

**RECORDS MANAGEMENT STAFF PAPER NUMBER 11**

# **CODE OF FEDERAL REGULATIONS**

**Title 41---Chapter 101**

**Sub-Chapter B**

# **ARCHIVES AND RECORDS**

**DECEMBER 1971**

Part 101-7

Title 41—Chapter 101

## SUBCHAPTER B—ARCHIVES AND RECORDS

## PART 101-7 [RESERVED]

## PART 101-8—NATIONAL HISTORICAL PUBLICATIONS COMMISSION [RESERVED]

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§ 101-11.102-2

**AUTHORITY:** The provisions of this Part 101-11 issued under sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c).

**SOURCE:** The provisions of this Part 101-11 appear at 29 F.R. 16807, Dec. 12, 1964, unless otherwise noted.

**§ 101-11.000 Scope of part.**

This part prescribes policies and promulgates standards, procedures, and techniques for the economical and efficient management of records of Federal agencies.

**Subpart 101-11.1—Federal Records; General**

**§ 101-11.101 General provisions.**

**§ 101-11.101-1 Authority.**

The regulations in this subpart are issued pursuant to the authority contained in the Act of July 7, 1943, as amended (44 U.S.C. 366-376, 378-380), hereinafter referred to as the Records Disposal Act, and the records provisions of the Federal Property and Administrative Services Act of 1949, as amended (44 U.S.C. 391-396, 397-401).

**§ 101-11.101-2 Applicability.**

The regulations in this subpart apply to all Federal agencies to the extent provided in the Acts cited in § 101-11.101-1, except that the disposal of court records shall be in accordance with the provisions of 28 U.S.C. 457. Section 3 of the Federal Property and Administrative Services Act (40 U.S.C. 472) defines "Federal agency" as "any executive agency or any establishment in the legislative or judicial branch of the Government (except the Senate, House of Representatives, and the Architect of the Capitol and any activities under his direction)." The same section defines "executive agency" as "any executive department or independent establishment in the executive branch of the Government, including any wholly owned Government corporation."

**§ 101-11.101-3 Records defined.**

(a) Section 1 of the Records Disposal Act (44 U.S.C. 366) defines the term "records," as applied to the disposition of records, to include "all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or

in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word 'records' \* \* \*"

(b) This definition also applies to the term "records" when used in the Federal Records Act of 1950, by virtue of section 511(a) thereof (44 U.S.C. 41(a)). The Federal Records Act of 1950 was enacted as Title V (sections 501-511) of the Federal Property and Administrative Services Act of 1949, as amended (44 U.S.C. 391-396, 397-401).

**§ 101-11.101-4 Reports to the President and the Congress.**

Section 508(b) of the Federal Records Act of 1950 (44 U.S.C. 398(b)) provides: "The Administrator shall, whenever he finds that any provisions of this title have been or are being violated, inform in writing the head of the agency concerned of such violations and make recommendations regarding means of correcting them. Unless corrective measures satisfactory to the Administrator are inaugurated within a reasonable time, the Administrator shall submit a written report thereon to the President and the Congress."

**§ 101-11.102 Agency records management programs.**

**§ 101-11.102-1 Authority.**

Section 506(b) of the Federal Records Act of 1950 (44 U.S.C. 396(b)) requires the head of each Federal agency to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency.

**§ 101-11.102-2 Program content.**

Agency programs shall, among other things, provide for:

(a) Effective controls over the creation, the organization, maintenance and use, and the disposition of all agency records.

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(b) Cooperation with GSA in developing and applying standards, procedures, and techniques designed to improve the management of records, assure the maintenance and security of records of continuing value, and facilitate the segregation and disposal of all records of temporary value.

(c) Compliance with the provisions of the Federal Records Act of 1950 and with the regulations issued thereunder.

(d) Compliance with § 101-25.104-2 in connection with the moratorium on the purchase of new filing cabinets.

[29 F.R. 16807, Dec. 12, 1964, as amended at 30 F.R. 4757, Apr. 14, 1965]

## § 101-11.102-3 Creation of records.

Adequate records management controls over the creation of agency records shall be instituted to insure that important policies and decisions are adequately recorded; that routine operational paper work is kept to a minimum; and that the accumulation of unnecessary files is prevented. Effective techniques to be applied in this area include the application of systems for the control of correspondence, forms, directives and issuances, and reports; the minimizing of duplicate files; and the disposal without filing of transitory material that has no value for record purposes.

## § 101-11.102-4 Organization, maintenance, and use of records.

Provision shall be made for the continued analysis and improvement of such matters as mail handling and routing, record classification and indexing systems, the use of filing equipment and supplies, the reproduction and transportation of records, and work production standards relating thereto, to insure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.

## § 101-11.102-5 Disposition of records.

Provision shall be made to insure that records of continuing value are preserved but that records no longer of current use to an agency are promptly disposed of or retired. Effective techniques for accomplishing these ends are the development of records control schedules; the transfer of records to records centers and to the National Archives; the microfilming of appropriate records; and the disposal of valueless records.

## § 101-11.102-6 Liaison offices.

Responsibility for the development of the records management program shall be specifically assigned to an office or offices within each Federal agency. The office to which the major responsibility is assigned shall be reported for liaison purposes to the National Archives and Records Service.

## § 101-11.102-7 Annual summary of records holdings.

Each Federal agency shall submit to the National Archives and Records Service within 30 days after the close of each fiscal year a summary of its records holdings on Standard Form 136, Annual Summary of Records Holdings (see § 101-11.4901). Instructions for preparation in the report are on the form. The summary may be a consolidation for an entire agency, or, if more practical, separate reports may be submitted for bureaus or comparable organizational units.

[33 F.R. 8775, June 15, 1968]

## § 101-11.103 Agency program evaluation.

## § 101-11.103-1 Authority.

Section 505(c) of the Federal Records Act of 1950 (44 U.S.C. 395(c)) authorizes the Administrator of General Services to inspect or survey, personally or by deputy, the records of any Federal agency, as well as to make surveys of records management and records disposal practices in such agencies.

## § 101-11.103-2 Evaluation by National Archives and Records Service.

Agency programs for controlling the creation, maintenance, and use of current records; for the selective retention of records of continuing value; and for the disposal of noncurrent records will be inspected periodically by the National Archives and Records Service. The objectives of these inspections are to:

(a) Determine agency compliance with the provisions of the Records Disposal Act and the Federal Records Act of 1950.

(b) Determine agency observance of the regulations set forth in this Subpart 101-11.1.

(c) Evaluate the effectiveness of agency records management programs.

## § 101-11.103-3 Agency internal evaluation.

Each agency should periodically inspect their records management pro-

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grams within the agency, with the frequency and depth permitted by the agency's resources. These inspections should have objectives similar to those listed in § 101-11.103-2, and should be designed to complement the inspections performed by the National Archives and Records Service. Criteria for agency self-inspection are available from the National Archives and Records Service.

### Subpart 101-11.2—Creation of Records

#### § 101-11.200 Scope of subpart.

(a) Sections 505 and 506 of the Federal Records Act of 1950 (44 U.S.C. 395, 396) place upon the Administrator of General Services and the heads of Federal agencies responsibility for the development and implementation of standards and programs for the economical and efficient management of Federal records. Specifically, the Act requires that each Federal agency provide for effective controls over the creation of records, including the making of records containing adequate and proper documentation of agency administration and operations.

(b) Effective controls over records creation must encompass all types of records at all levels of organization, central office and field. Specifically, there are four types of records which require continuing attention. These types—correspondence, reports, forms, and directives—are common to all agencies. Generally these records are created on sheets of paper, but they may also appear on punch cards, film, tape, and other media.

#### § 101-11.201 General provisions.

##### § 101-11.201-1 Agency action.

(a) The head of each Federal agency, in meeting the requirements of section 506 of the Federal Records Act of 1950 for controlling the creation of records, is expected to observe the program responsibilities and standards set forth in this Subpart 101-11.2. These responsibilities and standards are basic to the Government-wide control of records creation; however, the application of the program responsibilities by individual agencies may be influenced by factors such as agency size, organization, mission, and paperwork activity.

(b) Each Federal agency is expected to:

(1) Assign to an office(s) of the agency the responsibility for the development and implementation of

agencywide management programs for correspondence, reports, forms, ADP records, and directives and for adequate and proper documentation. When organization arrangement, size, or complexity requires, actual control may be established at bureau, service, or office level. Programs at these control points will operate within the framework of the overall agency plan.

(2) Issue a directive(s) establishing program objectives, responsibilities, and authorities. A copy of each directive issued (and subsequent amendments or supplements) should be readily available for inspection by the National Archives and Records Service, GSA.

[29 F.R. 16807, Dec. 12, 1964, as amended at 32 F.R. 3147, Feb. 22, 1967]

#### § 101-11.202 Adequate and proper documentation.

##### § 101-11.202-1 Statutory responsibilities.

(a) Section 505(a) of the Federal Records Act of 1950 (44 U.S.C. 395(a)) vests in the Administrator of General Services responsibility for developing and issuing standards to improve the management of records.

(b) Section 506(a) of the Federal Records Act of 1950 (44 U.S.C. 396(a)) requires that the head of each Federal agency "shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities."

##### § 101-11.202-2 Documentation standards.

To insure that adequate and proper records are made and preserved in the Federal Government, the following documentation standards will apply in each Federal agency:

(a) The record of the transaction of public business by any Federal official or employee is to be complete to the extent required (1) to facilitate informed action by the incumbents and their successors in office; (2) to make possible a proper scrutiny by the Congress, other duly authorized agencies of the Government, and other persons properly and directly concerned, of the manner in which public business has been dis-

charged; and (3) to protect the financial, legal, and other rights of the Government and of persons affected by the Government's actions.

(b) With particular regard to the formulation and execution of basic Government policy, Federal officials are responsible for incorporating in the records of their agencies all essential information on their major actions. Significant decisions and commitments reached orally (person to person, by telephone, or in conference) should be reduced to writing and included in the record. Minutes should be taken at important board, committee, and staff meetings, and these, together with a copy of the agenda and all documents considered at or resulting from such meetings, should be made a part of the record.

(c) The programs, policies, and procedures of Federal agencies are to be adequately documented in appropriate directives. A record copy of each such directive (including those superseded) will be maintained as a part of the official files.

(d) Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a Federal official will be clearly designated by him as nonofficial and will at all times be filed separately from the official records of his office. In cases where matters requiring the transaction of official business are received in private personal correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of the official files (see § 101-11.406-6).

§ 101-11.203 Creating records essential for current business.

§ 101-11.203-1 Statutory responsibilities.

(a) Section 505(a) of the Federal Records Act of 1950 (44 U.S.C. 395(a)), vests in the Administrator of General Services responsibility for developing and issuing standards to improve the management of records and for promoting the efficient utilization of space, equipment, and supplies needed for records.

(b) Section 506(b) of the Federal Records Act of 1950 (44 U.S.C. 396(b)) requires that the head of each Federal agency "shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such pro-

gram shall, among other things, provide for (1) effective controls over the creation \* \* \* of records in the conduct of current business \* \* \*." Correspondence, reports, forms, machine readable records together with supporting documentation, and directives are the principal types of records created on a current basis by Federal agencies.

[29 F.R. 16807, Dec. 12, 1964, as amended at 32 F.R. 3147, Feb. 22, 1967]

§ 101-11.203-2 General requirements.

Positive action is to be taken to prevent the making of unnecessary records. Existing and proposed office procedures are to be subject to continuing examination by agency management with a view to determining their effect on recordmaking. Where justified, such procedures will be revised, consolidated, or eliminated to keep recordmaking to a minimum. In addition, the detailed program requirements for correspondence, reports, forms, directives management, and ADP records management set forth in the following sections of this subpart are to be observed.

[32 F.R. 3147, Feb. 22, 1967]

§ 101-11.204 [Reserved]

§ 101-11.205 [Reserved]

§ 101-11.206 Correspondence—agency program responsibilities.

§ 101-11.206-1 Correspondence management function.

The objectives of correspondence management are to limit correspondence to essential requirements, to improve the quality of necessary correspondence, and to provide for its creation in an economical and efficient manner.

§ 101-11.206-2 Correspondence defined.

