Stand. Form 1017-C, Register of Allotment Ledger Transactions. All record copies.	5 years
75.	Stand. Form 1017-E, Register of Obligations Incurred (unruled). All record copies.	5 years
76.	Stand. Form 1017-F, Distribution Ledger (unruled). All record copies.	5 years
77.	Stand. Form 1017-G, Journal Voucher (unruled). All record copies.	5 years
78.	Stand. Form 1018, Special Salary Payment. All record copies.	5 years
79.	Stand; Form 1019, Account Current. All record copies EXCLUDING retained copies in the Division of Disbursement, Bureau of Accounts, Treasury Department.	1 year
80.	Stand. Form 1019b, Account Current - Memorandum Sheet (unruled - yellow). All record copies.	1 year

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GENERAL SCHEDULE FOR DISPOSAL OF RECORDS  
OF THE UNITED STATES GOVERNMENT COMMON  
TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 8

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
81.	Stand. Form 1020, Account Current (line distribution - small)(ruled). All record copies.	1 year
82.	Stand. Form 1021, Account Current (columnar distribution - 2 columns)(ruled). All record copies.	1 year
83.	Stand. Form 1022, Account Current (columnar distribution - 8 columns)(ruled). All record copies.	1 year
84.	Stand. Form 1023, Voucher Distribution Card. All record copies.	3 years
85.	Stand. Form 1024, Schedule of Disbursements. All record copies.	5 years
86.	Stand. Form 1025, Schedule of Disbursements. All record copies.	5 years
87.	Stand. Form 1026, Schedule of Collections. All record copies.	5 years
88.	Stand. Form 1027, Requisition for Disbursing Funds. All record copies.	6 months
89.	Stand. Form 1028, Government Requests for Transportation (cover). All record copies.	2 years
90.	Stand. Form 1029, No Title (tabulation sheet for Stand. Form 1030 and 1031). All record copies.	2 years
91.	Stand. Form 1031, Government Request for Transportation (memorandum - white). All record copies.	2 years
92.	Stand. Form 1032, Schedule of Disbursements (unruled, accounting machine form, double). All record copies.	5 years
93.	Stand. Form 1033, U. S. Government Transportation Identification Card (blue). All record copies.	1 year after called in
94.	Stand. Form 1034a, Public Voucher for Purchases and Services other than Personal (memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years

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GENERAL SCHEDULE FOR DISPOSAL OF RECORDS  
OF THE UNITED STATES GOVERNMENT COMMON  
TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 9

Item No.	Title and Description Kind of Copies	Period of time to be retained
95.	Stand. Form 1035a, Public Voucher for Purchases and Services other than Personal (continuation sheet - memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
96.	Stand. Form 1036, Statement and Certificate of Award. All record copies.	Until contract or purchase order is disposed of
97.	Stand. Form 1038, Application for Advance of Funds (for travel expenses). All record copies.	2 years
98.	Stand. Form 1038a, Application for Advance of Funds (Retirement Deduction). All record copies.	2 years
99.	Stand. Form 1039, Statement of Advance of Funds for Travel Expenses. All record copies.	2 years
100.	Stand. Form 1040, Receipt for Cash Payment of Salary. All record copies.	5 years
101.	Stand. Form 1043, Notice of Collection of Amounts Suspended or Allowed. All record copies.	5 years
102.	Stand. Form 1044, Schedule of Collections. All record copies.	5 years
103.	Stand. Form 1045, Summary of Collections. All record copies.	5 years
104.	Stand. Form 1046, Schedule of Transfers - Special Deposits. All record copies.	5 years
105.	Stand. Form 1048, Public Voucher for Refunds (memorandum - yellow) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
106.	Stand. Form 1050, Public Voucher for Refunds (memorandum - yellow)(tabular form) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
107.	Stand. Form 1051, Flight Certificate and Schedule (officers and enlisted men). All record copies.	3 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 10

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
108.	Stand. Form 1051A, Flight Certificate (enlisted men). All record copies.	3 years
109.	Stand. Form 1052, Statement of Advertising Rates. All record copies EXCLUDING retained copies in the Procurement Division, Treasury Department.	5 years
110.	Stand. Form 1053, Advertising Order. All record copies.	5 years
111.	Stand. Form 1054a, Public Voucher for Advertising and all accompanying papers that specifically support the expenditure. All record copies.	5 years
112.	Stand. Form 1057a, Pay Voucher for Six Month's Death Gratuity Pay (memorandum - yellow) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
113.	Stand. Form 1058a, Government Bill of Lading (memorandum copy)(yellow) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
114.	Stand. Form 1059, Government Bill of Lading (shipping order - salmon). All record copies.	5 years
115.	Stand. Form 1060, Temporary Receipt (for property, original B/L lost). All record copies.	1 year
116.	Stand. Form 1061, Certificate in Lieu of Lost Bill of Lading. All record copies.	5 years
117.	Stand. Form 1062, Government Bill of Lading - Extra Sheet (extra or continuation sheet for Stand. Forms 1058, 1059, 1060, and 1061). All record copies.	5 years
118.	Stand. Form 1062a, Government Bill of Lading - Extra Sheet (for Stand. Form 1058a). All record copies.	5 years
119.	Stand. Form 1062b, Government Bill of Lading - Extra Sheet (for Stand. Form 1059). All record copies.	5 years
120.	Stand. Form 1063, Collecting and Disbursing Officer's or Agent's Report of No Transactions. All record copies.	1 year
121.	Stand. Form 1064, Schedule of Disbursements. All record copies.	5 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5

Page No. 11

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
122.	Stand. Form 1065, Summary Statement of Disbursements. All record copies.	5 years
123.	Stand. Form 1066, U. S. Government Motor Fuel Tax Exemption - Receipt. All record copies.	1 year
124.	Stand. Form 1067a, Public Voucher for Transportation of Passengers (memorandum - yellow) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
125.	Stand. Form 1067c, Public Voucher for Transportation of Passengers (first and follow sheet for Stand. Form 1067a - yellow); All record copies.	5 years
126.	Stand. Form 1068A, Public Voucher for Transportation of Freight or Express (memorandum) and all accompanying papers that specifically support the expenditures; All record copies.	5 years
127.	Stand. Form 1068C, Public Voucher for Transportation of Freight or Express (extra or continuation sheet for Stand. Form 1068A). All record copies.	5 years
128.	Stand. Form 1069a, Pay Voucher for Allowance for Living Quarters, Rent, Fuel, and Light (memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
129.	Stand. Form 1070, Schedule of Retirement and Disability Fund Credit. All record copies.	5 years
130.	Stand. Form 1071a, Mileage Voucher (memorandum) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
131.	Stand. Form 1072b, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditures; All record copies.	5 years
132.	Stand. Form 1072c, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	5 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 12

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
133 <del>s</del>	Stand. Form 1072e, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
134.	Stand. Form 1073b, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
135 <del>s</del>	Stand. Form 1073c, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
136.	Stand. Form 1073e, Pay Roll for Personal Services - Industrial (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	5 years
137.	Stand. Form 1074b, Pay Roll for Personal Services - Miscellaneous (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	3 years
138 <del>s</del>	Stand. Form 1074c, Pay Roll for Personal Services - Miscellaneous (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	3 years
139.	Stand. Form 1074e, Pay Roll for Personal Services - Miscellaneous (employees on per hour, day, week, month, or piecework basis) and all accompanying papers that specifically support the expenditure. All record copies.	3 years
140.	Stand. Form 1075, Pay Receipt for Cash Payment - Not Transferable (for per diem employees); All record copies.	3 years
141.	Stand. Form 1076, Special Per Diem, etc., Payment (Not Transferable)(subvoucher) and all accompanying papers that specifically support the expenditure. All record copies.	3 years
142 <del>s</del>	Stand. Form 1077, Schedule of Furlough and Compensation Deductions. All record copies.	5 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 13

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
143.	Stand. Form 1080a, Voucher for Adjustments between Appropriations and/or Funds (memorandum - yellow) and all accompanying papers that specifically support the adjustment. All record copies.	5 years
144.	Stand. Form 1080c, Voucher for Adjustments between Appropriations and/or Funds (memorandum of collection voucher - green) and all accompanying papers that specifically support the adjustment. All record copies.	5 years
145.	Stand. Form 1081, Schedule of Adjustments. All record copies.	5 years
146.	Stand. Form 1085, Public Voucher for Retirement Refunds and/or Estate Claims and all accompanying papers that specifically support the expenditure. All record copies.	3 years
147.	Stand. Form 1086, Schedule of Retirement Annuity Payments Authorized. All record copies.	3 years
148.	Stand. Form 1089, Schedule of Advances. All record copies.	1 year
149.	Stand. Form 1090, Telephone Service Statement. All record copies.	5 years
150.	Stand. Form 1091, Summary Statement of Telephone Service. All record copies.	5 years
151.	Stand. Form 1092, Summary Statement of Disbursements and Collections by Official Projects. All record copies.	3 years
152.	Stand. Form 1093, Schedule of Deductions from Payment to Contractor. All record copies.	5 years
153.	Stand. Form 1094, United States Government Tax Exemption Certificate. All record copies.	1 year
154.	Stand. Form 1094b, Tabulation Sheet (insert for Stand. Form 1094). All record copies.	1 year
155.	Stand. Form 1094c, U. S. Government Tax Exemption Identification Card. All record copies.	1 year after turned in
156.	Stand. Form 1095, Summary Statement of Disbursements and Collections by Appropriation Limitations. All record copies.	3 years

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 14

Item No.	Title and Description Kind of Copies	Period of time to be retained
157.	Stand. Form 1096, Schedule of Voucher Deductions. All record copies.	5 years
158.	Stand. Form 1097A, Adjustment Voucher to Effect Correction of Errors and all accompanying papers that specifically support the adjustment. All record copies.	5 years
159.	Stand. Form 1098, Schedule of Cancelled Checks. All record copies.	5 years
160.	Stand. Form 1099, Signature Card. All record copies.	3 years after card revoked
161.	Stand. Form 1100, Notice of Exceptions; Reply to Exceptions. All record copies.	1 year
162.	Stand. Form 1100A, Notice of Exceptions; Reply to Exceptions. All record copies.	1 year
163.	Stand. Form 1101, Miscellaneous Obligation Record. All record copies.	5 years
164.	Stand. Form 1103A, U.S. Government Bill of Lading and all accompanying papers that specifically support the expenditure. All record copies.	5 years
165.	Stand. Form 1107, Temporary Receipt in Lieu of Bill of Lading. All record copies.	5 years
166.	Stand. Form 1108a, Certificate in Lieu of Lost Bill of Lading. All record copies.	5 years
167.	Stand. Form 1109A, U. S. Government Bill of Lading (continuation sheet)(memorandum). All record copies.	5 years
168.	Stand. Form 1113A, Public Voucher for Transportation Charges and all accompanying papers that specifically support the expenditure. All record copies.	5 years
169.	Stand. Form 1114C, Collection Voucher and all accompanying papers that specifically support the collection. All record copies.	5 years



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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 5Page No. 15

Items No.s	Titles and Descriptions Kind of Copies	Period of time to be retained
170.	Stand. Form 1123A, Voucher for Payment of Allotment of Pay of Civilian Employees outside United States of America and all accompanying papers that specifically support the expenditure. All record copies.	5 years
171.	Stand. Form 1129a, Voucher for Petty Purchases and all accompanying papers that specifically support the expenditure. All record copies.	5 years
172a.	Treas. Form 1669, Request for Transfer of Funds to Regional Disbursing Office Accounts. All record copies.	6 months
173.	Treas. Form 1673, Schedule of Transfer to Regional Office Accounts. All record copies.	3 years
174.	Treas. Form 1674, Schedule of Treasury Deposits. All record copies.	5 years
175.	Treas. Form 1712, Request for Adjustment of Previous Incorrect Appropriations. All record copies.	5 years
176.	Treas. Form 1718, Tabulated Schedule of Notices of Exceptions. All record copies.	3 years
177.	Treas. Form 1723, Daily Summary of Collections. All record copies.	1 year
178.	Treas. Form 1737A, Bond Issuance Schedule. All record copies.	5 years
179.	GAO Form 2084, Notice of Exception. All record copies.	3 years
180.	GAO Form 2085, Reply to Exception. All record copies.	3 years
181.	GAO Form 2087, Statement of Differences. All record copies EXCLUDING retained copies in the Division of Disbursement, Bureau of Accounts, Treasury Department.	2 years
182.	GAO Form 2089, Schedule of Certificates of Settlement. All record copies.	3 years
183.	GAO Form 5022, Proof of Depository. All record copies.	1 year
184.	Treas. Form 6599, Certificate of Deposit. All record copies EXCLUDING retained copies in the Office of the Treasurer of the United States, Treasury Department.	1 year



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**The National Archives**

Washington 25, D. C.

CIRCULAR LETTER No. 47-3

May 26, 1947

To: All Government Agencies

SUBJECT: Issuance of Revision A of General Schedule No. 1 for the Disposal of Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 1 (Revision A) for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with personnel records. This revision has been prepared to correspond to regulations of the Civil Service Commission providing for one Official Personnel Folder for each Federal employee. It supersedes the original General Schedule No. 1 issued with Circular Letter No. 46-1, March 13, 1946. Copies of the superseded schedule should be cancelled or destroyed.

Disposal of the records described in this schedule has been authorized (H. Rept. 420, 80th Cong., 1st sess.) under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in the agencies indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

This revision of General Schedule No. 1 has been prepared primarily to facilitate compliance by agencies of the Government with the regulations of the Civil Service Commission with respect to standard personnel folders. These regulations, issued under authority vested in the Commission by Executive Order 9784, appear in their latest form in the Federal Personnel Manual, Chapter R1, 35-38. In particular the present revision of General Schedule No. 1 is intended to assist agencies in the prompt disposal, upon the transfer or separation of employees, of documents in standard personnel folders that have been defined as "temporary" by the regulations of the Civil Service Commission. "Transfer" means, as is set forth in the Official Personnel Folder regulations, transfer "to another agency, or to another organization within the same agency (if the Official Personnel Folder is maintained by a different office)." It should be observed that modification of the regulations by the Civil Service Commission in the future is possible, and that if further revision of this schedule is necessary it will be made.

(over)

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The exclusion in item 16 of "Time and Attendance Reports used as bases for pay rolls" is intended to cover reports subject to audit by the General Accounting Office, which are filed in the fiscal offices of most agencies. Documents that support pay roll vouchers, in whatever offices they are filed, however, may not be disposed of before completion of audit of the related accounts except by permission of the Comptroller General, under the terms of Section 9 of the Disposal Act of July 7, 1943, cited above.

The attached schedule refers only to record copies of documents. It is realized that many agencies do not file some of the papers of the forms or characters specified in the schedule and maintain them as record material. It is not the intent of this schedule to impart record character to documents previously defined by your agency as nonrecord material. It should also be noted that the schedule applies to record copies wherever filed in the agency. Item No. 2, for example, refers not only to duplicates of papers filed in the principal individual personnel folder that may be in the folder itself but also to duplicates that may be filed elsewhere in your agency. Documents or copies of documents that may have been kept in your agency merely for convenience of reference and not for purposes of record may be disposed of at the convenience of your agency.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected (12 FR 399).

Insofar as the attached schedule is applicable to any records of your agency it will not hereafter be necessary to submit a disposal list or schedule covering them in order to obtain authorization for their disposal after the lapse of the periods of time specified in the attached schedule. Any schedules previously approved for individual agencies remain in effect even though their retention periods vary from those on this General Schedule.

Additional copies of the attached schedule or information concerning its application may be obtained from the records office of the National Archives having liaison with your agency or from the Secretary's Office of the National Archives (telephone: National Archives; extension 347).



Archivist of the United States

# SUPERSEDED

# SUPERSEDED

## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 1 (Revision A)

Page No. 1

Item No.	Title and Description Kind of Copies	Period of time to be retained
	THIS SCHEDULE SUPERSEDES GENERAL SCHEDULE NO. 1 ISSUED MARCH 13, 1946	
	<p>APPLICABILITY OF THIS SCHEDULE: This schedule applies to all record copies of the kinds specified in all agencies of the Government except the Civil Service Commission and the Bureau of Employees' Compensation. With respect to the Civil Service Commission, it applies only to record copies in the Division of Personnel relating to employees of the Commission. With respect to the Bureau of Employees' Compensation, it applies only to record copies in the Personnel Section relating to employees of the Bureau. It does not apply to investigative records pertaining to the loyalty to the United States of any Federal employee or applicant for a Federal position.</p> <p>TYPE OF RECORDS INCLUDED: Personnel records.</p>	
1.	Unsuccessful applications for employment, and all supporting papers and correspondence relating thereto, EXCLUDING records relating to appointments requiring Senatorial confirmation and other appointments involving Presidential attention. All record copies.	1 year
2.	Duplicates of papers filed in official personnel folder. Duplicate record copies.	3 months
3.	Applications for leave (annual, sick, and other) and all supporting papers. All record copies.	1 year
4.	Leave record cards or any summarization of leave taken by or owed to an employee. All record copies.	3 years after separation of employee by transfer or by departure from Federal service
5.	Efficiency rating reports (Standard Form 51 or equivalent). All record copies EXCLUDING the latest official report prepared on each separated employee.	5 years
6.	Lists of efficiency ratings (Standard Form 52 or equivalent). All record copies.	2 years
7.	Notices of efficiency ratings. All record copies.	1 year
8.	Letters and telegrams offering appointments. All record copies.	6 months
9.	Welcoming letters. All record copies.	3 months

# SUPERSEDED

## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 1 (Revision A)

Page No. 2

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
10.	Letters of introduction. All record copies.	3 months
11.	Forms, memoranda, or other documents that request the assignment of personnel not specifically named or not at the time of submission employed by the agency and that have been withdrawn, disapproved, or not acted on. All record copies.	1 year
12.	Papers submitted in examinations given by individual agencies to determine the suitability of employees for promotion or reassignment. All record copies.	1 year
13a	Statistical work reports on interviews, separations, and other personnel actions. All record copies.	18 months or until annual or summary report prepared
14.	Lists of names for and papers relating to changes in employee and telephone directories. All record copies.	6 months
15.	Reports of tardiness. All record copies.	18 months
16.	Daily, weekly, semi-monthly, and monthly reports of absences and time, EXCLUDING Time and Attendance Reports used as bases for pay rolls. All record copies.	18 months
	TEMPORARY RECORDS LISTED IN OFFICIAL PERSONNEL FOLDER REGULATIONS PUBLISHED IN THE FEDERAL REGISTER, FEBRUARY 25, 1947 (12 FR 1335-1336). THIS SCHEDULE APPLIES TO THESE RECORDS WHETHER OR NOT THEY ARE FILED IN THE OFFICIAL PERSONNEL FOLDERS.	
17.	Requests for personnel action (may include forms, memoranda, or other documents that propose appointments, transfers, reclassifications, promotions, demotions, separations, or other personnel actions affecting individually named employees), EXCLUDING those used as the official appointing documents or containing the employee's resignation statement.	Until transfer of an employee to another agency; or to another organization within the same agency if the Official Personnel Folder is to be maintained by that other organization; OR until separation of the employee from Federal service

# SUPERSEDED

## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 1 (Revision A)

Page No. 3

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
18.	Requests for Civil Service Commission authority to effect personnel actions and notices of approval.	Same as Item 17
19.	Required records for employment of minors.	Same as Item 17
20.	Letters of release.	Same as Item 17
21.	Letters of reference and responses to inquiries concerning prospective employees.	Same as Item 17
22.	Conduct reports for pay increases (periodic).	Same as Item 17
23.	Advance notices of personnel actions such as demotion, pay increase, furlough, reduction in force, termination of appointment, and the like.	Same as Item 17
24.	Notices of proposed retirement.	Same as Item 17
25.	All personal debt correspondence.	5 years or same as Item 17, whichever is shorter
26.	Deferment and draft correspondence.	6 months or same as Item 17, whichever is shorter
27.	Miscellaneous correspondence contained in folders and not constituting permanent records as listed in 12 FR 1335-1336 and amendments thereto.	Same as Item 17
28.	Application for reemployment (after military service or war transfer leave without pay).	Same as Item 17
29.	Bureau of Employees' Compensation forms, EXCLUDING Form CA-1 (Employee's Notice of Injury and Original Claim for Compensation and Medical Treatment) or equivalent.	3 years or same as Item 17, whichever is shorter



**SUPERSEDED**

*Disposition 9*



The National Archives

Washington 25, D. C.

CIRCULAR LETTER No. 48-1

July 7, 1947

To: All Government Agencies

SUBJECT: Issuance of General Schedule No. 6 for the Disposal  
of Records Common to Several or All Agencies

There is attached to this circular letter a copy of General Schedule No. 6 for the disposal of records of the United States Government common to several or all agencies. This schedule has to do with bankruptcy records of United States courts of bankruptcy. Copies are transmitted to other Government agencies, however, for their information and to ~~keep complete their files of general schedules.~~

Disposal of the records described in this schedule was authorized by Congress June 30, 1947 (H. Repts 743, 80th Cong., 1st sess.), under the provisions of the act of Congress entitled "An Act to provide for the disposal of certain records of the United States Government," approved July 7, 1943 (57 Stat. 380), as amended by act of Congress approved July 6, 1945 (59 Stat. 434). The disposal authorization applies to records of the form or character specified that either have accumulated or may accumulate in United States courts of bankruptcy as indicated in the statement of applicability at the head of the schedule. It applies to such records after they have been in existence for the periods of time specified in the schedule. The authorization is permissive and not mandatory.

Attention is called to the regulations of the National Archives Council approved by the President on August 8, 1945, and promulgated by the National Archives Council on August 15, 1945, which prescribe the methods by which the disposal of records that have been authorized for disposal may be effected (12 FR 399).

The attached schedule refers only to record copies of documents. It should also be noted that the schedule applies to record copies wherever filed in a United States court of bankruptcy. Documents or copies of documents that may have been kept in such a court merely for convenience of reference and not for purposes of record may be disposed of at the convenience of that court.

Insofar as the attached schedule is applicable it will not hereafter be necessary for a United States court of bankruptcy to submit a disposal list or schedule in order to obtain authorization for the disposal of the records after the lapse of the periods of time specified in the attached schedule. Disposal authorizations obtained by an individual court in previously approved schedules remain in effect even though the approved retention periods may be shorter than those in

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Additional copies of the attached schedule or information concerning its application may be obtained from the General Records Office, Justice and Court Branch, of the National Archives or from the Secretary of the National Archives.

