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FPMR 101-11.4

August 1974

GENERAL RECORDS SCHEDULES

(Arranged in numerical order by Schedule numbers)

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INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules are issued by the Administrator of the General Services Administration to provide disposition standards for records common to several or all Federal agencies (44 U.S.C. 3303a). The records covered by the General Records Schedules include those pertaining to civilian personnel, fiscal, accounting, and procurement matters, and other common functions. Agencies may destroy records based on the disposal authorizations in these schedules without further concurrence from the National Archives and Records Service (NARS), except that most records created prior to January 1, 1921, must first be offered to NARS for possible permanent retention. General Records Schedules 3, 16, and 17 have other delimiting dates and should be consulted specifically.

Retention Periods:

Some items in this schedule have no authorized disposition. This does not mean that records so described are permanent, although they may be. It merely signifies that the specific series of records listed, while common to many agencies, do not share a common retention period. Agencies are required to recommend a retention period for these records on a Standard Form 115 "Request for Authority to Dispose of Records", based on an examination of the administrative, legal, and fiscal values of the records.

Records Transfers:

General Records Schedules also recommend time periods for file cut-off, and transfer of non-current records of Federal records centers. If transfer costs exceed the expense of retaining the records in agency space, however, the records should not be sent to the records center. This is often the case with records having short retention periods, such as described in the General Records Schedules. Procedures for transfer of records to Federal records centers are included in FPMR 101-11.410-2.

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

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

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December 15, 1967

<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 groups of folders selected 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 10.	Alphabetically by name.	(a) See Chapter 293, Subchapter 2, 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, transfer folder to NPRC, (CPR), St. Louis, Missouri, 30 days after separation. 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.
2.	Service Record Card (Standard Form 7 or its equivalent) except those of the Post Office.		
a.	Cards for employees separated or transferred on or before December 31, 1947.	In accordance with Federal Personnel Manual Supplement 293-31.	Transfer to NPRC, (CPR), St. Louis, Missouri.
b.	Cards for employees separated or transferred on or after January 1, 1948.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose 3 years after year of employee's separation or transfer to another agency.
3.	Correspondence and subject files relating to the administration and operation of personnel functions, excluding those at agency staff planning level.	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.
4.	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 15; (3) All others; dispose immediately.
5.	Certificate files, consisting of:		
a.	Requests for certificates of eligibles.	File request and certificates by certificate number.	Dispose 2 years after date of certificates.
b.	Certificates of eligibles.	File requests and certificates by certificate number.	Dispose 2 years after date of certificates.
u.	Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose or transfer to another agency or bureau or on separation of employee.

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7.	Position descriptions.	In accordance with Federal Personnel Manual Supplement 293-31.	(a) Dispose of one copy 5 years after position is abolished or description is superseded; (b) dispose of other copies when position is abolished or description is superseded.
8.	Employee interview records.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start a 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.
9.	Duplicate case files of performance 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.
10.	All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual, Chapter 293, and Supplement 293-31.	On left side of folder, chronologically.	Dispose on transfer to another agency (except in a transfer of functions), separation of the employee, or when 1 year old, whichever is earlier.
11.	Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose when position is canceled or new strip is prepared.
12.	Incentive awards case files.	Alphabetically by name; start a new file every 2 years.	After closing case transfer to inactive closed file and dispose 2 years after closing.
13.	Reports pertaining to the incentive awards program.	Chronologically.	Dispose after 3 years.
14.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
	a. Chronological file copies, including face sheets.	In accordance with Federal Personnel Manual Supplement 293-31.	Dispose after 2 years.
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
15.	Applications for employment and related papers, excluding (a) records relating to appointments and 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 the Federal Personnel Manual.	Dispose upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier, providing the requirements of Chapter 333, Section A-4 of the Federal Personnel Manual are observed.

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16.	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.
17.	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.	In accordance with Chapter 351, Appendix A of the Federal Personnel Manual.	Dispose after 2 years.
c.	Retention registers (including card files and related papers) from which no reduction-in-force actions have been taken.	In accordance with Chapter 351, Appendix A of the Federal Personnel Manual.	Dispose when superseded.
d.	All other correspondence 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.
18.	Copies of document 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.
19.	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 are to be disposed of 6 years after date of last entry on the card pertaining to him.

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20.	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.
21.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history, except pre-employment physical examinations, Health Qualification Placement Records, disability retirement examinations which become a part of the Official Personnel Folders (Standard Form 66) upon separation, but which may be maintained separately from the folder prior to separation (see Chapter 293, Subchapter 3. of Federal Personnel Manual).	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.
22.	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.
23.	Certificates of performance rating.	Conform of agency	Dispose after 2 years.

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24.	Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Alphabetically by name of employee. Transfer of inactive Chronological file upon separation of employee or upon rescission of authorization to operate Government-owned vehicle.	Dispose 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is the earlier.
25.	Statements of employment and financial interests, and related papers.	Alphabetically by name.	Dispose 2 years after employee leaves a position in which a statement is required, or two years after the employee leaves the agency, whichever is earlier.
26.	Records created in receipt and processing of complaints of discrimination by employees or applicants for employment with Federal Civil Service. a. Official Equal Employment Opportunity Case Files, as described by 5 CFR 713.222: 1) When case is resolved within agency of origin; 2) When case is resolved by U. S. Civil Service Commission; b. All other copies of EEO complaint case files or duplicates of documents pertaining to case files which are included in files retained under Item 26(a) above; c. All background documents pertaining to the case but not included in case files retained under Item 26(a) above;	According to Agency Practice.	Dispose ⁴ years after final adjustment. <i>FOIA 0-58</i> The official case file is retained by USCSC according to their records control schedule. Dispose 1 year after final adjustment. Dispose 3 years after final adjustment.

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

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

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

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

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

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1.	Individual earning and service cards (such as Standard Form 1127 or its equivalent).	Alphabetically by name of employee; start a new file	Transfer to National Personnel Records Center (NPRC) St. Louis, MO. (a) If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose with the personnel folder (see CRS 1, Item 1); (b) If not in or filed adjacent to personnel folder, dispose 56 years after date of last entry on card.
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 reports are used for both time and attendance and leave posting purposes, the disposal provision for item 9 applies).	Standard Form 1130 or its equivalent for each employee per pay period; one copy of Standard Forms 1135 and 1136, chronologically.	Dispose after audit by General Accounting Office or after 3 years whichever is earlier.
	b. All others.	By pay period with other pay records.	Dispose 6 months after end of pay period.
4.	Individual authorization card and record payroll allocations (such as Standard Form 1192).		
	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 3 years after close of file. (Remove to inactive file when superseded or upon transfer or separation.)
5.	Issuing agents' copies of bond registration stubs.	By year and bond number thereunder.	Dispose after 2 years.

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6.	Receipts for and transmittals of U.S. Savings Bonds and checks.	By month and alphabetically thereunder.	Dispose 3 months after date of receipt.
7.	Reports of deposits and purchases of bonds, and related papers.	By month.	Dispose after 3 years.
8.	Application for leave and supporting papers.		
	a. Application for leave taken immediately prior to separation.	Alphabetically by name; start a new file every year.	Attach to leave record card (see item 9). (a) If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose either 10 years after date of last entry on card or with the personnel folder (see GRS 1, item 1)(b) If not in or filed adjacent to personnel folder, dispose 10 years after date of last entry on card.
	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. Pay or fiscal copy.		
	(1) Final individual card showing accumulated leave on separation.	Alphabetically by pay year.	Transfer to National Personnel Records Center, (NPRC) St. Louis, MO. after audit by General Accounting Office or after 3 years whichever is earlier. NPRC will destroy when 10 years old.

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9.	(2) All other pay or fiscal copies.	Alphabetically by name; start a new file every 2 years if S.F. 1137 or its equivalent is used, and every pay period if S.F. 1130 used.	Dispose when 3 years old.
	b. Other copies.	Conform to agency practice.	Dispose 3 months after the end of the period covered.
10.	Records of leave data (such as Standard Form 1150) prepared except as noted in the Federal Personnel Manual, 293-A-3.		
	a. File original of Standard Form 1150 on right side of Official Personnel Folder.		See GRS 1, item 1.
	b. Agency Copy	Alphabetically by name; start a new file every year.	Dispose of after 3 years.
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 after audit of related pay records by the General Accounting Office or after 3 years whichever is earlier.
	b. Chronological file copies, including fact sheets.	In accordance with Civil Service, Federal Personnel Manual, Supplement 293-31.	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.

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13.	b. All other copies.		
	(1) Where earning record card is maintained.	By pay period with other pay records.	Dispose after audit by the General Accounting Office or after 3 years whichever is earlier.
	(2) Where earning record card is not maintained.	By pay period with other pay records.	(Transfer to National Personnel Records Center, St. Louis, MO, when 3 years old.)
14.	Payroll control registers (such as Standard Form 1125).	By pay period with other pay records.	Dispose after audit by the General Accounting Office or after 3 years whichever is earlier.
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 after audit of related pay records by the General Accounting Office or after 3 years whichever is earlier.
	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. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose after audit by General Accounting Office or after 3 years whichever is earlier.
	b. All other copies.	Varies with agency practice.	Dispose 1 month after end of pay period.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
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 3 years.
18.	Withholding tax exemption certificates (such as Treasury Department Form W-4).	Alphabetically by name	Dispose 3 years after card is superseded or obsolete.
19.	Returns on income taxes (such as Treasury Department Form W-2).	By return and chronologically thereunder.	Dispose after 3 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 3 years.
21.	Retirement reports and registers.	Chronologically.	Dispose after 3 years.
22.	Reports of insurance deductions and related papers including copies of vouchers and schedules of payment.	Conform to agency practice.	Dispose after 3 years.
23.	Levy and garnishment records, including official notice of levy or garnishment, change slips, workpapers and correspondence relating to charge against retirement funds or attachment of salary for payment of back income tax or for other debts of Federal employees.	Conform to agency practice.	Dispose after 3 years.
24.	Wage survey files consisting of wage survey reports and data, working papers and related correspondence concerning area wages paid for each employment class (excluding authorized wage schedules and wage survey recapitulation work sheets).	Conform to agency practice.	Dispose after completion.

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GENERAL RECORDS SCHEDULE 3

Procurement and Supply Records

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

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

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. 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.

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

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

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

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

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

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

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</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 procurements 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 purchase, condemnation, donation, exchange, or otherwise).		
a.	All records for property acquired other than abstract or certificate of title.	Conform to agency practice: transfer papers relating to property unconditionally sold or released by the Government to separate file upon sale or release.	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

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GSA Reg. 3
Appendix B
(3-5-64)

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Abstract or certificate of title.	Conform to agency practice.	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.
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, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13.)		
	a. Procurement or purchase organization copy, and related papers.		
	(1) Transactions of more than \$2,000 <i>after July 25, 1974</i> <i>10,000 and all construction contracts exceeding \$2,000</i> B-58	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 6 years after final payment. (Place in inactive file on final payment; transfer fiscal year block to Federal Records Center after 2 years.)
	(2) Transactions of \$2,000 or less and \$10,000 <i>after July 25, 1974</i> <i>construction contracts under \$2,000</i>	By contract symbol and number thereunder; by purchase order number.	Dispose 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose, except that files on which actions are pending will be brought forward to the next fiscal year's files for disposal therewith.)
	b. Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
	c. Copies of contracts, requisitions, purchase orders, leases, and other papers which are duplicates of papers defined in item 4a, used by component elements of a procurement office for administrative purposes.	As appropriate.	Dispose upon termination or completion.

SUPERSEDED

SUPERSEDED

GSA Reg. 3
Appendix B
(3-5-64)

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
5.	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. 401).		
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.
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 nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule b)).	By requisition number.	Dispose after 1 year.

SUPERSEDED

SUPERSEDED

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECORDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
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 of 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.
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 3 years after period covered by related account.
12.	Contractors' payrolls (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.
13.	Tax exemption certificates, and related papers.	Conform to agency practice.	Dispose 3 years after period covered by related account.

SUPERSEDED

SUPERSEDED

FPMR 101-11.4
August 1, 1974

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 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 Department of the Interior relating to the public domain, and to records relating to overseas property under the Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must first be offered to the National Archives for possible permanent retention before applying these disposal instructions.

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

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

- a. Standard Form 114, Sale of Government Property, Invitation, and Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, and other notices of sale, invoices, and sales slips.
- b. Standard Forms 120, Report of Excess Personal Property and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Form 120 reports personal property which is excess to the agency reporting to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Office of Personal Property, Utilization and Disposal Service, General Services Administration, which consolidated the data.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</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.

SUPERSEDED

SUPERSEDED

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
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.
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).		
B-98	<i>after July 29, 1974</i> a. Transactions of more than 25,500 10,000	Transaction files in alphabetical order by name of purchaser.	Dispose 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)
	<i>after July 29, 1974</i> b. Transactions of 25,500 10,000 or less.	Transaction files in alphabetical order by name of purchaser.	Dispose 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)
7.	Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided: (a) that the records can be segregated without harm to other documents of enduring value. (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	Conform to agency practice.	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

SUPERSEDED

SUPERSEDED

FPMR 101-11.4
August 1, 1974

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

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

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

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

The nature of the budget presentation itself is standardized by the Office of Management and Budget which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to the OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statement which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payroll activities.

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 5

<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.	Correspondence files of formally organized budget offices showing agency policy and procedures governing budget administration, and reflecting policy decision 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.	Correspondence 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 report 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 3 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.

SUPERSEDED

SUPERSEDED

FPMR 101-11.4
August 1, 1974

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts

This general schedule covers the memorandum copies of all accountable officers' returns and related records. It does not apply to records which are under the cognizance of the General Accounting Office, as described below. Nor does the schedule apply to the copies of the schedulee and related papers held by the Chief Disbursing Officer, from which he makes payment. Any records created prior to January 1, 1921, must be offered to the National Archives before applying these disposal instructions.

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

Disbursements for most civilian Government agencies, are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement within the Bureau of Accounts, Treasury Department. The Division was created by Executive Order 6166 of June 10, 1933. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to the General Accounting Office from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by General Accounting Office General Regulations No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This records schedule does not apply to records held for on-site audit by the General Accounting Office. Under on-site audit, vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents are retained in agency space for the General Accounting Office auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. 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 of 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.

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

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
RECORDS OF TEMPORARY VALUE:			
1.	Accountable officers' returns, comprising memorandum copies of statements of transactions and accountability, 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).	Chronologically by payment period.	Dispose 3 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, 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.	Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants (other than records covered by item 1).	Chronologically.	Dispose 3 years after date of document.
5.	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 3 years.

SUPERSEDED

ITEM NO.

DESCRIPTION OF RECORDS

RECOMMENDED METHOD OF FILING

AUTHORIZED DISPOSITION

6.

Federal personnel surety bond files.

a. Official copies of the bond and attached powers of attorneys

Conform to agency practice.

(1) Bonds purchased prior to January 1, 1956.

Dispose 15 years after bond becomes inactive.

(2) Bonds purchased after December 31, 1955.

Dispose 15 years after end of bond premium period.

b. Other bond files, including other copies of bonds and related papers.

Conform to agency practice.

Dispose when bond becomes inactive or end of bond premium period.

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 OMB, and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, with expenditures and with program costs.

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

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

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

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

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

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 312).