Correspondence is a generic term including letters, form letters, telegrams, memorandums, endorsements, summary sheets, postal cards, memo routing slips, and other written communications.

§ 101-11.206-3 Program requirements.

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency correspondence (§ 101-11.201-1). The program will:

(1) Prescribe the types of correspondence to be used in official agency communications.

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(2) Establish and implement agency standards concerning the number and kind of copies required, their distribution and purpose.

(3) Implement the correspondence standards set forth in the U.S. Government Correspondence Manual and in pertinent GSA Records Management Handbooks, with such modifications as may be necessary for specialized agency practices.

(4) Implement the Government-wide standards issued by GSA for the procurement and use of letterheads, manifold paper, memorandum forms, and envelopes.

(5) Review, on a continuing basis, agency correspondence practices and procedures to find opportunities for improvement and simplification.

(b) Standards, guides, and instructions developed for the agency correspondence management program are to be in published form, designed for easy reference and revision. They should be readily available to those who write, review, sign, type, and file correspondence.

**§ 101-11.206-4 Program implementation.**

The following actions are generally basic to a correspondence management program:

(a) Prepare only necessary correspondence and essential copies.

(b) Use form letters to the maximum extent possible following the standards, guides, and principles set forth in the GSA Records Management Handbook, Form Letters.

(c) Employ guide letters and paragraphs where practical, following the standards, guides, and principles set forth in the GSA Records Management Handbook, Guide Letters.

(d) Originate letters that are carefully planned, easily read and understood, and responsive to the needs of the recipient by applying the standards, guides, and principles set forth in the GSA Records Management Handbook, Plain Letters.

(e) Prepare correspondence that is consistent in style and format, neat and attractive in appearance, and editorially correct by applying the standards, guides, and principles set forth in the U.S. Government Correspondence Manual.

(f) Develop and implement procedures that expedite the clearance and handling of correspondence.

(g) Provide for periodic spotchecks of agency correspondence to determine compliance with standards.

**§ 101-11.207 Reports—agency program responsibilities.**

**§ 101-11.207-1 The reports management function.**

The primary objectives of reports management are to provide agency management officials with needed information at times and places, and in the format most useful to them, and to furnish this information as economically and efficiently as possible. The reports management function is also concerned with the review, approval, and clearance with the Bureau of the Budget of reporting plans and forms, as required by the Federal Reports Act (Bureau of the Budget Circular No. A-40, Revised, May 25, 1962).

**§ 101-11.207-2 Reports defined.**

(a) A report is data or information, generally summarized, transmitted for use in determining policy; planning, controlling, and evaluating operations and performance; and preparing other reports. The data or information may be in narrative, statistical, graphic, or other form.

(b) Most reports of an agency can be classified as belonging to one of several well defined families or groups of reports. Each group of related reports is generally the product of an information system serving a specific administrative or operational area, such as personnel, budget, or procurement. Consequently, the analysis of reports on a systems basis provides the best means of establishing reports relationships and evaluating information need and adequacy.

(c) Certain categories of reports normally are exempted from review and clearance in an agency reports management program. These usually include: inspection and audit reports; security classified documents; copies of operating documents such as individual supply and procurement transactions; and information presentations such as research findings, technical summaries, special studies, and surveys. Reports to be exempted should be determined by an analysis of agency information requirements.

(d) Reports to and from other agencies, as well as those for internal management, are included in agency review and clearance procedures.

**§ 101-11.207-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency reports (§ 101-11.201-1). The program will:

(1) Establish and implement standards and procedures for the identification of management information needed for planning and control.

(2) Establish and implement standards and procedures for the design of management information systems.

(3) Establish and implement standards and procedures for the initiation, identification, review, approval, preparation, and distribution of agency reports.

(4) Provide essential management information concerning the number and types of reports in use and, for reports which require a significant amount of manpower, the estimated cost of obtaining, using, and maintaining them.

(5) Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use.

(b) Standards, guides, and instructions developed for the reports management program are to be published, designed for easy reference and revision. They should be readily available to reports originators and users.

**§ 101-11.207-4 Program implementation.**

The following actions are generally basic to a reports management program:

(a) Establish and maintain an inventory of reports for each agency management information system.

(b) Determine, from the inventory of agency reports, whether information available is adequate for management purposes.

(c) Determine the kinds of management information systems that best serve management.

(d) Analyze all reports inventoried and all reports submitted for approval in the future to determine that:

(1) The information is adequate, necessary, meaningful, and useful.

(2) The information is obtained from the best available source and in the simplest manner.

(3) The estimated cost of gathering the information does not exceed its management value.

(e) Require that each request for a new or revised report explain how the report will be used.

(f) Require that each report be supported by a directive setting forth instructions for preparation and submission.

**§ 101-11.208 Forms—agency program responsibilities.****§ 101-11.208-1 The forms management function.**

The objectives of forms management are to increase the usefulness of forms through proper design and accurate using procedures; to reduce costs incident to filling in, using, and filing forms; and to achieve savings in designing, printing, storing, and distributing forms.

**§ 101-11.208-2 Forms defined.**

A form is any document, including letters, post cards, and memorandums, printed or otherwise reproduced with space for filling in information, descriptive material, or addresses. Certain printed items without fill-in space, such as contract provisions, instruction sheets, notices, tags, labels, and posters, may be considered as forms when it is advantageous to identify and control them as forms for purposes of reference, printing, stocking, distribution, and use with other forms.

**§ 101-11.208-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency forms (§ 101-11.201-1). The program will:

(1) Establish and implement standards and procedures for the submission, review, approval, and identification of agency forms.

(2) Implement the forms analysis and design standards set forth in pertinent GSA Records Management Handbooks.

(3) Establish and implement standards for the reproduction, stocking, and distribution of approved blank forms.

(4) Provide essential management information concerning the number, types, and the reproduction and stocking costs of forms in use.

(5) Provide for the periodic review of all approved forms for need and design, and for possible economies in reproduction, stocking, and distribution.

(b) Standards, guides, procedures, and instructions developed for the forms

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management program are to be in published form, designed for easy reference and review. They should be readily available to those who initiate, design, and approve forms.

**§ 101-11.208-4 Program implementation.**

The following actions are generally basic to a forms management program:

(a) Establish and maintain an inventory of all agency forms.

(b) Analyze all forms inventoried and all forms submitted for approval in the future in accordance with standards, guides, and principles set forth in the GSA Records Management Handbook, Forms Analysis.

(c) Review all forms inventoried and all forms prepared in the future for adequacy of design, maintaining the standards, guides, and principles set forth in the GSA Records Management Handbook, Forms Design.

(d) Assign a form number and edition date to each approved form.

(e) Review all requests for new forms and reprints of approved forms to determine that the forms are produced and made available quickly and cheaply. Specifically determine that:

(1) The most effective and economical methods of printing and distributing the form are employed, commensurate with required quality and intended use of the form.

(2) Proper and adequate inventory level standards have been established.

(3) The quantity of the form requested is compatible with procedural and inventory requirements.

(4) An acceptable distribution plan exists for making the form available when and where needed.

(f) Require that each form be supported by a directive setting forth instructions for preparing, submitting, and using. (Not applicable to self-explanatory forms used by a single organizational element such as an office, division, or region.)

(g) Require that each request for a new form justify the form's essentiality.

**§ 101-11.209 Directives—agency program responsibilities.**

**§ 101-11.209-1 The directives management function.**

The objectives of directives management are to facilitate agency administration and operations by providing the right employee with the right instruc-

tions; by producing instructions that are complete, easily understood, readily accessible, and revisable; and by developing and distributing instructions promptly and economically.

**§ 101-11.209-2 Directives defined.**

(a) A directive is a written communication which initiates or governs action, conduct, or procedure. Directives are usually printed as circulars, notices, regulations, orders, and handbooks, and include material for insertion in policy, administrative, and operations manuals.

(b) Certain materials normally are exempted from agency directives management programs. These include public information materials such as professional publications, news releases and announcements of programs, catalogs, and pricelists.

(c) Both internal and external directives are included in a directives management program.

**§ 101-11.209-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency directives (§ 101-11.201-1). The program will:

(1) Establish and maintain a system for the classification, codification, and supplementation of agency directives.

(2) Establish and implement standards and procedures for the initiation, preparation, review, approval, reproduction, and distribution of proposed agency directives.

(3) Establish and implement standards for the format and editorial style of agency directives.

(4) Review periodically the directives in the system for need and currency and to identify subject voids that should be filled by that origination of new directives.

(5) Review, on a continuing basis, the directives system to find opportunities for design and operational improvements.

(6) Maintain a collection of significant directives which document the organization, functions, policies, decisions, and procedures of the agency. This collection will be an integral part of agency documentation deserving permanent preservation. (See §§ 101-11.202(c) and 101-11.403.)

(b) Standards, guides, and instructions developed for the directives man-

agement program are to be in published form, designed for easy reference and revision. They should be readily available to those responsible for originating and approving directives.

**§ 101-11.209-4 Program implementation.**

The following actions are generally basic to a directives management program:

(a) Standardize the format, typography, organization, assembly, and distribution of agency directives. Specifically:

(1) Use 8" x 10½" page size as a norm.

(2) Use looseleaf pages for easy revision.

(3) Print on both sides of paper.

(4) Number and letter directives for easy page revision and supplementation.

(5) Identify temporary and permanent material by a feature that will readily distinguish one from another.

(6) Prepunch all pages—3-hole punch, ¾" recommended.

(7) Restrict use of pen and ink changes.

(8) Distribute on a need-to-know and need-to-act basis.

(b) Analyze all directives proposed for inclusion in the system to determine that:

(1) The directive is necessary.

(2) No duplication, overlap, or conflict with other directives exists.

(3) The directive conforms with pertinent laws, Executive orders, regulations, and agency policy.

(4) Appropriate coordination and clearances have been completed.

(5) The proposed distribution includes appropriate using sources, but is limited to those who "need to know."

(c) Review all directives proposed for inclusion in the system for conformance with agency style, format, and editorial criteria.

**§ 101-11.210 Automatic data processing records; agency program responsibilities.**

[32 F.R. 3147, Feb. 22, 1967]

**§ 101-11.210-1 ADP records management function.**

The objectives of ADP records management are to assure efficient and economic automatic data processing by: Using proper recording and preservation techniques of valuable machine instruc-

tions and operating procedures; establishing standards for maintenance and disposition of machine readable records; developing optimum machine room procedures; and reviewing these record-keeping practices on a continuing basis to find opportunities for improvement.

[32 F.R. 3147, Feb. 22, 1967]

**§ 101-11.210-2 ADP records management defined.**

ADP records management includes the documentation of computer programs, machine readable records, functional and operational flow charts, job specifications, records showing the basic coding structure, record layouts, printout plans (formats), and basic run instructions (run books).

[32 F.R. 3147, Feb. 22, 1967]

**§ 101-11.210-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of ADP records (§ 101-11.201-1). The program will:

(1) Prescribe the types of records to be used and maintained for the proper documentation and preservation for ADP operation;

(2) Prescribe the types of machine readable records, together with the necessary classification, labeling, recording, and filing standards;

(3) Issue retention and disposal standards for the records used in ADP records management; and

(4) Review, on a continuing basis, agency ADP recordkeeping practices and procedures to find opportunities for improvement and simplification.

(b) Standards, guides, and instructions developed for the agency ADP records management program are to be in published form, designed for easy reference and revision.

[32 F.R. 3147, Feb. 22, 1967]

**§ 101-11.210-4 Program implementation.**

Each agency should establish agency standards for machine room operations and issue instructions and guidelines in the form of handbooks or manuals. Specifically, these standards should include:

(a) Identifying machine room records through classification and labeling;

(b) Filing and controlling methods for finding machine readable records;

(c) Preserving machine readable records through proper maintenance techniques;

(d) Scheduling the disposition and retention of the records used in ADP records management;

(e) Developing processing controls for scheduling machine room jobs to assure the optimum use of data processing equipment; and

(f) Issuing forms and formats for recording machine programs (instructions), functional and operational flow charts, record layout, record coding structure, printout plans, and basic machine run instructions (run books).