*Solon J. Buck*

Archivist of the United States

**SUPERSEDED**

# SUPERSEDED

## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 6

Page No. 1

Item No.	Title and Description Kind of Copies	Period of time to be retained
	<p>APPLICABILITY OF THIS SCHEDULE: This schedule applies to records of United States courts of bankruptcy: district courts of the United States and of its possessions (other than appellate courts), and the District Court of the United States for the District of Columbia.</p> <p>[NOTE: This schedule authorizes the disposal of the bankruptcy records described in the items numbered 1 through 10 below. But these items are not to be construed as applying to any of the following bankruptcy records of enduring value:</p> <ul style="list-style-type: none"><li>(a) Docket books, minuterbooks, order books, and similar records of clerks of court, registers and referees in bankruptcy containing records of filings, proceedings, and actions taken in cases, and indexes thereto</li><li>(b) Registers' and referees' claims registers and dockets, and similar summary records in variant form, showing the filing and allowances of claims and the distribution to creditors.</li><li>(c) Recorded copies of trustees' deeds, resolutions on composition, and assignments of bankrupts' effects.</li><li>(d) Indexes in book or other form to bankruptcy cases and proceedings</li><li>(e) One copy of creditors' or debtors' petitions for bankruptcy and one copy of each amendment and of each demurrer, plea, or answer thereto, except in no-assets cases</li><li>(f) One set of debtors' schedules of assets and liabilities and one copy of each amendment thereto, except in no-assets cases.</li><li>(g) Decrees of adjudication of bankruptcy and orders of reference, except in no-assets cases.</li><li>(h) Records directly pertaining to the title of real estate in cases involving any interest in real estate (including homesteads, dower and the like), including, but not limited to, all orders for the sale of real estate and orders of confirmation of such sales.</li></ul>	

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 6

Page No. 2

Item No.	Title and Description Kind of Copies	Period of time to be retained
	<p>(i) Orders of discharge of bankrupts, except in no-assets cases.</p> <p>(j) Testimony of bankrupts and witnesses before referees or equivalent predecessor officials, or other officials, except in no-assets cases.</p> <p>(k) Summary reports of trustees, auditors, and appraisers in bankruptcy on the administration, liquidation, and distribution of bankrupts' estates.</p> <p>(l) Papers in case files pertaining to litigation in bankruptcy trial courts, consisting of one record copy of each of the following individual papers: specifications of objections to discharge of bankrupts; reports of referees as Special Commissioners on issues of specifications, applications and orders of trial; statements of facts, briefs, testimony, and depositions; and final decrees, orders, or opinions.</p> <p>(m) Papers in case files in bankruptcy proceedings appealed from courts of bankruptcy, consisting of one record copy of each of the following individual papers: petitions on appeal; writs of error or bills of exception; copies of transcripts of record (when available); mandates of appellate courts; and orders and notices of settlement of district courts.]</p> <p style="text-align: center;">*****</p>	
1.	Creditors' proofs of claims and debts and supporting papers in all cases. All record copies.	10 years after close of case
2.	Cancelled checks and vouchers in payment of dividends to creditors and of official fees, costs, and expenses of bankruptcy proceedings in all cases. All record copies.	10 years after close of case
3.	Duplicates of papers filed in all case files. Duplicate record copies.	10 years after close of case
4.	Papers in bankruptcy case files (other than those covered by items 1-3 above), EXCLUDING files and papers in proceedings for a composition or extension, for the reorganization of a corporation, for an arrangement, for a real property	10 years after close of case

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 6

Page No. 3

Item No.	Title and Description Kind of Copies	Period of time to be retained
	<p>arrangement, for a railroad adjustment, in proceedings under Sections 12, 74, 77, 77B, and Chapters IX, X, XI, XII, and XV of the Bankruptcy Act of 1898, as amended; and papers directly pertaining to real estate in cases involving any interest in real estate, including homesteads. All record copies. These papers normally consist of:</p> <p>Affidavits and orders to show cause Allowances, Affidavits for petitions for. Appraisers, Oaths of. Appraisers, Orders approving reports of. Appraisers, Orders to pay. Appraisers, Petitions and orders for appointment of. Assignees, <u>see</u> Trustees</p> <p>Bankruptcy, Affidavits and orders staying proceedings of. Bankrupts, Certificates of proceedings for discharge of. Bankrupts, Notices of appearance in opposition to discharge of. Bankrupts, Oaths of, taken before final discharge. Bankrupts, Orders for the examination of. Bankrupts, Orders to show cause against discharge of. Bankrupts, Petitions for discharge of. Business, Petitions and orders to continue.</p> <p>Cause, Orders to show. Common orders. Creditors, Applications and orders for meetings of. Creditors, Notices of meetings of.</p> <p>Debtors, Orders of default of, and extending time to file. Dispossession proceedings, Orders staying. Dispossession proceedings, Petitions and orders to show cause why, should not be stayed. Dividends, Notices of declarations of.</p> <p>Letters and powers of attorneys.</p> <p>Messengers, Warrants to and returns of. Monies, Certificates for balance of, deposited with clerks of court. Motions, Notices of. Motions, Orders denying.</p> <p>Newspapers, Orders designating, for publication of notices. Notices, Affidavits and proofs of publication of. Notices, Affidavits of mailing of.</p>	



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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 6

Page No. 4

Item No.	Title and Description Kind of Copies	Period of time to be retained
	<p>Petitions, Pleas for dismissal of, and orders overriding pleas. Process, Marshals' affidavits of service of. Proofs of claims and debts with security, Depositions for.</p> <p>Receivers, Petitions and orders authorizing, to retain counsel. Receivers, Petitions and orders directing, to deliver property. Receivers, Petitions for and orders of appointment of. Receivers, Orders for discharge of. Referees, Certificates of, for extra allowances. Referees' certificate of bankrupts' conformity with the law and title to discharge. Referees, Consent of petitioners to payment of fees and cost of. Referees, Motions to set aside reports of. Referees, Orders denying motions to set aside reports of. Referees, Orders concerning fees of. Registers, <u>r</u>see Referees.</p> <p>Specifications, stipulations and orders extending time to file. Subpoenas.</p> <p>Trustees, Acceptances of appointment by. Trustees, Acceptances of bankrupts' effects by. Trustees, Assignments of bankrupts' effects to. Trustees, Notification of appointment of. Trustees, Notices of filing and settlement of final accounts of. Trustees, Orders allowing accounts and discharge of. Trustees, Orders approving bonds of. Trustees, Orders granting allowances for attorneys of. Trustees, Petitions and orders appointing attorneys for. Trustees, Petitions and orders appointing. Trustees, Petitions of, for compensation of services. Trustees, Petitions to, to examine bankrupts. Trustees, Receipts of, for documents and papers delivered by referees. Trustees, Reports and returns of, when no assets were found.</p> <p>Witnesses, <u>r</u> Affidavits for orders and subpoenas for the examination of.</p> <p>This authorization applies to the stated types of records of officials having titles other than those listed but performing the same functions.</p>	

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## GENERAL SCHEDULE FOR DISPOSAL OF RECORDS OF THE UNITED STATES GOVERNMENT COMMON TO SEVERAL OR ALL AGENCIES

Schedule No. 6

Page No. 5

Item No.	Title and Description	Period of time to be retained
	Kind of Copies	
5.	Files and papers in proceedings for a composition or extension, for the reorganization of a corporation, for an arrangement, for a real property arrangement, for a railroad adjustment, in proceedings under Sections 12, 74, 77, 77B, and Chapters IX, X, XI, XII, and XV of the Bankruptcy Act of 1898, as amended; EXCLUDING records covered by items 1-3 above; and all records of enduring value, listed above under (e) through (m). All record copies.	30 years after close of case
6.	Debtors' and creditors' petitions for bankruptcy and debtors' schedules of assets and liabilities in no-assets cases. All record copies.	30 years after close of case
7.	Rough minutes, order books, and other book records preliminary in form which have been transcribed in finished form in other book records which are retained. All record copies.	10 years after transcription
8.	Bankruptcy "tickler" files or volumes showing current status of bankruptcy cases. All record copies.	10 years after close of case or date of last entry
9.	Judges' bankruptcy dockets, when duplicated by official court dockets. All record copies.	10 years after date of last entry
10.	Calendars of bankruptcy proceedings. All record copies.	10 years after date of last entry

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The National Archives

Washington 25, D. C.

CIRCULAR LETTER No. 48-2

November 28, 1947

To: All Government Agencies

SUBJECT: Record Character of Maps, and the Accessioning Policy  
of the National Archives With Respect to Them

Questions have frequently arisen as to whether maps or other cartographic materials in the possession of Federal agencies are records of the Federal Government and hence subject to provisions concerning records contained in Acts of Congress, regulations of the National Archives Council, and Executive orders.

The only statutory definition of records of the Federal Government is as follows:

When used in this Act, the word "records" includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this Act. — An Act to provide for the disposal of certain records of the United States Government, approved July 7, 1943 (57 Stat. 380).

The purpose of this letter is to assist Government agencies in applying the concepts in this definition to maps and other cartographic materials.

Record Character of Maps and Designation of Record Copies

It should be noted that the essential feature of the definition quoted above is that in order to fall within the class of materials considered "records" a document must have been made or received in the transaction of official business and deliberately preserved because of its evidential or informational value. It should be particularly noted that "extra copies . . . preserved only for convenience of reference, and stocks of publications and of processed documents are not . . . 'records' . . ."

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In applying the legal definition quoted above to cartographic materials a difficult problem arises in connection with the determination of the record or nonrecord character of preliminary or intermediate materials used in making a final map. This category includes such things as manuscript field notebooks of surveys, triangulation and other computations, and "fair drawings" for individual color plates. The physical medium on which the content is expressed may consist of a number of forms different from the dominant paper; such as metal mount, Bristol board, cloth, and photographic paper. It is not possible to give a single, simple, or complete answer to the question as to whether materials of this kind have a record character. The experience of the National Archives indicates that it is desirable to determine each such case on its merits. The experience and purposes of the issuing agency will, of course, be a paramount factor in making such determinations.

Excluding such intermediate materials, maps may be divided into certain main classes, as follows:

## A. MAPS USUALLY OF RECORD CHARACTER

1. Maps that have not been printed or otherwise reproduced in numbers. Manuscript maps form the bulk of this class. In addition to manuscript maps there may be included in this category printed or processed maps on which manuscript changes, additions, or annotations have been made for record purposes, or which bear manuscript signatures to indicate official approval. Also to be considered as falling in this category are any single printed or processed maps that have been attached to or interfiled with other documents of a record character or in any way made an integral part of a body of record material.

It may be accepted as a general rule that all maps of this class prepared by a Federal agency or acquired by it in connection with the conduct of its business are records of that agency.

Examples of this category of maps are as follows:

Manuscript field maps made in connection with the surveys by army topographic engineers for a route to be used for the National Road.

Manuscript maps of Indian reservations prepared by the Office of Indian Affairs.

Manuscript right-of-way maps showing the official route of land-grant railroads as submitted to and approved by the Secretary of the Interior.

United States set of the manuscript maps embodying surveys of a portion of the United States-Canadian boundary, authenticated by the Boundary Commissioners.

Set of German large-scale topographic maps showing the order of battle on the Western Front in Europe on July 15, 1944, captured from the Germans by American troops.

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Printed sheets of a map of Latin America attached to manuscript reports on rubber in the Amazon Basin by the Rubber Development Corporation of the Reconstruction Finance Corporation.

2. Printed or processed maps in the custody of the agency by which they were issued. Agencies issue printed or processed maps (a) to depict or facilitate their administrative organization, (b) for the use of staff members in carrying out their agencies' substantive programs, or (c) primarily as a service to the public. In determining the record character of a printed or processed map it is necessary to consider its origin, custody, and use.

It is essential to proper records management for each map-issuing agency to establish and maintain a segregated and complete set of all printed or processed maps issued by the agency, to serve as the record set. This record set will consist of one copy of each printed map issued. This set should in no case be confused or intermingled with stock or surplus copies or interfiled with maps received from other agencies. Stock copies are not records. It is particularly important that one copy of each edition of each printed or processed map be retained in the record set.

Record copies of textual materials that bear on the preparation, compilation, editing, or printing of maps, such as project folders containing specifications to be followed and appraisal of source materials to be used, as well as printed explanatory descriptions, should be preserved with the body of maps to which they relate.

Examples of record set maps falling in the above category are:

General Land Office (now Bureau of Land Management) record set of its maps of the individual public-land States.

Forest Service record set of its maps showing the individual national forests.

Record set of large-scale topographic maps of various countries throughout the world originally compiled and printed by the Geographical Section, General Staff, War Office, London, but overprinted by the Army Map Service, War Department, Washington, D. C., with information for the specific use of United States combat troops.

Post Office record set of maps of individual States or groups of States showing means and frequency of transportation of United States mail.

Any Government agency's record set of maps showing field or district offices or installations and boundaries of field regions.

## B. MAPS USUALLY OF NONRECORD CHARACTER

Printed or processed maps acquired by agencies from other sources or extra copies of maps issued by the agency and used or preserved as parts of a general library or reference collection of maps. Maps in this category are not, as a rule, to be considered as records.

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It is obvious, of course, that treating a whole collection as a library or reference collection and hence as nonrecord in character is possible only if the distinction between maps preserved for record purposes and those preserved for reference purposes has been carefully maintained and maps of the two types have not been interfiled.

## Accessioning Policy of the National Archives

It is the policy of the National Archives to accession Federal records of enduring value that are noncurrent in relation to the activities in connection with which they were accumulated. All records values will be taken into account in determining whether records have sufficient enduring value to justify their transfer to the National Archives. Such values cannot be defined with universal applicability. It should be noted, however, that research value may be defined in certain cases in terms of the materials themselves, such as significance in the development of techniques and their use by the Government, and in other cases in terms of content, with the same considerations of value as are applicable to textual records. In general it may be said that most maps that have a record character will be considered to have enduring value. The proportion of maps of a record character not eligible for accessioning by the National Archives because of insufficient legal, research, or administrative value is much smaller than is that of most records of other types.

The National Archives considers it highly desirable that index maps, card indexes, lists, catalogs, or other finding aids to the records that may be helpful in using or servicing them accompany any maps or other cartographic materials that it accessions.

## Additional Information

For further information concerning problems arising in connection with matters dealt with in this circular, calls should be directed to W. L. G. Joerg, Chief, Division of Cartographic Records, National Archives (telephone extension 362).

*Solon J. Buck*

Archivist of the United States

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GENERAL SERVICES ADMINISTRATION  
Washington 25, D. C.

November 2, 1951

FEDERAL RECORDS REGULATION NO. 1

TO: Heads of Federal Agencies

SUBJECT: General Schedule No. 1 (June 1951 Revision)

1. General. This Regulation promulgates General Schedule No. 1 (June 1951 Revision), copy attached, relating to certain records common to all Government agencies.
2. Authority. General Schedule No. 1 (June 1951 Revision) is issued in accordance with section 505(b) of the Federal Records Act of 1950 (41 U.S.C. Supp. 284(b) ), which provides for the establishment by the Administrator of General Services of standards for the selective retention of records of continuing value, and section 4 of the so-called Records Disposal Act of 1943, as amended (44 U.S.C. 369), which authorizes the preparation of general schedules. Disposal of Government records listed in this schedule as not of continuing value has been authorized by the Congress by H.R. Report 716, 82nd Congress, 1st Session.
3. Coverage of General Schedule No. 1. This schedule describes records relating to civilian personnel which are normally maintained by Federal agencies, including those which are required to be maintained by the Federal Personnel Manual and by applicable General Regulations of the Comptroller General. The records are grouped in two sections:
  - a. Those records which are of enduring value and are to be retained indefinitely; and
  - b. Those records which are not of enduring value and which should be disposed of after they have been in existence for the periods of time specified in the schedule. The authorization to dispose of them is permissive rather than mandatory, although compliance with the disposal provisions will result in orderly records retirement practices. Disposal authorizations obtained by an agency in previously approved schedules remain in effect although the retention periods may be shorter than those provided for in this schedule.

Permissive provision is made, where applicable, for the transfer of records to a Federal Records Center for storage and servicing. Records designated for transfer to a Center should be held until a substantial quantity exists to avoid scattered transfers of small groups of files. This schedule also indicates an appropriate manner of filing each type of record so as to facilitate maximum effectiveness in its application.

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4. Additional Copies and Information. Additional copies of General Schedule No. 1 or information concerning its application may be obtained by communicating with the Records Management Division, National Archives and Records Service, General Services Administration, Washington 25, D. C.; telephone Republic 7500 (Government Dial Code 151), extension 5185.
5. Superseded Material. General Schedule No. 1 (June 1951 Revision) supersedes Revision A of General Schedule No. 1, issued by National Archives Letter 47-3 of May 26, 1947, and General Schedule No. 7, issued by National Archives and Records Service Circular No. 2 of May 15, 1950.
6. Effective Date. This Regulation is effective immediately.

  
**JESS LARSON**  
Administrator

Attachment

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## GENERAL SCHEDULE NO. 1 (JUNE 1951 REVISION)

### Personnel Records

Scope of this Schedule: This schedule supersedes General Schedule No. 1 (Revision A), issued by National Archives Circular Letter No. 47-3 of May 26, 1947, and General Schedule No. 7, issued by National Archives and Records Service Circular No. 2 of May 15, 1950. It governs the retention and disposal of all copies of records relating to civilian personnel wherever located in an agency, exclusive of (1) copies included in disbursing accounts, (2) copies of loyalty and other investigative files, and (3) records of the Civil Service Commission (including records of Boards of U. S. Civil Service Examiners and Committees of Expert Examiners, regardless of the custodian) and the Bureau of Employees' Compensation of the Department of Labor maintained pursuant to their statutory Government-wide functions. In no event, however, can 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 in the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943 (44 U.S.C. 374).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>PRESCRIBED OR RECOMMENDED METHOD OF FILING*</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Official Personnel Folders and comparable files accumulated prior to establishment of the Official Personnel Folder, excluding papers covered by item 15 below.	Alphabetically by name.	(a) See page RI-36 of the Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation; close file at end of each year and transfer it to Federal Records Center 1 year thereafter.

\*Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provision of Sec. 505(a) of the Federal Records Act of 1950 (41 U.S.C. Supp. 284(a)) do not make reference to an established authority. Any new regulations or directives that may be issued from time to time will supersede these recommendations.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
2.	Service Record Card: Standard Form 7 or its equivalent.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part IA.	Transfer to Federal Records Center 5 years after year of employee's separation or transfer to another agency.
3.	Individual earning and service cards (such as Standard Form 1127 or its equivalent), and papers recommended by item 7 as attachments.	Alphabetically by name. For cards relating to active employees start a new file every 3 years.	(a) Cards on transferred and separated employees: Place in inactive file on transfer or separation of employee; close file at end of each year and transfer it to Federal Records Center 1 year thereafter. (b) Cards on active employees: Transfer to Federal Records Center 2 years after close of file.
4.	Position descriptions pertaining to positions abolished after September 1, 1950, and descriptions superseded after that date.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part ICh.	Retain one copy. (See item 12 for disposal of other position descriptions.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
5.	Correspondence in the operating personnel office and its subordinate units relating to their administration and operation.	By subject or agency filing system; start a new file every 3 years.	Dispose of 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.

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6.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted: Destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment, and dispose of in accordance with provisions in item 21; (3) All others: Dispose of immediately.
7.	Applications for leave and supporting papers.	Alphabetically by name; start a new file every year.	(a) Applications for leave taken immediately prior to separation: Attach to the earning and service card (see item 3). (b) All others: Dispose of 1 year after file is closed or 1 year after date of application if filing arrangement differs from that suggested herein.
8.	Leave record cards, maintained independently of pay and earning records. (Including Standard Form 1130 when used as a leave record)c	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	(a) Final cards showing accumulated leave on separation: Place in separate file upon separation; close file at end of year and transfer to Federal Records Center 3 years thereafter; dispose of 7 years after transfer to Center. (b) All other cards: Dispose of 3 years after audit of related pay records.

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9.	Records of leave data transferred (such as Standard Form 1150).	Alphabetically by name; start a new file every year.	Dispose of 2 years after file is closed or 2 years after date of document if filing arrangement differs from that suggested herein.
10.	Certificate files, consisting of: (a) Requests for certificates of eligibles; (b) Certificates of eligibles.	File requests and certificates by certificate number.	Dispose of 1 year after date of certificate.
11.	Employee record cards used for informational purposes outside personnel offices (such as Form OF-4).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part IIIB2 and B3.</u>	Dispose of on transfer to another agency or bureau or on separation of employee.
12.	Position descriptions (copies other than those provided for by item 4).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part IC4.</u>	Dispose of when position is abolished or description is superseded.
13.	Employee interview records.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start new inactive file every 6 months; dispose of inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, dispose of records 6 months after transfer or separation of employees.

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14.	Duplicate case files of efficiency rating boards of review, copies of which have been forwarded to the Civil Service Commission.	Alphabetically by name; start a new file every year	Dispose of 1 year after closing file; if filing arrangement differs from that suggested herein, dispose of records 1 year after completion of case.
15.	All copies of correspondence and forms maintained as temporary records in the Official Personnel Folder in accordance with the Federal Personnel Manual, Chapter R1, pages 35-38 (May 1950)t	On left side of folder, chronologically.	Dispose of on transfer or separation of employee, or when 2 years old.
16.	Copies of budget authorizations to operating units that control personnel ceilings and personnel actionsc	Organizationally.	Dispose of when superseded.
17.	Position identification stripsg used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part IA.	Dispose of when position is cancelled or new strip is prepared.
18.	Employee suggestion case files, including files relating to management improvement suggestions considered under Title X of P. L. 429, 81st Congress, or comparable legislation.	Alphabetically by name; start a new file every 5 years or every 2 years, as appropriate.	After closing case transfer to inactive file arranged in same way as active file but closed at end of each year; dispose of (a) Basic copies 5 years after closing of the file; (b) Duplicate copies 2 years after close of file.

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METHOD OF FILING

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
19.	Case files on rewards for superior accomplishment under Title VII of the Classification Act of 1949.	Alphabetically within fiscal year; start new file each fiscal year.	Start new inactive file every fiscal year; dispose of each year's file 6 months after close of that fiscal year.
20.	Notifications of personnel action, exclusive of those in Official Personnel Folders: (a) Pay or fiscal copy.	By pay period with other pay records.	Dispose of 2 years after audit of related pay records by GAO.
	(b) Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part 1B4.</u>	Dispose of after 2 years.
	(c) All other copies.	Alphabetically; start a new file every year.	Dispose of after 1 year.
21.	Unsuccessful applications for appointment and related papers, excluding records relating to appointments requiring Senatorial confirmation.	Alphabetically; start a new file every 6 months.	Dispose of 6 months after file is closed or 6 months after date of application if filing arrangement differs from that suggested herein, providing the requirements of the Federal Personnel Manual, Section R2-19.01 are observed.
22.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose of 2 years after date of report.

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23.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule: (a) Correspondence and forms relating to pending personnel action.  (b) All other correspondence and forms.	Not applicable.  Alphabetically by name; start a new file every 6 months.	Dispose of when action is completed.  Dispose of 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
24.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose of 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
25.	Memorandum copies of payroll certification sheets (such as Standard Form 1128 or its equivalent).	By pay period with other pay records.	Dispose of 2 years after audit by GAO.
26.	Payroll change slips exclusive of those in Official Personnel Folders (such as Standard Form 1126): (a) GAO audit copy.  (b) Copy used to adjust equipment involved in preparing checks.  (c) All other copies	By pay period with other pay records.  By pay period, thereafter alphabetically by name.  By pay period, thereafter alphabetically by name.	Dispose of 2 years after audit by GAO.  Dispose of after adjustment of equipment.  Dispose of 1 month after end of pay periods

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27.	Withholding tax exemption certificates (such as Internal Revenue Form W-4)	Alphabetically by name.	Transfer to inactive file upon transfer or separation; start a new inactive file every 6 months and dispose of it 6 months after it is closed; or dispose of individual certificates when superseded.
28.	Check lists showing net salary payments and names of recipients!	By pay period with other pay records.	Dispose of 2 years after audit by GAO.
29.	Memorandum copies of payrolls (such as Standard Form 1013 or its equivalent):		
	(a) Where earning record card is maintained.	By pay period with other pay records.	Dispose of 2 years after audit by GAO.
	(b) Where earning record card is not maintained.	By pay period with other pay records.	Transfer to Federal Records Center when 3 years old; dispose of when 10 years old.
30.	Time and attendance reports:		
	(a) Copies used in payroll preparation and processing. (Where Standard Form 1130 is used for both time and attendance and leave posting purposes, the disposal provision for item no. 7 applies).	By pay period with other pay records.	Dispose of 2 years after audit by GAO.
	(b) All others.	By pay period with other pay records.	Dispose of 6 months after end of pay period.
31.	Memorandum copies of fiscal schedules involved in payroll processing.	By pay period with other pay records.	Dispose of 2 years after audit by GAO.
32.	Payroll control registers (such as Standard Form 1125)	By pay period with other pay records.	Dispose of 2 years after audit by GAO.

# SUPERSEDED

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33.	Individual authorization card and record of payroll allotments (such as Treasury Department Form 2254): (a) Where record of bond deductions is maintained on earning record card.	Alphabetically by name.	Dispose of when superseded by new card or on transfer or separation of employees
	(b) Where record of bond deduction is not maintained elsewhere.	Alphabetically by name.	Remove to inactive file when superseded or upon transfer or separation; close inactive file at end of each year and transfer to Federal Records Center 2 years thereafter. Dispose of 5 years after close of file.
34.	Receipts for war bonds and checks.	By month and alphabetically thereunder.	Dispose of 3 months after date of receipt.
35.	Dispensary treatment record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated in dispensary.	All cards pertaining to an individual to be disposed of 6 years after date of last entry on the cards pertaining to him.
36.	Logs or registers of visits to dispensaries or welfare rooms operating under P. L. 658, 79th Congress: (a) Where information is summarized on statistical reports.	Chronologically.	Dispose of 3 months after last date on log or register.
	(b) Where information is not summarized elsewhere.	Chronologically.	Dispose of 2 years after last date on log or register.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
37.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history under programs authorized by P. L. 658, 79th Congress, except pre-employment physical examinations, disability retirement examinations, and fitness for duty examinations (which may be made a part of or associated with the Official Personnel Folder or may be retained separately).	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose of 6 years after date of last papers in the file.
38.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose of 2 years after date of summary or report.

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## JUSTIFICATION FOR AUTHORIZED DISPOSITION

Item 1. The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual (RI-35-38), is considered to be the official record documenting employment history. The permanent documents in the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. All other personnel records relating to individuals are subordinate to the permanent papers in the Official Personnel Folder and appropriate provision for disposing of them is made elsewhere in this schedule, individually or as part of the material on the temporary side of the folder. This item includes agency folders maintained as the official folder prior to the promulgation of the Official Personnel Folder.

Item 2. These service record cards are official summaries of the salient facts of employment history that are maintained by personnel offices to obviate frequent references to official folders and to be used as the official record in lieu of lost official folders. The cards serve as a central personnel office record of all aspects of personnel administration, and have continuous significance as a concise reference source after transfer or separation of the employee.

Item 3. These are the official centralized pay records maintained by agencies keeping such records under General Regulations 102 of the Comptroller General or an adaptation thereof. Summaries of service are also normally included. In agencies under payroll site audit, this centralized record is the only record documenting the fiscal aspects of employment history. It is retained as a record related to the Official Personnel Folder and the Service Record Card, which document the employment history itself. Comprehensive payrolls which serve as a fiscal record in lieu of an earning card are retained under item 29 for a ten year period whether or not they are site audited. After the ten year period reference can be made to GAO payroll vouchers.