<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 ledgerst showing debit and credit entries, and reflecting expenditures in summary.	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.
4.	Records uses 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 3 years.
	b. Copies.	One set of each control.	Dispose after 2 years.

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

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

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain 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.

All records for the years prior to 1959 should be destroyed. Records for the years 1959 and later are retained in accordance with the provisions of 49 U.S.C. 304a, 49 U.S.C. 1006a, and other applicable laws.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Freight records, consisting of export certificates, transit certificates, demurrage and record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, and including files relating to the shipment of household effects.		
n.	Issuing office memorandum copies.	Conform to agency practice.	Dispose after 3 years (Transfer to appropriate Federal Records Center if volume warrants.)
b.	All other copies.	Conform to agency practice.	Dispose after 1 year.
c.	Bills of lading registers.	In numerical sequence.	Dispose 3 years after final entry on register.

SUPERSEDED

FPMR 101-11.4
(12-9-72)

GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
2.	Freight records, relating to the administration of Government Losses in Shipment Act, consisting of schedules of valuables shipped and related papers and reports.	Chronologically in case fashion.	Dispose after 3 years.
3.	Passenger transportation records, consisting of memorandum copies of vouchers (Standard Form 1171a), memorandum copies of transportation requests (Standard Form 1169a), travel authorizations, transportation request registers, and all supporting papers.		
	a. Issuing office memorandum copy.	With related account.	Dispose 3 years after period covered by related account.
	b. Obligation copy, if different from copy in 3a.	In appropriate fashion for posting.	Dispose when funds are obligated.
	c. Unused ticket redemption forms.	Conform to agency practice.	Dispose when administrative needs have been satisfied.
4.	Passenger transportation records pertaining to reimbursements to individuals, consisting of copies of travel orders, per diem vouchers, transportation requests, hotel reservations and all supporting papers relating to official travel of officers, employees, dependents, or others authorized to travel by law (exclusive of records covered by Item 3).		
	a. Travel administrative unit copies.	In folders arranged alphabetically by name of employee; break file every 2 years.	Dispose after 3 years.
	b. Obligation copies.	In appropriate fashion for posting.	Dispose when funds are obligated.
5.	Records pertaining to travel and transportation not otherwise covered in this schedule.		
	a. Correspondence, forms, and related papers pertaining to agency travel and transportation functions.	Conform to agency practice.	Dispose after 2 years.
	b. Accountability records.	Conform to agency practice.	Dispose 1 year after all entries on the records are cleared.

SUPERSEDED

GENERAL RECORDS SCHEDULE 8

Stores, Plant and Cost Accounting Records

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

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

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

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

<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.

SUPERSEDED
GENERAL RECORDS SCHEDULE 8

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
3.	Invoices or equivalent papers used for stores accounting purposes.	Conform to agency practice.	Dispose after 3 years.
4.	Stores accounting returns and reports.	Conform to agency practice.	Dispose after 3 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 3 years.
	b. Copies in reporting units and related work papers.	Conform to agency practice.	Dispose after 3 years.
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 3 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.

SUPERSEDED

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

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

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

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>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 practice.	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.
6.	Vehicle release files.	By vehicle number.	Dispose 4 years after vehicle leaves agency custody.

SUPERSEDED

FPMR 101-11.4
August 1, 1974

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records.

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

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

<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 papers 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.

SUPERSEDED

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
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 vehicle, 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.
	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.

SUPERSEDED

FPMR 101-11.4
August 1, 1974

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 which reflect Government-wide programs, such as records held by the Postal Service and the Automated Data Telecommunications Service of General Services Administration, rather than administrative management functions. Any records created prior to January 1, 1921, must be offered to the National Archives before applying these disposal instructions.

<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 instruction, 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.	Teletypewriter and teletypes 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.

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
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 United States Postal Service.		
	a. Records of received or dispatched registered mail pouches.	Chronologically.	Dispose after 1 year.
	b. Application for postal registration and certificate of declared value of matter subject to postal surcharge.	Chronologically.	Dispose after 1 year.
	c. Receipt for incoming registered and insured mail.	Chronologically.	Dispose after 1 year.
	d. Records 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.

SUPERSEDED

SUPERSEDED

GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
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.	Records 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.	Records 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.

SUPERSEDED

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 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. Any records created prior to January 1, 1921, must be offered to the National Archives before applying these disposal instructions.

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, regulations booklets, speeches form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.)	By series and thereunder 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.		
	a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (1) requisitions on the Public Printer and related records and (2) records relating to services obtained outside the agency.	Numerically by control or requisition number.	Dispose 1 year after completion of job.
	b. Files pertaining to planning and other technical matters.	By series and chronologically.	Dispose after 3 years.

SUPERSEDED

GSA Reg. 3
Appendix B
(7-10-53)

<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 filing 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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SUPERSEDED

SUPERSEDED

PPMR 101-11.1
August 1, 1974

GENERAL RECORDS SCHEDULE 14

Informational Services Records

This schedule covers certain records pertaining to information services performed by Government agencies in their day to day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6, however, are applicable only to files maintained in formally designated informational offices to which has been assigned responsibility for the operation of the informational activities of the agency or a subdivision thereof.

These records consist of routine inquiries, replies thereto, other correspondence in which no unusual administrative decisions, policies, or efforts are involved, and administrative background materials for formal informational releases. Closely related records, such as certain records relating to budget presentation and printing, duplicating, and distribution records, are covered by other general records schedules. Any records created prior to January 1, 1921, must be offered to the National Archives before applying these disposal instructions.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations, and indexes thereto.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 4 years after close of file.)
2.	Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 2 years after break in file.)
3.	Request for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals or publications, photographs and other informational literature.	Chronologically.	Dispose 3 months after transmittal or reply.
4.	Acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply.	Chronologically.	Dispose 3 months after acknowledgment and referral.

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>
5.	Daily press service teletype news.	Chronologically.	Dispose after 3 months.
6.	Informational services project case files maintained in formally designated informational offices.	By project. Start a new file every year.	Dispose 1 year after close of file or 1 year after completion of project if method of filing differs from that suggested herein.
7.	Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records.	Chronologically.	Dispose after 3 months.
8.	Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Conform to agency practice.	Dispose when superseded or obsolete.

SUPERSEDED

SUPERSEDED

FPMR 101-11.4
August 1, 1974

GENERAL RECORDS SCHEDULE 15

Housing Records

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

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

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Correspondence files pertaining to the maintenance and management of housing projects.	Conform to agency practice.	Dispose after 2 years.
2.	Maintenance and repair records for individual units.		
	a. Summary card or ledger record.	By housing unit classification scheme.	Dispose 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.
	b. Work orders, requisitions, and related papers involved repair and maintenance work.	By work order or requisition number.	Dispose 3 fiscal years following close of fiscal year in which work is done.
3.	Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	By report and chronologically thereunder.	Dispose after 2 years.
4.	Lease files, including copies of leases, renewals, termination notices, and related papers.	Alphabetically by name of tenant.	Dispose 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.

SUPERSEDED

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
5.	Assignment and vacancy card files.		
a.	Individual tenant cards.	Alphabetically by name of tenant.	Dispose when tenant vacates unit.
b.	Individual housing unit cards.	By housing unit classification numbering scheme.	Dispose 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6.	Furnishing inventory files, pertaining to items included in furnished units.	By housing unit classification scheme.	Dispose 3 fiscal years after close of fiscal year in which inventory is superseded.
7.	Application files (other than copies in lease files).		
a.	Rejected application files.	Alphabetically by name of applicant.	Dispose 1 year from date of rejection.
b.	All others	Alphabetically by name of applicant.	Dispose after 2 years

SUPERSEDED

FPMR 101-11.4
August 1, 1974

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

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

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

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

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them are of continuing value. Files pertaining to a management program in a well defined area, such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist largely of project files, which are established for each separate problem assigned for investigation: the resulting case file is usually of continuing value in documenting the history of how the agency conducted its business. In either event there is a residue of ephemeral materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Copy of each internal directive issued by or for the head of the agency or of any bureau or division thereof, together with supporting case file, if any.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.

SUPERSEDED

SUPERSEDED
GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
2.	Copy of each pamphlet, report, leaflet, graphic presentation, or other published or processed document, and of the last manuscript report (if not published or processed) on management projects, together with supporting papers documenting project inception, scope, procedure, and accomplishments (but excluding work papers as described in item 10).	Conform to agency practice. Start a new file every 5 years.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
3.	Records disposition files, including descriptive inventories, disposal authorizations, schedules for the retirement of records, and correspondence or memoranda relating to revisions.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
4.	Forms files containing data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded, or canceled.	Conform to agency practice.	Disposal not authorized by this schedule.
5.	Copies of management improvement reports, submitted to the Office of Management and Budget.	Chronologically.	Disposal not authorized by this schedule.
6.	Statistical reports of records holdings.	Chronologically.	Dispose after 3 years
7.	Project control files, showing assignments, progress, and completion of projects.	By project control number.	Dispose 1 year after year in which project is closed.
8.	Reports control files: case files on reports maintained for each report created, canceled, or superseded.	Numerically by control number or appropriate coding system.	Dispose 2 years after report is discontinued.
9.	Forms files other than those contained in files described in item 4 of this schedule, and related indexes.	Conform to agency practice.	Dispose when related form is discontinued, superseded, or canceled.
10.	Project working papers including background materials studies, analyses, notes, rough drafts, interim reports, and related papers pertaining to management projects, exclusive of documents covered by items 1, 2, 3, 4, and 8.	By project.	Dispose 6 months after final action on project report or 3 years after completion of report if no final action taken.

SUPERSEDED

GENERAL RECORDS SCHEDULE 17

Cartographic, Photogrammetric, and Related Records

This schedule covers cartographic, photogrammetric, and related records that have been created, used, or located in agencies of the Federal Government. Any records created prior to January 1, 1860, must be offered to the National Archives before applying these disposal instructions.

Among the cartographic records are maps and such variant forms of graphic presentation as charts (hydrographic, nautical, weather, aeronautical, and the like), cartograms, globes, and relief models, which have been prepared or used in connection with the official activities of the United States Government. The maps and charts are listed in various stages of completion from the planetable or similar drawing to the final publication. The word "publication" as used in this schedule means reproduction by printing, photographic, and other methods in multiple copies, whether for limited or general distribution.

The photogrammetric records include the aerial film and other photographic materials used in mapping. The related textual records are those which form an integral part of the map-making activities of agencies and include field survey notes; project, map-history, and similar files; controls and computations; and finding aids.

Cartographic records of continuing legal, administrative, and research value are of two principal kinds: (1) those created or checked in the field on the basis of surveys and observations or from photogrammetric sources; and (2) one copy of each edition or variant of each published map.

The first group is retained as the primary source material from which the published maps are taken and which often contains more information than is included in the publications. The published maps are retained as the sum of the map-making accomplishments of the agency as well as for administrative, legal, and research use.

The records created in the intermediate stages of map-making, between the original survey records and the final maps, are for the most part temporary records and can be disposed of in accordance with provisions of this schedule.

There is not a sufficiently standardized terminology to permit the use of universally accepted titles for the various records created in the map-making process. For that reason additional descriptions of the records covered by each item are included in the appraisal section of the schedule.

CARTOGRAPHIC RECORDS

The cartographic records listed below include the most significant ones created in the map-making agencies of the Federal Government. The items are listed approximately in the order in which the records are created during the map-making process regardless of whether the maps are based on field work or office compilation.

SUPERSEDED

CSA Reg. ESC
Appendix B
(104-54)

GENERAL RECORDS SCHEDULE 17

The final published or finished composite manuscript maps created by each agency are generally of enduring value as are the original drawings and related records based on precise observations and measurements. Records created during the intermediate map-making steps are for the most part disposable after the maps have been completed or published.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Planetable and similar field made drawings and related materials.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
2.	Stereophotogrammetric drawings and related materials.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
3.	Field completion boards of the stereo-compiled manuscript.	Dispose 1 year after publication or completion of the resultant map, provided they are not required for any future revision. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
4.	Field completion board or blue-line and similar prints other than those derived from stereophotogrammetric origin.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.)
5.	Overlay and similar drawings prepared in the field on the basis of field surveys. a. Those only partially duplicated in resultant map. b. Those completely duplicated in resultant map.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.) Dispose 1 year after publication or completion of the resultant map.
6.	Overlay and similar drawings prepared in the office on the basis of compilation. a. Those only partially duplicated in resultant map. b. Those completely duplicated in resultant map.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication or completion of resultant map.) Dispose 1 year after publication or completion of resultant map.
7.	Manuscript office compilations, derived from other than field surveys and stereophotogrammetric sources, that have not been published.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after compilation is completed.)
8.	Composite manuscript office compilations derived from field survey and similar sources and only partially reproduced in published maps.	Disposal not authorized by this schedule. (Transfer to Federal Records Center in annual blocks 1 year after publication of resultant map.)
9.	Manuscript office compilations, derived from other than field survey and stereophotogrammetric sources, that are not unique because they have been published.	Dispose 1 year after publication of the resultant map.
10.	Color separation boards or manuscripts for reproduction and related materials.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
11.	Map reproduction media.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
12.	Color pulls and the like.	Dispose 1 year after publication of the resultant map, provided they are not required for future revisions. (If required for future revisions, transfer to Federal Records Center 1 year after publication of resultant map, pending use in revisions.)
13.	Map correction files.	Dispose 1 year after publication of the resultant map, provided retention is not required for legal purposes. (If retention required for legal purposes, transfer to Federal Records Center 1 year after publication of resultant map, pending expiration of legal requirement.)
14.	Proof copies of maps and related papers.	Dispose 1 year after publication of the resultant map.
15.	Monochrome positive prints of composite manuscript drawings prepared for issuance as preliminary edition.	Dispose after publication of the resultant map.
16.	Copy of each published (printed or otherwise reproduced) map and variant thereof, including atlases and portfolios.	Disposal not authorized by this schedule. (Transfer to the National Archives in annual blocks at the close of the fiscal year in which published.)
17.	Globes and models.	Disposal not authorized by this schedule. (Transfer to Federal Records Center or the National Archives 1 year after preparation.)
18.	Graphic indexes.	Dispose when records to which they relate are disposed of.

PHOTOGRAMMETRIC RECORDS

Photogrammetric records are being used to an increasing extent by map-making and map-using agencies, particularly by agencies responsible for mapping extensive areas. Much of the aerial photography required by the agencies is done for them by private organizations under contract. The negative film is supplied to the agency which can then make as many prints as it needs. The aerial film is of enduring value as the primary source of information on physical and cultural landscapes. The film contains the most complete and accurate information available not only for legal and administrative requirements but also for research.

Since most modern aerial film is on a safety acetate base, provision is made in this schedule for its retirement to the Federal Records Center. It should be noted, however, that nitro-cellulose film normally will not be accepted by the National Archives or Federal Records Centers owing to the special handling it requires.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
19.	Vertical and oblique negative aerial films.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when superseded by more recent film.)
20.	Photo index sheets, flight line indexes, and similar finding aids (negatives and prints).	Disposal not authorized by this schedule. (Transfer to Federal Records Center when records to which they relate are transferred.)