[32 F.R. 3147, Feb. 22, 1967]

### **Subpart 101-11.3—Organization, Maintenance, and Use of Current Records**

#### **§ 101-11.301 General provisions.**

##### **§ 101-11.301-1 Authority.**

Section 506(b) of the Federal Records Act of 1950 (44 U.S.C. 396(b)) requires that the head of each Federal agency "shall establish and maintain an active continuing program for the economical and efficient management of the records of the agency. Such program shall, among other things, provide for (1) effective controls over the \* \* \* maintenance and use of records in the conduct of current business; \* \* \*".

##### **§ 101-11.301-2 Agency action.**

Each Federal agency is expected to:

(a) Assign to an office(s) of the agency the responsibility for the development and implementation of agencywide management programs for mail, files, and records equipment and supplies. When organization arrangement, size, or complexity requires, actual control may be established at bureau, service, or office level. Programs at these control points will operate within the framework of the overall agency plan.

(b) Issue a directive(s) establishing program objectives, responsibilities, and authorities. A copy of each directive (and subsequent amendments or supplements) should be readily available for inspection by the National Archives and Records Service, GSA.

**§ 101-11.302 [Reserved]**

**§ 101-11.303 [Reserved]**

**§ 101-11.304 Mail—agency program responsibilities.**

**§ 101-11.304-1 The mail management function.**

The objective of mail management is to provide rapid handling and accurate delivery of mail throughout the agency at minimum cost. To do this processing steps are kept to a necessary minimum; sound principles of work flow are applied; modern equipment, supplies, and devices are used; and, in general, operations are kept as simple as possible, so as to increase efficiency.

**§ 101-11.304-2 Mail defined.**

Mail consists of letters, telecommunications, memorandums, post cards, documents, packages, publications, and other communications received for distribution or dispatch.

**§ 101-11.304-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency mail (§ 101-11.301-2). The program will:

(1) Establish and implement standards and procedures for the receipt, delivery, collection, and dispatch of mail.

(2) Implement the mail management standards set forth in the GSA Records Management Handbook, Agency Mail Operations.

(3) Provide essential management information concerning the volume and types of mail processed and time requirements for internal delivery and mailing.

(4) Review, on a continuing basis, agency mail practices and procedures to find opportunities for improvement and simplification.

(b) Standards, guides, and instructions developed for the agency mail management program are to be in published form, designed for easy reference and revision. They should be readily available to those concerned with mail and messenger operations. In addition, pertinent information for users of mail and messenger services should be given the widest possible dissemination.

**§ 101-11.304-4 Program implementation.**

The following actions are generally basic to a mail management program:

- (a) Deliver mail to the action office within shortest possible time after receipt. (Objective should be 4- to 6-hour delivery.)
- (b) Establish realistic time limits for replying to White House and Congressional mail, and to public correspondence. Limit preparing letters of a purely acknowledgment nature to cases in which a considerable time may be needed for a substantive reply.
- (c) Limit mail followup control to security mail or mail important because of its source or content.
- (d) Make maximum and proper use of Post Office Department services and facilities.
- (e) Develop and install procedures that expedite and limit mail clearance, reviews, and signing.
- (f) Provide central control with established schedules for messenger services.

**§ 101-11.305 Files—agency program responsibilities.**

**§ 101-11.305-1 The files management function.**

The objectives of files management are to organize agency files so that needed records can be found rapidly, complete records are ensured, the selection and retention of records of archival value are facilitated, and the disposition of noncurrent records is accomplished promptly. All services are to be performed with maximum economy in personnel, equipment, and supplies.

**§ 101-11.305-2 Files defined.**

A file is basically a paper or folder of papers, but the term is used to denote papers, photographs, photographic copies, maps, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or on shelves, and occupying office or storage space. Stocks of publications and blank forms are excluded.

**§ 101-11.305-3 Program requirements.**

- (a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an ap-

propriate program for the management of agency files (§ 101-11.301-2). The program will:

- (1) Establish and implement standards and procedures for:
    - (i) Classifying, indexing, and filing records.
    - (ii) Providing reference services to filed records.
    - (iii) Locating active files to facilitate agency use of records.
  - (2) Implement the files classification, operations, and placement standards set forth in pertinent GSA Records Management Handbooks.
  - (3) Review the program periodically to determine the adequacy of the system and its effectiveness in meeting requests.
- (b) Standards, guides, and instructions developed for the files management program are to be in published form, designed for easy reference and revision. They should be readily available to all employees concerned with files operations. In addition, pertinent information for users of files and reference services should be given the widest possible dissemination.

**§ 101-11.305-4 Program implementation.**

The following actions are generally basic to a files management program:

- (a) Standardize classification and filing schemes to:
  - (1) Achieve maximum uniformity and ease in maintaining and using agency records.
  - (2) Facilitate disposal of records in accordance with applicable records disposal schedules.
  - (3) Facilitate possible later consolidation of identical type files presently maintained at different locations.
- (b) Formally authorize official file locations. Prohibit the maintenance of files at other than authorized locations.
- (c) Standardize reference service procedures to facilitate the finding, chargeout, and refiling of agency records.
- (d) File accumulations of papers received at file locations on a daily basis.
- (e) Standardize, to the maximum extent possible, the equipment and supplies used in filing and reference service operations. Use standard items stocked by the Federal Supply Service.
- (f) Audit periodically a representative sample of the files for duplication, misclassification, or misfiles.

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**§ 101-11.306 Records equipment and supplies—agency program responsibilities.**

**§ 101-11.306-1 Managing records equipment and supplies.**

The objectives of a records equipment and supplies management program are to ensure that equipment and supplies necessary and suitable to agency records operations, procedurally and economically, are available and are put to proper use. Modern equipment and supplies are now manufactured in a wide variety of types which, in most instances, are designed for special uses. Competent advice should be continuously available to assure that the correct item is obtained for a given purpose.

**§ 101-11.306-2 Records equipment and supplies defined.**

Equipment and supplies include file cabinets, shelf files, visible files, mechanized files, file guides, folders, jackets, wallets, and similar items used in the creation and maintenance of records and in mail handling. A program for managing equipment and supplies may also cover desk-top office machines, dictating and recording equipment, and data recording equipment.

**§ 101-11.306-3 Program requirements.**

(a) Each Federal agency, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of agency records equipment and supplies (§ 101-11.301-2). The program will:

(1) Establish and implement standards and procedures for:

(i) Standardization of records equipment and supplies used by the agency.

(ii) Submission, review, and approval of requests for the purchase of records equipment and supplies.

(iii) Proper utilization of presently owned records equipment.

(2) Review, on a continuing basis, the utilization of records equipment to ensure adequate and proper application.

(3) Provide for a continuing review of new developments in the field of records equipment and supplies and their possible application to agency records systems.

(b) Standards, guides, and instructions for managing records equipment

and supplies are to be in published form, designed for easy reference and revision. They should be readily available to program officials responsible for operations using records equipment and supplies.

**§ 101-11.306-4 Program implementation.**

The following actions are generally basic to a records equipment and supplies management program:

(a) Minimize equipment and supplies needs by providing for prompt disposition of records. Reduce or eliminate the need for additional equipment by freeing equipment on hand for reuse.

(b) Use, to the maximum extent possible, standard items listed in GSA Stores Stock Catalog and Federal Supply Schedules. Prohibit the purchase of nonstandard items unless justification for exception is submitted and approved.

(c) Review requests for purchase of equipment and supplies to determine essentiality and usability.

(d) Review use of currently owned and rented equipment to determine that it is essential, suitable, properly utilized and maintained, and updated as required.

(e) Analyze record keeping procedures and techniques to determine if requirements for equipment and supplies are realistic and if requirements can be reduced or eliminated through improved or changed procedures or techniques.

**Subpart 101-11.4—Disposition of Federal Records**

**§ 101-11.401 Records control schedules.**

**§ 101-11.401-1 Records scheduling programs.**

A records scheduling program is essential to promote a prompt and orderly reduction in the quantity of records in each Federal agency in accordance with the provisions of section 505(a) and 506(b) of the Federal Records Act of 1950 (44 U.S.C. 395(a), 396(b)) and the Records Disposal Act (44 U.S.C. 366).

**§ 101-11.401-2 Basic elements in records scheduling programs.**

Three basic elements are present in a records scheduling program:

(a) The taking of a complete inventory of the records in the custody of the agency.

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(b) The formulation of policy as to the disposition of each type or series of records and its statement in the form of a records control schedule.

(c) The application of the records control schedule to effect the elimination or removal of records.

**§ 101-11.401-3 Formulation of records control schedules.**

The following steps shall be taken in the development of records control schedules:

(a) Each Federal agency shall compile a records control schedule for all major groups of records in its custody having importance in terms of content, bulk, or space and equipment occupied. For all Federal agencies in existence on June 30, 1964 (other than the judiciary, for which special arrangements will be made), such records control schedules shall be completed by June 30, 1965. For all Federal agencies created after June 30, 1964, such schedules shall be completed within one year after the creation of the agency.

(b) Schedules shall clearly identify and describe the series of records covered, and shall contain instructions that, when approved, can be readily applied. Schedules must be readily adaptable to use along organizational lines, so that each office will have standing instructions for the disposition of records in its custody.

(c) All schedules shall take into account the actual filing arrangements in existence, so that disposition of records can be physically accomplished in the largest blocks possible.

(d) Nonrecord materials, such as extra copies of documents preserved for convenience of reference, stocks of processed documents, preliminary worksheets, and similar papers that need not be made a matter of record, shall not be incorporated in the official files of the agency. To the maximum extent possible, material not required for record purposes shall be disposed of; it should not be sent to file. In cases where transitory files of such materials are established and maintained in filing equipment, such files shall be controlled by means of instructions in the records control schedule.

(e) Schedules shall be reviewed at least once annually to effect changes necessary to maintain their current status.

**§ 101-11.401-4 Provisions of records control schedules.**

Records control schedules shall provide for:

(a) The disposal after minimum retention periods of those records not having sufficient value to justify their further retention. Procedures for obtaining disposal authorization are prescribed in §§ 101-11.404 and 101-11.406.

(b) The removal to a Federal Records Center (or to an agency records center approved under the provisions of § 101-11.412) of those records which cannot be disposed of immediately but which need not be maintained in office space and equipment. Such records will be maintained by the records center pending their transfer or disposal.

(c) The retention as current records in office space and equipment of the minimum volume of records consistent with efficient operation.

**§ 101-11.401-5 Application of records control schedules.**

The head of each Federal agency shall take necessary action to obtain the application of records control schedules to provide for the maximum economy of space, equipment, and personnel. Two copies of each directive or other issuance (including the text of schedules as issued) affecting the agency's records disposition program at the division or higher organizational level shall be transmitted to the National Archives and Records Service upon its promulgation.

**§ 101-11.402 [Reserved]**

**§ 101-11.403 Standards for the selective retention of records.**

**§ 101-11.403-1 Authority.**

Section 506(a) of the Federal Records Act of 1950 (44 U.S.C. 396(a)) requires the head of each Federal agency to have "made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency." Section 505(b) of this Act (44 U.S.C. 395(b)) directs the Administrator to establish standards for the selective retention of those records having continuing value, and to "assist Federal agencies in applying such standards to records in their custody."

**§ 101-11.403-2 Records retention and disposal standards.**

The following standards govern the retention and disposal of agency records:

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(a) *Records control schedules.* These disposition schedules, developed by each Federal agency for all records in its custody as provided by § 101-11.401, designate classes of records of continuing value identified in the records retention plans. The schedules also specify retention periods for records not of continuing value. Formulation and application of these schedules, to provide for the orderly retirement and reduction of records in each agency, is mandatory as provided by § 101-11.401-3.

(b) *General records schedules.* The schedules, issued by the Administrator, govern the retention and disposal of certain types of records common to all agencies. The schedules are permissive as provided by § 101-11.404.

(c) *Records retention plans.* A separate plan for each agency or subdivision thereof governs the selective retention of records of continuing value. The plans, which are developed by the National Archives and Records Service in cooperation with the agency, are integral parts of agency programs for records retention and disposal as provided for by § 101-11.403-3.

**§ 101-11.403-3 Permanently valuable records retention program.**

In an agency program to select permanently valuable records, the following four basic elements are present:

(a) The taking of a complete inventory of records in the custody of the agency as provided by § 101-11.401.

(b) The development by the National Archives and Records Service in cooperation with the agency, of a records retention plan designating the permanently valuable classes of records arising from agency functions.