Item 4. These descriptions must be retained indefinitely in order to protect fully the job restoration rights of persons who are furloughed to enter the military service under the 1948 selective service law. These rights involve restoration to the permanent position held as of September 1, 1950, when personnel actions became temporary under Executive Order 10180 and related legislation.

Items 5 and 6. These files reflect the operation of the personnel office in administering the agency personnel program, and that of the subordinate branches charged with individual phases of the program. Employment policy is normally reflected in agency files at higher administrative levels. Files covered by item 5 serve temporary administrative needs involved in the daily problems arising in personnel work, and the retention period indicated is adequate to serve such temporary needs. Correspondence relating to individuals who receive appointments is provided for elsewhere in this schedule, and item 6 relates to routine papers reflecting pre-appointment negotiations with potential appointees.

Item 7. These records are largely of transitory value only. Information from

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them is posted to summary leave cards (items 2, 3 and 8) which are retained for longer periods. Records relating to leave taken immediately prior to separation are being retained to facilitate the adjudication of claims by GAO.

Items 8, 25-26, and 28-33 These records relate to processing, preparation, and maintenance of the payrolls, and comprise the rolls and the related time, leave, tax, and bond records directly related to the pay function. Federal payrolls are prepared and processed generally in accordance with General Regulations 102 of the Comptroller General, although some agencies use adaptations of that directive to a lesser or greater degree depending on local administrative conditions. Under the 102 system, the pay records are site audited by representatives of the General Accounting Office, who examine primarily earning record cards (item 3), payroll change slips that are prepared to document changes in normal pay (item 26), certification sheets and payroll transmittal sheets (item 25), check lists which are prepared in lieu of the more formal payroll by the Treasury or local disbursing personnel (item 28), source personnel documents such as basic time and attendance reports (item 30), and copies of personnel action forms (item 20). The files used in GAO audit are of no fiscal or administrative value two years after audit, by which time GAO exceptions will have been raised and cleared. The key record summaries of the fiscal aspects of an employee's history are the leave record cards for which a sufficient retention period is provided to assure individual rights and to satisfy administrative needs (item 8); pay and earning central record cards (item 3), which are to be retained indefinitely; and the "comprehensive" type of payroll (item 29), still used by segments of the Federal service, which contains pay and earning data on its face, and which is to be retained for a period sufficient to satisfy agency and GAO needs.

Copies of the change slips other than those used by the General Accounting Office in audit are proposed for disposal after a short suspense period, as are subsidiary time and attendance reports. SF 1130 is normally used as a combination time and attendance and leave record. When so used the disposal provisions of item 8 must govern. Item 31 covers related fiscal accounting forms, pertaining to pay, copies of which are retained in some pay offices. Item 32 is a form required under the 102 system which summarizes change slip transactions and which expedites local administrative and GAO audit.

Item 9. General Regulations 111 of the Comptroller General provides for the use of SF 1150 to effect transmittal of leave and lump sum payment information between agencies in transfer cases. The one year retention period provides adequately for local administrative needs. The leave data itself will be retained under item 8 for 3 or 10 years, as appropriate.

Item 10. These forms relate to requests made by the agency to the Civil Service Commission for lists of eligibles from established registers. The certificate itself is of little administrative value once decisions have been taken with respect to the names certified.

Item 11. Optional Form 4 was developed as an informational record for operating units served by the personnel office to obviate requests for employee service and related data. Once the employee leaves the operating unit, the card is of no further administrative value. The permanent summary card record is maintained on

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# SUPERSEDED

SF 7 (see item 2) by the personnel office itself.

Item 12. Position descriptions, used in classification work and in employment control, are of value as continuing personnel documents while the descriptions they contain are still valid. Except for descriptions which may be of continuing value because of their aptness of content (which may be retained as nonrecord reference material), these records are of little value after they are superseded or obsolete. Descriptions of positions abolished and descriptions superseded after September 1, 1950, are retained for the special reasons noted under item 4.

Item 13. These are primarily employee relations files and involve entrance and exit interviews, and interviews involving complaints by or against the employee. Any action taken by reprimand or otherwise is permanently documented on the right hand side of the personnel folder. Some agencies place these records on the temporary side of the folder, to be disposed of on transfer or separation.

Item 14. These are duplicates of papers submitted by members of Boards of Review to the Civil Service Commission on termination of their terms of office.

Item 15. These are temporary papers dealing either with the inception of personnel actions documented on the permanent side of the Official Personnel Folder or with administrative matters, and are of administrative value only for a short time.

Item 16. These copies of budget authorizations, used as the basis for authorizing positions, are of no further administrative value when new superseding authorizations are made.

Item 17. These visible strips, which are maintained with the service record card files, provide summary data on each position occupied. They have no record or reference value when the related positions are cancelled.

Item 18. These are case files accumulated under agency beneficial suggestion and management improvement programs. They have administrative value in evaluating new suggestions and in documenting current practices and procedures instituted as a result of the suggestions. The disposal period is sufficient to satisfy administrative needs either in reference or in documenting current practices. A lapse of five years after closing of the file will provide for normal reference needs.

Item 19. These are primarily copies of reports submitted to the Civil Service Commission. The copies are of little value to the agencies after a short period following submittal of the report.

Item 20. Copies of notifications of personnel action (other than the Official Personnel Folder copy) which have administrative or fiscal use are the pay copy, which is to be disposed of uniformly with other pay records, and the journal action copies, which will be retained for two years, in accordance with the provision of RI-2 of the Federal Personnel Manual, to satisfy inspection requirements.

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Item 21. These are suspense files of job applications which have no further administrative usefulness after the indicated retention period.

Item 22. These reports, which are required administratively and by the Commission on many phases of personnel administration, are normally consolidated into summary reports submitted to higher administrative levels, or are so detailed as to have no further administrative value after the period indicated.

Item 23. This item is intended to provide for the mass of local and other forms and correspondence which is not placed in the Official Personnel Folder because the Federal Personnel Manual does not require it or because it is deemed not to be administratively necessary to do so. Generally, these files relate to aspects of employment history which are documented in the official folders or in fiscal records to be retained for a lengthy period by the provisions of this schedule, and therefore are of little administrative value after relatively short periods.

Item 24. These are copies of forms relating to personnel actions and other matters involving the employee submitted by the operating unit initiating the form to the personnel office.

Items 25-26, see item 8.

Item 27. Withholding exemption certificates, which authorize withholding tax deductions, are to be disposed of after a short suspense period following change, transfer or separation that is sufficient to provide for GAO exceptions in payroll audit and for administrative needs.

Items 28-33, see item 8.

Item 34. These are routine receipts to be retained long enough to answer inquiries.

Items 35 and 37. These are the continuing records of treatment in a health unit of individual employees; any correspondence, memoranda, or other data that come to the health unit are filed in the same jacket. Journal entries are made on record cards or comparable forms recording each visit of the patient, brief diagnosis or statement of referral to private doctors and treatment given, if any. The documents excepted from disposal are deemed of long term value by both personnel officials and by medical officials, and are normally filed in the Official Personnel Folder (item 1), but the remainder of the papers in each file are of only ephemeral interest. The records have no historical value; they are not of value for documenting the activities of health units; medical officers believe that if no new data has been obtained during the retention period specified, they are of no value medically; and their administrative utility is limited by the five-year statute of limitations on claims for employees' compensation.

Item 36. These are journals on which are recorded the name of each patient coming to a health unit, date on which he came, and, often, other identifying data, time spent, and a very brief notation of the illness or injury that prompted him to come. The records are occasionally used for administrative purposes for about one year after they are created, but not longer. They have no historical value and no value for documenting the history and functions of the unit; medical officers state

# SUPERSEDED

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that they have no medical value. Since their only administrative use is for statistical purposes, it is possible to dispose of those which are statistically summarized almost immediately and the statistical utility of the others is exhausted within the alternate period specified.

Item 37; see item 35.

Item 38: These are retained copies of reports and summaries compiled by a health unit for transmission to higher administrative echelons; where they are used in combination with other reports for statistical and narrative analysis, and of informational copies of analyses transmitted to health units by higher administrative echelons. In either case, significant data are available at the higher echelons and the records are of no utility in health units beyond the period of time specified.

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Director of Archival Management

April 3, 1953

Chief Archivist

Natural Resources Records Branch

Comments on a proposal for a General Schedule provision authorizing disposition of the Official Personnel Folders

My first question is about the floor date, which I understand is 1921, as given in the introduction to the General Schedule. Somewhere in the schedule it must be explained just how this is to be applied to personnel folders, which extend over many years. I hope it does not mean that folders closed after 1921 are to be subject to the schedule, for this could mean, of course, the disposal of the folder of someone who began work in 1875 just because he happened to die or retire in 1922. Many of the folders that we are so anxious to save would be caught in such an interpretation. On the other hand, the language may mean folders for persons who began service after 1921, which would be less objectionable; but many of these persons would still be in service in 1947, so that their folders would flow into the new system. It seems to me that if the latter interpretation is given to the date, it is hardly worth while to weed a lot of alphabets prior to 1947, and that the whole schedule might as well commence with 1947 when the official travelling folder commences.

There are additional reasons why 1947 is the logical date from which to base this schedule. The most persuasive to me is simply that this is the date when the content of the folders was standardized. In the December 31, 1952, report of the Ad Hoc Committee on the Disposition of Personnel Records (which should have been made available to us for background for this appraisal), it is stated (p. 8) that the contents of pre-1947 personnel folders "became increasingly similar to the present folders" until the content "gradually came to resemble that of the Official Personnel Folder". This is true chiefly because of the growing use of standard personnel forms. I doubt that the observation means much more than that. The important thing is that this statement in reverse is a good reason for the keeping of folders prior to 1947. It is an admission that as one goes back through the years prior to 1947, the contents of personnel folders are increasingly diverse. Actually, when one reaches the base date of 1921 there is little uniformity as between agencies in what they are placing in personnel folders. In many agencies the folder was simply a subject folder bearing an individual's name into which everything relating to that individual and his activities was placed, even correspondence with him that did not fall naturally under some other subject heading. In some agencies, especially smaller ones, these very unorthodox (from the post - 1947 point of view) folders persisted up to the date of the prescribed standard folder (and I am not sure they are not still being created; lesser agencies have a wonderful way of living in blissful, if not willful, ignorance of so many regulations). All of

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Director of Archival Management

this is merely to say that up to 1947, it would be safer to deal with the personal records of each agency on a list basis.

In this connection, it seems necessary especially to register objection to use of the word "comparable" in the wording of the item as it would appear on the schedule. Is "comparable" to a greater or less degree meant? Actually this word is meaningless, for all personnel folders are "comparable", so that all could be thrown out and the action justified on the basis of this language. Doubtless "similar" was meant. This, however, still has a quality of vagueness because there are degrees of similarity. Any word chosen as a substitute here must be an exact one. We have in the past used "equivalent", but it would be impossible, obviously, to apply that with mathematical exactitude. Whatever word we use, we have a picture of a person - probably someone other than an archivist - going over individual folders making decisions. It would be expensive and I would have no confidence in the result. If there is any thought that the decision can be made for entire agencies and the folders thrown out as a block, it would be fallacious. The contents of folders for typists and other lower grade personnel probably would be "similar", while the contents of folders for professional, scientific, and high grade administrative employees probably would not be "similar".

My fundamental objection to this schedule is that it contains no exceptions - that is, the folders of no employees are considered worth saving for historical reasons. It is true that after 1947 the right-hand contents of the official personnel folder are of less historical interest than are the fuller contents of earlier personnel folders, but, even so, I think that the folders for certain categories of employees should be retained as permanent records because of their historical importance.

I have never been one who could quite justify the retention of all personnel folders, even though I could see about as much reason for it as for the retention of all pension folders. In other words, they are name records, furnishing such personal data for the use of genealogists, local historians, and even historians making certain types of studies. There are those who feel that Society has an obligation to preserve records that help to bring to life the individual behind a name - to give him, as it were, a little more immortality. There are enough such people so that they are a force to be reckoned with and, curiously, many of them are heavier taxpayers than we are. Of course to carry out this idea completely we would have to keep income tax folders too, and farm loan folders of all types, and the like, and we have already compromised on that. This is not a matter to be tossed off scornfully, however. Resentment will inevitably build up against Archivists of the future because these records are not kept. Could they be polled on the subject, a majority of American

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families would probably vote to pay 5 cents extra tax a year to have such a service performed for themselves and their ancestors. They pay much more for perpetual cemetery care. Who am I to tamper with the records of their ancestors? I am less concerned about my own, but I do not know that I am because of that a superior being.

Supposing, then, that we let the laborers and other unskilled workers go, and the typists, and clerks - where do we draw the line? Can we determine certain categories, and do so in a way that will make the selection of folders by low salaried personnel practical? I think so.

My suggestion would be to keep the folders for all names appearing in the Official Register of the United States, published every 2 or 3 years by the U. S. Civil Service Commission. This would give us a fairly reliable Who's Who of Government employees, both in Washington and the field. Its field coverage, particularly, is better than any other directory. It contains about 25,000 names as against the more than 2,000,000 civilian employees. There might be some folders worth keeping for historical reasons that wouldn't be caught by this simple criterion, but there wouldn't be many. Of course, we would have to be careful that the criteria for inclusion in the Register were never cut drastically below those in use at present. It may be that we should consider adding certain categories of professional and scientific personnel, but this would not necessarily make the plan impracticable. There should, if possible, be some way of marking these folders as they are pulled for transfer to the Center or received there and alphabetized. I don't think, however, that I would recommend application of this idea back in the pre-1947 alphabets for separate agencies.

The argument against the historical value of the personnel folders given in the justification does not impress me, and is totally unacceptable for a major part of the pre-1947 folders. Without going into details as to how and when, I would merely state that those folders for the Interior Department prior to 1939 that were in NIE's custody before being sent to St. Louis, were being frequently used for historical purposes and that this historical use was increasing. We miss them now, and spend time searching for equivalent records elsewhere because we do not have those for quick reference. It is not that they were used so much directly for biographical purposes, although that use was common. It is that the biographical approach is one of the most frequently used approaches to the study of any subject, and that approach is facilitated through the availability of those records. It was my understanding when these records were sent to St. Louis that they and other such files prior to 1947 would some day be subject to recall by the National Archives. I would like them kept intact, and someday here, on the basis of our own

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Director of Archival Management

experience with these files, we would preferably do our own screening for disposal. The quantity of records involved in the case of NER's agencies is not great enough to be a major consideration. There are many series of greater footage that I would gladly dispose of, if necessary, before I would part with those.

Perhaps it is permissible to mention a difference in approach between NRM and the records branches on this appraisal business that is causing trouble. It is that NRM wants decisions ahead of time and doesn't seem to rest comfortably until it gets them. It is inherent in the scheduling idea. For us, the greater the delay, the more the elements of time and experience can be brought to bear upon a significant disposal decision. I doubt that such actual disposal would be carried out in the next five years, and should think that that much more experience in the records center at St. Louis and in historical requests via the National Archives would permit a more trustworthy decision. I am not merely procrastinating here. My experience with many personnel records already sent to St. Louis from this Branch has made me more conservative than others apparently. I would like the St. Louis people to get a little of the same experience. They turned suddenly very conservative on disposal of payrolls and other financial records, for example, overturning both NRM's and NNA's past decisions. This was chiefly for administrative inquiries, I know, but the point is that time and experience are important factors in deciding borderline cases for either administrative or historical values, and there is no virtue in action before the last moment necessary, and I believe this is, especially for the pre-1947 personnel folders.

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Official Personnel Folders and comparable files accumulated prior to establishment of the Official Personnel Folder, excluding papers covered by items 11 below (so-called "temporary" side of folder).

- (a) See page RI-36 of the Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.
- (b) Transfer folders of separated employees to inactive file on separation in accordance with the Federal Personnel Manual, RI-35; for Department of Defense transfer folder to Federal Records Center, St. Louis, Missouri, 1 month after separation; for all other agencies, 1 year after separation.
- (c) Dispose after whichever of the following periods is applicable:
  - (1) 75 years after birth of employee or 60 years after date of earliest document in the personnel file if date of birth cannot be ascertained;
  - (2) 2 years after retirement benefit has been legally determined and approved; or
  - (3) 2 years after death of employee.

The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual (RI 35-38), is considered to be the official record documenting employment history. The documents filed on the right side of the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. After carefully considering the various values inherent in these folders, an Ad Hoc Committee on the Disposition of Personnel Folders, consisting of representatives of the Civil Service Commission, the General Accounting Office, the Budget Bureau, and the General Services Administration, reported to the Administrator of General

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Services on December 31, 1952, that the folders did not have sufficient value to warrant preservation indefinitely beyond the time they were required for adjudication of retirement claims.

Any historical value that personnel records as a class may have relates primarily to the individual, not in his capacity as a Federal employee, but rather because of his position in the hierarchy of the agency or because of his fame or notoriety as an individual. It would not be reasonable for the Federal Government to keep the files relating to millions of employees on the gamble that a historian or biographer might some day find in one of the folders the missing clue to some aspect of the life or career of an individual who later became famous.

The importance of the official personnel folder in retirement proceedings and in determining the pension rights of former Government employees requires that the files of those covered or potentially subject to coverage by the Civil Service retirement system be retained until these pension rights have been finally determined. Retirement benefits may be obtained after varying periods of service and at various ages, but it is reasonable to assume that former employees will apply for these benefits before they are 75 years old. Consequently the retention period for the folders is set at 75 years after the employee's birth, or, if information as to date of birth is lacking, at 60 years after the date of the earliest document pertaining to his employment. As an alternative, it is practical to dispose of the folder two years after the employee's retirement benefit has been legally determined and approved; at that time all necessary data to complete payment of the benefit is contained in the claims folder held by the Civil Service Commission. Similarly, the folder may be disposed of 2 years after the death of the employee on the grounds that his retirement rights have by then been determined.

After disposal of the Official Personnel Folder, there remain for each employee his retirement claim file as well as a service record card (in those cases where such cards have been maintained).

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*Mr. Schellberg  
Jan 10 1952 9*

GENERAL RECORDS SCHEDULES

Authority for the disposal provisions in these schedules is contained in the following House Reports:

- H. Rept. 1596, 79th Cong., 2d sess. for deferred records;
- H. Rept. 2052, 79th Cong., 2d sess. for informational services records;
- H. Rept. 716, 82nd Cong., 1st sess. for civilian personnel records;
- H. Rept. 2471, 82nd Cong., 2d sess. for all other records covered by these schedules.

General Services Administration  
National Archives and Records Service  
Washington 25, D. C.  
August 1952

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# SUPERSEDED

## TABLE OF CONTENTS

### Instructions for Using General Records Schedules

- Schedule 1. Civilian Personnel Records
- Schedule 2. Payrolling and Pay Administration Records
- Schedule 3. Procurement and Supply Records
- Schedule 4. Property Disposal Records
- Schedule 5. Budget Preparation, Presentation, and Apportionment Records
- Schedule 6. Accountable Officers' Accounts
- Schedule 7. Expenditure Accounting Records
- Schedule 8. Stores, Plant and Cost Accounting Records
- Schedule 9. Travel and Transportation Records
- Schedule 10. Motor Vehicle Maintenance and Operation Records
- Schedule 11. Space and Maintenance Records
- Schedule 12. Communications Records
- Schedule 13. Printing, Binding, Duplication and Distribution Records
- Schedule 14. Informational Services Records

SUPERSEDED

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## INSTRUCTIONS FOR USING GENERAL RECORDS SCHEDULES

General. General Records Schedules are issued by the Administrator of General Services to provide standards for Federal agencies in handling their non-current "housekeeping" types of records. Section 505(b) of the Federal Records Act of 1950 (41 U.S.C., Supp. 284(b)) directs the Administrator to establish standards for the selective retention of records of continuing value. The Records Disposal Act of 1943 (44 U.S.C. 369) authorizes him to submit to Congress schedules proposing the disposal, after the lapse of specified periods of time, of records of specified form or character common to several or all agencies that apparently will not, after the lapse of the periods specified, have sufficient value to warrant their further preservation by the United States Government. The records covered by General Records Schedules include those pertaining to civilian personnel, fiscal, accounting, and procurement matters, and other common functions; they constitute a large proportion of the total volume of records created by each Federal agency.

When approved by the Joint Committee on the Disposition of Executive Papers, General Records Schedules constitute authority to dispose of the records included therein as disposable. Agencies may apply this authority subject (1) to approval of the Comptroller General of the United States in the cases required by Section 9 of the Records Disposal Act; and (2) to compliance with the record keeping requirements of regulatory bodies (such as the Federal Power Commission, the Interstate Commerce Commission, and others) insofar as Federal agencies or parts of agencies are subject to the jurisdiction of such regulatory bodies.

General Records Schedules are comprehensive records retirement plans that not only include disposal authorizations, but also provide for the retirement to Federal Records Centers of non-current records that must be retained for specific periods of time and for the economical preservation of those records that are of continuing value. The authorizations and recommendations contained in them may be used by any agency in their entirety or in part; they are permissive and not mandatory. Because these Schedules are designed to cover records problems common to several agencies they are not intended to fit the precise needs of any given agency. They represent generally accepted standards for the retirement of the records covered and are phrased in such terms as to permit those responsible for records retirement activities to adapt them to their agency's own peculiar needs. By use of them an agency may, without further Congressional authorization, provide for the retirement of the bulk of its "housekeeping" records.

Method of Issuance. General Records Schedules are issued in loose-leaf form to permit the insertion or removal of pages upon which additions, deletions, or revisions have been made. Revised or added pages will be issued as changing conditions require and as necessary Congressional and other approvals are obtained.

Coverage of General Records Schedules. General Records Schedules refer only to record copies of documents. It is not the intent of these schedules to impart record character to extra copies of documents previously defined in an agency as non-record material.

Copies of documents covered by these schedules, however, may in certain cases have become an integral part of subject or case files documenting activities different from those covered by the schedules. In such cases the disposition of the copies should be the same as that of files of which they are a part.

General Records Schedules, except as definitely specified in the several schedules, are not applicable to records created prior to January 1, 1921. Records created prior to this time in many cases were not sufficiently standardized to be susceptible to evaluation on a Government-wide basis. Those of each agency must therefore be separately appraised.

The schedules may with the consent of the agency concerned be applied to records in Federal Records Centers.

Each schedule has three parts: (1) an introductory analysis; (2) the schedule itself; and (3) an explanation of the reason for the retention or disposal of each type of record covered.

Previously approved agency schedules providing for shorter retention periods may be continued in force if an agency prefers; likewise, although it is believed this will usually be unnecessary, agencies may extend retention periods in order to meet needs peculiar to their own activities.

Permissive provision is made, where applicable, for the transfer of records to a Federal Records Center for storage and servicing. Records designated for transfer to a Center should be held until a substantial quantity exists, even although this means a longer retention in office space, to avoid scattered transfers of small groups of files. Each agency's transfer program should be cleared with appropriate General Services Administration officials prior to making the first transfers, especially in the case of personnel and pay records eligible for transfer to the Center in St. Louis.

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# SUPERSEDED

General Records Schedules also indicate a recommended or prescribed method of filing each type of record so as to facilitate use and disposal. Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provisions of Section 505(a) of the Federal Records Act of 1950 do not make reference to an established authority and any new regulations or directives that may be issued from time to time will supersede those recommendations.

Transmittal letters. The original issuance and revised and added material will be promulgated and distributed to agencies under cover of transmittal letters. The transmittal letters will be designed to serve the following purposes:

1. Transmit as an attachment the pages to be substituted or added and give instructions for insertion.
2. State the Congressional authorization for disposal of records, if any new disposal authorization is involved.

For reference purposes transmittal letters should be retained, and may be placed with the schedules or may be detached and filed separately.

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## GENERAL RECORDS SCHEDULE 1

### Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees, for the most part pursuant to regulations of the Civil Service Commission, the staff agency charged with the administration of the Civil Service Act, and related regulations, orders, and legislation. This schedule covers all copies of records relating to civilian personnel created since January 1, 1921, wherever located in an agency, exclusive of (a) copies of loyalty and other investigative files, (b) program records of the Civil Service Commission (including records of Boards of U. S. Civil Service Examiners and Committees of Expert Examiners, regardless of the custodian), and (c) records of the Bureau of Employees' Compensation and the Public Health Service maintained pursuant to statutory Government-wide responsibilities for the health and welfare of Government employees. Records of agency units functioning as staff personnel policy groups, rather than as operating personnel units, are not covered by this schedule.

The Official Personnel Folder, a case file documenting employment history, was established in 1947 by the Federal Personnel Manual (RI 35-38) and constitutes the key record relating to civilian personnel. Prior to 1947 the contents of personnel folders varied somewhat with agency practice but these practices have been essentially similar since about 1921. Specific personnel forms, such as the Notification of Personnel Action (Standard Form 50) have been standardized since 1941. An auxiliary to the Official Personnel Folder is the Service Record Card (Standard Form 7), a mandatory form which replaced multiple types of similar forms used in the agencies. The Official Personnel Folder and Service Record Card are described in Civil Service Handbook S-812, Basic Personnel Records and Files System for Federal Agencies, which prescribes a simplified system of record keeping for Federal personnel offices.