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
21.	Record set of serial mosaics and similar prints covering selected areas.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when no longer needed in current transactions.)
22.	Record set of contact serial photographic prints.	Disposal not authorized by this schedule. (Transfer to Federal Records Center when no longer needed in current transactions.)
23.	Precise film negatives of stereophotogrammetric manuscript drawings.	Dispose 1 year after publication of the resultant map.
24.	Diaositives.	Dispose 1 year after publication of the resultant map.
25.	Precise film negatives of maps other than the stereophotogrammetric manuscript used for field completion.	Dispose 1 year after publication of the resultant map or area on that map.

RELATED RECORDS

In order to have a complete and accurate account of mapping plans and programs as well as of the production, flow, and distribution of maps, certain closely related textual records have been developed.

Administrative and housekeeping records pertaining to map-making offices are provided for elsewhere in General Records Schedules, which require the retention of record sets of publications, organizational and functional charts, directives, regulations, speeches, press releases, and similar materials.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
26.	Project, map history, or similar files. a. Documents outlining the projects. b. Minor administrative papers summarized in a. above.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication of map or completion of project.) Dispose 1 year after publication of map or completion of project.
27.	Research and reference files.	Dispose when obsolete or superseded or upon publication of related map, whichever is later.
28.	Primary controls and computations. a. Those developed by the agency or obtained from non-Federal agencies. b. Those obtained from other Federal agencies.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication or completion of resultant map.) Dispose 1 year after publication or completion of resultant map.
29.	Supplemental controls and computations.	Dispose when superseded or when resultant map is published whichever is sooner.
30.	Field survey notes.	(Disposal not authorized by this schedule. (Transfer to Federal Records Center 1 year after publication or completion of resultant map.)
31.	Finding aids to cartographic and related records.	Dispose when records to which they relate are disposed of.

Item 1. A planetable field drawing generally is a manuscript map covering a prescribed area and drawn on a specially prepared paper board (sometimes metal-mounted). This map is first prepared in the field, usually in pencil, from local observations and precise measurements. Later it may be finalized in ink.

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It takes its name from the planetable on which it is made. This manuscript drawing has continuing value because it portrays the landscape as the topographer saw it at a given date and because it includes unique data.

A manuscript sketch and similar map drawing derived from field observations and not made according to the planetable mapping technique has enduring value also if it is unique and records terrain information in relation to an official survey. Maps such as these have often been made in connection with field reconnaissance traverse survey, or as a general sketch of an area in which geodetic and similar controls have not been used. They were standard products of field mapping prior to the introduction of the planetable and similar precise mapping techniques.

Item 2. These drawings are prepared in mapping offices from aerial photographs (generally diapositive) in accordance with a precise pattern of controls and have record value equivalent to that of the planetable drawing. This process of making manuscript maps is generally referred to as stereoscopic mapping and has to a large extent superseded planetable mapping, especially of rough terrain. The drawings have continuing value because they contain unique data.

Item 3. These are blue-line, brown-line, and other photocopies of the stereophotogrammetric drawings listed in item 2. The photocopy, or field board as it is frequently called, is sent to the field for completion and, if necessary, correction. These annotated photocopies are not needed longer than one year after publication of the resultant maps (which duplicate them) unless they are required for future revisions of the maps.

Item 4. It is a general practice of map-making agencies in resurveying an area to prepare blue-line photocopies to precise scale of existing acceptable maps of the region. The copies are sent to the field for either completion or correction according to specific requirements. If additional data or changes are added to these copies they become of enduring value since they represent the results of field observations and are unique.

Items 5 and 6. The overlay sheets and similar drawings are prepared in the field or in a map-making office on tracing paper or cloth or on acetate sheets laid over a base map. Selected information is placed on these transparencies. The drawings together with the base maps from which they were made are of enduring value because they contain unique information if the information has not been reproduced on the final published map.

Item 7. These manuscript maps, generally on paper, vellum, tracing cloth, acetate, or vinylite, are compiled in map-making offices or drafting rooms from one or several other maps and related sources. Each map is a composite, usually in black and white, including on one base all of the required information. These maps may be entirely in ink or pencil or they may include information added to the map base by stickup, Zips-tone, or similar adhesive means. Maps such as this, which are prepared for specific purposes and have not been published, are unique and may have enduring value. Because it is difficult to appraise such records as a unit, they should be transferred to the Federal Records Center, pending special individual appraisal.

Item 8. These manuscript maps, generally on paper and often mounted on metal such as aluminum, are prepared from field survey drawings and other sources. They are composite manuscript maps which are reproduced in whole or in part as published maps. Often the composite manuscript map includes more information than is finally selected for reproduction in the published map and accordingly becomes a unique record and may have enduring value. The maps may be in ink, pencil, or color.

Item 9. These maps are the same as those described in item 7 except that they have been published. They can, therefore, be disposed of one year after publication. Some agencies retain these manuscripts in order to add changes for new editions of the published map. If an agency wishes to do this, it should dispose of each manuscript when it is no longer needed.

Item 10. These color separation boards (sometimes referred to as "metal-mounts" because the paper often is secured to a metal (usually aluminum) sheet), are blue-line or similar plates of composite manuscript maps. There is a separate color board for each color required on the final map. From each of these a glass plate or similar negative copy to precise registry is made for the ultimate purpose of deriving a metal or similar press plate for each separate color to be printed on the published map. The practice in some agencies is to retain the color separation boards indefinitely for subsequent editions of the published map. Unless this is necessary, the boards can be disposed of one year after publication of the relevant map.

Item 11. Many processes are used in the preparation of modern published maps. Among the materials used are glass plate negatives, film negatives, and the like; lithographic (stone) engravings; press plates of various kinds; copper engravings; wood cuts; line cuts; zinc engravings; and others.

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Although these are considered as non-record items they are noted here because they usually are retained in a map-making agency for a considerable period of time, occupying a large amount of space and requiring special equipment for storage. Except in rare instances these media, once the map has been published, may be unused for a decade or more. A plan should be developed for the disposal or salvago of such of these items as are not absolutely essential for future publication. In most instances, retention of the color separation boards should make unnecessary the retention of the so-called reproduction media.

Item 12. These are reproductions of each of the individual press plates for each color or run and are to the precise scale of reproduction of the final published map. Normally these are not needed longer than one year after publication. In some instances, agencies retain these printed copies on paper either in place of or in addition to press plates. Normally these copies are less stable and useful than the color separation boards, the glass plate and similar photographic negatives, and the press plates, although they require less space and are easier to handle.

Item 13. These generally are published (printed) copies of maps prepared in the agency that have been annotated with specified kinds of information. The annotations on these office copies generally represent corrections of the extant edition of the published map made prior to the issuing of a new edition. These maps are referred to as map correction copies, aid proofs, correction copies, and the like. After publication of the corrected map they are not needed for longer than one year except in rare instances where there may be legal need to give the origins of revisions.

Item 14. Normally one or more special press runs (or hand pulls) are required before final publication of each map. Such proof copies often bear annotations by the editors indicating final changes to be made in line, color, or composition. The records cease to have value soon after the final published map has been accepted.

Item 15. These are mono-color (usually blue) prints of the completed composite manuscript drawing. These prints are advance copies of the final published map and are made available in small numbers as a preliminary edition. They have only temporary record value.

Item 16. Among the most important cartographic records of an agency are its published maps and similar forms of graphic presentation. A record set of these items, which may be printed, photoprocessed, or otherwise reproduced, is of enduring value. They represent the map-making accomplishments of the agency and they contain the significant cartographic information assembled or developed by the agency. One copy of each published map, atlas, portfolio, and photomap, including each edition and variant, and of all related indexes (in map or other form) are to be preserved permanently.

Item 17. Globes and terrain models are prepared and used often to show selected, highly specialized information. They are, like the final manuscript or published maps, of enduring value.

Item 18. Graphic indexes generally take the form of a base map or may be on transparencies or overlays accompanying a base map of an area which is covered by several maps or sets of maps. The indexes indicate in color, line, or by other means the coverage of each map. They should be retained as long as the maps to which they refer are retained as they are finding aids which expedite use of the maps. Other graphic indexes are listed in item 20.

Item 19. This is the negative film made by or for an agency and accepted as satisfactory for use in the preparation of a map. The film normally is "flown" in accordance with a carefully developed and controlled plan and each roll must be identified by letter and number so that it is possible to determine precisely what portion of the earth's surface is represented. The line of flight and the area covered by each is correlated with a photo-index or similar finding aid. Normally the film on a spool is housed within a properly labelled metal container (cylinder) approximately six inches in diameter and about twelve inches long. The aerial photographic film is equivalent in value to records created on the basis of field surveys.

Item 20. These records take several different forms, though basically they are graphic indexes to each roll of negative film. The standard form is a photo-index sheet. The index sheets, together with overlays showing the line and number of flights, descriptive lists, and catalogs of the film described in item 19 are needed as long as the film is needed.

Item 21. Frequently photo prints are assembled, matched, and then reproduced as units covering a specific area. Such mosaics, prepared in connection with particular projects or activities, may have enduring value. Prints in addition to those in the record set can be disposed of when no longer needed.

Item 22. The contact prints made from the aerial film are used in stereoscopic mapping, the preparation of mosaics, and plotting supplemental control, as well as for general terrain information. A record set of these prints can serve as insurance against film loss or damage. Other copies can be disposed of when no longer needed. Provision for retention of a record set of these prints does not mean that an agency should make up a set for this purpose. Only a record set of the prints available after completion of the mapping project is necessary.

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Item 23. These are film negatives of the stereophotogrammetric drawings (item 2) made usually on a large scale. Blue-line, brown-line, and similar color prints and ozalid copies are made from these precise film negatives for use in field completion activities of the agency. Since these are merely copies of the retained drawings they can be disposed of shortly after publication of the maps.

Item 24. These are positive photographic prints on a transparent medium, usually glass, that have been prepared from aerial film. They are used in a plotting instrument or projector in preparing a map or stereophotogrammetric drawing. They are disposable as working papers after publication of the maps.

Item 25. These are, like the negatives in item 23, made merely in order to prepare prints. They can be disposed of as working papers after publication of the maps.

Item 26. These files which vary from agency to agency are retained because they give in narrative and graphic form a history of the cartographic accomplishments of the agencies. They contain documents showing proposals and outlines of mapping projects planned; authorizations and contracts; periodic reports, memoranda, and correspondence on progress made; lists of sources and place names used; procedures followed in drafting, filming, and editing, and distribution; over-all cost statements; final completion reports, project histories, or papers explaining discontinuance, change, or extension of projects; and, where necessary, attachments in the form of photographs, drawings, maps, plans, and charts.

The minor administrative papers, assembled in connection with projects but not necessary to an adequate history of them, can be disposed of shortly after completion of the projects. Such papers include daily progress and work reports, working papers, and records of personnel assignments and travel, and similar materials.

Item 27. These are files maintained in various forms by offices and individual cartographers on mapping in general and on specialized problems connected with the preparation of specific maps. They constitute the background material which is helpful for reference. They contain copies of publications and of records retained elsewhere and rough working notes. Included are publications, bibliographies, copies or excerpts of correspondence, reports, control data, lists of sources and place names, and related materials; photographs, sketches, maps, plans, and charts; and similar and related materials. While of considerable value to the cartographer in the preparation of a map they need not be retained past the period of their usefulness to the individual or the office. The records listed elsewhere in this schedule, which are to be retained, document sufficiently the cartographic accomplishments of the agencies.

The maps included in these files, if considered rare or valuable items, can be offered when no longer needed by the agency to the Map Division of the Library of Congress. All information and files on place names (i.e. geographic names) when no longer needed can be offered to the United States Board on Geographic Names.

Item 28. In the making of a map to precise specifications one or more controls are considered essential to accuracy. These controls are usually obtained from observations and measurements in the field and include transit traverse, triangulation, leveling, and altimetry records and field and office computations. The observations and similar control data obtained in the field are usually in field notebooks. Office computations are usually typed, processed, or printed lists.

For the United States and certain other areas the primary controls are developed and made available by the U. S. Coast and Geodetic Survey. For other areas controls and computations may have been developed by other Governments, other agencies of this Government, or non-Government sources.

Controls and measurements prepared by the agency itself are of continuing value as the accuracy of the resultant maps is dependent upon them. Those obtained from other agencies of this Government need not be kept after they have served their purpose because they will be held by the creating offices. Those obtained from other sources will need to be kept in order to insure their availability.

Item 29. These include field derived observations that generally are of only temporary value because in most instances the observation is obtained from sighting on non-permanent objects that are subject to change. In most instances the marker, if placed, cannot be controlled.

Item 30. A principal product of nearly all field surveys and observations is the written record usually in the form of a pocket-size notebook. These field survey notes may be a running account of observable material and cultural features of the terrain; a description of subsurface conditions as to water resources, geology, mineral resources, and the like based on a series of readings or measurements in the field; or a log or journal account closely related to and often an integral part of a specific mapping activity whether it is on land or on water. Such records generally are of continuing value because they describe the area as it was observed by the surveyor in the field.

Item 31. Finding aids are tools which expedite the use of cartographic and related records. They need to be kept as long as the records to which they relate. Wherever possible they should be filed with or near the related records. The following are, in addition to the graphic indexes listed in items 18 and 20, the kinds of finding aids generally found in agencies: card indexes; descriptive lists, shelf lists, and the like; registers and similar bound and loose leaf volumes containing lists and descriptions of cartographic records; and published catalogs, calendars, guides, and lists.

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GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

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

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

Security and Protective Services Program Records

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Manuals, directives, plans, reports, and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 2 years. Transfer closed file to Federal Records Center after 2 years.

Classified Information Accounting and Control Records

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

2.	Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, not covered in Item 1, or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
3.	Classified document receipts, relating to the receipt and issue of classified documents.	Chronologically.	Dispose after 2 years.
4.	Classified document destruction certificates relating to the destruction of classified documents.	Chronologically.	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>
5.	Classified document inventory files, consisting of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	Chronologically.	Dispose after 2 years.
6.	Top Secret document accounting and control files.		
a.	Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.	Conform to agency practice.	Dispose 5 years after documents shown on forms are downgraded, transferred, or destroyed.
b.	Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	With related document.	Dispose when related document is downgraded, transferred, or destroyed.
7.	Access request files consisting of requests and authorizations for individuals to have access to classified files.	Alphabetically by name of requestor.	Dispose 2 years after authorization expires.
8.	Classified document container security files consisting of forms or lists used to record safes and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	By organizational element and chronologically thereunder.	Dispose when superseded by a new form or list, or upon turn-in of containers.