(c) The identification by the agency of the specific records or segments of files allocated to the classes specified for retention by the plan developed by the National Archives and Records Service.

(d) The orderly maintenance and segregation by the agency of the records identified under paragraph (c) of this section.

**§ 101-11.403-4 Application of records retention plans.**

Pursuant to the authority cited in § 101-11.403-1:

(a) The National Archives and Records Service will furnish agencies with records retention plans as rapidly as they are developed.

(b) Within 6 months after receipt of a plan, an agency will revise its records control schedules in accordance with the provisions of the plan to assure that all records designated in the plan are retained and periodically transferred to the National Archives or to a Federal Records Center, as appropriate.

(c) Until such time as an agency's records retention plan is prepared, existing records control schedules remain in effect.

(d) Records retention plans are to be reviewed annually by the agency, in order to recommend necessary changes to the National Archives and Records Service.

(e) The National Archives and Records Service will conduct periodic inspections to assure that the provisions of § 101-11.403-3(d) are being carried out (§ 101-11.103).

**§ 101-11.404 General retention and disposal schedules.**

**§ 101-11.404-1 Authority.**

(a) Section 505(b) of the Federal Records Act of 1950 (44 U.S.C. 395(b)) directs the Administrator of General Services to establish standards for the selective retention of records of continuing value.

(b) Section 15 of the Records Disposal Act (44 U.S.C. 380) prescribes that no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of the Act.

(c) Section 4 of the Records Disposal Act (44 U.S.C. 369) authorizes the Administrator of General Services to submit to the Congress schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character common to several or all agencies that either have accumulated or may accumulate in such agencies and that apparently will not, after the lapse of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government. (For other schedules for submission to the Congress, see § 101-11.406.)

(d) These General Records Schedules, when reported upon favorably by the Joint Committee on Disposition of Executive Papers, constitute authority to dispose of the records included therein. Agencies may apply this authority subject to approval of the Comptroller Gen-

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eral of the United States when required by section 9 of the Records Disposal Act (44 U.S.C. 374). Such common records disposal authority is permissive and not mandatory. Provisions of the General Records Schedules may be applied to records in the custody of the Archivist of the United States at his discretion. Agencies desiring authority to dispose of records covered by such schedules after different periods of time than the periods set forth in the General Records Schedules shall make request therefor in the manner prescribed by § 101-11.406. In addition, since the staff agencies involved have approved the standards embodied in these schedules, such requests shall be supported by an explanation of the basis for the shorter retention period proposed.

**§ 101-11.404-2 Approved General Records Schedules.**

The General Records Schedules governing the retention and disposal of the following types of records common to several or all agencies, and instructions for using the schedules, are available at the Office of Federal Records Centers, National Archives and Records Service, GSA. All new schedules, as they are prepared, will be announced by GSA bulletins issued and signed by the Archivist of the United States.

(a) Schedule 1, Civilian Personnel Records.

(b) Schedule 2, Payrolling and Pay Administration Records.

(c) Schedule 3, Procurement and Supply Records.

(d) Schedule 4, Property Disposal Records.

(e) Schedule 5, Budget Preparation, Presentation, and Apportionment Records.

(f) Schedule 6, Accountable Officers' Accounts.

(g) Schedule 7, Expenditure Accounting Records.

(h) Schedule 8, Stores, Plant and Cost Accounting Records.

(i) Schedule 9, Travel and Transportation Records.

(j) Schedule 10, Motor Vehicle Maintenance and Operation Records.

(k) Schedule 11, Space and Maintenance Records.

(l) Schedule 12, Communications Records.

(m) Schedule 13, Printing, Binding, Duplication and Distribution Records.

(n) Schedule 14, Informational Services Records.

(o) Schedule 15, Housing Records.

(p) Schedule 16, Administrative Management Records.

(q) Schedule 17, Cartographic, Photogrammetric, and Related Records.

(r) Schedule 18, Security and Protective Service Records.

(s) Schedule 19, Research and Development Records.

[29 F.R. 16807, Dec. 12, 1964, as amended at 33 F.R. 9777, July 6, 1968]

**§ 101-11.405 [Reserved]**

**§ 101-11.406 Agency disposal authority.**

**§ 101-11.406-1 Authority.**

Section 15 of the Records Disposal Act (44 U.S.C. 380) prescribes that no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of the Act. It further requires the Administrator of General Services to establish procedures to be followed by Federal agencies in compiling and submitting lists and schedules of records proposed for disposal.

**§ 101-11.406-2 Submission of disposal requests.**

Requests for authorization to dispose of records shall be initiated by Federal agencies by submitting records disposal lists or schedules to the National Archives and Records Service on Standard Forms 115 and 115a, Continuation Sheet, as revised (§§ 101-11.4902 through 101-11.4904). Standard Form 115 may be used for submitting either a list or schedule, by checking either A or B, respectively, under entry 6. Authority contained in an approved list is limited to records already in existence and should be used only when records of the types described are no longer accumulating. A schedule gives continuing authorization and will be used in all cases where the types of records described in the request will continue to accumulate.

**§ 101-11.406-3 Certification.**

The signing of Standard Form 115 by a properly authorized agency representative shall constitute certification that the records described do not have, or

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will not have after the expiration of the retention period indicated, sufficient administrative, legal, or fiscal value to the agency itself to warrant further retention. Appraisal by the National Archives and Records Service will be limited to review for possible value to other agencies of the Government, and for research or historical value.

**§ 101-11.406-4 General Accounting Office clearance.**

Each Federal agency shall obtain the approval of the Comptroller General of the United States, as required by section 9 of the Records Disposal Act (44 U.S.C. 374), for the disposal of certain classes of records relating to claims and demands by or against the Government or to accounts in which the Government is concerned. Such approval shall be obtained either prior to or concurrently with the submission of the disposal request to the National Archives and Records Service.

**§ 101-11.406-5 Approval of requests for disposal authority.**

After review by the National Archives and Records Service, the request, with the Archivist's recommendation, is transmitted to the Congress as required by the Records Disposal Act. If the Joint Committee on Disposition of Executive Papers makes a favorable report on the request, the Archivist shall notify the agency thereof by returning one copy of completed Standard Form 115. This constitutes the disposal authorization, which is mandatory. (For extension of retention periods or withdrawal of disposal authority, see §§ 101-11.406-7, 101-11.406-8.) Such authorized disposal shall be accomplished as prescribed in § 101-11.408.

**§ 101-11.406-6 Mutilation and destruction of records.**

(a) Sections 505(b) and 506(f) of the Federal Records Act of 1950 (44 U.S.C. 395(b), 396(f)) impose upon the Administrator of General Services and the heads of Federal agencies responsibilities for preventing the unlawful removal, defacing, alteration, or destruction of records.

(b) The penalties for the willful and unlawful destruction, damage, or alienation of Federal records are contained in the U.S. Criminal Code (18 U.S.C. 2071).

(c) Private files are not governed by these provisions.

**§ 101-11.406-7 Extension of retention periods.**

Pursuant to section 505(f) of the Federal Records Act of 1950 (44 U.S.C. 395(f)), in cases of emergency or when it is in the interest of economy, the head of a Federal agency may retain records authorized by Congress for disposal after the specified retention period. When records are so retained, a copy of the directive directing such retention shall be furnished to the Administrator and such records shall be disposed of as soon as is administratively practicable.

**§ 101-11.406-8 Withdrawal of disposal authority.**

In cases of emergency or when it is in the interest of efficiency of Government operations, GSA pursuant to section 505(f) of the Federal Records Act of 1950 (44 U.S.C. 395(f)), will withdraw disposal authorizations contained in disposal schedules approved by the Congress. Such withdrawal may apply to particular items on schedules submitted by agencies, or may apply to all existing authorizations for the disposal of a specified type of record obtained by any or all agencies of the Government. If the withdrawal is applicable to only one agency, that agency will be notified of such action by letter signed by the Archivist of the United States; if applicable to more than one agency, notification may be by GSA Bulletin issued and signed by the Archivist of the United States.

**§ 101-11.406-9 Supersession of disposal authority.**

Disposal authorizations contained in disposal schedules approved by the Congress are automatically superseded by Congressional approval of a later schedule applicable to the same records, unless the later schedule specifically provides that both the earlier and later schedules shall be applicable, at the agency's discretion.

**§ 101-11.407 Emergency authorization for the disposal of records.**

**§ 101-11.407-1 General provisions.**

Under certain conditions, records may be disposed of without regard to the provisions of § 101-11.406.

**§ 101-11.407-2 Menaces to human health or life or to property.**

(a) Section 10 of the Records Disposal Act (44 U.S.C. 375) authorizes disposal whenever it is determined that records constitute a continuing menace to human health or life or to property. Whenever the head of an agency has determined that records constitute such a menace, he shall notify the National Archives and Records Service, specifying the nature of the records, their location and quantity, and the nature of the menace. If the National Archives and Records Service concurs in the determination, the immediate removal of the menace by the destruction of the records or by other appropriate means will be directed. However, if the determination is with respect to still or motion picture film on nitrocellulose base that has deteriorated to the extent described in paragraph (b) of this section, the head of the agency may follow the procedures therein provided.

(b) Whenever any radar scope, aerial, or other still or motion picture film on nitrocellulose base has deteriorated to the extent that it is soft, is emitting a noxious odor, contains gas bubbles, or has retrograded into an acrid powder, and the head of the agency having custody of it determines that it constitutes a menace to human health or life or to property, he may cause such menace to be eliminated immediately by—

(1) Arranging for its destruction in a manner that will salvage its silver content;

(2) Burning, in the event the quantity is not sufficiently large to justify the salvaging of its silver content; or

(3) Other appropriate methods in the event that the methods provided in subparagraph (1) or (2) of this paragraph are not feasible.

(c) Such films should be removed from inhabited buildings as soon as possible.

(d) Those to be burned should be submerged in water-filled drums and conveyed to a remote spot, approved by fire authorities, for burning. Preferably, only one reel should be burned at a time, but in no event should more than 25 pounds be burned at the same time. The rapid production of gases by burning film makes it extremely dangerous, particularly if burned in a furnace or other confined space. Within thirty days after the destruction of the film as provided in

this section, the head of the agency who directed its destruction shall submit a written statement to the National Archives and Records Service describing the film and showing when, where, and in what manner the destruction was accomplished.

**§ 101-11.407-3 State of war or threatened war.**

(a) Section 11 of the Records Disposal Act (44 U.S.C. 376) authorizes the destruction of records outside the territorial limits of the continental United States whenever, during the existence of a state of war between the United States and any other nation or when hostile action by a foreign power appears imminent, the head of the agency that has custody of the records determines that their retention would be prejudicial to the interests of the United States, or that they occupy space urgently needed for military purposes and are without sufficient value to warrant continued preservation.

(b) Within 6 months after the disposal of any records under this authorization, a written statement describing the character of the records and showing when and where the disposal was accomplished shall be submitted to the National Archives and Records Service by the agency official who directed the disposal.

**§ 101-11.408 Methods of disposal.****§ 101-11.408-1 Authority.**

Under the provisions of section 15 of the Records Disposal Act (44 U.S.C. 380), Federal agencies are required to follow regulations issued by the Administrator of General Services governing the methods for use in disposing of records. Only the methods set forth in this § 101-11.408 shall be used.

**§ 101-11.408-2 Sale or salvage.**

Paper records to be disposed of shall normally be sold as wastepaper. If the records are security classified, their disposal is governed by the provisions of Executive Order 10501 of November 5, 1953 (3 CFR) as amended. If the records are privileged, that is, if laws or regulations forbid their use by the public, the wastepaper contractor shall be required to pulp, macerate, or shred them. The contracting officer shall name a Federal employee to witness the dis-

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posal. For all other records the contract for sale shall prohibit their resale or use as records or documents. Records other than paper records (film, plastic recordings, etc.) may be salvaged or sold in the same manner and under the same conditions as paper records. All sales shall be in accordance with the established procedures for the sale of surplus personal property.