The Official Personnel Folder, which now travels with the Federal employee as he moves from agency to agency, contains papers of continuing value, listed as such in the Federal Personnel Manual, on the right hand side, and papers of temporary value on the left side. Until November 1951, the contents of the left hand side of the folders were described in detail in the Federal Personnel Manual. Now, however, only the records required to be kept are described in detail.

Records normally maintained in addition to the official folder and its related service record card concern phases of personnel administration involving the selection of personnel and the supervision over the work history and on-the-job performance, as follows:

**Position classification:** These records include copies of position classification sheets and related records.

**Recruitment and selection:** These include interview files and related data.

**Training:** These include evidence of skills acquired and made available to the agency.

Other records pertaining to individual employees normally include service record cards and various other controls maintained for purposes of convenience at the operating levels; agency dispensary records; and, for the period of World War II, draft deferment records.

Provision is made in this schedule for the disposition of copies of forms either duplicated in the Official Personnel Folder or maintained in separate personnel files, as well as files maintained for temporary processing or expediting purposes. This schedule also covers correspondence files not relating to individuals maintained by operating personnel offices, involving their administration and operation. The disposition of pay and payroll records, normally maintained by agency fiscal units, is provided for in Schedule 2.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING*</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Official Personnel Folders and comparable files accumulated prior to establishment of the Official Personnel Folder, excluding papers covered by item 11 below.	Alphabetically by name.	(a) See page RI-36 of the Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of

\*Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provision of Sec. 505(a) of the Federal Records Act of 1950 (41 U.S.C. Supp. 284(a)) do not make reference to an established authority. Any new regulations or directives that may be issued from time to time will supersede these recommendations.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
			separated employees to inactive file on separation; close file at end of each year and transfer it to Federal Records Center 1 year thereafter.
2.	Service Record Card (Standard Form 7 or its equivalent).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I A.	Transfer to Federal Records Center 5 years after year of employee's separation or transfer to another agency.
3.	Position descriptions pertaining to positions abolished after September 1, 1950, and descriptions superseded after that date.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I C 4.	Retain one copy. (See item 8 for disposal of other position descriptions.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence in the operating personnel office and its subordinate units relating to their administration and operation.	By subject or agency filing system; start a new file every 3 years.	Dispose 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.
5.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted: Destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment, and dispose of in accordance with provisions in item 16; (3) All others: Dispose immediately.
6.	Certificate files, consisting of:		
	a. Requests for certificates of eligibles.	File requests and certificates by certificate number.	Dispose 1 year after date of certificate.
	b. Certificates of eligibles.	File requests and certificates by certificate number.	Dispose 1 year after date of certificate.
7.	Employee record cards used for informational purposes outside personnel offices (such as Form CF-4).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part III B 2 and B 3.	Dispose on transfer to another agency or bureau or on separation of employee.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Position descriptions (copies other than those provided for by item 3).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I C 4.	Dispose when position is abolished or description is superseded.
9.	Employee interview records.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start new inactive file every 6 months; dispose of inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, dispose of records 6 months after transfer or separation of employee.
10.	Duplicate case files of efficiency rating boards of review, copies of which have been forwarded to the Civil Service Commission.	Alphabetically by name; start a new file every year.	Dispose 1 year after closing file; if filing arrangement differs from that suggested herein, dispose of records 1 year after completion of case.
11.	All copies of correspondence and forms maintained as temporary records in the Official Personnel Folder in accordance with the Federal Personnel Manual, Chapter R1, pages 35-38 (May 1950).	On left side of folder, chronologically.	Dispose on transfer or separation of employee, or when 2 years old.
12.	Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I A.	Dispose when position is cancelled or new strip is prepared.
13.	Employee suggestion case files, including files relating to management improvement suggestions considered under Title X of P. L. 429, 81st Congress, or comparable legislation.	Alphabetically by name; start a new file every 5 years or every 2 years, as appropriate.	After closing case transfer to inactive file arranged in same way as active file but closed at end of each year; dispose of (a) basic copies 5 years after closing of the file; (b) duplicate copies 2 years after close of file.
14.	Case files on rewards for superior accomplishment under Title VII of the Classification Act of 1949.	Alphabetically within fiscal year; start new file each fiscal year.	Start new inactive file every fiscal year; dispose of each year's file 6 months after close of that fiscal year.
15.	Notifications of personnel action, exclusive of those in Official Personnel Folders.  a. Chronological file copies, including face sheets.	  In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B 4.	  Dispose after 2 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
16.	Unsuccessful applications for appointment and related papers, excluding records relating to appointments requiring Senatorial confirmation.	Alphabetically; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of application if filing arrangement differs from that suggested herein, providing the requirements of the Federal Personnel Manual, Section R2-19.01 are observed.
17.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose 2 years after date of report.
18.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule		
	a. Correspondence and forms relating to pending personnel action.	Not applicable.	Dispose when action is completed.
	b. All other correspondence and forms.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
19.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
20.	Files pertaining to the deferment of Federal employees from military training under the Selective Service and Training Act of 1940, as amended (excluding records held by the Selective Service System and the Review Committee on Deferment of Government Employees and their predecessor and successor agencies).		
	a. Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WMC Form 27 or equivalent).	Conform to agency practice.	Dispose after 6 months.
	b. Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers.	Conform to agency practice.	Dispose after 6 months.
	c. Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers.	Conform to agency practice.	Dispose after 6 months.
	d. Correspondence between individual agencies and the Review Committee on Deferment of Government Employees and its predecessors.	Conform to agency practice.	Dispose after 6 months.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	e. Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions."	Conform to agency practice.	Dispose after 6 months.
	f. Reports made within an agency by individual employees on their Selective Service status.	Conform to agency practice.	Dispose after 6 months.
21.	Dispensary treatment record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated in dispensary.	All cards pertaining to an individual to be disposed of 6 years after date of last entry on the cards pertaining to him.
22.	Logs or registers of visits to dispensaries or welfare rooms operating under P. L. 658, 79th Congress.		
	a. Where information is summarized on statistical reports.	Chronologically.	Dispose 3 months after last date on log or register.
	b. Where information is not summarized elsewhere.	Chronologically.	Dispose 2 years after last date on log or register.
23.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history under programs authorized by P. L. 658, 79th Congress, except pro-employment physical examinations, disability retirement examinations, and fitness for duty examinations (which may be made a part of or associated with the Official Personnel Folder or may be retained separately).	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose 6 years after date of last papers in the file.
24.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose 2 years after date of summary or report.

Item 1. The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual (R1 35-38), is considered to be the official record documenting employment history. The permanent documents in the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. All other personnel records relating to individuals are subordinate to the permanent papers in the Official Personnel Folder and appropriate provision for disposing of them is made elsewhere in this schedule, individually or as part of the material on the temporary side of the folder. This item includes agency folders maintained as the official folder prior to the promulgation of the Official Personnel Folder.

Item 2. These service record cards are official summaries of the salient facts of employment history that are maintained by personnel offices to obviate frequent references to official folders and to be used as the official record in lieu of lost official folders. The cards serve as a central personnel office record of all aspects of personnel administration, and have continuous significance as a concise reference source after transfer or separation of the employee.

Item 3. These descriptions must be retained indefinitely in order to protect fully the job restoration rights of persons who are furloughed to enter the military service under the 1948 Selective Service law. These rights involve restoration to the permanent position held as of September 1, 1950, when personnel actions became temporary under Executive Order 10180 and related legislation.

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Items 4 and 5. These files reflect the operation of the personnel office in administering the agency personnel program, and that of the subordinate branches charged with individual phases of the program. Employment policy is normally reflected in agency files at higher administrative levels. Files covered by item 4 serve temporary administrative needs involved in the daily problems arising in personnel work, and the retention period indicated is adequate to serve such temporary needs. Correspondence relating to individuals who receive appointments is provided for elsewhere in this schedule, and item 5 relates to routine papers reflecting pre-appointment negotiations with potential appointees.

Item 6. These forms relate to requests made by the agency to the Civil Service Commission for lists of eligibles from established registers. The certificate itself is of little administrative value once decisions have been taken with respect to the names certified.

Item 7. Optional Form 4 was developed as an informational record for operating units served by the personnel office to obviate requests for employee service and related data. Once the employee leaves the operating unit, the card is of no further administrative value. The permanent summary card record is maintained on Standard Form 7 (see item 2) by the personnel office itself.

Item 8. Position descriptions, used in classification work and in employment control, are of value as continuing personnel documents while the descriptions they contain are still valid. Except for descriptions which may be of continuing value because of their aptness of content (which may be retained as non-record reference material), these records are of little value after they are superseded or obsolete. Descriptions of positions abolished and descriptions superseded after September 1, 1950, are retained for the special reasons noted under item 3.

Item 9. These are primarily employee relations files and involve entrance and exit interviews, and interviews involving complaints by or against the employee. Any action taken by reprimand or otherwise is permanently documented on the right hand side of the personnel folder. Some agencies place these records on the temporary side of the folder, to be disposed of on transfer or separation.

Item 10. These are duplicates of papers submitted by members of Boards of Review to the Civil Service Commission on termination of their terms of office.

Item 11. These are temporary papers dealing either with the inception of personnel actions documented on the permanent side of the Official Personnel Folder or with administrative matters, and are of administrative value only for a short time.

Item 12. These visible strips, which are maintained with the service record card files, provide summary data on each position occupied. They have no record or reference value when the related positions are cancelled.

Item 13. These are case files accumulated under agency beneficial suggestion and management improvement programs. They have administrative value in evaluating new suggestions and in documenting current practices and procedures instituted as a result of the suggestions. The disposal period is sufficient to satisfy administrative needs either in reference or in documenting current practices. A lapse of five years after closing of the file will provide for normal reference needs.

Item 14. These are primarily copies of reports submitted to the Civil Service Commission. The copies are of little value to the agencies after a short period following submittal of the report.

Item 15. Copies of notifications of personnel action (other than the Official Personnel Folder copy) which have administrative or fiscal use are the pay copy, which is to be disposed of uniformly with other pay records, and the journal action copies, which will be retained for two years, in accordance with the provision of RI-2 of the Federal Personnel Manual, to satisfy inspection requirements.

Item 16. These are suspense files of job applications which have no further administrative usefulness after the indicated retention period.

Item 17. These reports, which are required administratively and by the Commission on many phases of personnel administration, are normally consolidated into summary reports submitted to higher administrative levels, or are so detailed as to have no further administrative value after the period indicated.

Item 18. This item is intended to provide for the mass of local and other forms and correspondence which is not placed in the Official Personnel Folder because the Federal Personnel Manual does not require it or because it is deemed not to be administratively necessary to do so. Generally, these files relate to aspects of employment history which are documented in the official folders or in fiscal records to be retained for a lengthy period by the provisions of this schedule, and therefore are of little administrative value after relatively short periods.

Item 19. These are copies of forms relating to personnel actions and other matters involving the employee submitted by the operating unit initiating the form to the personnel office.

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Item 20. These records, created by Federal agencies as a result of operations pursuant to the Selective Service and Training Act of 1940, as amended, are of no further administrative value to the agencies. Actions taken with respect to individuals have been documented in retained Official Personnel Folders or their equivalents existing prior to 1947.

Items 21 and 23. These are the continuing records of treatment in a health unit of individual employees; any correspondence, memoranda, or other data that come to the health unit are filed in the same jacket. Journal entries are made on record cards or comparable forms recording each visit of the patient, brief diagnosis or statement of referral to private doctor, and treatment given, if any. The documents excepted from disposal are deemed of long term value by both personnel officials and by medical officials, and are normally filed in the Official Personnel Folder (item 1), but the remainder of the papers in each file are of only ephemeral interest. The records have no historical value; they are not of value for documenting the activities of health units; medical officers believe that if no new data have been obtained during the retention period specified, they are of no value medically; and their administrative utility is limited by the five-year statute of limitations on claims for employees' compensation.

Item 22. These are journals on which are recorded the name of each patient coming to a health unit, date on which he came, and, often, other identifying data, time spent, and a very brief notation of the illness or injury that prompted him to come. The records are occasionally used for administrative purposes for about one year after they are created, but not longer. They have no historical value and no value for documenting the history and functions of the unit; medical officers state that they have no medical value. Since their only administrative use is for statistical purposes, it is possible to dispose of those which are statistically summarized almost immediately and the statistical utility of the others is exhausted within the alternate period specified.

Item 24. These are retained copies of reports and summaries compiled by a health unit for transmission to higher administrative echelons, where they are used in combination with other reports for statistical and narrative analysis, and of informational copies of analyses transmitted to health units by higher administrative echelons. In either case, significant data are available at the higher echelons and the records are of no utility in health units beyond the period of time specified.

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## GENERAL RECORDS SCHEDULE 2

### Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civil employees of the Government for personal services. This schedule applies to the pay records created since January 1, 1921, that are common to all agencies, but it excludes (a) retirement record cards (Forms 2806 or equivalent) that are maintained during employee duty and then are transferred to the Retirement Division of the Civil Service Commission; (b) files physically transmitted to the General Accounting Office or maintained in agency space for audit under Section 117(b) of the Budget and Accounting Procedures Act of 1950 and the Post Office Financial Control Act of 1950; (c) records relating to tax withholding, defense bonds, or fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; (d) or to Bureau of the Budget files reflecting agency personnel needs and problems. Evaluation and disposition of these records must be provided for separately.

Normally copies of papers required by the Comptroller General to be maintained for site audit or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts (Schedule 6). 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 Section 9 of the Records Disposal Act of 1943, as amended (44 U.S.C. 374).

About 70 percent of Federal civilian pay accounts are prepared and maintained in accordance with General Regulations No. 102 of the Comptroller General, issued in 1944. This regulation provided, among other things, that the pay record for each employee be maintained on a separate card form (Standard Form 1127 or equivalent) and abandoned the comprehensive payroll fairly universal in the Federal Government since about 1880. The regulations induced a strong measure of uniformity, although the exemption of the Post Office Department and the Postal Service from its purview immediately removed about one-fourth of all Federal employees from its scope. However, there are at present three basic systems in use in the Federal Government for the preparation and processing of payrolls: (a) The simplified payroll system promulgated by General Regulations No. 102, serving the administrative interests of the agencies, the General Accounting Office audit responsibilities, and the Division of Disbursement of the Treasury Department. Although the regulations are specifically formulated for per annum employees, the system is used in an adapted form for per diem and other employees of the Departments of the Army and the Air Force, and certain civilian executive departments. The Navy, while not specifically exempt, has arranged to use its traditional procedures in preparing civilian payrolls, although its departmental rolls are prepared under an adaptation of the regulations; (b) The Navy system for its field employees, which retains the older type of comprehensive payroll; and (c) The Post Office Department and United States Postal Service systems.

The various adaptations of Regulations No. 102 which have been permitted by the Comptroller General and the non-use of the regulations have resulted in the creation of records which are equivalent to the individual pay card in value but often differ radically in physical nature and format. Some agencies, for example, post pay and deduction data both to a pay card and to the older type of comprehensive payroll. Other agencies use no pay card and rely on the comprehensive payroll where it is felt that use of the simplified system, geared as it is to occasional changes in normal pay, is not administratively feasible because pay changes may be the agency norm rather than the exception.

The key file in any of the payroll systems is the record which contains the deduction and service data. This data appears in either the centralized pay card or on the face of the older type of comprehensive payroll traditionally used.

In the payrolling process, a group of diverse records are accumulated. Under the Regulations 102 system, the pay records are normally site audited by representatives of the General Accounting Office, who examine primarily the earning record cards, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signature of the agency certifying officer, check lists prepared in lieu of the more formal payrolls by Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms advising of personnel actions resulting in 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 summary leave card, to which information is posted from more detailed records kept by time and attendance clerks located throughout an agency. Two basic forms are used by most agencies: (a) Standard Form 1137, which shows leave taken by an employee over a two-year period; and (b) Standard Form 1130, which is a combination time and attendance and leave record designed to be maintained in agencies in which the timekeeping function is decentralized. One Standard Form 1130 is maintained for each employee each pay period, and the current leave status figure is accumulated from pay period to pay period.

Other records incidental to the payrolling process are withholding tax and defense bond records,

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reports made to Treasury Department units and the Civil Service Commission on income tax and retirement transactions, and other records not pertaining to individuals, but rather to the general administration of the payroll office and the payroll function.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Individual earning and service cards (such as Standard Form 1127 or its equivalent).		
A.	Cards on transferred and separated employees, and papers recommended by item 8 as attachments.	Alphabetically by name of employee.	Disposal not authorized by this schedule. (Place in inactive file on transfer or separation of employee; close file at end of each year and transfer it to Federal Records Center after audit by the General Accounting Office.)
B.	Cards on active employees.	Alphabetically by name of employee; start a new file every 3 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 2 years after close of file.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the units.	Conform to agency practice.	Dispose after 2 years.
3.	Time and attendance reports.		
A.	Copies used in payroll preparation and processing. (Where Standard Form 1130 is used for both time and attendance and leave posting purposes, the disposal provision for item 9 applies.)	Standard Form 1130 for each employee per pay period, arranged by pay period; one copy of Standard Forms 1135 and 1136, chronologically.	Dispose 2 years after audit by the General Accounting Office.
B.	All others.	By pay period with other pay records.	Dispose 6 months after end of pay period.
4.	Individual authorization card and record of payroll allotments (such as Treasury Department Form 2254).		
A.	Where record of bond deductions is maintained on earning record card.	Alphabetically by name of employee.	Dispose when superseded by new card or on transfer or separation of employee, whichever is earlier.
B.	Where record of bond deductions is not maintained elsewhere.	Alphabetically by name of employee.	Dispose 4 years after close of file. (Remove to inactive file when superseded or upon transfer or separation; close inactive file at end of each year and transfer to Federal Records Center 2 years thereafter.)
5.	Issuing agents' copies of bond registration stubs.	By year and bond number thereunder.	Dispose after 2 years.
6.	Receipts for U. S. Savings Bonds, and checks.	By month and alphabetically thereunder.	Dispose 3 months after date of receipt.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
7.	Reports of deposits and purchases of bonds, and related papers.	By month.	Dispose after 4 years.
8.	Applications for leave and supporting papers.		
a.	Applications for leave taken <del>immediately</del> prior to separation.	Alphabetically by name; start a new file every year.	Disposal not authorized by this schedule. (Attach to individual pay or earning card (see item 1).)
b.	All others.	Alphabetically by name; start a new file every year.	Dispose 1 year after file is closed or 1 year after date of application if filing arrangement differs from that suggested herein.
9.	Leave record cards, maintained independently of pay and earning records. (Including Standard Form 1130 when used as a leave record.)		
a.	Final cards showing accumulated leave on separation.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose after 10 years. (Close file at end of year and transfer to Federal Records Center 3 years thereafter; dispose 7 years after transfer to Center.)
b.	All other cards.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose 3 years after audit of related pay records.
10.	Records of leave data transferred (such as Standard Form 1150).	Alphabetically by name; start a new file every year.	Dispose 2 years after file is closed or 2 years after date of document if filing arrangement differs from that suggested herein.
11.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
a.	Pay or fiscal copy.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
b.	Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B L.	Dispose after 2 years.
c.	All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
12.	Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.	By organization.	Dispose when superseded.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
13.	Memorandum copies of payrolls and related certification sheets (such as Standard Forms 1013, 1128 or equivalents).		
	a. Where earning record card is maintained.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	b. Where earning record card is not maintained.	By pay period with other pay records.	Dispose when 10 years old. (Transfer to Federal Records Center when 3 years old.)
14.	Payroll control registers (such as Standard Form 1125).	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
15.	Payroll change slips exclusive of those in Official Personnel Folders (such as Standard Form 1126).		
	a. General Accounting Office audit copy.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	b. Copy used by disbursing officer in preparing checks.	By pay period, thereunder alphabetically by name.	Dispose after preparation of check.
	c. All other copies.	By pay period, thereunder alphabetically by name.	Dispose 1 month after end of pay period.
16.	Memorandum copies of fiscal schedules involved in payroll processing.		
	a. General Accounting Office audit copy.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	b. All other copies.	Varies with agency practice.	Dispose 1 month after end of pay period.
17.	Administrative reports and data relating to payroll operations and pay administration.		
	a. Reports and data used for workload and personnel management purposes.	Conform to agency practice.	Dispose after 2 years.
	b. All other reports and data.	Conform to agency practice.	Dispose after 4 years.
18.	Withholding tax exemption certificates (such as Internal Revenue Form W-4).	Alphabetically by name.	Dispose 4 years after card is superseded or obsolete.
19.	Returns on income taxes withheld (such as Internal Revenue Form W-2).	By return and chronologically thereunder.	Dispose after 4 years.
20.	Reports of withheld Federal taxes and related papers.	Conform to agency filing practice.	Dispose after 4 years.
21.	Retirement reports and registers.	Chronologically.	Dispose after 4 years.

Item 1. These are the official centralized pay records maintained by agencies keeping such records under General Regulation No. 102 of the Comptroller General or an adaptation thereof. Summaries of services are also normally included. In agencies under payroll site audit, this centralized record is the only

-4-

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file documenting the fiscal aspects of employment history. It is retained as a record related to the Official Personnel Folder and the Service Record Card, which document the employment history itself. Comprehensive payrolls which serve as a fiscal record in lieu of an earning card are retained under item 13 for a ten-year period. After that time reference can be made to the payroll transmitted to the General Accounting Office as a supporting voucher.

Items 2, 7, 12, 17. These files reflect the general operation and administration of the organizational unit responsible for preparation of the payroll. The subject matter is normally of a routine administrative nature, and policy documentation is normally available in files at higher administrative levels.

Items 3-6, 8-11, 13-16, 18-21. These files, accumulated in the course of processing and preparation of the payroll, are generally disposable after agency administrative and General Accounting Office audit needs have been met, as follows:

- a. Check lists, payrolls, and related papers, posting cards, and controls (Items 3, 11, 13-16). These copies of the payrolls or check lists and the papers immediately attached are held long enough after site audit to satisfy agency needs. Such General Accounting Office sets of these records as are involved are retained for at least 12 years, while the pay information in most agencies is posted to centralized pay cards (item 1).
- b. Savings bonds, retirement, and income tax files (Items 4-6, 18-21), involving Treasury and Civil Service Commission programs. These records consist of employee authorizations for payroll deductions, held long enough to serve Treasury and agency needs, and reports and returns to staff agencies. Agency savings bond records are deemed disposable in view of the extensive bond history files maintained by the Bureau of the Public Debt, Treasury Department.
- c. Leave records (Items 8-10). The applications for leave are held for a minimum period, since they are posted to summary leave record cards (item 9). Most cards are disposable after retention for three years to satisfy normal reference needs, but cards showing accumulated leave upon separation are disposable after a sufficient period to provide for their use in answering claims brought within the statutory ten-year period. The records of leave data transferred, submitted to the receiving agency on employee transfer, is posted to the new leave record shortly after receipt of the data.

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## GENERAL RECORDS SCHEDULE 3

### Procurement and Supply Records

Agency procurement and supply records include the papers and files involved in obtaining 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 rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

This schedule covers procurement files dated since 1894, when such files began to be somewhat standardized. All contract records prior to 1894, for example, are not of permanent value, but their unstandardized nature makes it necessary for these older files to be evaluated on their own merits and they are therefore not covered by this schedule. Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part. Furthermore, written findings pertaining to procurement methods, required by Section 7(c) of the Armed Services Procurement Act of 1947 (41 U.S.C. 156) and Section 307(c) of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 257), are not covered by this schedule.

This schedule does not apply to records held by the General Accounting Office reflecting Government-wide responsibilities, or to those held by the General Services Administration or other agencies to which Government-wide procurement or related responsibilities have been delegated under the provisions of the Federal Property and Administrative Services Act of 1949. Normally originals of papers required by the Comptroller General to be maintained for site audit, or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts. These original papers are therefore excluded from coverage in this schedule for the reasons set forth in Schedule 6. Similarly, this schedule does not apply to documents submitted to or created by other coordinating or regulatory agencies, such as the National Production Authority, the Economic Stabilization Agency, and others, in the course of their program operations.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (41 U.S.C. 374).

Since 1949 Federal agencies have operated their procurement and supply systems under regulations issued by the Federal Supply Service of the General Services Administration, although the Secretary of Defense under Section 201(a) of the Federal Property and Administrative Services Act of 1949, may exempt his Department from General Services Administration procurement regulations and orders.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. Forms to be used and reports to be made both ad hoc and as part of the returns of Federal disbursing officers are prescribed. General Regulation No. 4 of the Administrator of General Services, for example, makes mandatory the use of certain standard supply contract forms. 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.

Procurement files fall into a number of functional categories, depending on the role of the file in the total supply process and its administration.