Facilities Security and Protective Services Records

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

9.	Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered by Item 1 or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
10.	Reports of surveys and inspections of Government-owned facilities conducted to insure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.	Chronologically.	Dispose after 3 years, or upon discontinuance of facility, whichever is sooner.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
11.	Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers.	By facility and chronologically thereunder.	Dispose after 4 years, or when security cognizance is terminated, whichever is sooner.
12.	Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	Conform to agency practice.	Dispose after 2 years.
13.	Property pass files, authorizing removal of property or materials.	Alphabetically by name of individual.	Dispose 3 months after expiration or revocation.
14.	Files relating to guard assignments and strength.		
	a. Ledger records.	By organizational unit.	Dispose 3 years after final entry.
	b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	By organizational unit.	Dispose after 2 years.
15.	Files relating to exercise of police functions.		
	a. Ledger records of arrest, cars ticketed, and outside police contracts.	By organizational unit.	Dispose 3 years after final entry.
	b. Reports, statements of witnesses, warning notices, and other case papers relating to arrests, commitments, and traffic violations.	By organizational unit.	Dispose after 2 years.
	c. Reports on contact of outside police with building occupants.	By organizational unit.	Dispose after 1 year.
16.	Files relating to accountability for personal property lost or stolen.		
	a. Ledger files.	By organizational unit.	Dispose 3 years after final entry.
	b. Reports, loss statements, receipts and other papers relating to lost and found articles.	By organizational unit.	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>
17.	Files relating to accountability for keys issued.	By organizational unit.	For areas under maximum security, dispose 3 years after turn-in of key. For other areas, dispose 6 months after turn-in of key.
18.	Registere or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	By organizational unit.	For areas under maximum security, dispose 5 years after final entry or 5 years after date of document, as appropriate; for other areas, dispose 2 years after final entry or 2 years after date of document, as appropriate.
19.	Files relating to periodic guard force facility checks.		
	a. Data sheets, door elip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by Item 25 of this schedule),	By organizational unit.	Dispose after 1 year.
	b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 25 of this schedule.	By organizational unit.	Dispose after 1 month.
20.	Guard service control files.		
	a. Control center key or code records, emergency call cards, and building record and employee identification cards.	Conform to agency practice.	Dispose when superseded or obsolete.
	b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.	By organizational unit.	Dispose after 1 year.
	c. Automatic machine patrol charts and registers of patrol and alarm services.	By organizational unit.	Dispose after 1 year.
	d. Arms distribution sheets, charge records, and receipts.	By organizational unit.	Dispose 3 months after return of arms.
21.	Guard logs and registers not covered elsewhere in this schedule.		
	a. Central guard office master logs.	By organizational unit.	Dispose 2 years after final entry.
	b. Individual guard post logs of occurrences entered in master logs.	By organizational unit.	Dispose 1 year after final entry.

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Personnel Security Clearance Records

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

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22.	Correspondence files relating to administration and operation of the personnel security clearance program, not covered by Item 1 or elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
23.	Personnel security clearance case files containing a record of investigations of personnel employed by or seeking employment from the Government, or whose relationship otherwise with the Government requires a security clearance, but exclusive of copies of investigative reports and related papers furnished to agencies by the Civil Service Commission for which maintenance and disposition instructions are provided in Chapter I-2 of the Federal Personnel Manual.	By case number, or alphabetically by name of individual.	Dispose ²⁰ years after date of last action. Transfer to Federal Records Center 5 years after date of last action. B-58
24.	Personnel security clearance status files maintained in security units to show the security clearance status of individuals, either in the form of lists or rosters, or as individual case files containing copies of documents contained in case files described in Item 23 above.	Lists or rosters, chronologically; case files, alphabetically by name of related individual.	Dispose of lists or rosters when superseded or obsolete; dispose of case files upon transfer or separation of related individual.
25.	Security violation files, consisting of case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.	Conform to agency practice.	Dispose 2 years after completion of final corrective or disciplinary action.
26.	Security violation files, consisting of case files relating to investigations of alleged security violations of a sufficiently serious nature to be classed as felonies.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to Federal Records Center 5 years after date of last action.

Emergency Planning Records

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

27.	Correspondence files relating to administration and operation of the emergency planning program, not covered by Item 1 or elsewhere in this schedule.	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>
28.	Case files accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete.
29.	Copies of plans and directives, other than those maintained in case files described in Item 28 above.	Conform to agency practice.	Dispose when superseded or obsolete.
30.	Agency reports of operations tests consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.	Conform to agency practice.	Disposal not authorized by this schedule.
31.	Operations tests files consisting of papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests by communications and facilities, and retained copies of reports.	Chronologically.	Dispose after 3 years.

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August 1, 1974

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Research and Development Records

These are records created by agencies in the conduct of technical and scientific research and development for the purpose of developing new concepts, techniques, and equipment, and materials, or improving or modifying those already in existence. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They accumulate at various agency organizational levels, such as offices responsible for program direction, laboratories, proving grounds, and arsenals. Any records created prior to January 1, 1923, must be offered to the National Archives before applying these disposal instructions.

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

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

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Program files consisting of program documents, schedules, and correspondence maintained by offices responsible for execution, review, and analysis of agency research and development programs, and relating to the general planning and supervision of the programs.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 3 years. Transfer closed file to Federal Records Center after 2 years.
2.	Technical committee and board files consisting of (1) agendas, directives, minutes of meetings, and reports covering general operations of the committee or board, and (2) papers relating to the establishment, revision, or termination of individual projects.		
a.	Official file of the committee or board maintained by the Secretary, Chairman, or other designee.	Conform to agency practice.	Disposal not authorized by this schedule. Close file every 3 years. Transfer closed file to Federal Records Center after 2 years.

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GENERAL RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Copies of committee or board files distributed to members.	Conform to agency practice.	Dispose when superseded or obsolete or upon termination of membership whichever is earlier.
3.	Project case files maintained at the laboratory or comparable level, reflecting a complete history of each project from initiation through research, development, design, and testing, to completion. They include (when created by agency personnel or received from contractors) procurement files, consisting of a copy of each contract or agreement for research services with related modifications, changes, or addendums; project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered to be essential to document design, modifications, and engineering development; technical and progress reports; notice of completion or cancellation; reference to the location of prototype models, films, or other items too bulky for inclusion in these files; and correspondence influencing the course of action taken on a project.	By project number or title, as appropriate. When the volume warrants, papers in case file may be subdivided by types, e.g., procurement files, authorization documents, reports, and drawings and specifications.	Disposal not authorized by this schedule. Transfer to inactive file upon receipt of completion or termination notice; break inactive file every 2 years, and transfer to Federal Records Center after 3 years.
4.	Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by an agency.	Conform to agency practice.	Disposal not authorized by this schedule. Transfer to Federal Records Center to the extent practicable with related project files.
5.	Source data files, punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects.	Conform to agency practice.	Dispose when determined by competent agency research personnel that the files have served all research purposes.
6.	laboratory notebooks containing technical and scientific data accumulating from the conduct of research and development.		
a.	Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.	By project or book number, as appropriate.	Dispose 6 months after completion or termination of the related project or projects.

SUPERSEDED

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(6-10-60)

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Other notebooks.	By project or book number, as appropriate.	Disposal not authorized by this schedule. Transfer to inactive file upon completion or termination; break inactive file every 2 years and transfer to Federal Records Center after 3 years.
7.	Technical report files, consisting of an official file copy of each technical report or unpublished manuscript of report prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.	By project number or title, and thereafter by number or date of report.	Disposal not authorized by this schedule. Transfer closed file to Federal Records Center after 5 years.
8.	Drawing and specification files, consisting of an official file copy of each drawing and specification showing final design and technical characteristics of items developed.	By drawing or specification number, or item nomenclature, as appropriate.	Disposal not authorized by this schedule. Transfer to inactive file when superseded or obsolete; break inactive file at end of each year; transfer to Federal Records Center after 1 year.
9.	Correspondence files of a general administrative or housekeeping nature, (exclusive of papers containing scientific or technical data) maintained by offices other than those referred to in Item 1.	Conform to agency practice.	Dispose after 2 years.
10.	Project control files, consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be of sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.	By project number or title, as appropriate.	Dispose upon completion or cancellation of project, or earlier, as they serve their purpose.
11.	Summary progress reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.		
	a. Copies of reports retained by reporting offices.	Conform to agency practice.	Dispose 1 year after completion or cancellation of related projects.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Feeder reports used for compilation of consolidated reports, except as indicated in c below.	Conform to agency practice.	Dispose upon submission of consolidated report.
	c. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.	Conform to agency practice.	Disposal not authorized by this schedule.
12.	Investigative files pertaining to exploration of the feasibility of unsolicited proposals for projects received from individuals.		
	a. Proposals resulting in authorized projects.	With related project files.	Same as for Item 5C
	b. Rejected proposals.	Conform to agency practice.	Dispose 5 years after completion of investigation.
13.	Procurement files, consisting of formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the terms of the contracts or agreements and copies of contractual documents filed in project case files defined in Item 3 of this schedule.	See Item 4, General Records Schedule 3.	See Item 4, General Records Schedule 3.
14.	Technical reference files, consisting of copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents.	Conform to agency practice.	Dispose when superseded or obsolete.

Item 1. These are papers created and accumulated in offices of program directors or comparable offices reflecting staff administration of the research and development function, which due to their evidential and other values are retained as permanent records.

Item 2. Most agencies having research and development programs have established committees or boards to study technical problems relating to such matters as authorization of projects, scheduling and phasing operations, and the internal coordination and control of the research and development program. They also generally maintain liaison with other government agencies and non-governmental research and development activities for the purpose of exchanging ideas and concepts and administering inter-agency projects. In addition, technical or scientific personnel may become members of committees sponsored by other agencies or commercial concerns. Insofar as their records reflect the official position of the agency on problems discussed, they may be considered as official records of the agency.

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Records accumulated by boards and committees are considered to have retention values comparable to those stated for Item 1 above. Copies distributed to committee members are for their reference use and can be disposed of when no longer useful to them.

Item 3. Case files maintained at the laboratory or comparable level reflecting a history of the activity connected with a specific project. They contain the basic technical and scientific data developed during the course of the project. The retention value of these files for future research studies is contingent upon such factors as the field of research involved, the importance of the specific project involved, and the nature of findings and conclusions reached. It is recognized that certain project files will have little future scientific or other research utility. However, the files as a general class contain sufficient scientific data not duplicated elsewhere to warrant continued preservation. Exact standards for selection of those case files which do not warrant continued preservation cannot logically be disseminated through the media of a general records schedule. This can best be accomplished by each agency in the development of its records control schedule.

Item 4. Normally, agencies maintain lists of current projects for administrative purposes. In other instances, card files may be maintained reflecting brief synopses of research projects. These or comparable files may be of considerable use to future researchers in determining the existence of data in specific fields of research, and in determining the scope of an agency's participation in research functions.

Item 5. Certain research projects require the conduct of long-range experimental and observational work, with frequent recordings of resulting data. Also, data may be collected from many points by means of questionnaires and recurring reports. The data is often maintained on punch cards, electronic tape, or comparable media. It serves a basic research purpose in arriving at conclusions and determinations during the course of a project. Often the data is collated and published in a condensed but comprehensive manner in technical reports or pamphlets. In such cases, it may be determined by scientific personnel that the source material from which the data is extracted, sometimes constituting a large volume of papers, may be disposed of as having no further research value. Also, in the absence of condensed versions of the data, scientific personnel may determine that the source data adds little of importance to the information contained in other papers retained in connection with a project, and may approve its disposal when it has served immediate research purposes.

Item 6. These notebooks are maintained by research personnel as a means of recording and retaining data necessary for reference during the course of a project. Since they are maintained on an individual basis and each research specialist records the data he considers necessary for reference, the notebooks vary as to content and completeness of information. Certain of the books contain notes of a fragmentary nature, or notes that will be difficult or impossible to interpret except by the specialist who wrote them. In other instances, the books contain basic scientific data shown in sufficient detail that, if not documented in technical reports or other condensed form, are needed for continued research purposes. Notebooks containing data essential in establishing patent or invention rights are retained.

Item 7. These reports document in summary form the findings and conclusions reached relative to specific projects. As such, they clarify and supplement the information contained in laboratory notebooks and other source data. Since they present a condensed and concise summary accounting of accomplished projects, a complete set of the reports of each agency is retained permanently.

Item 8. Drawings and specifications are useful adjuncts to the files defined in Items 3, 6, and 7 of this schedule. The drawings show in visual form the mechanical and other physical characteristics of the items developed, and the specifications explain these characteristics in detail. They are essential for production and servicing of the items developed, and for modification, redesign, or continuing research on the items or related items.

Item 9. These files are maintained at the laboratory or comparable level, and at offices having subordinate responsibility for administration of the research and development program. They do not document basic missions or functions, and serve only a temporary administrative purpose.

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Item 10. These files are generally maintained as a means of keeping administrative personnel informed on the status and progress of projects. The essential information contained in these files is duplicated in the actual project case files maintained at the operating level and in technical committee and board files. They serve only a temporary purpose during the life of the project.

Item 11. Consolidated agency summary progress reports have continuing evidential value, since they show in summary fashion how the agency accomplished the research and development function, problems encountered in accomplishing various projects, and comparable information. Since the consolidated reports contain basic data reflected in operating unit reports, these latter reports are authorized for disposal after they have served administrative purposes.

Item 12. Unsolicited proposals submitted to agencies by individuals are generally found to be unacceptable for extensive research investigation. When a proposal is accepted for formal research, the resulting files are comparable to those created in the conduct of other research projects, and are subject to the same disposition. Rejected proposals are maintained only for the period required for investigation and to answer any inquiries that may arise thereafter.

Item 13. These files reflect the normal buyer-seller relationship as do other procurement files, and are therefore subject to the same disposition.

Item 14. The investigative and exploratory nature of the research and development function requires that scientific and professional personnel be informed of current concepts, ideas, and principles in this field. Voluminous files of reference materials are often maintained by research and development offices to accomplish that objective. Technical reports and other reference documents generally are superseded or the informational content becomes obsolete after a period of time. To insure that current and authentic scientific data is immediately available, superseded and obsolete material should be periodically withdrawn for disposal.

SUPERSEDED

DATA AUTOMATION PROGRAM RECORDS - GENERAL RECORDS SCHEDULE NO. 20

Introduction

This schedule covers machine readable records, related documentation required for their servicing, and files related to the automatic data processing (ADP) procurement, operations, and management functions.

The decision table format, rather than the columnar format, is used for two reasons: 1) footnote requirements are greatly reduced with this format as compared to the columnar format of the first 19 schedules, and 2) the number of times a given file of logical records has been processed is often more important than the name assigned to it. For example, in an update system, the last created version of an interim master file becomes a final master file after the sponsor declares it error free. The only difference between it and its predecessors is the version number. There may be many versions of a given file created during the course of a processing cycle. Failure to promptly return unneeded tapes to the inventory will lead to excessive requirements for tape. For this reason it is imperative that the creator of machine readable records assign file retention times at the outset--that is to say, at the time of the original system design effort.

The principal machine readable and supporting records common to more than one agency have been divided into four categories. These classes of records correspond roughly to the typical organizational and functional structure found in most ADP installations and their parent organizations.

Data automation planning and operational records (part I) are normally those created during the life cycle of individual computer installations. They deal with planning for, managing, procuring, selecting, utilizing, and accounting for the physical facility investment of the ADP installation and supporting activities.

Documentation required for servicing machine readable records (part II) is defined as the organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. These include project documentation, system specifications, test data and procedures, file and user documentation, and the various installation procedures and standards used in daily operations.

Erasable media (part III) covers all devices which store machine readable records in an erasable mode. At present, only magnetic media are commonly used for such purposes. However, future technological developments may provide the same characteristics (nonvolatility and easy reusability) now found on magnetic tape.

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Since magnetic records may be destroyed by overwriting, a variety of protective devices and techniques have been developed over the years to preclude inadvertent erasure of records. The earliest technique, still in use, consists of a mechanical interlock device known as a "write protection ring," inserted or left out of a reel of tape. With the later development of computer-manufacturer-supplied "operating systems," an additional safeguard was inserted into the software. It consists of writing file identification and expiration dates on a label record at the beginning of each reel of tape. Other magnetic media, such as disks, depend almost solely on such software devices.