**§ 101-11.408-3 Donation for preservation and use.**

(a) Whenever the public interest will be served thereby, a Federal agency may, at its discretion, transfer records authorized for disposal to an eligible government (including a foreign government), organization, institution, corporation, or person that has made application for them, provided, (1) the applicant agrees not to sell the records as records or documents, (2) the transfer is made without cost to the U.S. Government, (3) no transfer shall be approved if the records contain information the revelation of which is prohibited by law or would be contrary to the public interest, (4) no transfer to a foreign government shall be approved unless such government has an official interest in the records, and (5) no transfer to a person or commercial business shall be approved unless the records are directly pertinent to the custody or operation of properties acquired from the Government.

(b) Each donation of records under this authority shall be reported to GSA, National Archives and Records Service, Washington, D.C. 20408. This report shall contain:

(1) The name of the department or agency and the name of the major and minor subdivision thereof concerned.

(2) The name and address of the recipient of the records.

(3) A list of the records containing (i) an identification by series of the records transferred; (ii) the inclusive dates of each series; and (iii) the National Archives and Records Service job and item numbers of the disposal authorizations as indicated on Standard Form 115, Request for Authority to Dispose of Records (§ 101-11.4902), or other disposal authority.

**§ 101-11.408-4 Destruction.**

If the records cannot advantageously be sold or otherwise salvaged, the records may be destroyed by burning or pulping.

**§ 101-11.409 Transfer of records from the custody of one executive agency to another.**

**§ 101-11.409-1 Authority.**

Section 505(e) of the Federal Records Act of 1950 (44 U.S.C. 395(e)) provides that, subject to applicable provisions of law, the Administrator of General Services shall issue regulations governing the transfer of records from the custody of one executive agency to that of another.

**§ 101-11.409-2 Approval.**

No records shall be transferred from one executive agency to the custody of another without the prior written approval of the National Archives and Records Service except as provided in § 101-11.409-9.

**§ 101-11.409-3 Agency request.**

The head of any executive agency may request the transfer of records to or from his agency. Approval shall be requested by letter addressed to the National Archives and Records Service, in which are included:

(a) A concise description of the records to be transferred, including the volume in cubic feet.

(b) A statement of the restrictions imposed on the use of records.

(c) A statement of the number of reference requests per month made on the records, with information as to the agencies and persons using the records and the purpose of such use.

(d) A statement of the number of persons, if any, assigned to the administration of the records.

(e) A statement of the current and proposed physical and organizational locations of the records.

(f) Information as to why the proposed transfer is in the best interests of the Government.

(g) A justification for the transfer of records more than 5 years old.

**§ 101-11.409-4 Agency concurrences.**

Copies of the concurrence or nonconcurrence in the transfer by the heads of any agencies concerned shall be attached to the agency request.

**§ 101-11.409-5 Records of terminated agencies.**

Transfers of records of executive agencies whose functions are terminated or are in process of liquidation are ex-

pressly subject to this Subpart 101-11.4 and no such transfers shall be made except in accordance with its provisions.

**§ 101-11.409-6 Equipment.**

Records storage equipment shall be transferred with the records contained therein in accordance with arrangements previously agreed to by the agencies concerned.

**§ 101-11.409-7 Costs of transfers.**

Approved transfers shall be made without reimbursement to the agency of original custody for any cost involved, except when such reimbursement is previously agreed to by the agencies concerned.

**§ 101-11.409-8 Restrictions on use of records.**

Whenever any records that are transferred are subject to restrictions upon their use, imposed pursuant to statute, Executive order, or agency determination, such restrictions shall continue in effect after the transfer. Restrictions imposed by agency determination may be removed by agreement between the agencies concerned.

**§ 101-11.409-9 Exceptions.**

Prior written approval of the National Archives and Records Service is not required:

(a) When records are transferred to the Federal Records Centers or the National Archives in accordance with §§ 101-11.410 and 101-11.411.

(b) When records are loaned for official use.

(c) When the transfer of records or functions or both is required by statute, Executive order, or Presidential reorganization plan, or by specific determinations made thereunder.

**§ 101-11.410. Transfer of records to Federal Records Centers.**

**§ 101-11.410-1 Authority.**

Section 505(d) of the Federal Records Act of 1950 (44 U.S.C. 395(d)) authorizes the Administrator of General Services to establish, maintain, and operate records centers for the storage, processing, and servicing of records for Federal agencies. Such centers are known as Federal Records Centers. A list of their locations and the areas served is set forth in this § 101-11.410-1. In addition, a Military Personnel Records Center is maintained for designated records of the Department of Defense.

**GSA FEDERAL RECORDS CENTERS**

**A. NATIONAL**

GSA region	Area served	Mailing address
	Entire Federal Government (for personnel records of separated Federal employees; pay records of all Federal employees; and medical records of civilian employees of the Army, Navy, and Air Force); records of agencies in greater St. Louis area (Missouri only).	National Personnel Records Center, GSA (Civilian Personnel Records), 111 Winnebago Street, St. Louis, Mo. 63118.
	Designated records of the Department of Defense and the U.S. Coast Guard.	National Personnel Records Center, GSA (Military Personnel Records), 9700 Page Boulevard, St. Louis, Mo. 63132.

**B. REGIONAL**

1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.	Federal Records Center, GSA, 380 Trapelo Road, Waltham, Mass. 02154.
2	New York, New Jersey except areas south of Trenton, Puerto Rico, and the Virgin Islands.	Federal Records Center, GSA, 641 Washington Street, New York, N.Y. 10014.
	New Jersey south of Trenton, Delaware, and Pennsylvania east of Lancaster.	Federal Records Center, GSA, 5000 Wissahickon Avenue, Philadelphia, Pa. 19144.
	Pennsylvania except areas east of Lancaster.	Federal Records Center, GSA, Naval Supply Depot, Building 308, Mechanicsburg, Pa. 17055.
3	District of Columbia, Maryland, West Virginia, and Virginia.	Federal Records Center, GSA, Cameron and Union Streets, Alexandria, Va. 22314.
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida.	Federal Records Center, GSA, 1557 St. Joseph Avenue, East Point, Ga. 30044.
5	Kentucky, Illinois, Wisconsin, Michigan, Indiana, and Ohio.	Federal Records Center, GSA, 7201 South Leamington Avenue, Chicago, Ill. 60638.
6	Kansas, Iowa, Nebraska, North Dakota, South Dakota, Minnesota, and Missouri except greater St. Louis area.	Federal Records Center, GSA, 2306 East Bannister Road, Kansas City, Mo. 64131.
7	Texas, Oklahoma, Arkansas, and Louisiana.	Federal Records Center, GSA, 4900 Hemphill Street, Post Office Box 6216, Fort Worth, Tex. 76116.

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**GSA FEDERAL RECORDS CENTERS—Continued**  
**B. REGIONAL—Continued**

GSA region	Area served	Mailing address
8	Colorado, Wyoming, Utah, Arizona, and New Mexico.	Federal Records Center, GSA, Building 48, Denver Federal Center, Denver, Colo. 80225.
9	Nevada except Clark County, California except Southern California, and Pacific Ocean areas. Clark County, Nevada, and Southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego).	Federal Records Center, GSA, Building 1, 100 Harrison Street, San Francisco, Calif. 94105.  Federal Records Center, GSA, 5555 Eastern Avenue, Bell, Calif. 90201.
10	Washington, Oregon, Idaho, Montana, and Alaska.	Federal Records Center, GSA, 6126 Sand Point Way, Seattle, Wash. 98115.

NOTE: Certain records are transferred to designated centers for the convenience of administration and reference. The records to be centralized are listed in the agencies' directives for transfer to the designated center, [29 F.R. 16807, Dec. 12, 1964, as amended at 32 F.R. 3147, Feb. 22, 1967]

**§ 101-11.410-2 Procedures for transfers to regional Federal Records Centers.**

Procedures governing the transfer of records to Federal Records Centers are set forth in this § 101-11.410. They also appear in detail in the Administration's Records Management Handbook, "Federal Records Centers."

(a) Regional Federal Records Centers will accept for transfer any records offered by Federal agencies, subject to the following conditions:

(1) That the records are not authorized for immediate disposal and that transportation costs are not in excess of the resulting savings, and

(2) That facilities for storing and providing reference service on the records are available.

(b) Priority will be given to the removal of records from office space, from space convertible to office use, from leased space, and from filing equipment which can be reused.

(c) Transfers may be initiated by either oral or written request to the manager of the Federal Records Center in GSA region in which the records are

located. Requests shall specify the nature and quantity of the records proposed for transfer.

(d) Transfers of records on an agency-wide basis may be initiated by central or headquarters offices of agencies by either oral or written request to the National Archives and Records Service, Office of Federal Records Centers, National Archives Building, Washington, D.C. 20408. Requests shall specify the nature and quantity of the records proposed for transfer.

(e) Transfers to the Federal Records Center in Alexandria, Va., shall be accompanied by Standard Form 135, Records Transmittal and Receipt (§ 101-11.4907), and Standard Form 135A continuation sheet (§ 101-11.4908), in quadruplicate. Transfers to all other regional Federal Records Centers shall be accompanied by these forms in triplicate. When feasible, records should be transferred in standard corrugated boxes used by the Centers.

(f) Regional Federal Records Centers will furnish agencies with a receipt acknowledging the transfer of records by returning to the transferring agency a signed copy of the standard form required by paragraph (e) of this section. The returned copy will serve as a future aid in requesting reference service, as it will be annotated with the numbers of the Federal Records Center containers in which the records are stored.

**§ 101-11.410-3 Procedures for transfer to the Federal Records Center, St. Louis.**

General Records Schedules 1 and 2 specify that certain civilian personnel and pay records shall be centralized at the Federal Records Center at St. Louis, Mo.

(a) The following three types of records are so specified:

(1) Official personnel folders of separated employees;

(2) Service record cards of separated or transferred employees; and

(3) Audited individual earnings and service cards and comprehensive payrolls.

(b) Official personnel folders should be transferred to the Center by transmittal letter specifying the number of folders and the month and year of separation of employees. Receipts will not be furnished for official personnel folders or loose papers intended for inclusion in such folders.

(c) Loose papers being prepared for transfer for inclusion in official personnel folders previously sent to the Center shall be screened of temporary material, as defined in the Federal Personnel Manual, and only the papers prescribed as permanent and essential for inclusion in each individual's folder shall be forwarded. A separate copy of Standard Form 127, Request for Official Personnel Folder (Separated Employee) (§ 101-11.4906), shall be used to transmit the papers for each individual. In preparing the copy of Standard Form 127, the entries shall be completed in blocks, 2, 4, 5, and 6c, and the date of separation shall be entered in block 5 thereof.

(d) Transfer of fiscal records shall be accompanied by Standard Form 135, Records Transmittal and Receipt (§ 101-11.4907), in triplicate. When feasible, records shall be transferred in standard corrugated boxes used by the Federal Records Centers.

(e) Standard Form 127, Request for Official Personnel Folder (Separated Employee) (§ 101-11.4906) shall be used by agencies in requesting transmission of personnel records of separated employees from the Center. Use of this form insures prompt transmission of the desired folders. It should be submitted to the Center in duplicate. A memorandum in lieu of Standard Form 127 should be used to request information from the folders.

#### § 101-11.410-4 Vital operating records.

The Administration has established a single, centrally located depository suitable for the storage and protection of records described in Subpart 101-11.7. The depository is accessible to rail, motor, and air transportation. It has temperature and humidity controls allowing the safe storage of both paper records and film. Agencies may make arrangements through GSA, National Archives and Records Service, Office of Federal Records Centers, The National Archives Building, Washington, D.C. 20408, for the transfer of indispensable records to this depository and for their use.

#### § 101-11.410-5 Surveys of records available for transfer.

The GSA regional National Archives and Records Service will conduct surveys of the records accumulations of field offices of those agencies not operating approved records centers for the purpose of recommending records for trans-

fer to Federal Records Centers. Such recommendations will be submitted to the field office concerned and to the National Archives and Records Service, Central Office, for coordination with the appropriate agency headquarters. Surveys of records of agency headquarters normally will be made by the National Archives and Records Service, Central Office.

#### § 101-11.410-6 Release of equipment.

File equipment received with the transfer of records to a Federal Records Center will normally be disposed of in accordance with applicable excess personal property regulations. An agency desiring return of the equipment should make such request prior to transfer of the records to Federal Records Centers.