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 files differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisitions, 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. Conformed copies of most procurement documents involving sums over \$5,000 for military agencies and over \$2,000 for other agencies, and leases, are submitted to the General Accounting Office at the time of their execution. The General Accounting Office contract file normally includes only those basic papers which enable its auditors to pass on the propriety of the expenditure or obligation. In agencies whose accounts are under site audit, the pertinent copies are maintained in agency space for the General Accounting Office.

Agency files may pertain to one or more of several procurement methods: (1) purchases against Federal Supply Service schedule contracts, record copies of which are in the appropriate Federal Supply Service regional office, (2) transactions initiated pursuant to the agency's own purchasing authority, or (3) requisitions from Federal Supply Service current inventories. Normally, in transactions not arising from Federal Supply Service schedule contracts, purchase orders are used for transactions under \$2,000 in value, and the more formal contract instruments are used for transactions involving larger sums of money.

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Certain basic legislation normally governs procurement policies. The First and Second War Powers Act, enacted early in World War II, laid down general policies which gave to contracting officers wide latitude in contract determinations. The Armed Forces Procurement Act of 1948 (62 Stat. 21) stated policy for armed forces procurement. Title III of the Federal Property and Administrative Services Act of 1950 restated over-all procurement policy and methods for the Government as a whole. Specialized legislation, such as the various renegotiation and price adjustment acts following World War II, produced temporary modifications of procedures.

The Federal procurement field has been affected from time to time by specialized legislation, some of which has been enacted for ad hoc purposes, while other laws have resulted in standard contract articles. Thus the Contract Settlement Act of 1944 (58 Stat. 649) prescribed procedures and policies to be used in the termination of World War II contracts; the Fair Labor Standards Act of 1938 prescribed certain standards of working conditions and employment that are still in effect; and the Anti-Kickback Act of 1940 attempted to outlaw illegal arrangements by which employees returned parts of their wages to their employers under duress. Other legislation and administrative policies have imposed other legal safeguards and prohibitions, particularly in the field of real property procurement. In most instances the procurement files are required to document actions taken under the various laws.

Legislation which governs the procurement process inevitably affects the content of procurement files but not in such a way as to affect the long term value of the files except in the cases of those involving certain aspects of real property acquisition.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Procurement files (as described in item 4 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement or to major procurement programs.	Conform to agency practice.	Disposal not authorized by this schedule.
2.	Title papers documenting the acquisition of real property (by condemnation proceedings or otherwise).	Conform to agency practice.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after sale of property.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Correspondence files of procurement operating units pertaining to their internal operation and administration that are not covered elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Contract, requisition, purchase order, lease, 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 2).		
a.	Procurement or purchase organization copy.		
	(1) Transactions of \$1,000 or less.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 4 years after final payment.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Transactions of more than \$1,000 and less than \$25,000.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 7 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
	(3) Transactions of \$25,000 or more.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 11 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
	b. Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
	c. Other copies of papers described in 4a.		
	(1) Papers duplicated in item 4a.	As appropriate.	Dispose 1 year after completion of transaction.
	(2) Papers not duplicated in item 4a.	As appropriate.	Dispose in accordance with provision for item 4a.
5.	Files of volume and workload reports on procurement and supply operations and procedures (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 by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 231).		
	a. Copies received from other units for internal purposes or for transmission.	By report and chronologically thereunder.	Dispose 2 years after date of report.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose 1 year after date of report.
6.	Bid files.		
	a. Successful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	b. Unsuccessful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	c. Lists or cards of acceptable bidders.	Alphabetically by stock item or by name of bidder.	Dispose when new list or card is made.
7.	Records relating to requisitions on the Public Printer, and all supporting papers.		
	a. Printing procurement unit copy of requisition, invoice, specifications and related papers.	By requisition number.	Dispose 4 years after completion or cancellation of requisition.
	b. Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Attach to related vouchers.	Dispose 4 years after period covered by related account.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	By requisition number.	Dispose after 1 year.
9.	Requisitions for supplies and equipment from current inventory.		
a.	Stockroom copy.	Numerically by requisition number.	Dispose 2 years after completion or cancellation of requisition.
b.	All other copies.	Numerically by requisition number.	Dispose after 6 months.
10.	Inventories of supplies and equipment.		
a.	Stockroom inventory lists.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years from date of list.
b.	Stockroom inventory cards.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification.
c.	Card files on office equipment.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years after equipment is removed from agency control.
11.	Telephone statements and toll slips.	Attached to related vouchers.	Dispose 4 years after period covered by related account.
12.	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 exceptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 231).		
a.	Copies received from other units for internal purposes or for transmission to staff agencies.	By report and chronologically thereunder.	Dispose after 2 years.
b.	Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose after 1 year.

Item 1. These procurement files, normally selected by the agency as of continuing value, consist of procurement papers and related records which may or may not have been physically located in the agency principal procurement file. The records are retained not because of the individual transaction they represent, but because (a) they represent new departures in administrative arrangements not documented elsewhere in the agency, (b) they are an integral part of a file which may illustrate the inception and accomplishments of a major procurement program, or (c) they represent procurement procedures radically different from those normally followed and therefore are deserving of separate consideration. Normally they will be found in only a few agencies, such as the Defense departments and Atomic Energy Commission, which have unusual procurement problems.

Item 2. These records are of enduring legal, administrative, and historical value since they constitute the basic evidence of acquisition of real property by the Government, including statements of legal boundaries and restrictions that may run for generations. Other evidence of the same facts is legally secondary to the statements in the title papers.

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Item 3. These are routine administrative files not part of other case files, and they do not include records of agencies or parts of agencies involved with the development of top procurement policy. Rather, these files are held by the units responsible for the day to day detailed procurement transactions. They are held long enough to satisfy administrative and reference needs.

Item 4. Agency procurement files (other than those described in items 1 and 2) have the following conceivable values:

a. Legal and fiscal value: The principal values of procurement files are those pertaining to the rights of the Government as a contractor and as claimant or claimee and those involving audit or investigation by the General Accounting Office, the Congress, or others of transactions and payments. The General Accounting Office, which receives most claims involving procurement, has noted that claims quite consistently involve transactions of \$25,000 or more. The longest applicable statute of limitations on claims brought before the Comptroller General is 10 years (54 Stat. 1061); certain types of claims are governed by a six-year statute. The standard which has been developed for the disposition of procurement files therefore requires that contracts relating to transactions of \$25,000 or more must be retained until eleven years after final payment. Files relating to transactions between \$1,000 and \$25,000 and below \$1,000 are retained until seven and four years, respectively, after final payment. Audit needs of the General Accounting Office are satisfied under normal conditions after three years, since accounts must be settled within three years from date of submission.

b. Historical value: Modern agency procurement files as a class are not of permanent historical or archival value since they represent essentially routine transactions and merely bind the usual buyer-seller relationships. These agency files are very voluminous and necessarily most of the transactions involved are of no historical importance. Important policies and procedures are established by the Comptroller General, the Administrator of General Services, and agency staff groups, and compliance with these procedures and policies is checked by the General Accounting Office so that irregularities of significance are documented in that agency.

c. Agency administrative value: Normally procurement files are of little reference interest to the agency after final payment has been made. Such needs, however, are adequately provided for by the retention period.

Item 5. These are workload and activity reports, with related subsidiary reports, made to staff agencies or to organizational superiors and are used for consolidated agency reports or for work measurement and other management purposes. These copies have no administrative value after the lapse of the period specified.

Item 6. The unsuccessful bids are retained for a period sufficient to serve needs of the contracting agency and other interested Federal units.

Item 7. These are case files on printing and binding jobs performed by the Government Printing Office. The files, comprising originating papers, agreements, and all related correspondence are normally maintained in the service organization involved in the printing and publication function. The period specified is sufficient to safeguard agency administrative needs arising from fiscal adjustments with the Government Printing Office, or from audit of the related accounts.

Item 8. These are requisitions for routine agency services. They are of minor value after the services have been performed.

Item 9. These are routine internal requisitions originated by operating units and filled from agency or Federal Supply Service inventories. They do not directly result in procurement action. The period provided is sufficient for local administrative needs and for posting to stock records.

Item 10. These are inventories maintained to provide replenishment data, stock control data, and property maintenance data, and are normally of administrative value as long as the individual stock items involved are in current use. The periods provided are sufficient to allow for administrative and management uses, including those involving the property accounting system audit responsibilities of the General Accounting Office.

Item 11. Toll slips are in effect invoices authorizing payment via public vouchers for long distance telephone calls, and are usually filed with the related vouchers. Disposal is based on the three-year statutory period for the settlement of disbursing accounts, plus one year for agency administrative needs.

Item 12. These are reports required externally by the General Services Administration (Federal Supply Service) and internally by the agency to show agency needs and procurement for Federal Supply management purposes. The period of time specified is sufficient to satisfy internal agency needs for the information contained in these reports.

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## 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 the staff functions of the former War Assets Administration relating to property disposition to the new agency. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Interior Department relating to the public domain, and to records relating to overseas property under State Department control. Surplus property transaction files dated prior to the establishment of the former Procurement Division in 1933 are also not covered. Such files are not necessarily of continuing value but they must be evaluated separately from later similar records because prior to assignment of program responsibility to the Procurement Division the files are incomplete and of varying nature.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

In discharging its responsibilities, the Federal Supply Service, General Services Administration, has issued Personal Property Management Regulation No. 3, which sets up procedures for screening, redistribution, and sale of personal property in the Federal Government. Three forms are prescribed for use by any agency selling surplus personal property under the regulation:

a. Standard Form 144 (Sale of Government Property, Invitation, 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 Form 120 (Report of Excess Personal Property) and 121 (Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property). Form 120 reports personal property which is excess to the agency reporting to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Personal Property Utilization Division of the Federal Supply Service, General Services Administration, which consolidates the data.

Procedures relating to real property are governed by Public Buildings Circular No. 1, but no forms are prescribed.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Case files on sales of surplus personal property (as described in item 6 below) involving transactions of \$25,000 or more, and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	Transaction files in alphabetical order by name of purchaser.	Disposal not authorized by this schedule.
2.	Case files on disposal of surplus real and related personal property.	Alphabetically by location or by control number, as appropriate.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after close of file.)
3.	Reports of excess real property.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence files maintained by operating units responsible for property disposal, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.
5.	Reports of excess personal property.	Chronologically by reporting unit.	Dispose after 3 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
6.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).		
a.	Transactions of \$1,000 or less.	Transaction files in alphabetical order by name of purchaser.	Dispose 4 years after final payment.
b.	Transactions of more than \$1,000 and less than \$25,000.	Transaction files in alphabetical order by name of purchaser.	Dispose 7 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)
c.	Transactions of \$25,000 or over.	Transaction files in alphabetical order by name of purchaser.	Dispose 11 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)

Item 1. These files, normally selected by the agency for permanent retention, are retained because they document transactions involving new departures in the administration of surplus personal property disposal and as such may be of continuing value. Those not warranting continued preservation must be appraised on their own merits.

Item 2. Almost all contracts for the sale by the Government of surplus real property include recapture clauses, reservations on fissionable materials, reservations on water rights, and other restrictions. These reservations are not limited in time and therefore the sales files must be kept indefinitely. Older sales files and current ones not including such reservations may be disposable but since they represent sales taking place under unstandardized policies and procedures they must be appraised on their own merits. The related personal property described in this item is property sold with the real estate or with similar reservations.

Item 3. Reports of excess real property contain justifications for declaring the property excess and contain data on the methods by which the property was acquired. Continuing legal needs for this information preclude scheduling their disposal on a Government-wide basis.

Items 4-6. Since these agency sales case files represent a contractual relationship in which the Government is a seller instead of a buyer, the factors governing the disposal of most procurement files (item 4, Schedule 3) apply also to personal property disposal records. The routine case files are therefore held for four, seven, or eleven years after final payment, depending upon the cash value of the transaction. Agency copies of the declarations and reports have a relatively short term administrative value to the agency since they primarily serve the management purpose of the General Services Administration as the Federal procurement staff agency. General correspondence files are retained long enough to serve routine needs.

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## 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 Bureau of the Budget and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by the Bureau of the Budget, usually in quarterly portions, and the agencies must indicate and justify regularly to the Bureau their proposed rate of expenditures. 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 records of budget preparation, presentation, and apportionment created since January 1, 1921, in all agencies, except that it does not apply to records of the Bureau of the Budget and the Treasury Department reflecting the Government-wide budget responsibilities of those agencies.

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 Circular A-11 of the Bureau of the Budget, Instructions for the Preparation and Submission of Budget Estimates, 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 radically from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to the Bureau of the Budget. 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, the Bureau of the Budget requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various types of service operations, such as personnel and payroll activities.

After the Bureau of the Budget examines the agency presentations to determine whether the proposed expenditures are in accord with the President's program, revision of agency requests are made. The agency budget file will therefore show the revisions made at the direction of the Budget Bureau prior to submission to Congress as part of the total presidential budget. In addition it will include copies of testimony before Congressional appropriation committees and of various exhibits and other data submitted in defense of the budget.

Apportionment and reporting are other aspects of budget work in the Federal Government. These budgetary activities are governed by Budget-Treasury Regulation No. 1, which prescribes records and procedures relating to apportionments and reports on the status of appropriations and other authorizations. In setting up the control over the budgetary and financial programs of the Government, the regulation prescribes a series of Standard Forms (SF 131-133, SF 141-143). The major functions of these forms are to make formal request of the Bureau of the Budget for amounts of obligations to be incurred during a specified period under an appropriation, for contract authorization, or for statutory authorizations, and to report on the status of the various appropriation accounts, by appropriation title.

Requests for apportionment (Standard Forms 131 and 141) and for reapportionment (Standard Form 132) are submitted by agencies in original and two copies for each appropriation account subject to apportionment. The original is returned to the agency by the Budget Bureau with a notation indicating the action taken, while the duplicate remains with the Bureau, and the triplicate is sent to the Bureau of Accounts, Treasury Department. To apprise the Budget Bureau of the fiscal status of each appropriation account, agencies submit monthly reports (Standard Forms 133 and 143) showing total amounts still available, the nature of the amounts available, and the relation of the obligations to the payments.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Correspondance files of formally organized budget offices showing agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Conform to agency practice.	Disposal not authorized by this schedule.
2.	File copies of budget estimates prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational levels, comprising appropriation language sheets, narrative statements, and related schedules and data.	Chronologically.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after the close of the fiscal year covered by the budget.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Correspondance files of budget offices not otherwise covered in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Work papers, cost statements, and rough data accumulated in preparation of annual budget estimates, including duplicates of papers included in file copies of budget estimates (described in item 2).	Conform to agency practice.	Dispose 1 year after close of fiscal year covered by budget.
5.	Periodic reports on the status of appropriation accounts and apportionments.		
a.	End of fiscal year report.	By report and chronologically thereunder.	Dispose 5 years after close of fiscal year involved.
b.	All other reports.	By report and chronologically thereunder.	Dispose 4 years after close of fiscal year involved.
6.	Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Chronologically.	Dispose 2 years after close of fiscal year involved.

Items 1 and 3. Papers relating to budgeting processes and to substantive policy decisions pertaining to the expenditure aspects of agency programs are retained as permanent program records of the agency. All other correspondence is held for a minimum period to satisfy normal reference needs.

Items 2 and 4. File copies of budget estimates prepared or consolidated in formally organized budget offices at the bureau or higher organizational levels have two values:

Values for administrative and management purposes in budget functions: These submissions are of potential value in tracing the budgetary development of program and operations. This use of the files makes necessary its retention for a period sufficient to make such reference possible. Agency experience indicates that administrative and management reference is heaviest for the five fiscal years following the year covered by the submission, and that after ten years such reference is virtually non-existent. Many programs prosecuted by Federal agencies are completed within a ten-year period.

Values for historical purposes in documenting the program of the agency: Much of the information contained in file copies of budget estimates is also contained in high echelon files of the agency that are retained permanently and in published hearings on the budget held by Congressional committees. In addition copies of recent submissions to the Budget Bureau are in the custody of that Bureau.

Several years ago the Budget Bureau copies of agency estimate submissions through the fiscal year 1940 were destroyed under authority granted by the Archivist of the United States and the Congress. However, the Bureau has not decided to treat this file as a permanent record. Section 157 of the Examiner's Handbook, dealing with the disposition of Estimate Division records, provides that official record copies of submissions, including "correspondence and memoranda; exhibits and appendices; and related papers reflecting Budget Bureau review of agency estimates" be sent to the Bureau's depository

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after retention in the operating unit for two fiscal years after the close of the fiscal year to which the submission pertains. Bureau of the Budget copies are available for the fiscal years beginning with 1941.

Despite the degree to which the data in bureau and agency budget files are duplicated elsewhere, however, the volume of these files is not extensive except in those agencies in which many types of work papers and various ephemera are present. Such papers are of little value and are disposable soon after preparation of the budget estimates is completed. The estimates formulated in formally organized budget offices are not all of continuing value, but there are enough instances in which they are convenient or sole sources of information as to agency plans and hopes that it does not seem practicable to consider them disposable on a Government-wide basis. Many of them may be valuable for research, particularly because they are retained with other records of the agency concerned and therefore can be used easily in conjunction with other files of the agency. Their disposal is therefore not authorized by this schedule.

Items 5 and 6. The apportionment and reapportionment records are retained for a period sufficient to satisfy the management reference needs of the agency. Bureau of the Budget copies are retained as permanent records.

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## GENERAL RECORDS SCHEDULE 6

### Accountable Officers' Accounts

Accountable officers' accounts include record copies of all papers concerned with the accounting for, availability, and status of public funds. "Accountable officers" are of two types: (a) the disbursing officer, who accomplishes the actual payment of public monies to proper Federal creditors, and (b) the certifying officer, whose signature on a summary schedule attests to the authenticity of vouchers listed on the schedule. The latter official, who is bonded, takes the responsibility of approving for payment by the disbursing officer the sums due other agencies, contractors, employees and others who have provided goods and services to the Government. Within the Federal Government the certifying officer and the disbursing officer are usually different individuals.

Disbursements for virtually all Government agencies, except the Department of Defense, the Postal Service, the Department of State, and certain Government corporations, are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement within the Bureau of Accounts, Treasury Department. The Division was created by Executive Order 6166 of June 10, 1933. Prior to that time agencies had their own disbursing organizations. Traditionally agencies transmitted individual vouchers, covering schedules, and summaries on the basis of which payment was made and the papers were then forwarded to the General Accounting Office for audit. Since about July 1949, however, disbursements have been made for an increasing number of agencies merely on the basis of certified schedules, with the detailed vouchers transferred to the General Accounting Office from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by General Accounting Office General Regulations No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167 for use by all agencies effective July 1, 1952) and formally eliminated the transfer of vouchers to the Chief Disbursing Officer. This schedule applies to the accounting and the fiscal records of agencies, which may be held by either agency disbursing or certifying officers or by both.

Another procedural change with major record implications was the inception and gradual extension of the on-the-site audit of agency accounts. Under this system the vouchers, contracts, schedules, accounts current, and other related supporting documents are to be retained in agency space for the General Accounting Office auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that the audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. Section 7(a) of General Accounting Office General Regulations No. 115 gives general authority to the agencies, if the records are no longer required for administrative purposes and subject to the written approval by the Comptroller General, to transfer records audited at the site to Federal Records Centers after two years. Because the records heretofore transferred to the General Accounting Office are retained in the agency and available, several agencies have eliminated the creation of memorandum copies.

This general schedule covers the memorandum copies of the accountable officers' accounts created since January 1, 1921, whether or not the agencies are assigned for an audit-on-the-site. Conversely, it does not apply to the papers which have been submitted to the General Accounting Office either by physical transfer or by retention in agency space for audit purposes. Nor does the schedule apply to the management copies of the schedules and related papers held by the Chief Disbursing Officer, from which he makes payment. These are covered by a separate authorization.

Because of special General Accounting Office needs, vouchers and related papers pertaining to freight transportation charges are excluded from disposition. Under General Accounting Office General Regulations No. 115 voucher schedules and supporting basic documents covering transportation services are forwarded to the General Accounting Office, Washington, D. C., regardless of whether the forwarding agency is under on-the-site audit. The memorandum copies, which are included in Schedule 9, are designated for transfer to a Federal Records Center. Similarly, because of their value as auxiliary personnel records, the records relating to pay of civilian personnel are excluded from coverage in this schedule and are separately treated in Schedule 2.

In addition to the memorandum copies of returns, this schedule also covers records in other agencies which are related to the audit of the accounts by the General Accounting Office. These include (1) the notices of exception by which the General Accounting Office notifies the proper accountable officer that it takes exception to a specific payment or transaction, and (2) certificates of settlement that show the status of his account.

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 disbursing 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 separately.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Disbursing returns, comprising memorandum copies of accounts current, all supporting vouchers, schedules, documents, and related papers not otherwise provided for in this schedule (exclusive of freight records covered by Schedule 9 and payroll records covered by Schedule 2).	Conform to agency practice.	Dispose 4 years after period covered by the account.
2.	General Accounting Office notices of exception (formal or informal) and related correspondence.	Chronologically.	Dispose 1 year after exception is reported as cleared by the General Accounting Office.
3.	Copies of certificates of settlement of accounts of accountable officers (disbursing and certifying), statements of differences, and related papers.		
a.	Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Case file or schedule in chronological order.	Dispose 2 years after date of settlement, providing certificate is cleared.
b.	Certificates covering periodic settlements.	Case file or schedule in chronological order.	Dispose when subsequent certificate of settlement is received.
4.	Schedules of certificates of settlement of claims settled by the General Accounting Office.	Chronologically or by schedule number.	Dispose 2 years after date of settlements
5.	Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants.	Chronologically.	Dispose 4 years after date of document.
6.	Administrative 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.	Conform to agency filing system.	Dispose after 2 years.
b.	All other files.	Conform to agency filing system.	Dispose after 4 years.

Items 1-4. Under Public Law 72, 80th Cong., 1st Sess. (68 Stat. 101), the General Accounting Office must complete the audit of accounts within three years from the date of the submission of the account. The disposal period provided includes the three-year period, plus an additional year for administrative purposes. Necessary reference after the four-year period can be made to the originals of the papers held by the Audits Division of the General Accounting Office. Exception and certificate files are scheduled for disposal after periods based on clearance of the exception as well as the total accounts. Schedules of certificates of settlement of claims are listings of claims settled by the General Accounting Office and are retained for a shorter period than the certificates themselves.

Item 5. These records, relating to the availability, deposit and status of available funds, are held for the same four-year period provided for the memorandum copies of disbursing returns, which reflect the expenditures of the funds. Key ledger records summarizing disbursing accounts are retained for substantial periods in the Office of the Treasurer of the United States, Treasury Department. The originals of appropriation warrants (Treasury Department copies) are not scheduled for disposal.

Item 6. Files used for personnel and other non-fiscal management purposes are disposable after a minimum period necessary for administrative and reporting needs. Other files are held for a somewhat longer period, since they may contain substantive fiscal data and may be useful in General Accounting Office comprehensive agency audits.

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## GENERAL RECORDS SCHEDULE 7

### Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and non-appropriated, are spent after allotment by the Bureau of the Budget, 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 value 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, with expenditures and with program costs.

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

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

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

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source for the data included in the basic apportionment reports to the Budget Bureau, and the Treasury Department, and over-all reports of agency fiscal condition which may be required by the General Accounting Office (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting Office comprehensive auditors to be a prime source of information on the suitability of the agency's entire accounting system and the value of its summary reports.

This schedule provides for the disposal of expenditure accounting records created since January 1, 1921, in the several agencies. It does not apply to such records maintained on a Government-wide basis by the Treasury Department and the Bureau of the Budget, or to those formerly maintained by the General Accounting Office.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 3701).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.	Conform to agency practice.	Dispose after 2 years.
2.	General accounts ledgers, showing debit and credit entries, and reflecting expenditures incurred.	One set of accounts by each established account covering asset and liability.	Dispose 10 years after close of fiscal year involved.
3.	Allotment records, showing status of obligations and allotments under each authorized appropriation.	One set of allotment records by established allotment.	Dispose 10 years after close of fiscal year involved.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
4.	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not otherwise provided for in this schedule.		
a.	Original records.	One set of each control.	Dispose after 4 years.
b.	Copies.	One set of each control.	Dispose after 2 years.

Item 1. These are routine correspondence files maintained incidentally to the key accounting functions and are held long enough to satisfy agency administrative needs.

Items 2-3. As the central fiscal records, the general ledgers and the allotment records immediately supporting them have a longer retention value than any other agency fiscal records, with the exception of individual pay cards (Schedule 2), because of the summary nature of the information they contain. Their prime administrative and fiscal value to the agency are as sources of fiscal, expenditure and cost data for managerial purposes, and for use in budget preparation. Occasionally the general and allotment ledgers are brought into play in the administrative examination of claims. Although the ledgers are of considerable value they are not permanent records, for they serve needs which are essentially temporary in nature. The retention period in this schedule for the general ledgers is geared not only to the conceivable administrative needs of the agency, which normally arise within five years, but to the ten-year statute of limitations governing the presentation of most claims against the Government. Summary data on agency expenditures for historical and other purposes are available in permanently retained appropriation ledger files and the annual Combined Statement of Receipts, Expenditures and Balances of the United States Government, both of which are responsibilities of the Bureau of Accounts, Treasury Department. Such Bureau of Accounts records are not covered by this schedule. In addition, the basic program activities of agencies are inevitably reflected in the permanently retained upper echelon files of the agencies no less extensively than they are revealed in the general and allotment ledgers, which are often couched in technical, cryptic terms.