Nonerasable media (part IV) covers such media as punched cards and paper tape. Most ADP installations use media other than magnetic for a variety of roles and functions, but for the most part they are temporary. However, punched cards are sometimes used as documents, such as checks, savings bonds, and requisition forms. In such cases, the functional retention period, developed in other records schedules, will apply.

Procedural analysis of data processing systems (part V) is a guide for archivists, records officers, and auditors in determining secondary uses for data files. Unlike paper, computers create more working copies, which should be erased promptly. But the secondary value, such as furnishing data for audit trails and statistical analysis must be recognized when appraising machine readable records. Many systems, in becoming more automated upon procurement of newer ADP equipment, drop certain manual controls. Since many systems are dynamic, they change due to corresponding changes in legislation and other factors. Thus, nonoperational programs may have to be kept for site-audit records.

SUPERSEDED

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FPMR 101-11.3
April 28, 1972

Part 1. Data Automation Planning and Operational Records

Covering documentation relating to objectives, concepts, policies, and plans providing overall aspects of data automation data needs and systems design of management supporting systems and operational supporting systems, including equipment selection and statistics.

	File designation	Consisting of	Which are	Then
1	Planning documents	master plan, feasibility studies with associated charts and diagrams and supporting data that reflect on the characteristics of the data automation activity	graphic, narrative, and tabular information relating to the present and/or planned ADP composition and requirements of the data automation activity	disposal not authorized by this schedule.
2	Program management	development of plans, policy, and procedures governing the conversion to electrical machine operations and the supervision, control, coordination, and operation of the mechanization program	maintained at policy determination level	disposal not authorized by this schedule.
3	Hardware selection	agency requirements, specifications for hardware, software, and support capabilities of vendors of complete installations or of major peripheral equipment	selection criteria for procurements in the establishment or modification of an ADP installation	dispose of 2 years after specific configuration of equipment is discontinued.
4	Standardization	data elements and codes, standardization requests, and justification for all data systems	promulgated Federal or national (except record copies at National Bureau of Standards)	dispose of when superseded or obsolete.
5			other standards; e.g., developed by agency	disposal not authorized by this schedule.
6	Utilization and maintenance	forms or cards that equipment operators complete relative to machine use, nonuse, or maintenance	used for daily management of operations	dispose of after 3 years.
7		daily detail cards, intermediate summary decks, related magnetic files, and machine listings		dispose of after 90 days
8		monthly summary of cost and utilization reports	card decks, magnetic tape files, and machine listings	dispose of after 3 years.
9	Accountability	documents concerning the management of ADPE equipment	original records maintained at data-processing installation	dispose of 2 years after the date equipment is discontinued.
10		requirements for cards, paper and magnetic tape reels, and inventory of ADPE supplies		dispose of after 1 year.

SUPERSEDED

Part 1. Data Automation Planning and Operational Records

	File designation	Consisting of	which are	Then
11		contractor's invoices for rental and other charges incurred for use of ADPE		dispose of after 3 years.
12	Magnetic tape library control records	library transaction records	cards decks and magnetic tape files	dispose of when the fourth update cycle is created.
13			machine listings	dispose of after 90 days.
14			transaction slips	dispose of after 90 days or when no longer needed.

PART I

NOTES:

Item 13. Machine listings of library transactions are often produced daily. Quite often the transaction listings provide audit trails of the last recording made on a specific reel and may be useful in retrieving a lost file or in determining how a file may have been inadvertently scratched. Accordingly, some installations keep some copies of these listings for as long as 1 year.

Item 14. Transaction slips for military-classified or other sensitive records have longer retention periods. These retention periods are generally specified as a matter of agency policy or regulation.

SUPERSEDED

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April 28, 1972

Part II. Documentation Required for Servicing Machine Readable Records

Documentation covering the organized series of descriptive documents relating to all aspects of system development and operation. These include system planning documents, ADP systems specifications, application program manuals, systems operating instructions, and various management aids.

File designation	Consisting of	Which are	Then
1	documents containing definition of the system including the system objectives, request for the system, authorizing directives, source data, detailed studies reflecting advantages and disadvantages of alternate solutions, equipment requirements, tangible benefits, output requirements, and schedule for completion	at departmental level headquarters	disposal not authorized by this schedule. review after 5 years
2		supplementary files at ADP unit level	dispose of 5 years after final action.
3	system test specifications, test runs, machine listings of test data, and test results	an approved system	dispose of 1 year after discontinuance of the system.
4		a disapproved proposed system	dispose of 1 year after final action.
5	documents containing operating procedures for implementation of a specific data system, including policies, instructions, details of computer technique, logic charts, and input/output document flow data	for systems for which related magnetic tape data is authorized for blanking	dispose of at time final magnetic tape records produced by system have been blanked.
6		for systems for which the related magnetic tape data is not authorized for blanking	retain with the related magnetic tape.
7	narrative description of the source and functional characteristics of the file(s), a definition of the content of each record in terms of the relative position name, length, and type of each data element in a field (run layout) explanation of the coding system and a cross reference code manual of every code used together with all their values	for systems for which the related magnetic tape data is authorized for blanking	dispose of at time final magnetic tape records produced by system have been blanked.
8		for systems for which the related magnetic tape data is not authorized for blanking	retain with the related magnetic tape.

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Part 11. Documentation Required for Servicing Machine Readable Records

	File designation	Consisting of	Which are	Then
9	Input specifications	detailed description of each transaction that generated some activity in the system in the form they appear at the time they enter the computer system; identification title, recording media, purpose, frequency, volume, and source; detailed description of the contents of each input to the basic record file and a graphic illustration of each	for systems for which the related magnetic tape data is authorized for blanking	dispose of at time final magnetic tape records produced by system have been scratched.
			for systems for which the related magnetic tape data is not authorized for blanking	retain with the related magnetic tape.
1	Output (report forms) specifications	detailed descriptions of products of the system that are to be used outside the computer center	a listing of the outputs by sequence, name, media, purpose, frequency, volume and distribution; a detailed record description and samples of output in the form of layouts or copies, keyed to names and numbers in the output listings	dispose of on termination of system by either obsolescence, update, or discontinuance.
2	Application program manual	documents reflecting the latest information for a general description of the function, use, and methodology of the program	a description of input, files, and output; source and object code listings and flow diagrams showing the logic of the program; description of program output messages; and coding information, test plan, program test, and operating instructions	dispose of on termination of system by either obsolescence, update, or discontinuance.
3	User guides	information used in training or explaining overall system	handbooks, guides to data availability, and procedures for querying files	retain with systems specification.
4	System operating procedures	user oriented instructions: 1) to prepare input data, 2) for control and interpretation of output reports and 3) for processing work on the computer	for systems for which the related magnetic tape data is authorized for disposition	dispose of at the time magnetic tape reels are scratched.
			for systems that require retention of related magnetic tape data	retain with file (systems) specifications.

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Part II. Documentation Required for Servicing Machine Readable Records

	File designation	Consisting of	Which are	Then
16	Report	printed final report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related magnetic tape data	retain one copy of the printed report with related file specifications.

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April 28, 1972

Part III. Erasable Media

The term erasable media refers to tape (analog, digital), drums, disks, disk packs, data cells, and other devices that store data in an erasable mode. The term "dispose of" in column 4 is synonymous with the terms "scratch," "erase," and "blank."

	File designation	Consisting of	Which are	Then
1	Scratch tape (blank tape)	temporary magnetic tape used by the console operators or tape handlers to facilitate general computer runs such as sort and merge runs	new tape or tape not included in a tape library control or files whose retention dates have expired	available for immediate use or reuse.
2	Test tape	magnetic tape used in testing a proposed system	used by programmer for individual run testing and not under library control	dispose of after system has been accepted or discontinued, whichever is sooner.
3			system debugging test data	retain until related program is discontinued.
4			system acceptance test data	
5	Program tape or disk pack	tapes (disk packs) containing sequence of instructions required to accomplish the processing of data or solving a problem	updated	dispose of after third update cycle.
6			the last update of specific EDP application used in a terminated system	dispose of after agency has exhausted its use of the tape.
7			<u>required</u> in audit trail	dispose of in accordance with functional guidelines provided by GAO.
8	Raw data input	magnetic tapes containing data abstracted from source documents or other media and entered into the system for the first time	used for updating with existing program and required to support reconstruction of master file	dispose of first generation data upon successful completion of fourth processing machine pass.
9			not required to support reconstruction of master file and/or used as input for a one-time study or survey	dispose of after raw data is processed into final data and proved satisfactory.
10			officially designated to replace or serve as the basic source data in lieu of the "hard copy" or other input source document	dispose of in accordance with instructions applicable to the "hard copy" or other files documenting the same process, transaction, or case.

SUPERSEDED

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Part III. Erasable Media

	File designation	Consisting of	Which are	Then
11	Working tape (input/output)	magnetic tape containing output or control within or from one run to a subsequent run that manipulates, sorts and/or moves data through the systems; includes check-point, edit, correction, reject list, unmatched data eliminating error, and rerun tapes	used in an updated system	dispose of after subsequent magnetic tapes that contain the accepted detail data have been created and proved satisfactory.
12			used in a one-time study or survey	dispose of after master data tape has been proved to be satisfactory.
13	Valid transaction	magnetic tapes containing valid file of items used with a master data tape input file for creation of master data tape output file	partially valid transaction after all outstanding items are liquidated from current status tapes	dispose of after third update cycle.
14			valid transaction after cumulative final master tape is prepared and determined to be successful, and there is no necessity for statistical analysis	dispose of after third update cycle.
15			used in additional statistical analysis	disposal not authorized by this schedule.
16	Information retrieval system master reference	magnetic media containing data created by the merging of prior master file with valid transaction data to create a new master file (including the security copy tape of data on disk packs)	a cumulative index to scientific and technical publications, and bibliographic and other nonrecord material	dispose of after third update cycle.
17			an index to record material such as correspondence, legal hearings and decisions, patents and trademarks, and record copy of publications	disposal not authorized by this schedule.
18	Federal loan and grant program master file	magnetic media containing data created by the merging of prior master file with valid transaction data to create a new master file (initial data includes excerpts from forms placed in case files)	cumulative data of funds made available through federally supported loan and grant programs	dispose of after third update cycle.
19			noncumulative periodic file of status of Federal loan and grant activity	disposal not authorized by this schedule.

SUPERSEDED

SUPERSEDED

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April 28, 1972

Part III. Erasable Media

	File designation	Consisting of	Which are	Then
20	"Housekeeping systems" master data file	magnetic media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration	not required for GAO site audit	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.
21			required for GAO site audit	dispose of in accordance with functional guidelines provided by GAO.
22	Economic statistics master file	magnetic media containing data created by the merging of prior master file with valid transaction data to create a new master file	cumulative data such as status of banks and insurance institutions; production, consumption, and monetary status of industry and agriculture; value of foreign commerce and other economic indicators such as construction of houses and buildings; motor, radio, and air travel; communications, including broadcasting, telephone, and telegraph	dispose of after third update cycle
23			noncumulative data used to prepare reports covering a limited period of time	disposal not authorized by this schedule.
24			noncumulative recurring periodic surveys including wholesale and consumer price indexes, annual industry, housing vacancy, and other economic indicators	disposal not authorized by this schedule.
25			noncumulative economic census taken during 5-year intervals	disposal not authorized by this schedule.
26	Social statistics master file	magnetic media containing data created by the merging of prior master file with valid transaction data to create a new master file	cumulative social and demographic data concerning births, deaths, and marriages; income taxes paid; social security accounts; employment information; law enforcement, crime and civil disturbance, and other social indicators	dispose of after third update cycle.
27			noncumulative data used to prepare reports covering a limited period of time	disposal not authorized by this schedule.

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Part III. Erasable Media

	File designation	Consisting of	Which are	Then
28			noncumulative recurring periodic surveys including current population statistics, annual industry, housing vacancy, voter participation, and statistics of income sample	disposal not authorized by this schedule.
29			noncumulative demographic censuses	disposal authorized by this schedule.
30	Natural resources master file	continuously updated magnetic media containing data created by the merging of prior master file with valid transaction data to create a new master file	cumulative data on characteristics, use, and ownership of natural resources such as land, water, minerals, and timber	dispose of after third update cycle.
31			noncumulative data used to prepare reports covering a limited period of time	disposal not authorized by this schedule.
32	Longitudinal studies master data file	magnetic tape containing data recorded over time from one or more sources	a series of observations relating to individual units (persons, places, things)	disposal not authorized by this schedule.
33	Scientific data files	magnetic media source data recordings received from experimental sensor instruments for scientific measurements such as outer space orbiting spacecraft, oceanographic and geophysical phenomena, and medical research (including analog tape)	converted to raw data digital magnetic tape media	dispose of after meaningful data has been analyzed.
34			not converted or converted only in part to raw data digital magnetic tape media	dispose of after determination has been made that the data will not be converted to raw data digital magnetic tape media.
35			held in national data centers	disposal not authorized by this schedule.
36			not duplicated in national data centers	disposal not authorized by this schedule.
37		magnetic media containing data created either from analog magnetic tape or recorded directly on magnetic digital tape for scientific measurements of astronomic, outer space, and oceanographic phenomena; air and water quality; and medical research measurements	duplicated in national data centers	dispose of after determination is made that data is not required outside the data centers.

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Part III. Erasable Media

File designation	Consists of	Which are	Then
38		not calibrated or validated	dispose of after subsequent magnetic tapes containing the accepted data have been created and proved satisfactory.
39 Summary data file	magnetic tape containing aggregates of individual observations from valid transaction or master data files that are disaggregates of published data	substantially unpublished, such as tapes containing data that are disclosure free	disposal not authorized by this schedule.
40 Publication tape	magnetic tape containing source output data extracted from the system (without destroying the source tapes)	reproduced and disseminated as a publication or used for reproducing a printed publication	record copy not authorized for disposal by this schedule.
41 Print tape		used for producing required printouts of tabulations, ledgers, tables, registers, and reports	dispose of after output has been released and approved.
42 Re-formatted data file	magnetic tape containing essentially duplicate data from the master data file but which is created for use with other computer hardware systems	created for the specific purpose of information interchange	dispose of as provided for master data tape.
43		of specific application for agency computer hardware systems	dispose of when determination is made that such format is unnecessary.
44 Sample and subsample data files	magnetic tape containing individual observations selected from a larger census or survey file such as stratified or pure random sample files with or without weighting factors	disclosure free or useful in statistical analysis or policy formulation models and simulation studies	disposal not authorized by this schedule.
45 Security backup file	magnetic tape that is identical in format to master tape retained as security in case master tape is damaged or inadvertently erased	updated	dispose of after third update cycle.
46		a one-time study or survey	dispose of or retain in accordance with standards for scratching of correspondence master file.
47 Other agency files	magnetic tape created by other agencies	not altered substantially by the receiving agency	dispose of when no longer needed.

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PART III

NOTES:

Items 3 and 4. This type of data is differentiated from simple debugging test data in that the data set is used to exercise all possible data system options within the complete set of programs. System debugging test data means data used to debug individual programs or groups of programs prior to final acceptance testing. It must be retained until the related program is discontinued.

Acceptance test data may also be a contractually defined specification or item in software systems being procured and it or a listing of it may have to be kept with the contract file. For details in this case, see General Records Schedule 3, item 4.