#### § 101-11.410-7 Servicing transferred records.

Restrictions lawfully imposed on the use of transferred records will be observed and enforced by all Federal records centers, subject to the provisions of 44 U.S.C. 2104. Official use of transferred records by Federal employees will be in general accordance with provisions relating to public use of such records (see 41 CFR 105-61.1). Subject to any restrictions on their use, such records may be borrowed by Federal agencies and the Congress for official use outside the Federal records centers.

(a) Standard Form 180, Request Pertaining to Military Records (§ 101-11.4921), shall be used by Federal agencies to obtain information from military service records in the National Personnel Records Center (Military Personnel Records). Agencies may furnish copies of that form to the public to facilitate unofficial inquiries and may direct non-Government organizations to the Superintendent of Documents to purchase quantities of the form.

(b) Requests for official personnel files shall be made in accordance with § 101-11.410-3(e).

(c) For any other requests, agencies may use Optional Form 11, Reference Request—Federal Records Centers (§ 101-11.4910).

[33 F.R. 18281, Dec. 10, 1968]

#### § 101-11.410-8 Disposal clearances.

Records at the St. Louis Federal Records Center, authorized for disposal by General Records Schedules Numbers 1 and 2, will be destroyed in accordance

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with these schedules without further agency clearance. No other records of a Federal agency still in existence will be disposed of by any Federal Records Center except with the concurrence of the agency concerned. Agency approval will be requested for each disposal action by use of GSA Form 439, Report of Disposition of Records (§ 101-11.4909), or its authorized equivalent, unless prior written concurrence has been given by the agency concerned.

**§ 101-11.411 Transfer of records to the National Archives.**

**§ 101-11.411-1 Authority.**

The Administrator of General Services is authorized by section 507(a) of the Federal Records Act of 1950 (44 U.S.C. 397(a)) to accept for deposit with the National Archives of the United States the records of any Federal agency or of the Congress of the United States that are determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government.

**§ 101-11.411-2 Transfers via Records Centers.**

Records will normally be transferred to the National Archives from a Federal Records Center or an approved agency records center. When such transfers are made, the agencies concerned will be furnished an inventory of the records transferred.

**§ 101-11.411-3 Direct transfers.**

The classes of Federal records listed in this § 101-11.411-3 may be offered for direct transfer to the National Archives. Such transfers shall be initiated by Federal agencies by written request to the National Archives and Records Service, specifying the nature and quantity of the records proposed for transfer. Existing arrangements for the transfer of records of the Congress of the United States will be continued.

(a) Records of the Executive Office of the President and of Presidential boards, commissions and committees.

(b) Records of the Congress of the United States.

(c) Records of the Supreme Court of the United States.

(d) Audiovisual records (motion pictures, still photographs, sound recordings, etc.).

(e) Cartographic records (maps, charts, etc.).

(f) Series of records of unquestionable value that are not susceptible to screening or other processing (such as microfilming) to reduce their bulk.

(g) Records that have been in existence 25 or more years and that are considered to have enduring value.

**§ 101-11.411-4 Release of equipment.**

Equipment received with the transfer of records to the National Archives will, when emptied and if needed, be returned on request to the agency from which the records were received. If the return of such equipment is not required, it will be disposed of in accordance with applicable excess property regulations.

**§ 101-11.411-5 Use of records transferred to the National Archives.**

(a) Restrictions lawfully imposed on the use of transferred records will be observed and enforced by the National Archives and Records Service, subject to the provisions of section 507(b) of the Federal Records Act of 1950 (44 U.S.C. 397(b)). The regulations in this Part 101-11, insofar as they concern the use of records in the search rooms of the National Archives Building, apply to official use of the records by Federal agencies as well as to the public.

(b) In cases of demonstrated need and subject to any restrictions on their use records deposited with the National Archives may be borrowed for official use outside the National Archives Building by Federal agencies and the Congress, provided:

(1) Documents of exceptionally intrinsic value shall not be removed from the National Archives Building except with the written approval of the Archivist.

(2) Records in fragile condition, or otherwise deteriorated to an extent that further handling will endanger them, will not be loaned.

(3) Each official who borrows records shall provide a receipt for them at the time they are delivered, and that he shall assume responsibility for their prompt return upon the expiration of the time for which they are borrowed.

**§ 101-11.411-6 Disposal clearances.**

No records of a Federal agency still in existence shall be disposed of by the National Archives and Records Service except with the concurrence of the agency concerned.

§101-11.411-7

## Title 41—Chapter 101

## § 101-11.411-7 Transfer of audiovisual records.

The following policies shall govern the transfer of audiovisual records to the National Archives:

(a) *Motion pictures.* Government-owned motion picture records on nitro-cellulose film normally will not be accepted for deposit with the National Archives. Federal agencies having nitrate motion pictures, deemed to have sufficient value to warrant transfer to the National Archives for permanent preservation, will obtain from the National Archives and Records Service agreement to accession the motion pictures prior to converting the nitrate film to safety acetate film. Normally, the following shall be considered the minimum number of copies of motion picture film necessary for security, duplication, and use by the National Archives: The negative (original or duplicate) that most nearly represents the action originally photographed in pictures of actual events, or that best represents the edited production of a picture for which action is staged, with a master positive print and one "use" or projection print. In most cases these will be the negative after laboratory cutting is done, or the composite negative of sound film, the master fine-grain positive print, and one other print.

(b) *Still photographs.* A negative and a captioned print (whether on film, glass, paper, or other medium) of each still photographic image are necessary for security, duplication, and use by the National Archives, and such copies, when available, shall be included in collections of still photographs offered for transfer.

(c) *Sound recordings.* The following copies, when available, shall be included in collections of sound recordings offered for transfer to the National Archives:

(1) For conventional disc recordings, the matrix or stamper of each sound recording unit or the original instantaneous recording if no matrix or stamper is made, and a pressing or dubbing of the recording, if one has been made.

(2) For magnetic sound recordings on wire or tape, for scribed or embossed recordings on tape, or for recordings photographically reproduced on sensitized film, a "dubbing" if one has been made; otherwise the original magnetic embossed or photographed recording.

(d) *Finding aids.* Copies of existing finding aids (such as data sheets, continuities, review sheets, scripts, or indexes) that are necessary or helpful in the proper identification and the use of audiovisual records shall be transferred with these materials.

## § 101-11.411-8 Transfer of cartographic records.

The following classes of cartographic records when no longer needed for purposes of current administration will be offered for appraisal and, if accepted, for direct transfer to the National Archives.

(a) Manuscript maps; printed and processed maps on which manuscript changes, additions, or annotations have been made for record purposes, or which bear manuscript signatures to indicate official approval; single printed or processed maps that have been attached to or interfiled with other documents of a record character or in any way made an integral part of a record.

(b) Master sets of printed or processed maps in the custody of the agency by which they were issued. Such master sets should be kept segregated from the stock of maps held for distribution and from maps received from other agencies. A master set should include one copy of each edition of a printed or processed map issued.

(c) Index maps, card indexes, lists, catalogs, or other finding aids that may be helpful in using the cartographic records transferred.

(d) Preliminary or intermediate materials such as manuscript field notebooks of surveys, triangulation and other computations, "fair drawings" for individual color plates, and aerial photographs for mapping purposes.

(e) Related records that bear on the preparation, compilation, editing, or printing of maps, such as projects folders containing specifications to be followed and appraisals of source materials to be used.

## § 101-11.412 Agency records centers; establishment.

## § 101-11.412-1 Authority.

Section 506(c) of the Federal Records Act of 1950 (44 U.S.C. 396(c)) authorizes Federal agencies to maintain and operate records centers for the storage, processing, and servicing of records that are appropriate therefor, when such centers are approved by the Administrator of

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## Title 41—Chapter 101

§ 101-11.603-1

General Services. Such centers operated by Federal agencies are referred to in this § 101-11.412 as "agency records centers."

## § 101-11.412-2 Existing records centers.

Agency records centers in operation as of the date of this Part 101-11 are provisionally approved, pending their inspection by GSA.

## § 101-11.412-3 Requests for authority to establish or relocate records centers.

No agency records center shall be established or relocated from one city to another without the prior written approval of GSA.

(a) *Exclusions.* For purposes of this § 101-11.412 the term "agency records center" excludes:

(1) Staging areas containing less than 5,000 square feet of space used by agencies for the temporary storage of materials preparatory to their transfer to a records center or other disposition; provided that no records are held in the staging area in excess of 5 years.

(2) Areas of less than 5,000 square feet used solely for the storage of records to which occasional reference is made but on which no processing activity (screening microfilming, etc.) is performed.

(b) *Content of requests.* Requests for authority to establish or relocate an agency records center shall be submitted in writing to the Administrator of General Services. Such requests shall specify:

(1) Proposed location of the agency records center.

(2) Space to be occupied in gross square feet.

(3) Nature and quantity of records to be stored.

(4) Total personnel to be employed.

(5) Justification of the proposed center.

(c) *Approval of requests.* Requests for the establishment or relocation of an agency records center will be approved by the Administrator of General Services when greater economy or efficiency can be achieved through its operation than by use of a Federal Records Center operated by GSA.

## § 101-11.412-4 Annual agency records center report.

Each Federal agency operating one or more agency records centers shall submit to the National Archives and Records

Service, within 60 days after the close of each fiscal year, a report on Standard Form 137 (§ 101-11.4905), for each center.

## Subpart 101-11.5—Microfilming

SOURCE: The provisions of this Subpart 101-11.5 appear at 30 F.R. 10843, Aug. 20, 1965, unless otherwise noted.

## § 101-11.500 Scope of subpart.

This subpart contains information and procedures pertaining to the furnishing of microfilming services to Federal agencies by the National Archives and Records Service, GSA.

## § 101-11.501 Services available.

Microfilming services of the National Archives and Records Service, GSA, as described in § 101-11.501-1 through 101-11.501-3, are available to Federal agencies.

## § 101-11.501-1 Central source of information on microfilming.

This service includes the furnishing of information on current uses of microfilm and on new techniques and developments in this field.

## § 101-11.501-2 Technical advice and assistance on microfilm programs.

This service is designed to promote programs to preserve records, reduce volume, provide security copies, make duplicate copies, or improve information retrieval systems.

## § 101-11.501-3 Central reimbursable microfilming service.

This service includes the preparation, indexing, and filming of records; inspection of film; and the labeling of film containers on a reimbursable basis.

## § 101-11.502 Requests for service.

Agencies desiring these services should contact the appropriate regional office, General Services Administration, National Archives and Records Service.

## Subpart 101-11.6—Records Equipment and Supplies

§ 101-11.601 [Reserved]

§ 101-11.602 [Reserved]

§ 101-11.603 Stationery standards.

§ 101-11.603-1 General provisions.

This § 101-11.603 prescribes the standards for the specifications and use of blank and printed papers and mailing

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envelopes used by executive agencies for official Government correspondence. Standards are also prescribed for the United States Government Memorandum, Messenger Envelope, and Memorandum of Call. The standards are mandatory unless approval for exception is obtained from GSA. Nothing in these standards shall be construed as superseding in any manner the provisions

of "Government Paper Specification Standards" issued by the Joint Committee on Printing.

## § 101-11.603-2 Standard specifications.

A Table of Standard Specifications prescribes the color, size, and quality of paper and color of ink for stationery used for Government correspondence, as follows:

TABLE OF STANDARD SPECIFICATIONS

Item	Color		Size	Qualities of paper shall not exceed	
	Paper	Printing		Grade	Substance <sup>1</sup>
<b>STATIONERY</b>					
Letterhead stationery.....	White.....	Black or blue.....	8" x 10½" 8" x 7" 8" x 5¼" 8" x 10½"	50 percent rag. or 25 percent rag.	32 40
Continuation sheets.....	White.....	None.....	8" x 10½"	50 percent rag. or 25 percent rag.	32 40
Manifold (tissue) sheets containing letterhead.	White.....	Black or blue.....	8" x 10½"	25 percent rag.	18
Memorandum stationery.....	White or blue.....	Black.....	8" x 10½" 8" x 7" 8" x 5¼" 8" x 10½"	CW (writing). or 25 percent rag.	40 32
Continuation sheets.....	White or blue.....	None.....	8" x 10½"	CW (writing). or 25 percent rag.	40 32
Manifold (tissue) sheets not containing letterhead.	White <sup>2</sup> .....	None.....	8" x 10½"	25 percent rag.	18
<b>FORMS</b>					
United States Government Memorandum (Optional Form 10). Memorandum of call (S.F. 63 (pads)).....	White.....	Black.....	8" x 10½" 8" x 5¼" 4" x 5¼"	CW (writing). At discretion of GPO	40
Messenger envelope (S.F. 65).....	Brown.....	Dark brown.....	9½" x 12" 12" x 16"	Kraft.....	100

<sup>1</sup> Substance weight is pounds per 1000 sheets, 17" x 22".