Item 4. These posting media and detailed appropriation and expenditure controls are held for a period sufficient for administrative needs after posting and after completion of the action contemplated by detailed project or work controls.

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## 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. The records created pursuant to these specialized accounting activities since January 1, 1921, are covered by this schedule. They are voluminous and often diverse, but they are integral parts of the fiscal and supply controls of the agencies.

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

b. Plant Accounting. These records consist primarily of cards recording the principal characteristic 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 value of physical plant and other items not normally represented in the stores or stock inventory system. Summary data on plant value is available in the pertinent general ledger accounts.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Plant account cards and ledgers pertaining to structures.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files of units responsible for plant, cost and stores accounting operations.	Conform to agency practice.	Dispose after 2 years.
3.	Invoices or equivalent papers used for stores accounting purposes.	Conform to agency practice.	Dispose after 4 years.
4.	Stores accounting returns and reports.	Conform to agency practice.	Dispose after 4 years.
5.	Work papers used in accumulating stores accounting data.	Conform to agency practice.	Dispose after 2 years.
6.	Plant account cards and ledgers, other than those described in item 1.	By plant item number or numerically by plant account.	Dispose 3 years after item is withdrawn from plant account.
7.	Copies of cost accounting reports.		
	a. Copies in units receiving reports.	Conform to agency practice.	Dispose after 4 years.
	b. Copies in reporting units, and related work papers.	Conform to agency practice.	Dispose after 4 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Ledgers, forms, and machine records used to accumulate data for use in cost reports.		
a.	Ledgers and forms.	Conform to agency practice.	Dispose after 4 years.
b.	Machine records.		
(1)	Detail cards.	Conform to agency practice.	Dispose after 6 months.
(2)	Summary cards.	Conform to agency practice.	Dispose after 6 months.
(3)	Tabulations.	Conform to agency practice.	Dispose after 1 year.

Item 1. These cards are retained because they document the physical features, placement and nature of structures on Government areas and installations.

Item 2. These are routine administrative correspondence files, not containing accounting data, held long enough to satisfy reference needs.

Items 3-5. The invoices are held long enough for posting of stores accounting data to intermediate records and to allow for internal recheck of transactions involving the movement of goods, while the returns and reports are retained for a sufficient period to permit utilization of the data they contain for management purposes. Summary general ledger data are retained for a ten-year period. Work papers are disposable after an appropriate period shorter than that provided for the records which they support.

Item 6. These records are held long enough to permit administrative control over the plant account item while it is active, and for reference after the item is no longer carried on the account. Basic data is available in procurement or project files which are retained permanently or for a substantial period, while specialized legal circumstances surrounding real property are documented in retained records of continuing value.

Items 7-8. The cost records containing data reflected in general ledger accounts being retained for a ten-year period are disposable after they have served agency budget and other management needs. Subsidiary records involved in the accumulation of cost data are scheduled for an appropriately short period. Information as to the cost of individual projects of importance are shown in project files, and copies of cost reports that are of major significance are contained in agency management or administrative files not covered by the schedule.

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## GENERAL RECORDS SCHEDULE 9

### Travel and Transportation Records

This schedule covers records created since January 1, 1921, that pertain to the movements of goods and persons under Government orders. The record keeping involved in the movement of goods centers about the bills of lading, related vouchers, and associated records prescribed by General Regulation No. 97 of the Comptroller General, while General Regulations No. 88 and several executive orders govern passenger movement and reimbursement. Copies of some records used to support payments became part of the accountants' accounts, but because of temporary circumstances noted below they are excluded from coverage in Schedule 6 and their retention is provided for separately in this schedule.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consigners, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which completely document the administrative aspect of freight transportation. Copies of the bills of lading themselves are used for encumbrance of funds. Included are records relating to the shipment of household effects, which is authorized by law and regulation 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, papers relating to claims which may ensue, and other pertinent documents.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Papers covering payment of freight transportation charges, consisting of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, and including files pertaining to the shipment of household effects.		
a.	Issuing office memorandum copy.	By bill of lading number.	Disposal not authorized by this schedule. (Transfer to inactive file on completion of transaction; break inactive file every 3 years and transfer to Federal Records Center 1 year later.)
b.	Consignee memorandum copy for encumbrance of funds.	Attach to related vouchers.	Disposal not authorized by this schedule. (Withhold from disposal when other vouchers are disposed of and transfer to Federal Records Center at that time.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files maintained by operating units responsible for travel and transportation, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
3.	Papers covering passenger transportation charges, consisting of vouchers and related papers. (Travel vouchers are covered by item 4.)		
a.	Issuing office memorandum copy.	By transportation request number.	Dispose 4 years after completion of transaction.
b.	Consignee memorandum copy for encumbrance of funds.	Attach to related vouchers.	Dispose 4 years after period covered by related account.
4.	Records relating to official travel of officers, employees, dependents, or others authorized to travel by law (exclusive of records covered by items 1 and 3).		
a.	Travel administrative unit copies.	In folders arranged alphabetically by name of employee; break file every 2 years.	Dispose after 4 years.
b.	Obligation copies.	In appropriate fashion for posting.	Dispose when funds are obligated.
5.	Schedules of valuables shipped, and related papers and reports.	Chronologically in case fashion.	Dispose after 4 years.

Item 1. Prior to the end of World War II agencies were permitted by the Comptroller General, together with the National Archives and the Congress, to dispose of bills of lading and related papers after periods ranging from three to five years. National Archives General Schedule 5, issued in 1946, provided a five-year retention period.

A number of audit and reaudit programs conducted by the General Accounting Office have arisen to delay disposition of many freight records. An extensive reaudit of wartime freight charges has been in progress since 1947, requiring the indefinite retention of agency copies of bills of lading and supporting papers. A pending railroad rate case, Docket No. 17000, Part 2 (164 I.C.C. 1), concerned with rates charged by land-grant railroads west of the Mississippi River, has also made it advisable to retain agency railroad freight transportation files, in some instances as far back as 1931, until settlement of the case.

For the time being, therefore, files relating to freight movements are designated as records of continuing value since they must be retained until the various legal requirements affecting their use no longer exist.

Item 2. These are routine correspondence files retained long enough to serve reference needs.

Items 3-4. These files, comprising all papers, requests, vouchers, and correspondence relating to travel and transportation at Government cost and the reimbursement of traveller and carrier, are held long enough to satisfy both agency reference needs and the audit needs of the General Accounting Office in settling related accounts.

Item 5. Files relating to the administration of the Government Losses in Shipment Act are retained for substantial periods by the Bureau of Accounts, which has Government-wide responsibility. These agency copies are retained long enough to satisfy local administrative and legal needs.

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## 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. Responsibility for Government-wide motor vehicle management policy was transferred in 1950 from the Budget Bureau to the General Services Administration by the act which created the latter. Agency records created since January 1, 1921, during the period of Budget Bureau cognizance were essentially the same as those now kept, and are therefore subject to the same disposition.

Personal Property Management Regulation No. 24 prescribes policies and procedures. Standard Form No. 82, which is an annual motor vehicles report required by the Federal Supply Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule does not cover the disposition of records of the Bureau of the Budget (to 1950) and the Federal Supply Service pertaining to motor vehicle management on a Government-wide basis, but it does cover agency records pertaining to the daily use and operation of the vehicles.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Conform to agency practices	Dispose after 2 years.
2.	Motor vehicle operating and maintenance records.		
a.	Operating records.	By chauffeur or car number as appropriate.	Dispose after 3 months.
b.	Maintenance records.	By car number.	Dispose after 1 year.
3.	Motor vehicle ledger and work sheets providing cost and expense data.	By subject.	Dispose 3 years after discontinuance of ledger or date of work sheet.
4.	Reports on motor vehicles (other than accident, operating, and maintenance reports).	By report and chronologically thereunder.	Dispose 3 years after date of report.
5.	Records relating to motor vehicle accidents, maintained by transportation offices.	In case fashion.	Dispose 6 years after case is closed.

Items 1-5. These records are retained long enough to satisfy report, fiscal, management, and automotive maintenance needs of the agency. Claims files have little legal or administrative value after the period indicated.

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GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

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

This schedule does not cover (a) copies of these records that are an integral part of accountable 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); and (d) records created prior to the establishment of the Public Buildings Administration in 1939 or other space and maintenance records created in connection with the management of space not under Public Buildings Administration or Public Buildings Service cognizance (such records vary sufficiently in their nature to warrant specific evaluation on their merits).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if breaks in the file differ from that suggested herein.
2.	Records relating to the allocation, utilization and release of space under agency control, and related reports to General Services Administration.		
	a. Building plan files and related agency records utilized in space planning, assignment and adjustment.	Conform to agency practice.	Dispose 2 years after termination of assignment, or when lease cancelled, or when plans are superseded or obsolete.
	b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.		
	(1) Agency reports to General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers.	Conform to agency practice.	Dispose 2 years after date of report (in accordance with item 1).
	(2) Copies in subordinate reporting units and related work papers.	Conform to agency practice.	Dispose 1 year after date of report.
3.	Correspondence, forms and other records relating to the compilation of directory service listings.	Conform to agency practice.	Dispose 2 months after issuance of listing.
4.	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.	Chronologically by date of return of credentials to issuing office.	Dispose of credentials 3 months after return to issuing office.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Receipts, indices, listings and accountable records.	Conform to agency practice.	Dispose after all listed credentials are accounted for.
5.	Requests for building and equipment maintenance services, excluding fiscal copies.	Numerically by control or requisition number.	Dispose 3 months after work performed or requisition cancelled.

Item 1. These are routine files with related data reflecting the activities of the service operation group in administering its internal management and operation. Policy documentation is normally reflected in files at higher administrative levels. The records are maintained a sufficient period to satisfy administrative needs and have no other significant value.

Item 2. These files accumulate in the process of assigning and utilizing agency space. Reports are submitted to General Services Administration as directed by the Federal Property and Administrative Service Act of 1949, and GSA Real Property Management Regulation No. 3. Administrative needs have been met after the lapse of period indicated and the value of summary records held by the General Services Administration reflecting Government-wide trends and policies must be determined separately.

Item 3. The memoranda, completed questionnaires, forms and reports are accumulated in the compilation of directory service listings and are of temporary value after issuance or publication of listing. They are held long enough to satisfy administrative needs.

Item 4. These records relate to the issuance of and accountability for identification credentials, issued to individuals. The credentials themselves and the related control records have little value after they have served their immediate purpose.

Item 5. Requests for maintenance service normally originate in the operating units. Their purpose is served and they have little further value when the services which they request have been performed or the request has been cancelled.

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## GENERAL RECORDS SCHEDULE 12

### Communications Records

The principal records documenting communication functions include messenger service data; wire and wireless service control and operational records; summary of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; and agency copies of penalty mail reports to the Post Office Department formerly required by statute.

This schedule covers the records described below, wherever located in an agency, but it does not cover records created prior to January 1, 1921, and does not cover records which reflect Government-wide programs, such as records held by the Post Office Department, the Postal Service and the Public Buildings Service of General Services Administration, rather than administrative management functions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Messenger service records including daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules and related and similar records.	Conform to agency practice.	Dispose after 2 months.
2.	Correspondence and report files of the unit responsible for the communication function, pertaining to its own administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if break in file differs from that suggested herein.
3.	Wire and wireless service control and operational records.		
a.	Machine copies of incoming and outgoing messages, message registers, operator's and equipment service logs, performance reports, daily load reports, and related and similar records.	Conform to agency practice.	Dispose after 6 months.
b.	Telsautograph and telescribers tapes.	Not applicable.	Dispose after message is dispatched.
c.	Original copies of outgoing messages retained by wire and wireless service.		
(1)	Authorization copy not duplicated elsewhere showing time of dispatch.	Chronologically.	Dispose after 2 years.
(2)	Authorization copy duplicated elsewhere and showing time of dispatch.	Chronologically.	Dispose after 6 months.
4.	Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense voucher.	By organizational unit and chronologically thereunder.	Dispose after close of fiscal year in which audited.
5.	Postal records consisting of Post Office forms and supporting papers, exclusive of records held by the Post Office Department and Postal Service.		
a.	Record of received or dispatched registered mail pouches.	Chronologically.	Dispose after 1 year.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Application for postal registration and certificate of declared value of matter subject to postal surcharges	Chronologically.	Dispose after 1 year.
	c. Receipt for incoming registered and insured mail.	Chronologically.	Dispose after 1 year.
	d. Record of incoming and outgoing registered and insured mail.	Chronologically.	Dispose after 1 year.
	e. Return receipts for registered, insured, and special delivery mail.	Chronologically.	Dispose after 1 year.
	f. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.	Chronologically.	Dispose after 1 year.
	g. Statement of Reading of Metered Registers.	Chronologically.	Dispose after 1 year.
6.	Mail control records and supporting and related papers.		
	a. Records of receipt and routing of incoming and outgoing mail other than (1) those listed in item 5, and (2) records used as indexes to correspondence files.	Alphabetically by name and chronologically thereunder.	Dispose after 1 year.
	b. Statistical reports of postage used on outgoing mail (air mail, special delivery, registered, foreign and parcel post over 4 pounds).	Chronologically.	Dispose after 6 months.
	c. Requisition for stamps, (exclusive of copies used as supporting documents to payment vouchers).	Chronologically.	Dispose after 6 months.
	d. Production reports of mail handled and work performed, with compilations derived therefrom.	Chronologically.	Dispose after 1 year.
	e. Record in agency mail units of remittances (check, cash, stamps and money orders) and other valuable enclosures received through agency's mail unit in incoming mail.	Chronologically.	Dispose after 1 year.
	f. Record of and receipts for mail and packages received through the Official Mail and Messenger Service.	Chronologically.	Dispose after 6 months.
7.	Official penalty mail reports formerly required by statute, and all related papers.	Chronologically.	Dispose after 2 years.

Item 1. These files pertain to the administrative management of messenger services. Their purpose is served and they have little further value after the activities to which they relate are accomplished.

Item 2. These are routine files with related data reflecting the activities of the communication unit in administering its internal management and operation. Policy documentation and reports are normally reflected in files at higher administrative levels. The records are maintained for a sufficient period to satisfy administrative needs and have no other significant value.

Item 3. These records relate to the control and operation of wire and wireless service exclusive of the Government-wide program records of the Public Buildings Service of General Services Administration. The disposal of original copies of outgoing messages by the wire and wireless service are qualified due to the varied practices of agencies in preparing and maintained elsewhere within the agency copies of the

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message actually showing time of dispatch. The agency needs have been met after the lapse of period indicated.

Item 4. The summaries of long distance telephone reports are of temporary value and are utilized as an administrative tool to indicate authorized use of telephone services as well as for auditing telephone tolls. They have no further value after audit has been performed.

Item 5. These records control the handling of special types of mail and related or equivalent material received or sent via the Postal Service. The records have value for a short time only. Claims resulting from the loss of registered, insured, or other types of special mail must be filed with the Post Office Department within one year after the date of mailing. The period of time indicated is sufficient to exhaust the value of the records for administrative and legal purposes.

Item 6. These mail control records and supporting papers are utilized to maintain control over the receipt and routing of ordinary and special mail, received from sources outside of the agency. The description of these files excludes any records used as indexes to correspondence or other files.

Item 7. The Penalty Mail Act of 1948, Public Law 785, repealed the requirement that the Postmaster General make periodic reports to Congress and the Bureau of the Budget on the amount of penalty mail sent by individual agencies of the Government. This report was based on information received from the agencies concerned. The records in the agencies were, in themselves, only of temporary value and the lapse of period of time indicated is sufficient to exhaust any value they may have had to the Post Office Department.

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## GENERAL RECORDS SCHEDULE 13

### Printing, Binding, Duplication, and Distribution Records

This schedule provides for the retention or disposal of all copies, wherever located in the agency of records created since January 1, 1921, that relate to printing, binding, duplicating and distribution, except as indicated in the several items. The principal records documenting these functions are: (a) Records pertaining to requests for service, control, production and distribution of individual jobs or projects; this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions, and to record the production, distribution and cost analysis within the operating units; and (b) Correspondence and report files reflecting the activities of the unit responsible for handling the printing, binding, duplication and distribution matters within the agency.

The Congressional Joint Committee on Printing is responsible for regulating the operation of agency "printing plants." The Committee is authorized to remedy any neglect, delay, duplication, or waste in the public printing and binding and the distribution of Government publications. No "printing plant," as defined in the Printing and Binding Regulations published by the Committee, can legally operate without prior authorization. The Committee further requires all agencies operating "printing plants" to submit reports not later than 30 days after the close of specified periods. Each agency maintaining a calling list is required to revise it at least once each year by making inquiry as to whether the publications distributed are desired by the persons to whom addressed.

This schedule does not cover (a) records retained by agencies for on-the-site audit by the General Accounting Office; (b) 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.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Copy, in duplicating or distribution unit, of each publication, poster, chart, directive, regulation, booklet, speech, form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.)	By series and there-under chronologically or by established numbering practice.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when 5 years old.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files of the unit responsible for the printing, binding, duplication and distribution matters, pertaining to its administration and operation, and related papers.	Conform to agency practice; start a new file every 2 years.	Dispose 2 years after file is closed or 2 years after date of document if break in file differs from that suggested herein.
3.	Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.		
e.	Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.	Numerically by control or requisition number.	Dispose 1 year after completion of job.
b.	Files pertaining to planning, standards, cost and related technical matters.	By series and there-under chronologically or by established numbering practice.	Dispose after 3 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
4.	Control registers pertaining to requisitions and work orders.	Numerically by control or requisition number.	Dispose 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.
5.	Mailing lists and related material.		
a.	Correspondence, request forms and other records relating to changes in mailing lists.	Alphabetically by name within mailing group.	Dispose after appropriate revision of mailing list or after 3 months, whichever is earlier.
b.	Card lists.	Alphabetically by name.	Dispose of individual cards when cancelled or revised.
c.	Plate or stencil mailing lists.	Alphabetically by name within mailing group.	Dispose of plates or stencils when cancelled or revised.
6.	Reports to Congress and related records.		
a.	Agency reports to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.	Conform to agency practice.	Dispose after 3 years.
b.	Copies in subordinate reporting units and related work papers.	Conform to agency practice.	Dispose 1 year after date of report.
7.	Records relating to internal management and operation of the unit.	Conform to agency practice.	Dispose after 2 years.

Item 1. Many agencies depend on their duplication or distribution units to retain record copies of all documents of this type. For that reason it is not possible to authorize by general schedule the disposal in such units of these copies because the documents are of basic value in documenting the history and activities of the agency. If agency procedures provide for retention of record copies in the units originating the document or elsewhere, other copies, including those in the printing or distribution units, may be disposable but such determinations must be made in the case of each agency.

Items 2 and 7. These are routine files reflecting the activities of the service operation group in administering its internal management and operations. Policy documentation is normally available in files at higher administrative levels. The records are held long enough to satisfy administrative needs and have no other significant value.

Item 3. These files are the technical, operational, production, and related papers pertaining to the planning and execution of the printing, binding, duplication and distribution jobs. The requisitions on the Public Printer and records relating to services obtained outside the agency are not covered by this item since they are provided for in Schedule 3. The records are retained for a sufficient period to satisfy administrative and reference needs after completion of the job.

Item 4. These registers are utilized in the operating units to control the receipt of requisitions and work orders to which production, distribution and cost analysis data are posted. Their purpose is served when the activities to which they relate are completed.

Item 5. These records are utilized in the maintenance and administration of mailing lists. The Printing and Binding regulation published by the Congressional Joint Committee on Printing requires agencies that maintain mailing lists to revise them at least once a year by making inquiry as to whether the publications distributed are desired by the person to whom addressed. The files have little further value when the services to which they relate have been performed.

Item 6. The Congressional Joint Committee on Printing requires that all heads of Departments or Agencies operating "printing plants" submit reports on forms furnished by the Committee, not later than 30 days after the close of specified periods. These reports and related papers are held long enough to satisfy the needs of the agency.

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## GENERAL RECORDS SCHEDULE 14

### Informational Services Records

This schedule covers certain records created since January 1, 1921, pertaining to informational services performed by Government agencies in their day to day affairs and to their relations with the public. It applies to copies of these records wherever located in an agency. The records described in this schedule are only a few of the types of records created by Federal agencies in performing these functions, but in many offices they are relatively voluminous and may be disposed of after a very short time. Essentially they consist of routine inquiries, replies thereto and other correspondence in which no unusual administrative decisions, policies, or efforts are involved.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Requests for publications and photographs (including applications and requests made by form and by letter) and acknowledgments and replies to them.	File all requests, acknowledgments and replies together, under a single subject, and chronologically thereunder.	Dispose 3 months after acknowledgment or fulfillment.
2.	Acknowledgments of inquiries and requests that have been referred to other Government agencies for reply.	File under a single subject, and chronologically thereunder.	Dispose 3 months after acknowledgment.
3.	Letters referring inquiries and requests to other Government agencies for reply.	File under a single subject, and chronologically thereunder.	Dispose 3 months after referral.
4.	Requests for information and replies thereto involving no administrative action, no policy decisions, and no special compilations or research for reply, including requests for information and inquiries to which replies are made by printed or duplicated material.	By subject or agency filing practice.	Dispose 3 months after reply.
5.	Anonymous letters and letters of commendation, complaint, criticism, and suggestion and replies to them, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records.	By subject or agency filing practice.	Dispose 3 months after letter or reply, whichever is applicable.

Items 1-4. These records are of transitory value and after the lapse of period of time specified will not have sufficient value to warrant their preservation. Inquiries and requests from the public are of such nature that the retention of the material for statistical purposes would serve no significant purpose.

Item 5. Those anonymous letters and letters of commendation, complaint, criticism, and suggestions and replies for which investigations or administrative action has been taken are not covered by this item. The residue are of little use in the documentation of agency programs and are of no value beyond the specified time.

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GENERAL SERVICES ADMINISTRATION

TRANSMITTAL LETTER NO. 3-7

Washington 25, D. C.

August 31, 1955

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REGULATIONS OF THE GENERAL SERVICES ADMINISTRATION  
TITLE 3, FEDERAL RECORDS

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To: Heads of Federal Agencies

1. Material Transmitted

Attached are revised item 1 and related minor changes of other items of General Records Schedule 1; revised items 15 and 16 of General Records Schedule 2; revised item 4 of General Records Schedule 3; revised subparagraph a. of the third paragraph of General Records Schedule 4; revised appraisal of item 5 of General Records Schedule 6; and revised appraisal of item 5 of General Records Schedule 9.

2. Nature of Revisions

Revised item 1 of General Records Schedule 1 authorizes disposal of the personnel folders when their values for reemployment and retirement have been exhausted; minor changes of phrasing in other parts of the schedule are necessary as a consequence.

Revised items 15 and 16 of General Records Schedule 2 clarify the coverage of the items to specify that the records involved are not General Accounting Office records.

Revised item 4 and related revisions in the introductory paragraphs of General Records Schedule 3 make the item consistent with a records retention requirement in the Federal Property and Administrative Services Act of 1949, and extend coverage of the schedule to agency procurement records reflecting transactions under broad delegations of authority from the Administrator of General Services to procure for Government-wide purposes.

Subparagraph a. of the third paragraph of General Records Schedule 4 is revised to correct the number of the form entitled, Sale of Government Property, Invitation, Bid, and Acceptance, to read Standard Form 114 instead of Standard Form 114.

Revised appraisal of item 5 of General Records Schedule 6 clarifies coverage to specifically exclude certain items such as income tax records, social security reports, Federal Employee retirement accounts, and other similar records.

Revised appraisal of item 5 of General Records Schedule 9 makes it conform to the language and requirements of General Regulations No. 123 of the Comptroller General, governing transportation request procedures for the Government.

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Authority for the disposal provisions in these revised schedules is contained in the following House Reports: 2471 (General Records Schedule 2), 82d Congress, 2d session, 573 (General Records Schedule 9), 1076 (General Records Schedule 6), 83d Congress, 1st session, and 1580 (General Records Schedules 1 and 3), 84th Congress, 1st session.

### 3. Supplies of Schedules

Limited numbers of copies of General Records Schedules may be obtained by agency records liaison offices, designated in accordance with subsection 102.06 of Chapter I, upon request to the Records Management Division, National Archives and Records Services.