In other cases, particularly in systems where accounting for funds is involved, it may be required that the files be kept until a particular version of a system has been audited and approved by the General Accounting Office. Retention periods in this case will be in accordance with the specific functional file in one of the other general records schedules. This means that specific acceptance test data sets might have to be kept for the life of the particular version of a software system or until all records produced under that system have been disposed of.

Item 7. Just as the acceptance test data may need to be kept beyond its useful life for auditing purposes, programs which processed that data may also be kept for audit purposes beyond the operational life of the particular system. Disk packs are relatively expensive for long-term storage and there is usually a backup copy of the system on magnetic tape. In these cases, the tape copy of the program together with all relevant documentation may be used in lieu of the disk pack version. Either source or object versions of the system may be used for this purpose.

Items 16, 18, 22, 26, and 30. "Cumulative date" implies no earlier data is deleted in the present pass.

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Part IV. Nonerasable Media

Nonerasable media refers to ADP punched cards, paper tape, and other nonerasable, machine readable media.

	File designation	Consisting of	Which are	Then
1	ADP program card files	punched cards containing common language source program data (source deck)	processed with a processor or utility program to produce a machine-coded object program	dispose of individual cards when replaced by new ones, dispose of program deck after program has been removed from system. See note in part III, item 4.
2		machine-punched cards containing coded machine language instructions arranged in proper sequence (object deck)	read into computer memory before running a program to cause the computer to perform data-processing functions	dispose of after successful completion of a program revision or after related program has been removed from system. See note, part III, item 7.
3		prepunched utility or processor program card decks	used to update installation systems software	dispose of after receipt and successful use of new cards from the manufacturer or programmer, or 1 year after discontinuance of program or system.
4		job stream (job stack, job control) card decks	used to activate program-processing modules performing a data-processing job	dispose of individual cards or sets of cards when replaced by new cards and when necessary changes (if any) have been made to appropriate data-processing manual.

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Part IV. Nonerasable Media

	File designation	Consisting of	Which are	Then
5	ADP program control cards	punched cards containing data for program control generated by the producer or user	pertinent to a specific run or cycle	dispose of individual cards or set of cards when replaced by new cards and when necessary changes (if any) have been made to appropriate data-processing manual.
6			for repetitive use and updated either by ADP or user	dispose of individual cards after replacement by new cards; destroy control deck 1 year after program has been removed from system, or after system has been discontinued.
7	ADP source data cards (or paper tape as applicable)	punched cards or paper tape containing data abstracted from source documents and used for conversion to magnetic tape or processing on (EAM) electric accounting machine equipment created after January 1, 1970	retained by ADP operational elements as backup to magnetic tape or disk	dispose of when related magnetic file has been proven to be satisfactory and has grandfather backup.
8			EAM output listings and reports	dispose of after 180 days if used in processing without being converted to magnetic tape.
9			on magnetic tape	dispose of after verification of data on related magnetic tape.
10			punched cards that contain original entry data with film or written inserts	source documents

SUPERSEDED

PART IV

NOTES:

Items 5 and 6. These items refer to parameter cards associated with the execution of various options of operational programs. These include date cards, periodic (monthly or quarterly) options executed only occasionally, and queries to information retrieval systems. They do not include card decks for generalized interpreter systems used with computer simulation software packages such as SIMSCRIPT, GPSS, DYNAMO, and similar systems. These decks have the status of program source decks. Similarly, all except report generation decks in file management systems are considered to be source program decks and should be retained or destroyed in accordance with the criteria of items 5-7 of part III.

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Part V. Procedural Analysis of Data Processing Systems--Guidelines for Appraising Files and Data Sets for Permanent Retention

1. Introduction

This section is a guide to ADP systems analysts, records officers, and archivists for determining the nature of data files (also called data sets) generated by computers. Factors that influence the selection of specific data files for permanent retention in machine readable form (chiefly on magnetic tape) are indicated and explained here.

In examining a variety of documentation files for different ADP systems, substantial differences were found in the use of technical terms among agencies, and in some cases, within agencies. These differences are being resolved by several vocabulary standardization groups, among them Federal Information Processing (FIP) task group 5 and its successors and the American National Standards Institute (ANSI) X.3.5 committee on vocabulary. However, the definitions in the vocabulary have not been standardized to the extent that flow chart symbols have been in ANSI Standard X3.12-1968, Flowchart Symbols and Their Usage in Information Processing.

Accordingly, better guidance for appraising data and documentation files can usually be achieved by studying the high-level system flow charts in addition to the narrative description found in the system documentation files. The system files are enumerated and described in part II of the schedule. This section has been written based on the fact that virtually all ADP systems are composed of a small number of basic procedure types connected in sequences that can be called modules. The text and charts in the following sections are organized around this concept. Almost all existing ADP systems can be analyzed into portions or groupings of these charts.

2. The Elements of Data-Processing Systems

Data processing systems are composed of four basic classes: hardware, software, peopleware, and data files. The hardware consists of the central processing unit and all of its peripheral devices and recording media. The software consists of the machine instructions that direct the hardware to perform the processing. Peopleware is listed in parts I and II and consists of specifications, hard copy documentation, and user manuals for all personnel involved in running a system. The data files themselves are listed and described in part III. Appraisal criteria for them will constitute the bulk of sections 3 and 4, below.

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2.1 Hardware

Computer hardware and recording media are still undergoing relatively rapid evolution, and this presents a problem in finding equipment that can successfully read some older machine readable files. Files to be retained permanently may have to be recopied periodically onto newer media or totally converted in format and most other physical characteristics. Since costs for this type of work are declining, this situation presents no undue burden to the holder of this data. In general, the property value and conversion costs of machine readable records are less than one-tenth of 1 percent of the data collection and editing costs of the information recorded on it. Upon consultation, the Office of the National Archives, National Archives and Records Service, will recommend procedures and techniques needed for the physical preservation of the record content beyond the life of the recording medium.

2.2 Software

This is divided into two main types, systems and application software. System software is furnished by the computer manufacturer and is designed primarily to manage the available resources of the computer complex in an efficient manner. The computer complex consists of the central processor and its attached peripheral devices, such as card readers, magnetic tape drives, high speed printers, and other equipment. In general, this type of software is not related to any specific file or record maintained in an installation. It is, therefore, of no permanent value except to the history of the development of computer science. Selected portions of systems software specifications are useful for reading files produced on one computer with another equipment configuration. However, this information may be documented in less than one page and does not require extensive documentation. Subclasses of system software include utility, operating system, sorts, merge, and compiler software.

An exception is application software written in one of the standardized machine independent programming languages. COBOL, FORTRAN, and PL-1 are the three most widely used of such languages. In most cases, application software written in these languages may be considered for retention with the related files. However, only a small portion of the total software written for an application need be retained permanently. For example, a file that has been closed off and covers a specific period of time will not be updated. Therefore, the update software is unlikely to be ever required again and is disposable.

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If the file is a large complex data base designed to service many inquiries, retention of the query software may be warranted. However, much good query software is commercially available to handle the problems of file inquiry. Therefore, retention of this software is less important than retention of user documentation described in section 2.3 below.

The final class of software that may have permanent value is that used in computer simulation work. There are several software systems that have been used in policy formulation and evaluation work for high-level management in agencies. The three best known such software systems are SIMSCRIPT, DYNAMO, and GPSS (General Purpose Systems Simulator). Like COBOL and FORTRAN, these systems are available for most computers on the market. It is also likely that they will continue to be available for the foreseeable future. What is important to save in such applications are the source program decks. The policy alternatives and much of the information on a project is contained in these decks and they often constitute records of intrinsic historical value. Economic and financial projection models and war game software are typical examples.

2.3 Peopeware

A wide variety of hard copy documentation is produced in data processing systems. Peopeware is that documentation required by the personnel involved in the design, development, operation and maintenance of ADP systems. The files are listed in parts I and II of this schedule. Of interest in this section are primarily those files required for the direct servicing of files declared permanent.

The basic concept to grasp in data processing is that the record constitutes a representation of an event and not the event itself. As such, the representation or record may have been recorded by a sensor (as in scientific measurement) or may have been transcribed and encoded from some other document or document group as in all transaction reporting. In either case, a researcher needs to know what kind of transformations occurred between the actual event and its representation on magnetic tape. This knowledge is in the documentation described in part II of this schedule.

For example, most housekeeping systems usually encode events using elaborate code tables rather than narrative fields on the record. A payroll system may have dozens of deduction code possibilities as well as an equal number of pay plans. Typical codes would represent bond deductions, local tax rates for States and municipalities, bond and charity deductions, overtime and premium shift differential rates, etc. In scientific work, instrument readings represent observations of physical phenomena and other occurrences.

Each time a transaction is encoded or instrument reading is made, there is a possibility of an error or distortion taking place in the process. The errors may be simple random occurrences such as digit transposition by key-punch operators or transcribers, or systematic because of some bias in the recording instrument or observer. In general, the scientist attempts

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to calibrate his instruments and adjusts instrument readings for other known factors, and the systems accountant devises consistency checks, batch totals, and clerical training programs to assure "accurate" recording of his data.

Permanent records of this class include the file and input specifications (items 7-10 of part II) along with the final version of the related tape file. They tell a future user of the probable quality and coverage of the file and, for those with much encoding such as accounting files, the meaning of all of the descriptive data fields along with the bias and judgement that went into transcribing a record of an event into a coded element. Some portions of system-operating procedures and user guides (items 13-15 of part II) are also useful for later reference work. These records are essential for determining how the related data files were used for operations and research and must be retained even if the related software is disposed.

3. Data-Processing Systems Flow Charts and Their Use in File Appraisal

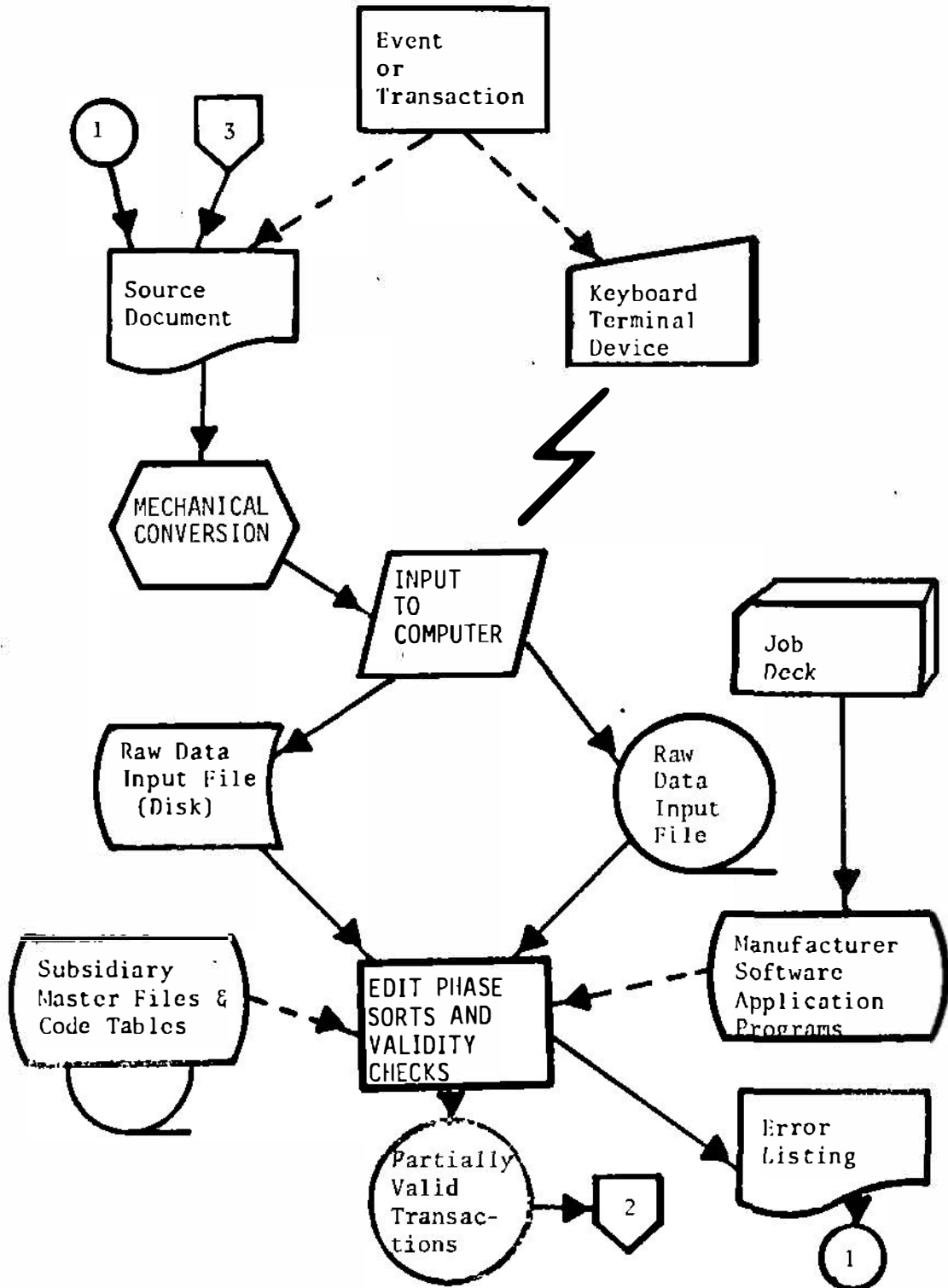
Data records in ADP systems are processed both manually and mechanically before finally residing in a file as a correct record. This section presents typical systems charts found in the high-level documentation of most such applications. These charts should be used by an appraiser for determining which files among many are most useful for permanent retention.

Data processing systems are categorized by two sets of terms. One breakdown is between continuing and one-time systems; the second is between real-time and batch-processing systems. Real-time systems handle one transaction at a time and complete the function of posting and validation before going on to the next transaction. These operations occur at the time the actual real world event occurs or at the latest, soon afterward. Batch-processing systems perform one stage of processing for a group (or batch) of transactions. These operations occur after the real world event took place. The delays may range from hours in some cases to months in others.

Continuing systems are those which are run periodically with a repetition rate ranging from a few hours to a year. Most housekeeping systems are of this type. The most familiar applications are for payrolls, inventory control, and financial management. Although the file contents are continually changing, such systems have high continuity from one period to the next and are well documented for auditing and operational purposes. One-time systems are less well documented than continuing systems. There is usually pressure to deliver the results in the form of reports within a time constraint. Many undocumented ad hoc decisions are made during the course of these projects to meet project deadlines, which result in files containing data errors that may not reflect the contents of published results. Surveys, simulation projects, and censuses fall into this category.

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GENERALIZED INPUT UPDATE (1)



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Various combinations of these attributes are found in ADP systems. Real-time systems are used in continuous housekeeping systems, the most notable being military command and control and airline reservation applications. Batch processing is used for both one-time and continuous systems and constitutes the bulk of existing data-processing applications.

The files in all types of systems are increasingly being put on mass storage devices such as disks rather than tape. However, even in real-time systems, backup and recovery procedures dictate that magnetic tape copies of the file be created. These are usually called either "file dumps" or "safe data dumps." They are also created for running off summary reports since total file scanning of disk files is inefficient. These files can be appraised in the same manner as tape resident files.

3.1 Input and Update Subsystem Phases

These two phases are common to all data-processing systems that involve file maintenance. Two typical flow charts are shown and labeled "Generalized Input Update." They show the processing steps taken to record, convert, check, edit, and post a record to a file for later use.