<sup>2</sup> Other colors may be used pursuant to par. 3(d) but quality shall not exceed 25 percent rag—Sub. 18.

## § 101-11.603-3 Letterhead stationery.

Letterhead stationery is used in formal correspondence where a quality paper identifying the agency is needed. The style and format for letterhead stationery may be selected by the ordering agency provided they meet the standard specifications in § 101-11.603-2 and the printing requirements of the Government Printing and Binding Regulations.

## § 101-11.603-4 Memorandum stationery.

Memorandum stationery is on paper of less expensive quality and easily distinguishable from letterhead stationery. It is to be used, when suitable, for informal intra-agency and interagency communications, including agency-numbered forms and form letters. It is also used for correspondence with State and local government agencies in the administration of cooperative programs, and

for other informal correspondence. It will be used where Optional Form 10, United States Government Memorandum (§ 101-11.4912), will not adequately serve agency needs. (See § 101-11.603-11.) Memorandum stationery shall contain the masthead "United States Government Memorandum" at the top left half of the sheet (§ 101-11.4911). Printing of the agency name is optional; when included, the name shall be in the space indicated at the top right. If needed, multiple-address communications and designated fill-in spaces may be arranged and printed on memorandum stationery for transmittal and reference. The form may be designed for multiple-address communications and use in window envelopes.

## § 101-11.603-5 Continuation sheets.

Continuation sheets, for use with either letterhead or memorandum stationery, shall bear no printing.

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§ 101-11.603-6 **Manifold (tissue) sheets.**

Manifold sheets, commonly called tissues, are for use in making carbon copies. Tissues containing printed letterheads are for use in making carbon copies that are sent outside the agency when identification of the agency is necessary. The printing shall be in the same format and ink color as used on letterheads. Tissues used for internal copies of correspondence, including continuation sheets, shall contain no printing. Distinctive colors may be used for internal reference file purposes.

## § 101-11.603-7 [Reserved]

§ 101-11.603-8 **Envelopes (printing).**

Agency identification or address, the penalty or postage and fees paid clause, and the designation "official business" shall be printed in either black or blue ink.

§ 101-11.603-9 **Envelopes; borders, markings, etc.**

Borders, markings, slogans, or designs shall not be printed on mailing envelopes except when specifically approved by GSA and in conformity with postal laws and regulations. As a general policy, both to reduce costs and to prevent undue publicizing of some activities of the Government in contrast to others, the use of borders, markings, slogans, or designs to support an agency or its program shall not be authorized in any form, whether printed, stamped, or otherwise affixed.

§ 101-11.603-10 **Procurement forms.**

The optional and standard forms prescribed in §§ 101-11.603-11—101-11.603-14 shall be procured from the Federal Supply Service, GSA. Existing stocks of old Standard Forms 63, 64, and 65 and Optional Form 10 shall be used until supplies are exhausted.

§ 101-11.603-11 **Optional Form 10, United States Government Memorandum, May 1962.**

This form is designed to facilitate informal intra- or interagency correspondence, including correspondence with State and local government agencies in the administration of cooperative programs. It provides designated spaces for the insertion of names or identification of addressee and sender along with description of subject matter and date, following the format of discontinued Standard Form 64. Optional Form 10

is printed without agency name. It is intended for use by those agencies whose needs are met by a simple format and whose requirements, if any, for the agency name or special fill-in data on memorandum stationery do not justify a special printing. (See § 101-11.4912.)

§ 101-11.603-12 **Standard Form 63, Memorandum of Call, Nov. 1961.**

This form serves as notification of an incoming telephone call or of a visitor when the person called or visited is not available. It also is used in referring a visitor to an appropriate person. (See § 101-11.4913.)

§ 101-11.603-13 **Standard Form 65, U.S. Government Messenger Envelope, Nov. 1961.**

This form is for repetitive use in transmitting communications and printed matter between offices within the same city. Consecutive spaces are provided for inserting the name and address for the current transmittal. The "Stop" number space is used primarily in the Washington, D.C., area but may be used elsewhere, if appropriate. (See § 101-11.4914.)

§ 101-11.603-14 **Optional Form 27, United States Government 2-Way Memo.**

This form is a 3-part snap-out set with interleaved carbon for informal communications. The message and reply are placed on the same page in brief informal language. It can be sent and returned in a window envelope, if an envelope is necessary. Each packet of 100 forms is accompanied by "Guides to Simplified Informal Correspondence." (See §§ 101-11.4915 and 101-11.4916.)

**Subpart 101-11.7—Vital Records: Records During an Emergency**§ 101-11.701 **Emergency preparedness program; vital records protection status report.**§ 101-11.701-1 **Purpose.**

This § 101-11.701 provides for reporting the status of Federal agency emergency preparedness programs for the selection and protection of vital operating records.

§ 101-11.701-2 **Authority.**

Executive Order No. 11093 of February 26, 1963 (28 F.R. 1851; 3 CFR 1959-1963 Comp.), assigns certain emergency preparedness functions to the Administra-

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tor of General Services, including the providing of instructions on the appraisal, selection, and preservation of essential records. The Office of Emergency Planning, in accordance with that agency's responsibilities prescribed in Executive Order No. 11051 of September 27, 1962 (27 F.R. 9683; 3 CFR 1959-1963 Comp.), has reviewed and approved the requirements set forth in this Subpart 101-11.7.

## § 101-11.701-3 Background.

(a) *Reporting requirements.* The original reporting requirements for vital operating records protection programs were set forth in Bureau of the Budget Bulletins No. 51-14, May 22, 1951, and No. 52-5, September 6, 1951. These bulletins were rescinded on March 23, 1954, when they were replaced by the Office of Defense Mobilization's non-Military Defense Program Memorandum VI-2. Program Memorandum X-1, issued by ODM on December 23, 1954, further defined the reporting requirements originally set forth in non-Military Defense Program Memorandum VI-2. Memorandum X-1 rescinded by the Office of Emergency Planning on June 25, 1964, was the basis for the semiannual agency reports on vital records programs since 1954.

(b) *Protection criteria and guides.* The GSA Records Management Handbook, Federal Vital Records Program, presents the basic assumptions and mechanics for protecting vital records.

[29 F.R. 16807, Dec. 12, 1964, as amended at 33 F.R. 9777, July 6, 1968]

## § 101-11.701-4 Forms.

The report is in two parts. Part I will be prepared on GSA Form 2034, Vital Records Protection Status Report (Part I—Emergency Operating Records) and Part II will be prepared on GSA Form 2035, Vital Records Protection Status Report (Part II—Rights and Interests Records). (See §§ 101-11.4917 and 101-11.4918.)

## § 101-11.701-5 Definitions.

(a) The following definitions are pertinent to preparation of the report:

(1) Emergency operating records are records vital to the essential functions of the Federal Government for the duration of an emergency if the country is attacked. Such records include those necessary to the military effort; the mobilization and protection of material and manpower resources, of services, and of

systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. These records must be available as needed at or in the vicinity of emergency operating centers.

(2) Rights and interests records are records essential to the preservation of the legal rights and interests of individual citizens and their Government. These records include such groups as Social Security records, retirement records, payroll records, insurance records, and valuable research records. These records require protection, but storage points do not have to be at or in the vicinity of emergency operating centers. The determination as to whether a given type of record is vital and which category it fits is often a difficult decision to make.

(b) The GSA Records Management Handbook entitled, "Federal Vital Records Program," provides further clarification of the two categories of records.

[29 F.R. 16807, Dec. 12, 1964, as amended at 33 F.R. 9777, July 6, 1968]

## § 101-11.701-6 Preparing offices and coverage.

(a) All departments and agencies will submit both Parts I and II of the report.

(b) A report is required for each individual vital records program. Generally, this means that each bureau, service, or office of a department or large agency will prepare a report. Regional or field program reports shall be incorporated within the reports for bureau or service level or above before being transmitted to the General Services Administration. If the department or agency operates a centralized program covering all organizational elements, only one report is required.

(c) Each report will be complete in itself and will supersede the previous report.

(d) The description of records called for on both parts of the report should adequately portray the type of records involved. The description should be more definitive than a merely broad category such as "Administrative." It should not, on the other hand, list every individual record or form. Generally, the entry will be a file or series having a similarity in arrangement, physical type, or substantive relationship to subject or activity.

(e) A department or agency may consider that a particular type of record

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falls into both the emergency operating and the rights and interests categories. These records should be listed on both Parts I and II of the report and be cross-referenced.

(f) All reports for a department or agency will be transmitted together as a package.

[29 F.R. 16807, Dec. 12, 1964, as amended at 33 F.R. 9777, July 6, 1968]

## § 101-11.701-7 Security.

Where a detailed description of the records and their locations is considered a security matter, the report should be security classified appropriate to the degree of classified information it contains.

[33 F.R. 9777, July 6, 1968]

## § 101-11.701-8 Reporting periods and due dates.

(a) Reports will be submitted annually, as of June 30, and will be due 10 workdays thereafter.

(b) A special advisory report also will be prepared and submitted whenever there is a change in the location of the records or whenever a significant change occurs in the status of the program or in the type of records protected. These reports will be submitted as soon as possible after such changes occur. Only that portion of the report form applicable to the change need be filled out.

## § 101-11.701-9 Copies and distribution.

All reports will be submitted in duplicate to the:

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

## § 101-11.701-10 Availability of forms.

The reporting forms illustrated in §§ 101-11.4917 and 101-11.4918 are available from General Services Administration Region 3, Office of Administration, Printing and Publications Division—3BRD, Washington, D.C. 20407.

[33 F.R. 9777, July 6, 1968]

## Subpart 101-11.8—Standard and Optional Forms

SOURCE: The provisions of this Subpart 101-11.8 appear at 32 F.R. 8034, June 3, 1967, unless otherwise noted.

## § 101-11.800 Scope.

This subpart sets forth the standards, guidelines, procedures, and forms to be

used in the Standard and Optional Forms Program.

## § 101-11.801 Exclusions.

Excluded from this program are those Standard and Optional forms promulgated by the Comptroller General or those subject to his approval pursuant to the provisions of section 309 of the Budget and Accounting Act of 1921 (31 U.S.C. 49) and section 114 of the Ac- get and Accounting Act of 1921 (31 U.S.C. 66(b)). Although the Bureau of the Budget retains responsibility for the clearance of public reports under the Federal Reports Act of 1942 (56 Stat. 1078, Dec. 24, 1942), § 101-11.806 includes the procedures for clearance of Standard and Optional forms which are used as public reports.

## § 101-11.802 Background.

For over 25 years the Federal Govern- ment has had a program for the clear- ance and promulgation of Standard and Optional forms. The most recent basic directive was promulgated as Bureau of the Budget Circular A-17, Revised, of November 14, 1959. In addition, the Bu- reau issued three related circulars: (a) Circular A-5, Revised, of June 3, 1953, and Transmittal Memorandums Nos. 1 and 2 thereto, which prescribed the Standard forms to be used by all Federal agencies for reporting accidents and for processing claims under the Federal Tort Claims Act (28 U.S.C. 2672-2680); (b) Circular A-6, Revised, of February 10, 1960, which prescribed the Standard forms to be used for requisitioning print- ing and binding; and (c) Circular A-32, Revised, and Transmittal Memorandum No. 1 thereto, which prescribed the Standard forms to be used for medical examinations and clinical health records. These circulars are being rescinded by a Bureau of the Budget Circular dated May 20, 1967, effective June 1, 1967, since the responsibility for the Standard and Op- tional Forms Program is being shifted from the Bureau of the Budget to the National Archives and Records Service (NARS), GSA.

## § 101-11.803 Definitions.

The terms listed in §§ 101-11.803-1 through 101-11.803-5 shall have the meanings therein stated.