### 4. Page Changes

<u>Remove</u>	<u>Insert</u>
Appendix B, GRS 1 (7-10-53) and (10-4-54)	Appendix B, GRS 1 (8-31-55)
Appendix B, GRS 2 Page 4 (10-4-54)	Appendix B, GRS 2 Page 4 (8-31-55)
Appendix B, GRS 3 (7-10-53) and (10-4-54)	Appendix B, GRS 3 (8-31-55)
Appendix B, GRS 4 Page 1 (7-10-53)	Appendix B, GRS 4 Page 1 (8-31-55)
Appendix B, GRS 6 Page 3 (10-4-54)	Appendix B, GRS 6 Page 3 (8-31-55)
Appendix B, GRS 9 Page 3 (10-4-54)	Appendix B, GRS 9 Page 3 (8-31-55)

### 5. Effective Date

The Regulations transmitted herewith shall become effective October 17, 1955.



EDMUND F. MANSURE  
Administrator

Attachments



# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

### Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees, for the most part pursuant to regulations of the Civil Service Commission, the staff agency charged with the administration of the Civil Service Act, and related regulations, orders, and legislation. This schedule covers all personnel folders of civilian employees whose employment terminated on or after January 1, 1921. It covers also all other records relating to civilian personnel created since January 1, 1921, wherever located in an agency, exclusive of (a) copies of loyalty and other investigative files, (b) program records of the Civil Service Commission (including records of Boards of U. S. Civil Service Examiners and Committees of Expert Examiners, regardless of the custodian), and (c) records of the Bureau of Employees' Compensation and the Public Health Service maintained pursuant to statutory Government-wide responsibilities for the health and welfare of Government employees. Records of agency units functioning as staff personnel policy groups, rather than as operating personnel units, are not covered by this schedule.

The Official Personnel Folder, a case file documenting employment under rules and regulations of the Civil Service Commission, was established in 1947 by the Federal Personnel Manual (R1 35-39) and constitutes the key record relating to most civilian personnel. Executive Order 10561 (September 13, 1954) provided that comparable records be kept covering employees of the executive branch outside of the competitive service.

Prior to 1947 the contents of personnel folders varied somewhat according to agency practices. These practices, however, have been essentially similar since about 1921. Specific personnel forms, such as the Notification of Personnel Action (Standard Form 50), have been standardized since 1941.

An auxiliary to the Official Personnel Folder is the Service Record Card (Standard Form 7), a mandatory form which replaced multiple types of similar forms used in the agencies. The Official Personnel Folder and Service Record Card are described in Civil Service Handbook S-812, Basic Personnel Records and Files System for Federal Agencies, which prescribes a simplified system of record keeping for Federal personnel offices.

The Official Personnel Folder, which travels with the Federal employee as he moves from agency to agency, contains papers of long term value, listed as such in the Federal Personnel Manual, on the right hand side, and papers of short term value on the left side. Until November 1951, the contents of the left hand side of the folders were described in detail in the Federal Personnel Manual. Now, however, only the records required to be kept on the right hand side are described in detail.

Records normally maintained in addition to the official folder and its related service record card concern phases of personnel administration involving the selection of personnel and the supervision over the work history and on-the-job performance, as follows:

**Position classification:** These records include copies of position classification sheets and related records.

**Recruitment and selection:** These include interview files and related data.

**Training:** These include evidence of skills acquired and made available to the agency.

Other records pertaining to individual employees normally include service record cards and various other controls maintained for purposes of convenience at the operating levels; agency dispensary records; and, for the period of World War II, draft deferment records.

Provision is made in this schedule for the disposition of copies of forms either duplicated in the Official Personnel Folder or maintained in separate personnel files, as well as files maintained for temporary processing or expediting purposes. This schedule also covers correspondence files not relating to individuals maintained by operating personnel offices, involving their administration and operation. The disposition of pay and payroll records, normally maintained by agency fiscal units, is provided for in Schedule 2.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING*</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Personnel folders excluding (a) folders or group of folders selected	Alphabetically by name.	(a) See page R1 36 of the <u>Federal Personnel Manual</u>

\*Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provision of Sec. 505(a) of the Federal Records Act of 1950 (44 U.S.C. 395) do not refer to an established authority. Any new regulations or directives that may be issued from time to time will supersede these recommendations.

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
	by the National Archives; (b) folders covering periods of employment terminated prior to January 1, 1921; and (c) papers on the left or the so-called "temporary" side of the folder, which are authorized for disposal by General Records Schedule 1, item 11.		for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the <u>Federal Personnel Manual, §§ 35-37</u> ; for Department of Defense transfer folder to Federal Records Center, St. Louis, Missouri, 1 month after separation; for all other agencies, 1 year after separation. (1) Dispose 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years; or (2) Dispose 5 years after death of employee, whichever is sooner.
2.	Service Record Card (Standard Form 7 or its equivalent).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part I A.</u>	Transfer to Federal Records Center, St. Louis, Missouri, 5 years after year of employee's separation or transfer to another agency.
3.	Position descriptions pertaining to positions abolished after September 1, 1950, and descriptions superseded after that date.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part I C 4.</u>	Retain one copy. (See item 8 for disposal of other position descriptions.)
4.	Correspondence in the operating personnel office and its subordinate units relating to their administration and operation.	By subject or agency filing system; start a new file every 3 years.	Dispose 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.
5.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted: Destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment, and dispose of in accordance with provisions in item 16; (3) All others: Dispose immediately.

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
6.	Certificate files, consisting of: a. Requests for certificates of eligibles. b. Certificates of eligibles.	File requests and certificates by certificate number.  File requests and certificates by certificate number.	Dispose 2 years after date of certificate.  Dispose 2 years after date of certificate.
7.	Employee record cards used for informational purposes outside personnel offices (such as Form OF-4).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part III B 2 and B 3.</u>	Dispose on transfer to another agency or bureau or on separation of employee.
8.	Position descriptions (copies other than those provided for by item 3).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part I C 4.</u>	Dispose when position is abolished or description is superseded.
9.	Employee interview records.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start new inactive file every 6 months; dispose of inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, dispose of records 6 months after transfer or separation of employee.
10.	Duplicate case files of efficiency rating boards of review, copies of which have been forwarded to the Civil Service Commission.	Alphabetically by name; start a new file every year.	Dispose 1 year after closing file; if filing arrangement differs from that suggested herein, dispose of records 1 year after completion of case.
11.	All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the <u>Federal Personnel Manual, Chapter 81, pages 35-39.</u>	On left side of folder, chronologically.	Dispose on transfer or separation of employee, or when 2 years old.
12.	Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies, Oct. 1950, Part I A.</u>	Dispose when position is canceled or new strip is prepared.
13.	Employee suggestion case files, including files relating to management improvement suggestions considered under Title I of P. L. 429, 81st Congress, or comparable legislation.	Alphabetically by name; start a new file every 5 years or every 2 years, as appropriate.	After closing case transfer to inactive file arranged in same way as active file but closed at end of each year; dispose of (a) basic copies 5 years after closing of the file; (b) duplicate copies 2 years after close of file.

# SUPERSEDED

# SUPERSEDED

## GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
14.	Case files on rewards for superior accomplishment, under title VII of the Classification Act of 1949.	Alphabetically within fiscal year; start new file each fiscal year.	Start new inactive file every fiscal year; dispose of each year's file 6 months after close of that fiscal year.
15.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
	a. Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B 4.	Dispose after 2 years.
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
16.	Applications for employment and related papers, excluding (a) records relating to appointments requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder (covered in item 1 of this schedule).	In accordance with inspection requirements of the Civil Service Commission as stated in Chapter A7 of the <u>Federal Personnel Manual</u> .	Dispose upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier, providing the requirements of Section A7-48.04 of the <u>Federal Personnel Manual</u> are observed.
17.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose 2 years after date of report.
18.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.		
	a. Correspondence and forms relating to pending personnel actions.	Not applicable.	Dispose when action is completed.
	b. Retention registers (including card files and related papers) from which reduction-in-force actions <u>have</u> been taken.	In accordance with Chapter R3 of the <u>Federal Personnel Manual</u> .	Dispose after 2 years.
	c. Retention registers (including card files and related papers) from which <u>no</u> reduction-in-force actions have been taken.	In accordance with Chapter R3 of the <u>Federal Personnel Manual</u> .	Dispose when superseded.
	d. All other correspondence and forms.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
19.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
20.	Files pertaining to the deferment of Federal employees from military training under the Selective Service and Training Act of 1940, as amended (excluding records held by the Selective Service System and the Review Committee on Deferment of Government Employees and their predecessor and successor agencies).		
	a. Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WMC Form 27 or equivalent).	Conform to agency practice.	Dispose after 6 months.
	b. Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers.	Conform to agency practice.	Dispose after 6 months.
	c. Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers.	Conform to agency practice.	Dispose after 6 months.
	d. Correspondence between individual agencies and the Review Committee on Deferment of Government Employees and its predecessors.	Conform to agency practice.	Dispose after 6 months.
	e. Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions."	Conform to agency practice.	Dispose after 6 months.
	f. Reports made within an agency by individual employees on their Selective Service status.	Conform to agency practice.	Dispose after 6 months.
21.	Individual health record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated.	All cards pertaining to an individual to be disposed of 6 years after date of last entry on the cards pertaining to him.
22.	Logs or registers of visits to dispensaries, first aid rooms, and health units.		
	a. Where information is summarized on statistical reports.	Chronologically.	Dispose 3 months after last date on log or register.
	b. Where information is not summarized elsewhere.	Chronologically.	Dispose 2 years after last date on log or register.
23.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history, except pre-employment physical examinations, disability retirement examinations, and fitness for duty examinations which may be made a part of or associated with the Official Personnel Folder or may be retained separately.	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose 6 years after date of last papers in the file.

# SUPERSEDED



# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
24.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose 2 years after date of summary or report.
25.	Certificates of performance rating.	Conform to agency practice.	Dispose after 1 year.

Item 1. The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual (R1 35-39), is considered to be the official record documenting employment history. The documents filed on the right side of the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. After carefully considering the various values inherent in these folders, an Ad Hoc Committee on the Disposition of Personnel Folders, consisting of representatives of the Civil Service Commission, the General Accounting Office, the Budget Bureau, and the General Service Administration, reported to the Administrator of General Services on December 31, 1952, that the folders did not have sufficient value to warrant preservation indefinitely beyond the time they were required for adjudication of retirement claims.

Executive Order 10561 of September 13, 1954, designated Official Personnel Folders as records of the Civil Service Commission, but comparable folders of employees occupying positions excepted from the competitive civil service are records of the employing agencies. These records have the same value as do Official Personnel Folders, and they are therefore included in the coverage of this item.

Any historical value that personnel records as a class may have relates primarily to the individual, not in his capacity as a Federal employee, but rather because of his position in the hierarchy of the agency or because of his fame or notoriety as an individual. It would not be reasonable for the Federal Government to keep the files relating to millions of employees on the gamble that a historian or biographer might some day find in one of the folders the missing clue to some aspect of the life or career of an individual who later became famous. On the other hand, the National Archives can identify the folders or groups of folders, particularly those relating to employees with periods of employment prior to standardization of the folder in 1947, that may contain papers of sufficient historical importance to warrant their retention. This selection will be made prior to disposal of the remainder of the files.

The importance of personnel folders in retirement proceedings and in determining the pension rights of former Government employees requires that the files of those covered or potentially subject to coverage by a retirement system be retained until these pension rights have been finally determined.

Retirement benefits may be obtained after varying periods of service and at various ages, but it is reasonable to assume that former employees will apply for these benefits before they are 75 years old. Consequently the retention period for the folders is set at 75 years after the employee's birth, or, if information as to date of birth is lacking, at 60 years after the date of the earliest document pertaining to his employment. Similarly, the folder may be disposed of 5 years after the death of the employee on the grounds that his retirement rights have by then been determined.

Item 2. These service record cards are official summaries of the salient facts of employment history that are maintained by personnel offices to obviate frequent references to personnel folders and to be used as the official record in lieu of lost folders. The cards serve as a central record, and have continuous significance as a concise reference source after transfer or separation of the employee.

Item 3. These descriptions must be retained indefinitely in order to protect fully the job restoration rights of persons who are furloughed to enter the military service under the 1948 Selective Service law. These rights involve restoration to the permanent position held as of September 1, 1950, when personnel actions became temporary under Executive Order 10180 and related legislation.

Items 4 and 5. These files reflect the operation of the personnel office in administering the agency personnel program, and that of the subordinate branches charged with individual phases of the program. Employment policy is normally reflected in agency files at higher administrative levels. Files covered by item 4 serve temporary administrative needs involved in the daily problems arising in personnel work, and the retention period indicated is adequate to serve such temporary needs. Correspondence relating to individuals who receive appointments is provided for elsewhere in this schedule, and item 5 relates to routine papers reflecting pre-appointment negotiations with potential appointees.

Item 6. These forms relate to requests made by the agency to the Civil Service Commission for lists of eligibles from established registers. The certificate itself is of little administrative value once

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

decisions have been taken with respect to the names certified.

Item 7. Optional Form 4 was developed as an informational record for operating units served by the personnel office to obviate requests for employee service and related data. Once the employee leaves the operating unit, the card is of no further administrative value. The permanent summary card record is maintained on Standard Form 7 (see item 2) by the personnel office itself.

Item 8. Position descriptions, used in classification work and in employment control, are of value as continuing personnel documents while the descriptions they contain are still valid. Except for descriptions which may be of continuing value because of their aptness of content (which may be retained as non-record reference material), these records are of little value after they are superseded or obsolete. Descriptions of positions abolished and descriptions superseded after September 1, 1950, are retained for the special reasons noted under item 3.

Item 9. These are primarily employee relations files and involve entrance and exit interviews, and interviews involving complaints by or against the employee. Any action taken by reprimand or otherwise is documented on the right hand side of the personnel folder. Some agencies place these records on the left side of the folder, to be disposed of on transfer or separation.

Item 10. These are duplicates of papers submitted by members of Boards of Review to the Civil Service Commission on termination of their terms of office.

Item 11. These are temporary papers dealing either with the inception of personnel actions documented on the right hand side of the Official Personnel Folder or with administrative matters, and are of administrative value only for a short time.

Item 12. These visible strips, which are maintained with the service record card files, provide summary data on each position occupied. They have no record or reference value when the related positions are canceled.

Item 13. These are case files accumulated under agency beneficial suggestion and management improvement programs. They have administrative value in evaluating new suggestions and in documenting current practices and procedures instituted as a result of the suggestions. The disposal period is sufficient to satisfy administrative needs either in reference or in documenting current practices. A lapse of five years after closing of the file will provide for normal reference needs.

Item 14. These are primarily copies of reports submitted to the Civil Service Commission. The copies are of little value to the agencies after a short period following submittal of the report.

Item 15. Copies of notifications of personnel action (other than the Official Personnel Folder copy) which have administrative or fiscal use are the pay copy, which is to be disposed of uniformly with other pay records, and the journal action copies, which will be retained for two years, in accordance with the provision of RI-2 of the Federal Personnel Manual, to satisfy inspection requirements.

Item 16. These files are involved in agency recruitment and appointment activities which are subject to Commission inspection to ensure that applicable rules are being observed. The application files are held for a sufficient period to serve the inspection needs of the Commission as well as the administrative needs of the agency personnel offices. Papers pertaining to successful applicants are retained for a long period as part of the personnel folders described in item 1. The files covered by this item, however, involve pending or unsuccessful applications.

Item 17. These reports, which are required administratively and by the Commission on many phases of personnel administration, are normally consolidated into summary reports submitted to higher administrative levels, or are so detailed as to have no further administrative value after the period indicated.

Item 18. This item is intended to provide for the mass of local and other forms and correspondence which are not placed in the Official Personnel Folder because the Federal Personnel Manual does not require it or because it is deemed not to be administratively necessary to do so. Pending personnel actions, including those resulting from reduction in force proceedings, are documented in the Folder, which is held for a long period (item 1), and the papers here described are essentially working papers which rapidly lose their value as organizational and personnel changes render them noncurrent. Generally, the other files covered by this item relate to aspects of employment history which are also documented in the official folders or in fiscal records to be retained for a long period by the provisions of this schedule, and therefore are of little administrative value after relatively short periods.

Item 19. These are copies of forms relating to personnel actions and other matters involving the employee submitted to the personnel office by the operating unit initiating the form.

# SUPERSEDED

# SUPERSEDED

OSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 1

Item 20. These records, created by Federal agencies as a result of operations pursuant to the Selective Service and Training Act of 1940, as amended, are of no further administrative value to the agencies. Actions taken with respect to individuals have been documented in Official Personnel Folders or their equivalents existing prior to 1947.

Items 21 and 23. These are the continuing records of treatment of individual employees; any correspondence, memoranda, or other data are filed in the same jacket. Journal entries are made on record cards or comparable forms recording each visit of the patient, brief diagnosis or statement of referral to private doctor, and treatment given, if any. The documents deemed of long term value by both personnel officials and medical officials are normally filed in the Official Personnel Folder (item 1). The remainder of the papers in each file are of only ephemeral interest. The records have no historical value; they are not of value for documenting health activities; medical officers believe that if no new data have been obtained during the retention period specified, they are of no value medically; and their administrative utility is limited by the five-year statute of limitations on claims for employees' compensation.

Item 22. These are journals on which are recorded the name of each patient, date on which he came, and, often, other identifying data, time spent, and a very brief notation of the illness or injury that prompted him to come. The records are occasionally used for administrative purposes for about one year after they are created, but not longer. They have no historical value and no value for documenting the history and functions of the dispensary, first aid room, or health unit; medical officers state that they have no medical value. Since their only administrative use is for statistical purposes, it is possible to dispose of those which are statistically summarized almost immediately and the statistical utility of the others is exhausted within the alternate period specified.

Item 24. These are retained copies of reports and summaries compiled by a health unit for transmission to higher administrative echelons, where they are used in combination with other reports for statistical and narrative analysis, and of informational copies of analyses transmitted to health units by higher administrative echelons. In either case, significant data are available at the higher echelons and the records are of no utility in health units beyond the period of time specified.

Item 25. These files consist of certifications by each supervisor that he has rated employees under his jurisdiction and has discussed the ratings with them. The certifications provide the necessary documentation to support the processing of periodic salary increases, and for the recording of other than "satisfactory" ratings on the retained service record cards (item 2 of this schedule). After such recording these certifications have no value.

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# SUPERSEDED

GSA Reg. 3  
Appendix B  
(10-4-54)

## GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
b.	All others.	Alphabetically by name; start a new file every year.	Dispose 1 year after file is closed or 1 year after date of application if filing arrangement differs from that suggested herein.
9.	Leave record cards, maintained independently of pay and earning records. (Including Standard Form 1130 when used as a leave record.)		
a.	Final cards showing accumulated leave on separation.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose after 10 years. (Close file at end of year and transfer to Federal Records Center, St. Louis, Missouri, 3 years thereafter; dispose 7 years after transfer to Center.)
b.	All other cards.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose 3 years after audit of related pay records.
10.	Records of leave data transferred (such as Standard Form 1150).	Alphabetically by name; start a new file every year.	Dispose 2 years after file is closed or 2 years after date of document if filing arrangement differs from that suggested herein.
11.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
a.	Pay or fiscal copy.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
b.	Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B 4.	Dispose after 2 years.
c.	All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
12.	Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.	By organization.	Dispose when superseded.
13.	Memorandum copies of payrolls, check lists, and related certification sheets (such as Standard Forms 1013, 1128, or equivalents).		
a.	Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.	Chronologically by pay period.	Dispose when Federal Records Center receives second subsequent payroll or check list covering same payroll unit.

# SUPERSEDED

# SUPERSEDED

## GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All other copies.		
	(1) Where earning record card is maintained.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	(2) Where earning record card is not maintained.	By pay period with other pay records.	Dispose when 10 years old. (Transfer to Federal Records Center, St. Louis, Missouri, when 3 years old.)
14.	Payroll control registers (such as Standard Form 1125).	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
15.	Payroll change slips exclusive of those in Official Personnel Folders (such as Standard Form 1126).		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. Copy used by disbursing officer in preparing checks.	By pay period, there-under alphabetically by name.	Dispose after preparation of check.
	c. All other copies.	By pay period, there-under alphabetically by name.	Dispose 1 month after end of pay period.
16.	Memorandum copies of fiscal schedules involved in payroll processing.		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. All other copies.	Varies with agency practice.	Dispose 1 month after end of pay period.
17.	Administrative reports and data relating to payroll operations and pay administration.		
	a. Reports and data used for workload and personnel management purposes.	Conform to agency practice.	Dispose after 2 years.
	b. All other reports and data.	Conform to agency practice.	Dispose after 4 years.
18.	Withholding tax exemption certificates (such as Internal Revenue Form W-4).	Alphabetically by name.	Dispose 4 years after card is superseded or obsolete.
19.	Returns on income taxes withheld (such as Internal Revenue Form W-2).	By return and chronologically thereunder.	Dispose after 4 years.
20.	Reports of withheld Federal taxes and related papers (including records relating to income and social security taxes).	Conform to agency practice.	Dispose after 4 years.
21.	Retirement reports and registers.	Chronologically.	Dispose after 4 years.

Item 1. These are the official centralized pay records maintained by agencies keeping such records under General Regulations No. 102 of the Comptroller General or an adaptation thereof. Summaries of service are also normally included. In agencies under payroll site audit, this centralized record is the only



# SUPERSEDED

GSA Reg. J  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 3

### Procurement and Supply Records

Agency procurement and supply records include the papers and files involved in obtaining 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 rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

This schedule covers procurement files dated since 1894, when such files began to be somewhat standardized. All contract records prior to 1894, for example, are not of permanent value but their unstandardized nature make it necessary for these older files to be evaluated on their own merits and they are therefore not covered by this schedule. Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

This schedule does not apply to records held by the General Accounting Office or to those of the General Services Administration reflecting Government-wide procurement responsibilities. It applies, however, to records of other agencies to which the Administrator of General Services has made delegations of authority, under Section 302 of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 252). Normally originals of papers required by the Comptroller General to be maintained for site audit, or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts. These original papers are therefore excluded from coverage in this schedule for the reasons set forth in Schedule 6. Similarly, this schedule does not apply to documents submitted to or created by other coordinating or regulatory agencies, such as the National Production Authority, the Economic Stabilization Agency, and others, in the course of their program operations.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

Since 1949 Federal agencies have operated their procurement and supply systems under regulations issued by the General Services Administration, although the Secretary of Defense under Section 201(a) of the Federal Property and Administrative Services Act of 1949, may exempt his Department from certain General Services Administration procurement regulations and orders.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. Forms to be used and reports to be made both ad hoc and as part of the returns of Federal disbursing officers are prescribed. General Services Administration General Regulation No. 4, for example, makes mandatory the use of certain standard supply contract forms. 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.

Procurement files fall into a number of functional categories, depending on the role of the file in the total supply process and its administration.

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 requisitions, 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. Confirmed copies of most procurement documents involving sums over \$5,000 for military agencies and over \$2,000 for other agencies, and leases, are submitted to the General Accounting Office at the time of their execution. The General Accounting Office contract file normally includes only those basic papers which enable its auditors to pass on the propriety of the expenditure or obligation. In agencies whose accounts are under site audit, the pertinent copies are maintained in agency space for the General Accounting Office.

Agency files may pertain to one or more of several procurement methods: (1) purchases against Federal Supply Service schedule contracts, record copies of which are in the appropriate Federal Supply Service regional office, (2) transactions initiated pursuant to the agency's own purchasing authority, or (3) requisitions from Federal Supply Service current inventories. Normally, in transactions not arising from Federal Supply Service schedule contracts, purchase orders are used for transactions under \$2,000 in value, and the more formal contract instruments are used for transactions involving larger sums of money.

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-11-55)

## GENERAL RECORDS SCHEDULE 3

Certain basic legislation normally governs procurement policies. The First and Second War Powers Act, enacted early in World War II, laid down general policies which gave to contracting officers wide latitude in contract determinations. The Armed Services Procurement Act of 1947 (62 Stat. 21) stated policy for armed forces procurement. Title III of the Federal Property and Administrative Services Act of 1949, as amended, (63 Stat. 377) restated over-all procurement policy and methods for the Government as a whole. Specialized legislation, such as the various renegotiation and price adjustment acts following World War II, produced temporary modifications of procedures.

The Federal procurement field has been affected from time to time by specialized legislation, some of which has been enacted for ad hoc purposes, while other laws have resulted in standard contract articles. Thus the Contract Settlement Act of 1944, as amended, (58 Stat. 649) prescribed procedures and policies to be used in the termination of World War II contracts; the Fair Labor Standards Act of 1938 prescribed certain standards of working conditions and employment that are still in effect; and the Anti-Kickback Act of 1934, subsequently amended in 1946, attempted to outlaw illegal arrangements by which employees returned parts of their wages to their employers under duress. Other legislation and administrative policies have imposed other legal safeguards and prohibitions, particularly in the field of real property procurement. In most instances the procurement files are required to document actions taken under the various laws.