3.1.1 Source Data Conversion Phase

Data can be converted to machine readable form by several methods. Formerly, data were transcribed from source documents onto transcript sheets. They were keypunched, converted to magnetic tape, and then processed. More recent methods either record machine readable data onto source documents (turnaround documents) or accept input directly into computers through keyboard-driven terminals (source data automation).

The data control function is closely interwoven with the mechanical conversion process. One part of data control consists of keeping count of the documents in each batch to be processed and control the totals of one or more quantity fields. Examples would be dollar totals and counts of checks or invoices. The other part of data control is the manual editing of source documents. Such editing consists of checking codes and resolving errors.

The typical sequence is shown on the chart entitled "Generalized Input Update I." A manual-handling phase is followed by a media conversion step. The machine readable transaction is further validated by a series of computer runs. Errors may be introduced and detected during each stage of the process. Correction procedures depend on the stage at which the error is detected, the type of error, and the conversion hardware used. For example, in keypunch-oriented systems, verification is used to minimize conversion errors while the computer passes are used to catch logical and transcription errors. Some systems combine error detection and correction processes by attaching the conversion equipment to a computer.

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However many steps and cycles occur in the process, the end product is usually called a raw data tape. Other names used are unsorted transactions, partially edited transactions, sorted preliminary update file, and the like.

Raw data tapes are seldom of any permanent value since they contain erroneous and duplicate records. A possible exception in the case of real-time systems where the tape may be named "logging file" in such applications as message switching or production control systems. Usually such tapes are kept for a short period of time as backup to recreate a real-time file. The sole other usage is for system test data or some simple transaction counting for real-time system work load studies.

3.1.2 Edit Phase-Sorts and Validity Checks

Many tapes with records of temporary value are produced at this stage. Another common designation for these tapes is work tapes. This phase or module processes transaction files against various editing and validation criteria. These criteria may be found in a computer program, such as a table of valid transaction codes, or in a subsidiary master file, such as valid account numbers or a name and address file. Other common checks performed here are for numeric characters in quantity fields, transaction batch totals, transaction counts, and consistency checks.

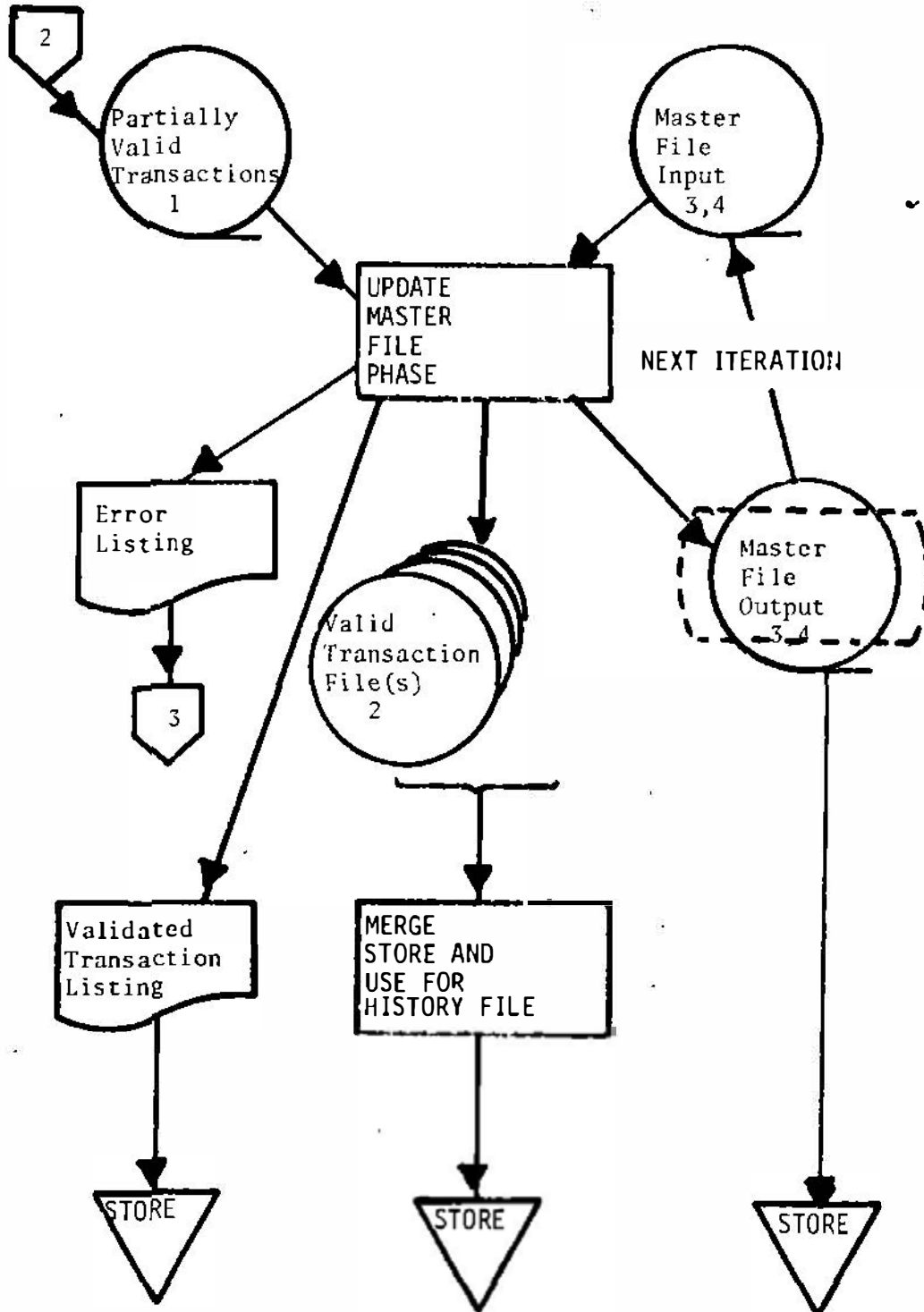
The output of such a phase is a file of partially validated transactions. Two methods are used in handling errors at this time. In one invalid transaction items are listed on a printer along with the error indicators for immediate correction on a batch basis. In other systems, erroneous records are coded to indicate the presence of certain errors, but are not deleted from the transaction file. Instead, they are kept in the transaction file for still further checks in the update program itself. This gives a consolidated error listing at one time for a given batch of transactions. The most common additional tests performed on the data would be tests against the master file key itself. Examples are transactions that attempt to delete a nonexistent record or insert a duplicate record into a file; others may be quantities that are checked for "reasonableness."

3.1.3 Update Master File or Data Base Phase

The edit phase's output is the updating run's input. This is shown in "Generalized Input Update II." If the file contains only one application, such as accounts payable or receivable, it is normally called a "master file." If it contains data from a series of applications, or summary data from a variety of sources, then it is a "data base." Under certain circumstances, an individual transaction and status report is the direct concern of an organization's top management. Examples are status reports for an important research and development project, construction job, or loan--all of which might have enduring value.

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GENERALIZED INPUT UPDATE (II)



1 or work tape.

3. May be cumulative or noncumulative file.

2 A series of these files may be merged into a continuous history file.

4. Until final version is approved, prior versions are interim master files.

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There are several types of master files. In some systems, they include only currently active records. Purged master file records are periodically transferred to dormant account (history) files. Personnel and payroll files are typical, with the purge generally occurring at year's end. Many other files are cumulative and continue to grow in size depending upon the application. As in the case of paper records, frequency of use is the major criterion when deciding the length of time "detailed transactions" will remain on the master file.

In the case of periodically updated files, where transactions are deleted, purged records are often merged into historical files. These files are valuable. However, they may lack data found on the master record file. Therefore, both the merged periodic transaction file and the master file should be retained. Items 13-15 of part III denote the types of transaction files created. Items 16-32 of part III furnish disposition criteria for master files.

Master files are seldom updated for a given period in a single update pass. Some errors cannot be detected until the actual posting attempt is made. This creates a series of "interim" master files. The only valid file would be the one from which the periodic output was run. Usually, processing deadlines determine which version is "valid." Interim master files are usually retained for short periods as backup tapes for the final master file. (See items 44 and 45 of part III.) This retention plan is called the "grandfather system." In appraising master files for permanent retention, it is preferable to retain the "as of" date from the official files. While this is usually possible, there are many cycle-billing systems in which the master file is never completely purged of detail transactions--thus never complete. In such cases, it may be preferable to retain extracts of the master file made for reporting purposes and audit trails rather than the master file itself. Items 39-43 of part III describe alternative selections to master record tapes.

3.2 Report Generation Phase

This section describes the files, processing, and software used to produce output from ADP systems. The chart labeled "Report Generation Phase" shows the usual processing sequence in such modules from the machine readable record to the final printed report or listing. Since mass, random-access storage is increasingly used, the chart shows tape and disk files used interchangeably, although in practice one or the other medium will predominate.

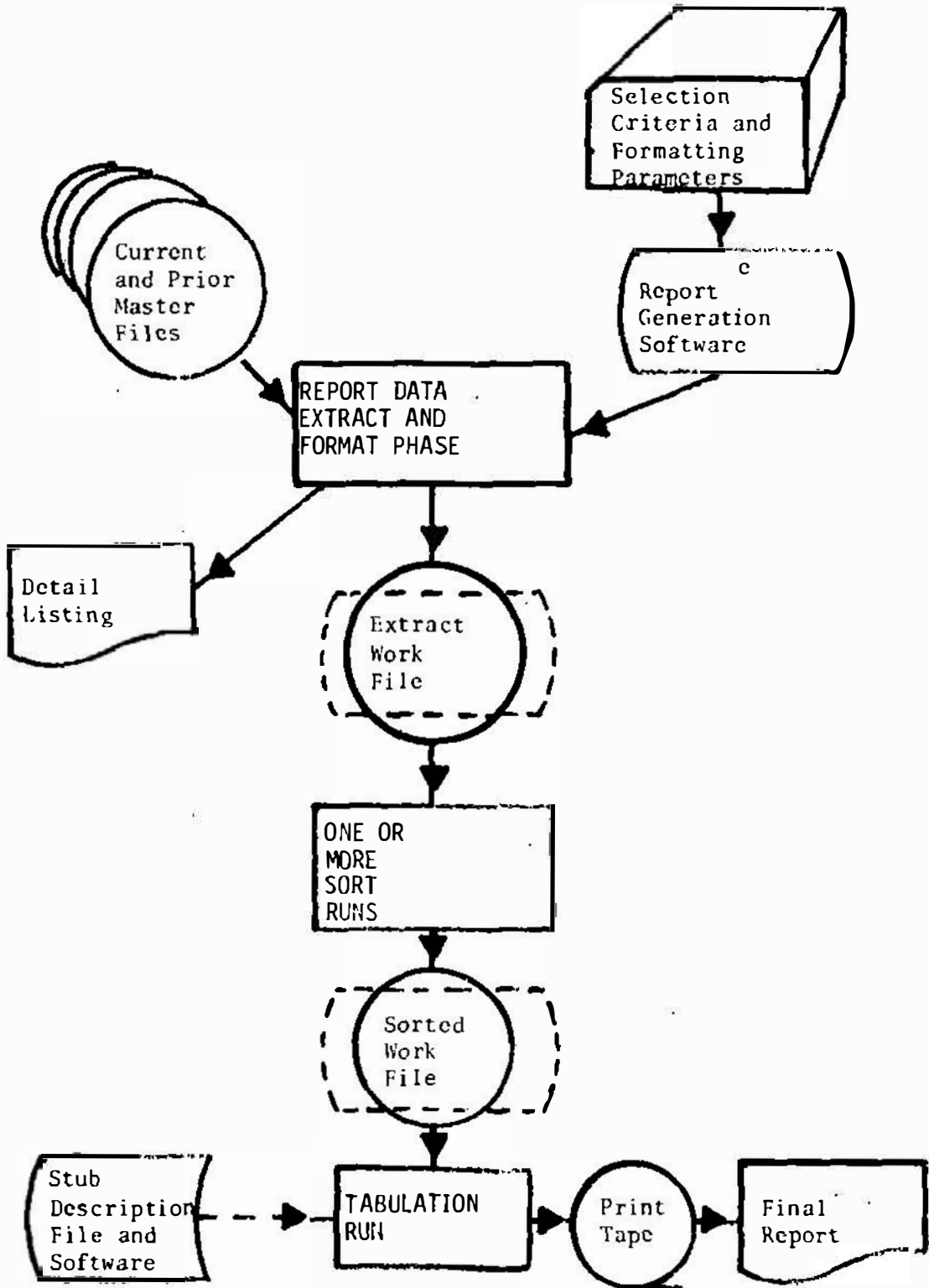
As indicated previously, unless its usefulness or transferability to future computing systems is assured, it is unnecessary to retain output-oriented software. This evaluation should be ad hoc.

3.2.1 Report Data Extract and Format Phase

If the printed report and the master file are in identical sequence, the data selection, tabulation, and printing phase may occur in one program.

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REPORT GENERATION PHASE



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This is characteristic of billing, payroll, and most housekeeping systems. However, often it is necessary to print the report in a sequence different from that of the master file. The use of a sort will resequence the selected records as desired, creating a series of intermediate work files between the master file and the printed output. The flowchart labeled "Report Generation Phase" shows both tapes and disk files in the processing sequence.

Newer computers and operating systems seldom produce work tapes except for the largest multireel files. The intermediate files reside on disk as transient files within the "job stream." (See item 4, part IV.) The input file, the job control deck, and the final printed output only are visible to the uninformed. Thus, seldom is there need to retain intermediate files because they can always be recreated from the master file.

In one case, extract files are useful and should be retained. Files that contain "statistical samples" of the entire body of data often have long-term value when the methodology is documented. These sample files, along with appropriate weighting factors and stripped of identifying information disclosing individual persons or establishments are immediately releasable for public research.

The next problem is to determine which of several work files to retain. In general, this depends upon the degree of decoding stub descriptors required to interpret the file. Heavily encoded files with little or no narrative description are suitable provided that the stub descriptor files and tables required for human reading and interpretation are of reasonable length. When the code is a Federal Information Processing Standard, the length of the code table is unimportant. An example is the table of State and county codes of the United States with more than 3,000 entries. Tables of less than 200 entries developed for individual agencies or one-time studies may be reasonably left encoded as they can be decoded by simple computer programs. For large code tables stub descriptions are preferable for long-term preservation.

3.22 One or More Sorting Runs

Extract files are often in the wrong sequence for producing reports or required tabulations. In fact, the same file may be sorted into as many as 10 different sequences for different types of analysis and tabulation. The criteria for retention of sorted work tapes are the same as for extract tapes described above. The output of this phase is a sorted work tape or file ready for tabulation, summarization, and editing.

This type of file on tape is often a useful research file, particularly if there has been some editing and if interpreting has been performed. In general, continuing administrative systems have relatively few processing steps between the first extract run and the final output pass. This is different from one-time reports as described in section 4 below.

3.2.3 Tabulation Run

The inputs to the tabulation run are the sorted work files, and usually with a stub descriptor file. The stub descriptor file is invariably used when a very large list of codes must be displayed in plain text. If it is on magnetic tape, one or more sorting runs are typically required of the extract tape in order to apply the descriptors. If on disk, most of this decoding can be performed during the tabulation run. When files are considered for retention, the information necessary to decide such data elements must be retained. This may either be a hard copy document as described in section 2.3 above or a machine readable file.

The final output of a tabulation run may consist of either summary data files or a print tape (items 39 and 41 of part III). Summary data files may also serve as publication tapes (item 40 of part III) when they are reproduced and disseminated to the public and/or Federal agencies. Summary data files are occasionally used as input for published and widely disseminated printed reports.

Many installations do not use print tapes when they produce a computer listing or report. Instead, the data are temporarily transcribed on disks until the printed report is complete. However, tapes can be created upon specific request if there is a known demand and further use for the same information in machine readable form. This procedure is often followed by producers of general proposal statistics.

When a tape file may be classified under more than one of these three categories, disposal is not authorized by this schedule.

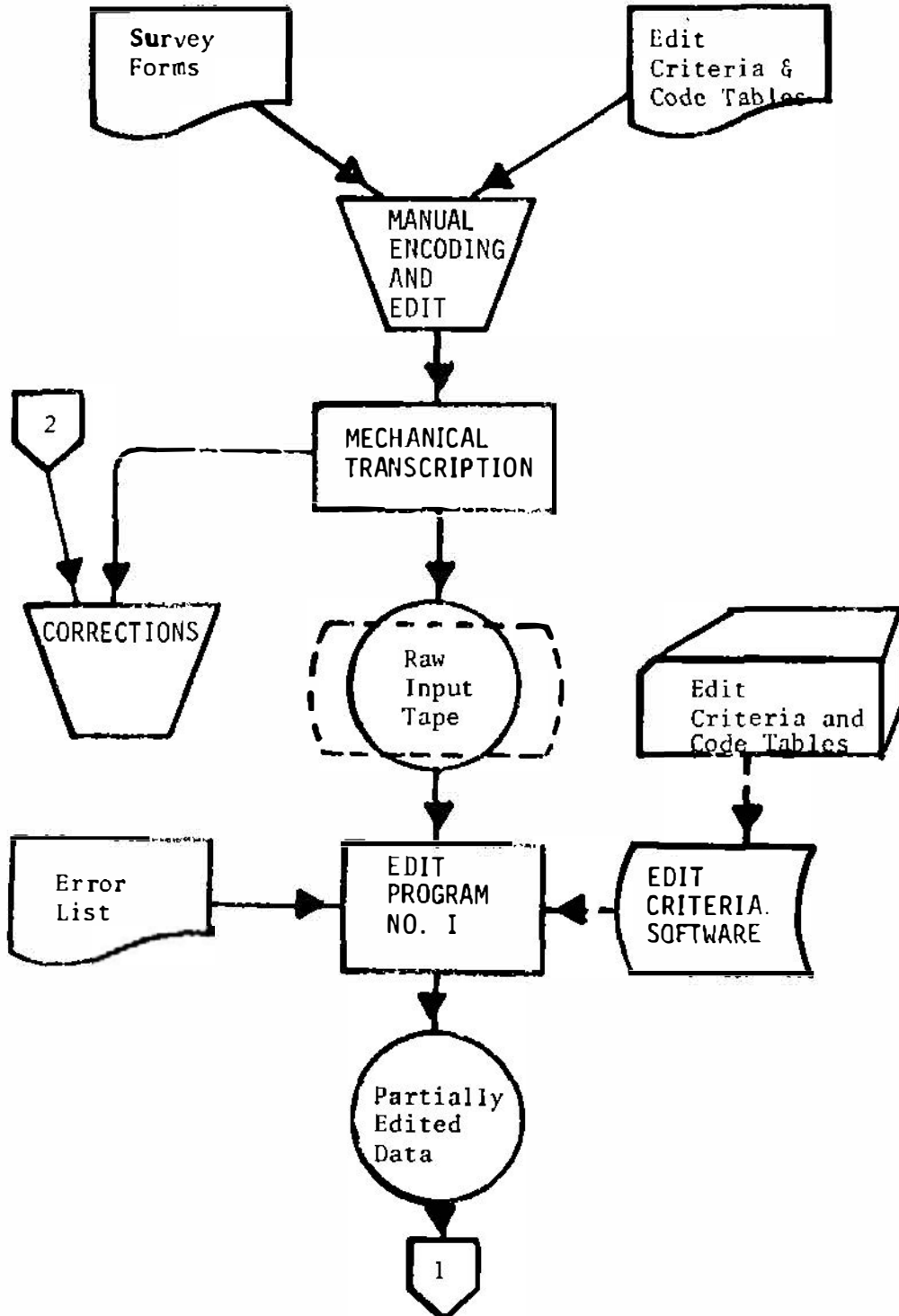
4. One-Time Surveys and Report Generation Systems

The sequence of operations in one-time surveys, censuses, and tabulations is shown in the following two charts. When the flow process charts are compared to the typical continuous file maintenance system, the similarities are evident. The basic difference between continuously running systems and one-time jobs is the much higher amount of manual editing and encoding required. Unless the job is a very large effort with many thousands of observations, the forms used allow somewhat more variability in field entries than accounting type documents. Since line respondents to these surveys rarely have an opportunity to correct the inputs, much more manual editing and encoding is required to correct (clean up) a file prior to its use in tabulations.

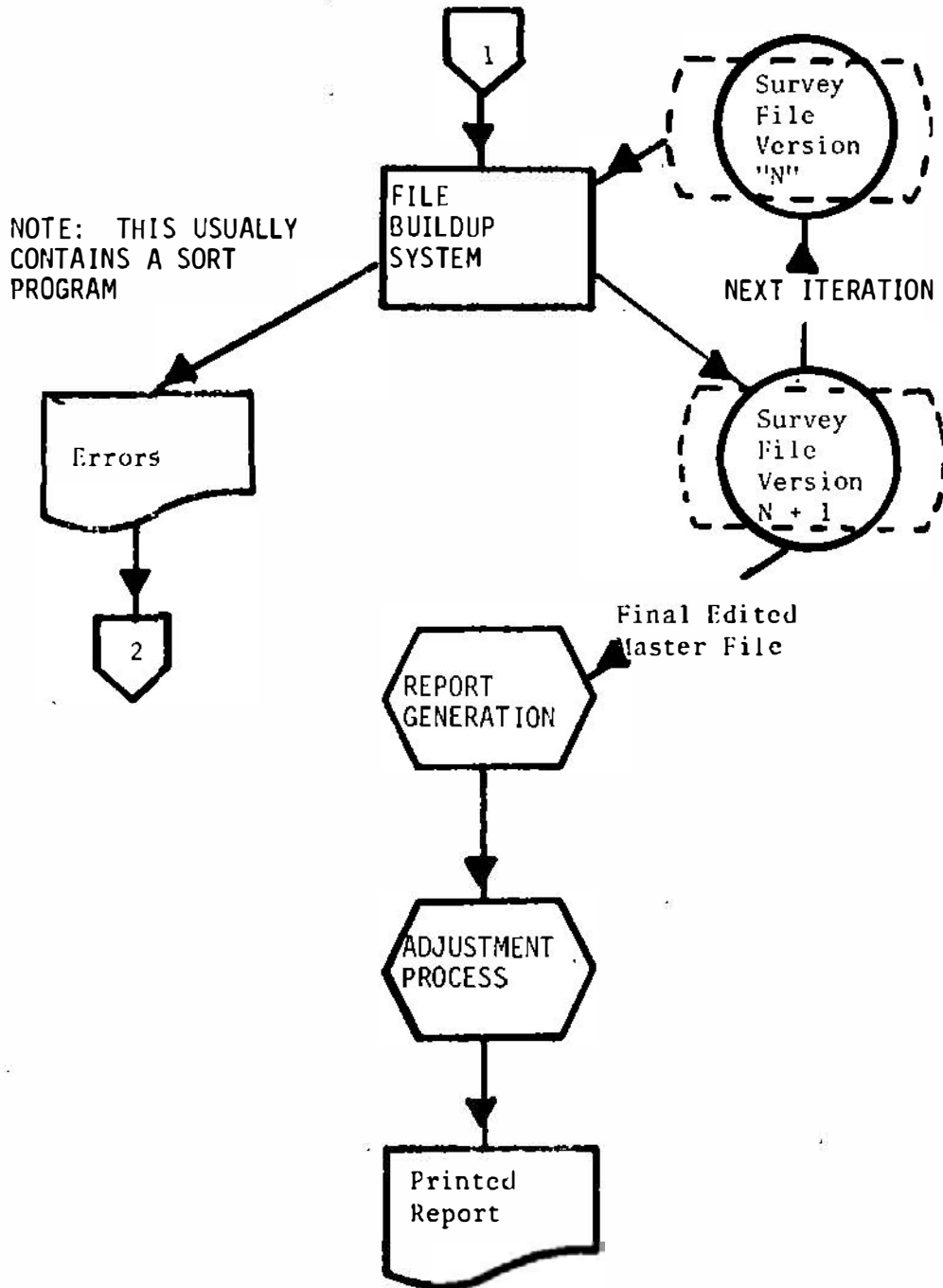
As the second sheet shows, there is a file buildup process which occurs with no changes occurring to individual records after they have entered the file. Where a multiplicity of systems and sources feed the file, the individual records are usually of variable length to minimize storage requirements.

Documentation for such systems contains complex record formats but includes few of the elaborate codes found in administrative systems.

TYPICAL ONE-TIME PROCESSING SEQUENCE (1)



TYPICAL ONE-TIME PROCESSING SEQUENCE (11)



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When these files are retained, it is important to identify the original sources of information, the instructions to respondents for filling out the forms, together with sample forms, and the directions given to the response form editors for proper interpretation and secondary usage of these files. Most such files are described in part II of this schedule.

5. Adjustments in One-Time Jobs

A variety of additions, changes, and deletions can occur in either individual or groups of entries within a file at any stage of processing. They can occur for a variety of reasons and lead to magnetic tape files of different accessibility and validity. If the files are to be retained permanently, it is important to document the corrections and adjustments. This record of changes constitutes the equivalent of the accountant's audit trail for evaluating the accuracy of a financial file.

If a payroll record contains an error, the originating office usually hears about it in short order, particularly when an employee is short changed. In sample surveys, respondents seldom correct reporting and transcription errors unless elaborate procedures have been established for a review of the machine-prepared record. This correction and review process almost always occurs in accounting systems, while cost usually precludes this process in most one-time jobs.

Therefore, such files of recorded observations contain a variety of errors which in summary tabulations are nonsense entries. For example, male widows may appear in a tabulation. Such errors arise from a number of causes. Correction of the tabulations can be made at any step in the process between the final survey file and the printed report. The accompanying flow chart shows the points in the procedure where this is usually made.

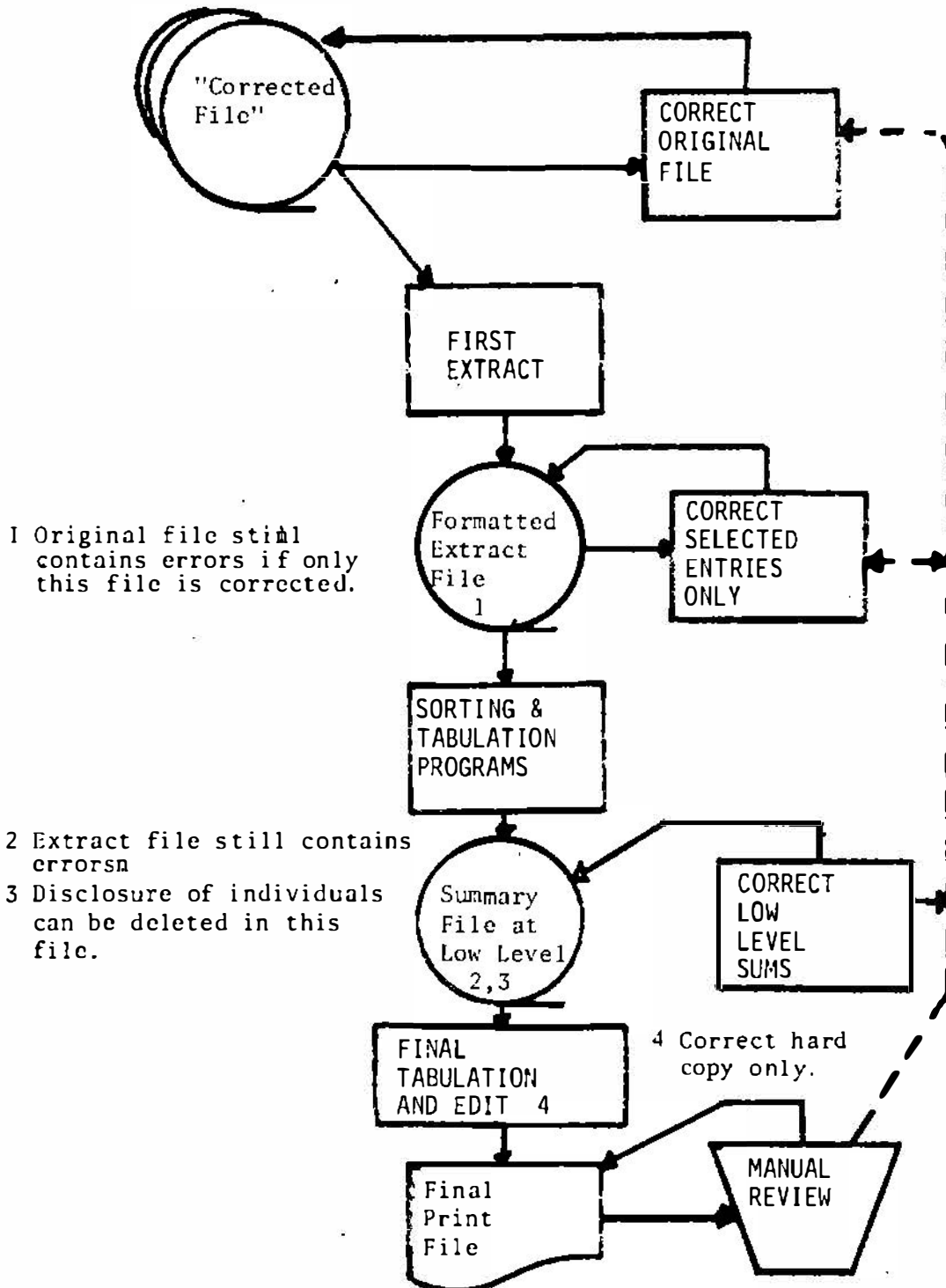
If the error is thought to be a random event, the illogical counts are generally distributed to all other possible categories and deleted from the tabulation array. This would lead to a discrepancy between the published table and the final master file. The illogical records would remain in the file uncorrected.

Systematic final edited master errors also occur frequently in encoding and processing. In these cases, the summary file may be corrected by moving the entire nonsense count to the correct location in the table. These errors can also be corrected in the final master file using the computer.

Another common adjustment operation occurs when a tabulation discloses individual confidential information. Confidentiality is protected in one of three ways: 1) by deleting the entry on the summary file and combining with enough other tabular entries to eliminate individual disclosure, 2) by correcting the print tape, and 3) by correcting only the printed report. In the first method the summary file is releasable to the public. In the second, the summary file is not releasable to the public, but the print file is.

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WHERE OBSERVATIONS AND SUMMARIES GET ADJUSTED IN ONE-TIME JOBS



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