Legislation which governs the procurement process inevitably affects the content of procurement files but not in such a way as to affect the long term value of the files except in the cases of those involving certain aspects of real property acquisition.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Procurement files (as described in item 4 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement or to major procurement programs (other than those covered by item 13).	Conform to agency practice.	Disposal not authorized by this schedule.
2.	Title papers documenting the acquisition of real property (by condemnation proceedings or otherwise).	Conform to agency practice.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after sale of property.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Correspondence files of procurement operating units pertaining to their internal operation and administration that are not covered elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Contract, requisition, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13).		
a.	Procurement or purchase organization copy.		
	(1) Transactions of \$1,000 or less.		

# SUPERSEDED

# SUPERSEDED

OSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	(a) Transactions negotiated pursuant to delegations of authority from the Administrator of General Services permitting agencies to procure supplies and services by negotiation rather than advertising, except when:  i. In the opinion of the contracting agency, the public exigency will not permit the delay incident to advertising.  ii. The transaction is for personal or professional services.  iii. The transaction is for any service to be rendered by any university, college, or other educational institution.  iv. The property or services are to be procured and used outside the limits of the United States and its possessions.	By contract symbol and number thereunder; by purchase order number.	Dispose 6 years after final payment.
	(b) All other transactions.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 4 years after final payment.
(2)	Transactions of more than \$1,000 and less than \$25,000.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 7 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
(3)	Transactions of \$25,000 or more.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 11 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
b.	Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
c.	Other copies of papers described in 4a.		
(1)	Papers duplicated in item 4a.	As appropriate.	Dispose 1 year after completion of transaction.
(2)	Papers not duplicated in item 4a.	As appropriate.	Dispose in accordance with provision for item 4a.
5.	Files of volume and workload reports on procurement and supply operations and procedures (other than those incorporated in case files or other files of a general nature), exclusive of Department of		

# SUPERSEDED

# SUPERSEDED

## GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	Defense reports reflecting procurement under exemptions authorized by 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.	By report and chronologically thereunder.	Dispose 2 years after date of report.
b.	Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose 1 year after date of report.
6.	Bid files.		
a.	Successful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
b.	Unsuccessful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
c.	Lists or cards of acceptable bidders.	Alphabetically by stock item or by name of bidder.	Dispose when new list or card is made.
7.	Records relating to requisitions on the Public Printer, and all supporting papers.		
a.	Printing procurement unit copy of requisition, invoice, specifications and related papers.	By requisition number.	Dispose 4 years after completion or cancellation of requisition.
b.	Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Attach to related vouchers.	Dispose 4 years after period covered by related account.
8.	Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	By requisition number.	Dispose after 1 year.
9.	Requisitions for supplies and equipment from current inventory.		
a.	Stockroom copy.	Numerically by requisition number.	Dispose 2 years after completion or cancellation of requisition.
b.	All other copies.	Numerically by requisition number.	Dispose after 6 months.
10.	Inventory files.		
a.	Inventory lists.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years from date of list.
b.	Inventory cards.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 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.

# SUPERSEDED

# SUPERSEDED

OSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules.	Conform to agency practice.	Dispose 2 years after date of survey action or date of posting medium.
11.	Telephone statements and toll slips.	Attached to related vouchers.	Dispose 4 years after period covered by related account.
12.	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.	By report and chronologically thereunder.	Dispose after 2 years.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose after 1 year.
13.	Contractors' payroll (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	By contract; thereunder chronologically.	Dispose 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
14.	Tax exemption certificates, and related papers.	Conform to agency practice.	Dispose 4 years after period covered by related account.

Item 1. These procurement files, normally selected by the agency as of continuing value, consist of procurement papers and related records which may or may not have been physically located in the agency principal procurement file. The records are retained not because of the individual transaction they represent, but because (a) they represent new departures in administrative arrangements not documented elsewhere in the agency, (b) they are an integral part of a file which may illustrate the inception and accomplishments of a major procurement program, or (c) they represent procurement procedures radically different from those normally followed and therefore are deserving of separate consideration. Normally they will be found in only a few agencies, such as the Defense departments and Atomic Energy Commission, which have unusual procurement problems.

Item 2. These records are of enduring legal, administrative, and historical value since they constitute the basic evidence of acquisition of real property by the Government, including statements of legal boundaries and restrictions that may run for generations. Other evidence of the same facts is legally secondary to the statements in the title papers.

Item 3. These are routine administrative files not part of other case files, and they do not include records of agencies or parts of agencies involved with the development of top procurement policy. Rather, these files are held by the units responsible for the day-to-day detailed procurement transactions. They are held long enough to satisfy administrative and reference needs.

Item 4. Agency procurement files (other than those described in items 1, 2, and 13) have the following conceivable values:

a. Legal and fiscal value: The principal values of procurement files are those pertaining to the rights of the Government as a contractor and as claimant or claimee and those involving audit or investigation by the General Accounting Office, the Congress, or others of transactions and payments. The General Accounting Office, which receives most claims involving procurement, has noted that claims quite consistently involve transactions of \$25,000 or more. The longest applicable statute of limitations on claims brought before the Comptroller General is 10 years (54 Stat. 1061); certain types of claims are governed by a six-year statute. The standard which has been developed for the disposition of procurement files therefore requires that contracts relating to transactions of \$25,000 or more must be retained until eleven years after final payment. Files relating to transactions between \$1,000 and \$25,000 and below

# SUPERSEDED



# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 3

\$1,000 are retained until seven and four years, respectively, after final payment. Audit needs of the General Accounting Office are satisfied under normal conditions after three years, since accounts must be settled within three years from date of submission.

Procurement practices of Federal agencies are governed to a certain extent by Title III of the Federal Property and Administrative Services Act of 1949, as amended (41 U.S.C. 251-260), hereinafter referred to as the Act. As a matter of policy for the Federal Government as a whole, purchases and contracts for supplies and services are largely to be made by advertising. According to the Act agencies may procure by negotiation instead of advertising pursuant to delegations of authority by the Administrator of General Services. Item 4a(1)(a) pertains only to procurement transactions in which the agency procures by negotiation, rather than advertising, pursuant to a delegation of authority by the Administrator. Other laws, notably 41 U.S.C. 5, permit agencies to negotiate contracts under certain circumstances and in such cases the resulting files are covered by 4a(1)(b), 4a(2), and 4a(3).

Delegated authority to negotiate, normally requested by the agency, is usually keyed to a specific subsection of Section 302(c) of the Act. Section 302(c) lists 14 types of circumstances which permit negotiation without advertising. Section 307(c) of the Act requires that the written findings upon which agency decisions to negotiate pursuant to delegated authority are based, as well as the decisions themselves, be kept for a six-year period in the case of 11 of the 14 types of circumstances listed in Section 302(c). Section 307(d) requires the negotiation data be kept for six years following final payment in the case of 9 of the 14 types of circumstances permitting negotiation. To simplify agency retention and disposition, item 4a(1)(a) provides that the files on any transaction, including the agency determinations and decisions to negotiate, which are affected in whole or in part by Sections 302(c) (except 302(c)(2), (3), (4), (5), or (6)) or 307(d) of the Act, be retained six years after final payment.

The six-year requirement of 4a(1)(a) affects all procurement files of the type described in this item. However, since files of transactions of over \$1,000 are retained in excess of six years under items 4a(2) and 4a(3), the requirement of the Act is expressly included only in the item covering transactions of \$1,000 or less. All files documenting such transactions not affected by the six-year period are disposable four years after final payment in accordance with the appraisal factors discussed above. Although most agencies are permitted to negotiate purchases without any delegation of authority (i.e., under 41 U.S.C. 5) when the amount involved does not exceed \$500, and under certain other circumstances, it should be noted that the retention provision of 4a(1)(a) is applicable to all transactions of \$1,000 or less negotiated under a delegation of authority under Section 302(c) of the Act.

b. Historical value: Modern agency procurement files as a class are not of permanent historical or archival value since they represent essentially routine transactions and merely bind the usual buyer-seller relationships. These agency files are very voluminous and necessarily most of the transactions involved are of no historical importance. Important policies and procedures are established by the Comptroller General, the Administrator of General Services, and agency staff groups, and compliance with these procedures and policies is checked by the General Accounting Office so that irregularities of significance are documented in that agency.

c. Agency administrative value: Normally procurement files are of little reference interest to the agency after final payment has been made. Such needs, however, are adequately provided for by the retention period.

Item 5. These are workload and activity reports, with related subsidiary reports, made to staff agencies or to organizational superiors and are used for consolidated agency reports or for work measurement and other management purposes. These copies have no administrative value after the lapse of the period specified.

Item 6. The unsuccessful bids are retained for a period sufficient to serve needs of the contracting agency and other interested Federal units.

Item 7. These are case files on printing and binding jobs performed by the Government Printing Office. The files, comprising originating papers, agreements, and all related correspondence are normally maintained in the service organization involved in the printing and publication function. The period specified is sufficient to safeguard agency administrative needs arising from fiscal adjustments with the Government Printing Office, or from audit of the related accounts.

Item 8. These are requisitions for routine agency services. They are of minor value after the services have been performed.

Item 9. These are routine internal requisitions originated by operating units and filled from agency or Federal Supply Service inventories. They do not directly result in procurement action. The period provided is sufficient for local administrative needs and for posting to stock records.

Item 10. Inventory records, maintained to provide replenishment, stock control, and property maintenance

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 3

data, are normally of administrative value as long as the individual inventory items involved are in stock or in current use. The periods provided are sufficient to allow for administrative and management uses, including those involving the property accounting audit responsibilities of the General Accounting Office, and the reconciliation with cost and control accounts. Papers primarily created to serve as posting media to inventory records, such as reports of survey resulting in the writing off or abandonment of property other than by sale or salvage, are held for a brief period after posting.

Item 11. Toll slips are in effect invoices authorizing payment via public vouchers for long distance telephone calls, and are usually filed with the related vouchers. Disposal is based on the three-year statutory period for the settlement of disbursing accounts, plus one year for agency administrative needs.

Item 12. These are reports required externally by the General Services Administration (Federal Supply Service) and internally by the agency to show agency needs and procurement for Federal Supply management purposes. The period of time specified is sufficient to satisfy internal agency needs for the information contained in these reports.

Item 13. The Department of Labor requires (29 CFR 5.5(a)(3)) that on each construction contract the contractor each week submit certified copies of all payrolls to the contracting officer, together with an affidavit that the payrolls are correct and that the rates paid are the same as those prescribed by the Secretary of Labor (these are not the copies used by the General Accounting Office in auditing cost-plus contracts). The contractor is required to preserve his payroll for three years after the work is completed and to make them available for examination. The Federal agencies to whom the payrolls are submitted are also required (29 CFR 5.6(d)) to preserve the payrolls for three years. With relatively small contracts the payrolls in volume, constitute at least half of each contract file; in larger contracts, the volume is proportionately greater. The primary purpose of preservation of payrolls is for enforcement. Generally after the three-year period has passed the payrolls would be of little value if no enforcement action had taken place during such period. In cases where contractors' payrolls and related papers are being used in an enforcement case or where remedial action is pending at the end of the three-year period they should be retained.

Item 14. These files pertain to the Government's exemption from the payment of certain locally levied taxes on goods and services. The Federal purchaser pays these local taxes at the time a purchase is made, at the same time having the seller certify as to the amount and kind of tax paid. This tax exemption certificate, executed by the purchaser, is then used by the agency primarily to bill the State or local body involved for refund of the taxes paid. If the agency is unable to collect the bill, it is normally forwarded to the General Accounting Office for action. When collection is made, the refunded taxes are covered into agency accounts, memorandum copies of which are provided for in item 1, General Records Schedule 6. The certificates are retained as long as the agency accounts which they support.

# SUPERSEDED

# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## 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 the staff functions of the former War Assets Administration relating to property disposition to the new agency. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Interior Department relating to the public domain, and to records relating to overseas property under State Department control. Surplus property transaction files dated prior to the establishment of the former Procurement Division in 1933 are also not covered. Such files are not necessarily of continuing value but they must be evaluated separately from later similar records because prior to assignment of program responsibility to the Procurement Division the files are incomplete and of varying nature.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

In discharging its responsibilities, the General Services Administration has issued Title 1, Personal Property Management, Regulations of the General Services Administration, which sets up procedures for screening, redistribution, and sale of personal property in the Federal Government. Three forms are prescribed for use by any agency selling surplus personal property under the regulations.

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

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

Procedures relating to real property are governed by Title 2, Real Property Management, Regulations of the General Services Administration.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Case files on sales of surplus personal property (as described in item 6 below) involving transactions of \$25,000 or more, and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	Transaction files in alphabetical order by name of purchaser.	Disposal not authorized by this schedule.
2.	Case files on disposal of surplus real and related personal property.	Alphabetically by location or by control number, as appropriate.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after close of file.)
3.	Reports of excess real property.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence files maintained by operating units responsible for property disposal, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.
5.	Reports of excess personal property.	Chronologically by reporting unit.	Dispose after 3 years.

# SUPERSEDED

# SUPERSEDED

## GENERAL RECORDS SCHEDULE 4

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
6.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).		
a.	Transactions of \$1,000 or less.	Transaction files in alphabetical order by name of purchaser.	Dispose 4 years after final payment.
b.	Transactions of more than \$1,000 and less than \$25,000.	Transaction files in alphabetical order by name of purchaser.	Dispose 7 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)
c.	Transactions of \$25,000 or over.	Transaction files in alphabetical order by name of purchaser.	Dispose 11 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)
7.	Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership since August 21, 1935, 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 agree to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	Conform to agency practice.	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

Item 1. These files, normally selected by the agency for permanent retention, are retained because they document transactions involving new departures in the administration of surplus personal property disposal and as such may be of continuing value. Those not warranting continued preservation must be appraised on their own merits.

Item 2. Almost all contracts for the sale by the Government of surplus real property include recapture clauses, reservations on fissionable materials, reservations on water rights, and other restrictions. These reservations are not limited in time and therefore the sales files must be kept indefinitely. Older sales files and current ones not including such reservations may be disposable but since they represent sales taking place under unstandardized policies and procedures they must be appraised on their own merits. The related personal property described in this item is property sold with the real estate or with similar reservations.

Item 3. Reports of excess real property contain justifications for declaring the property excess and contain data on the methods by which the property was acquired. Continuing legal needs for this information preclude scheduling their disposal on a Government-wide basis.

# SUPERSEDED



# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 6

Under Public Law 72, 80th Cong., 1st sess. (61 Stat. 101), the General Accounting Office must complete the audit of accounts within 3 years from the date of the submission of the account. The disposal period provided for all returns files other than those covered in item 1a includes the three-year period, plus an additional year for administrative purposes. Necessary references after the four-year period can be made to the originals of the papers held by the General Accounting Office in its own space, or in appropriate agency or Federal Records Center space.

In the normal course of current operations, security copies of voucher listings prepared or paid by the Treasury disbursing offices normally consist of memorandum copies of lists of various types of periodic payments made under certain Federal programs, and attached papers. These copies are transferred to appropriate Federal Records Centers by disbursing offices as soon as checks are issued. Since only current data need be available, these documents are disposable at the Centers when the second subsequent document for each type of disbursement is received. Under this procedure, the current and immediately preceding payment listings will be continuously available. The disposal provision for item 1a does not apply to original listings, which are maintained for a minimum of twelve years in the case of skeletonized payrolls, fifty-six years in the case of comprehensive payrolls, and eight years in the case of all other types of listings.

Exception and certificate files are scheduled for disposal after periods based on clearance of the exception as well as the total accounts.

Schedules of certificates of settlement of claims are listings of claims settled by the General Accounting office and are retained for a shorter period than the certificates themselves.

Item 5. These records, relating to the availability, deposit and status of funds, comprise certificates of deposit and related papers, or their equivalents, covering collected funds into the Treasury, transcripts, tabulations, and reports prepared primarily by the Treasury Department informing administrative agencies of the status of their funds subject to disbursement from certified vouchers, and used to reconcile with agency accounting records; copies of appropriation warrants officially making funds available to agencies by Congress; and other records documenting the acquisition, maintenance, and availability of agency funds. Conversely, this item does not cover source records supporting the aggregates of funds or collections reported on certificates of deposit or summaries of disbursements. Therefore, records such as income tax returns, social security reports, Federal employe retirement accounts, and the like are not included. Those records serve separate and distinct special program purposes and do not relate to agency funds accounting activities. Records covered by this item are held for the same four-year period provided for the memorandum copies of accountable officers' returns, which reflect the collections and expenditures of the funds. Key ledger records summarizing accountable officers' accounts are retained for substantial periods in the Office of the Treasurer of the United States and the Bureau of Accounts, Treasury Department. The originals of the appropriation warrants (Treasury Department copies) are not scheduled for disposal.

Item 6. Files used for personnel and other non-fiscal management purposes are disposable after a minimum period necessary for administrative and reporting needs. Other files are held for a somewhat longer period, since they may contain substantive fiscal data and may be useful in General Accounting Office comprehensive agency audits.

# SUPERSEDED



# SUPERSEDED

GSA Reg. 3  
Appendix B  
(8-31-55)

## GENERAL RECORDS SCHEDULE 9

Item 5. These files pertain to the travel of personnel under orders issued pursuant to law by competent agency authority. Each paper normally concerns travel of an individual. Included are papers which are normally accumulated by agency units involved in expediting and arranging for the travel, including copies of travel orders, per diem vouchers, hotel reservations, and related papers, as well as copies of accounting papers such as vouchers which may be used for fund control purposes. The latter are of no value after they have been posted to control ledgers; the administrative travel records are maintained generally as long as memorandum copies of related agency accounts (item 1, General Records Schedule 6).

Papers covered by item 5a include also transportation request files. The originals of transportation requests are surrendered to the carrier by the traveler, while a retained carbon copy of each is held as a check against the originals, which are returned by the carrier with his bill and which become part of the agency accounts. Agency memorandum copies are disposable after 4 years. Transportation requests which are spoiled in preparation, canceled, or voided for any reason, or which are unused, as well as empty request book covers (retained under the obsolete General Regulations No. 108 of the Comptroller General), are not record material. They are disposable as soon as the regulations (now issued by agencies pursuant to General Regulations No. 123 of the Comptroller General), requiring the maintenance of accountability records, are complied with. Prior to July 1, 1955, comparable accountability records were required by General Regulations No. 108. The accountability records themselves are disposable under this item 4 years after all the entries on the records are cleared.

Item 6. Files relating to the administration of the Government Losses in Shipment Act are retained for substantial periods by the Bureau of Accounts, Treasury Department, which has Government-wide responsibility. These agency copies are retained long enough to satisfy local administrative and legal needs.

# SUPERSEDED

**SUPERSEDED**



United States Department of the Interior

GEOLOGICAL SURVEY  
RESTON, VIRGINIA 22092

JUL 21 1977

*Handwritten notes:*  
Jmws  
7/27/77  
NC  
7/21/77  
NC-057  
Heise  
Fraley

Mrs Thomas Wadlow  
Director, Records Disposition Division (NCD)  
Office of Federal Records Centers  
National Archives and Records Service  
Washington, D.C. 20407

Dear Tom:

I have this week received a copy of the new General Records Schedules. After making a brief review of them, my overall reaction is very favorable. These are more useful than the old in that they are more readable and descriptive. Particularly, I am pleased with the changes where you have noted the necessity to prepare a SF-115 to obtain appraisal for retention or disposal. Your staff and any others involved should be commended for their efforts in making the revisions and getting them to us in the agencies, particularly in the face of all the agency schedules with which you have been inundated in the last year.

I intend to use the schedules when we continue our effort to schedule Geological Survey records for your final appraisal. I look forward to working with you and your staff as we complete this project.

Sincerely yours,

Robert G. Prescott  
Paperwork Management Officer

**SUPERSEDED**

# SUPERSEDED

## GENERAL RECORDS SCHEDULES

<u>SCHEDULE NO.</u>	<u>NO. OF PAGES</u>	<u>DATE OF PAGES</u>
General Records Schedule 1	9	All <del>10-8-57</del> <i>Revised 12/15/67</i>
General Records Schedule 2	6	All 10-8-57
General Records Schedule 3	7	<i>4 pages</i> All 8-10-60 ( <i>Revised 3-5-64</i> <i>pgs. 3-7</i> )
General Records Schedule 4	3	All <del>First page 8-31-55</del> <i>Revised 8-25-64</i> <del>Second " 8-27-53</del> <del>Third " 8-27-53</del>
General Records Schedule 5	3	First page 7-10-53 Second " 9-10-56 Third " 7-10-53
General Records Schedule 6	4	First page 9-10-56 Second " 11-24-58 Third " 11-24-58 Fourth " 11-24-58
General Records Schedule 7	2	First page 9-10-56 Second " 7-10-53
General Records Schedule 8	2	First page 9-10-56 Second " 7-10-53
General Records Schedule 9	3	All 8-10-60 <i>Revised 4-6-62</i>
General Records Schedule 10	1	9-10-56
General Records Schedule 11	2	All 7-10-53
General Records Schedule 12	3	All 7-10-53
General Records Schedule 13	2	All 7-10-53
General Records Schedule 14	2	All 10-4-54
General Records Schedule 15	2	All 8-27-53
General Records Schedule 16	3	All 8-27-53
General Records Schedule 17	7	All 10-4-54
General Records Schedule 18	7	All 8-10-60
General Records Schedule 19	6	All 8-10-60

# SUPERSEDED

**SUPERSEDED**

GENERAL RECORDS SCHEDULES

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General Records Schedule 4	3	<i>ALL</i> <del>First page 8-31-55</del> <i>Revised 8-25-64</i> <del>Second " 8-27-53</del> <del>Third " 8-27-53</del>
General Records Schedule 5	3	First page 7-10-53 Second " 9-10-56 Third " 7-10-53
General Records Schedule 6	4	First page 9-10-56 Second " 11-24-58 Third " 11-24-58 Fourth " 11-24-58
General Records Schedule 7	2	First page 9-10-56 Second " 7-10-53
General Records Schedule 8	2	First page 9-10-56 Second " 7-10-53
General Records Schedule 9	3	All 8-10-60 <i>Revised 4-6-62</i>
General Records Schedule 10	1	9-10-56
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General Records Schedule 12	3	All 7-10-53
General Records Schedule 13	2	All 7-10-53
General Records Schedule 14	2	All 10-4-54
General Records Schedule 15	2	All 8-27-53
General Records Schedule 16	3	All 8-27-53
General Records Schedule 17	7	All 10-4-54
General Records Schedule 18	7	All 8-10-60
General Records Schedule 19	6	All 8-10-60

**SUPERSEDED**

# SUPERSEDED

## GENERAL RECORDS SCHEDULED CASE FILES (Appendix to Appraisal Report. NY-373-7)

I. Instruction for preparation, revision, and assurances of General Records Schedules appear in these accessioned Planning and Control Case Files:

046-82(2)	047-144
047-127	048-125

II. Case files for individual schedules were assigned numbers in the "Records Administration Case Files" (Series "2") from fiscal 1946 until early in fiscal 1951. The following list of case files was compiled from the accessioned Series "2" register. Most of the case files listed below are in Mr. Perlman's files, series 1B-

246-2	247-14
246-3	247-18
246-6	248-1
247-7	248-2
247-14	248-3
247-9	250-5
247-11	251-2

III. From some time in fiscal 1951 to date, case files for individual schedules have been assigned numbers in the "Disposal Job Case File" series. The following list was compiled from registers in the Records Appraisal Division.

II-NNA-228	II-NNA-1333	II-NNA-3120
-647	-1334	-3269
-648	-1344	-3283
-649	-1747	-3297
-665	-1777	-3633
-753	-1789	
-754	-2082	III-163-31
-767	-2235	III-164-12
-777	-2236	III-164-63
-944	-2237	III-164-188
-1069	-2238	III-167-125
-1070	-2321	III-167-128
-1090	-2523	III-168-18
-1124	-2538	III-168-17
-1262	-2539	III-169-12
-1311	-2657	III-169-56
-1329	-2859	III-171-62
		III-172-20
		III-173-142 withdrawn 2/12/73

# SUPERSEDED



**SUPERSEDED**

UNITED STATES GOVERNMENT PRINTING OFFICE: 1950

See FD-50-101 Bureau Archivist Office 20 6/29/50

100-101	100-101
100-102	100-102
100-103	100-103
100-104	100-104
100-105	100-105
100-106	100-106
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100-197	100-197
100-198	100-198
100-199	100-199
100-200	100-200

**SUPERSEDED**

**SUPERSEDED**

DISPOSAL JOBS CHECKLIST

EXTERNAL

GRS

GENERAL RECORDS SCHEDULES

JOB NOS.

NN-167-125, 128

NN-168-47

NN-169-12

NN-171-62

NN-172-20

NN-173-142 (Withdrawn)

NN-174-51, 32

NC-174-105, 119, 161, 166

NC-64-76-1, 3, 4

NC1-64-77-1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13

NC1-GRS-78-1

NC1-GRS-78-2

NC1-GRS-78-3

NC--GRS-78-4

NOTE: All external disposal jobs relating to the General Records Schedules and processed prior to FY78 were registered under RG 64, Records of the National Archives and Records Service. Subsequent to FY77, they have been registered separately under the GRS designation.

**SUPERSEDED**