## § 101-11.803-1 Forms.

A form is any document, including letters, post cards, and memorandums, printed or otherwise reproduced with

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space for filling in information, descriptive material, or addresses. Certain printed items without fill-in space, such as contract provisions, instruction sheets, notices, tags, labels, and posters, may be considered as forms when it is advantageous to identify and control them as forms for purposes of reference, printing, stocking, distribution, and use with other forms.

## § 101-11.803-2 Standard forms.

A Standard form is a form prescribed by a Federal agency, pursuant to its authority, and approved by GSA for mandatory use. Such mandatory use is generally set forth in regulations of the promulgating agency.

## § 101-11.803-3 Optional forms.

An Optional form is a form developed for use in two or more agencies and approved by GSA for nonmandatory use. The availability of such forms for use is normally announced by the agency which developed and sponsored the form for use (§ 101-11.805).

## § 101-11.803-4 Promulgating agency.

A promulgating agency is any agency of the Federal Government which has the authority to prescribe regulations and forms for use by other agencies. Standard forms are generally set forth in regulations issued by the promulgating agency (§ 101-11.804-1).

## § 101-11.803-5 Sponsoring agency.

A sponsoring agency is usually any Federal agency which develops an Optional form and, after approval by GSA, announces its availability for use by other Federal agencies (§ 101-11.805).

## § 101-11.804 Procedures to promulgate, modify, or discontinue Standard forms.

## § 101-11.804-1 Clearance and promulgation.

Proposed Standard forms, or revisions to existing Standard forms, will be submitted to NARS by the promulgating agency, using Standard Form 152, Request for Clearance and Procurement-Standard and Optional Forms, for such purpose (see form illustrated in § 101-11.4920). NARS will notify the promulgating agency of its approval or disapproval by an appropriate entry in item 17 of Standard Form 152 and by returning two signed copies. If approved, one

copy will be retained by the promulgating agency for its records; the second copy will be used for furnishing GSA, Federal Supply Service, printing and stocking specifications for procuring stock of the approved Standard form (§ 101-26.302-6 of this chapter). When such a Standard form is printed, the Standard form number assigned by NARS, the month and year of promulgation (or the month and year of the revision), the name of the promulgating agency, and a reference citation of the agency regulation which requires its mandatory use as a Standard form will appear on the form.

## § 101-11.804-2 Modifications and exceptions.

In the interest of establishing and maintaining uniformity to the greatest extent feasible, modifications of and exceptions to Standard forms shall be kept to a minimum.

(a) In instances when an agency believes it is not feasible to use a Standard form for its purpose and in the prescribed manner or desires to make substantive changes in the content of an approved Standard form which does not affect format or printing specifications, the affected agency will submit its request for exception or deviation with an appropriate explanation and justification to the promulgating agency identified on the Standard form. The promulgating agency will, after review, forward its reply to the requesting agency, with a copy of the reply being furnished to NARS.

(b) In instances when an agency desires to alter the format or change printing specifications of an approved Standard form, the affected agency will submit its request for exception or deviation on Standard Form 152 with an appropriate explanation and justification to the agency identified on the Standard form in question as the promulgating agency. The promulgating agency will, after review, forward the request with its own recommendations to NARS for final clearance.

(c) In instances where overprinting of Standard forms is desired, it is permissible without clearance from the promulgating agency, provided such overprinting is fully consistent with the purposes and intent of the Standard form and procurement is in accordance with § 101-26.302 of this chapter. Overprinting may consist of names, addresses, uniform en-

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tries, etc. Supplementation of Standard forms may be made in accordance with § 101-1.110 of this chapter.

**§ 101-11.804-3 Proposed discontinuance.**

Before a promulgating agency notifies using agencies that the mandatory use of a Standard form is no longer required, it will notify NARS of its intention. In such instances, NARS may (a) authorize continued use of the form on an optional basis, (b) make arrangements for the form to be promulgated as a Standard form by another agency, or (c) concur with the promulgating agency that there is no need for the continued use of the form. NARS will inform the promulgating agency of its decision.

**§ 101-11.805 Procedures to establish, revise, or discontinue Optional forms.**

Proposed Optional forms or revisions to existing Optional forms will be submitted to NARS by the sponsoring agency using Standard Form 152 for that purpose. NARS will evaluate such proposals in consultation with interested agencies and will indicate its decision by an appropriate entry in item 17 of Standard Form 152 and by returning two signed copies. If approved, one copy will be retained by the sponsoring agency for its records; the second copy will be used for furnishings GSA, Federal Supply Service, printing and stocking specifications for procuring stock of the approved Optional form (§ 101-26.302-6 of this chapter). When such an approved Optional form is printed, the Optional form number assigned by NARS, the month and year of approval (or the month and year of the revision), and the name of the sponsoring agency will appear on the form. When a form is approved for optional use, announcement thereof will usually be made to potential users by the sponsoring agency (§ 101-11.803-3).

**§ 101-11.806 Standard and Optional forms used as public reports.**

Proposed Standard and Optional forms which come under the provisions of the Federal Reports Act of 1942 (56 Stat. 1078, Dec. 24, 1942) and proposed revisions to, exceptions to, or discontinuances of such forms must be cleared by the Bureau of the Budget (BOB Circular A-40, Revised), as well as by GSA (§ 101-11.801). By agreement between GSA and

the Bureau of the Budget, such Standard form public report documents shall be submitted to NARS, using Standard Form 152. NARS will forward the documents to the Bureau of the Budget for review and approval.

**§ 101-11.807 Procurement.**

General procedures for procuring stocks of Standard and Optional forms, or modifications thereof are contained in §§ 101-26.302-3 through 101-26.302-6 of this chapter.

**§ 101-11.808 Initiating Standard and Optional forms projects.**

Similar forms are often used for essentially the same purpose in different parts of the Government. By obtaining agreement from the people responsible for these forms, the development of a Standard or Optional form may result in substantial benefits to the Government. These benefits include reduced printing and stocking costs, uniform and improved procedures for processing the form, reduced training time of employees, and simplified direction.

**§ 101-11.808-1 Initiating new Standard forms.**

The full potential for developing Standard forms has not yet been exploited. New programs, new legislation, and the establishment of new agencies provide opportunities for beneficial standardization. The expanded use of computers and of communications systems makes standardization of data elements as well as formats for the interchange of information more essential than ever before. Federal agencies shall initiate projects to develop Standard forms in areas where they have authority to prescribe uniformity, and where uniformity would produce benefits. NARS will assist in such studies as needed. Other agencies may be requested to participate in such studies.

**§ 101-11.808-2 Initiating new Optional forms.**

The development and use of Optional forms provide agencies with an opportunity to help reduce the number of overlapping and duplicate forms. Federal agencies should be alert to the possibilities involved. In developing Optional forms, NARS will provide management leadership.

## § 101-11.809

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§ 101-11.809 Selected Standard forms for which GSA is designated as promulgating agency.

This section provides for promulgation by GSA of certain Standard forms formerly promulgated by the Bureau of the Budget. The form identification to appear on replenishment stocks of existing Standard forms prescribed in this section and new Standard forms added to this section will show GSA as the promulgating agency. This section will be cited as the prescribing directive.

§ 101-11.809-1 Standard forms for requisitioning printing and binding.

(a) *Forms for ordering printing or printing and binding.* When ordering printing alone (other than Standard and Optional forms), or printing and binding together, Federal agencies shall submit to the Government Printing Office, Division of Planning Service, Washington, D.C. 20401, a completed copy of Standard Form 1, Requisition for Printing and Binding, Revised, June 1945, or Standard Form 1-C, Requisition for Printing and Binding for Specialty Items, January 1960, whichever is appropriate for the printing desired.

(b) *Forms for ordering binding.* When ordering binding alone (as the binding of existing documents for library use), Standard Form 1 together with Standard Forms 1-A, Binding Instructions, and 1-B, List of Books To Be Bound, shall be used.

(1) Instructions for completing Standard Form 1-A are printed on the back of the form. A completed copy shall be attached to each book or group of identical books to be bound. The books accompanied by the forms shall be sent to the Government Printing Office, Central Receiving Station, at the mailing address shown in this § 101-11.809-1.

(2) A completed copy of Standard Form 1-B, together with the Requisition, Standard Form 1, shall be sent to the Government Printing Office, Division of Planning Service, at the mailing address shown in this § 101-11.809-1.

§ 101-11.809-2 Standard forms for reporting accidents and for processing claims under the Federal Tort Claims Act.

The Standard forms for reporting accidents and for processing claims under the Federal Tort Claims Act (28 U.S.C. 2672-2680) were developed by the Interdepartmental Tort Claims Committee

chaired by the Department of Justice and the Federal Safety Council chaired by the Department of Labor (Executive Order 10194 of Dec. 19, 1950, 3 CFR). They are designated and prescribed for use as follows:

(a) Standard Form 91 (Revised April 1963), Operator's Report of Motor Vehicle Accident, is to be completed at the time and on the scene of an accident insofar as possible, regardless of the extent of injury or damage. Blank forms are to be carried in motor vehicles used in official Government business.

(b) Standard Form 91A (Revised June 1953), Investigation Report of Motor Vehicle Accident, is to be completed by the person investigating the accident as soon as possible.

(c) Standard Form 92, Supervisor's Report of Accident, applies to accidents other than those involving motor vehicles or aircraft and is to be completed, as soon as possible after an accident, by the supervisor of Government work in which there is injury to Federal personnel or damage to Federal property, or optionally in contract operations involving non-Federal personnel or property. One form is to be used for each injured person.

(d) Standard Form 92A, Report of Accident Other than Motor Vehicle, applies to accidents other than those involving motor vehicles or aircraft and is to be completed, as soon as possible after the accident, by the person in charge of the premises or activity in which the accident occurred. Aircraft accidents are to be reported on forms prescribed by the Civil Aeronautics Board or other appropriate activity.

(e) Standard Form 94 (Revised June 1953), Statement of Witness, is to be completed by persons having witnessed an accident.

(f) Standard Form 95 (Revised February 1963), Claim for Damage or Injury, is to be completed by or on behalf of the person having sustained the injury or damage.

§ 101-11.809-3 Standard forms for medical examination and clinical and health records.

Standard forms for medical examinations and clinical and health records have been developed by the Interagency Committee on Medical Records in order to standardize such records and to assist in the exchange of medical information.

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§ 101-11.903

(a) Unless an exception is granted by NARS (§ 101-11.804-2), the standard medical examination forms listed below are mandatory for use in general types of medical examinations, medical histories, and in employment health records for military and civilian personnel, for beneficiaries of Government programs which involve medical records, and for civil airmen subject to regulations of the Federal Aviation Administration. At the discretion of a Federal agency, the forms may also be used (1) for medical examination of persons other than employees of the Government, and (2) in place of special medical examination forms such as those required in retirement cases, in claims for injuries, or for treatment following injuries. These standard medical examination forms are as follows:

Standard form No.	Title
SF 78, Revised June 1961 (for use when required by the Civil Service Commission).	Certificate of Medical Examination.
SF 88, Revised June 1956.	Report of Medical Examination.
SF 89, Revised March 1965 (prohibited for civil service applicants or civilian employees of the Federal Government unless prior approval is given by the Civil Service Commission).	Report of Medical History.
SF 90, Revised July 1961.	Health Qualification Placement Record.

(b) The standard clinical and health record forms which are to be used in hospitals, clinics, dispensaries, and in similar facilities operated by the Government are listed in the GSA Stock Catalog, Part II, Standard Forms. The forms are listed in the 500 and 600 series of Standard form numbers and appear under the caption, "Clinical and Health Record Series."

**§ 101-11.810 Designation of agency liaison representative.**

Each Federal agency shall designate an official and an alternate who will serve in a liaison capacity with NARS, on the Standard and Optional Forms Program. The General Services Administration, National Archives and Records Service, Office of Records Management-NR, Washington, D.C. 20408, shall be notified, in writing, of the name, title, location, and telephone number of each

such designee as soon as practicable after the effective date of this subpart. The name, title, location, and telephone number of each replacement liaison representative or alternate will be forwarded to the Office of Records Management at the address shown above within 30 days after the new designation is made. These designated liaison representatives may or may not be the same as those designated under § 101-11.102.6, relating to records management liaison offices.

**Subpart 101-11.9—Source Data Automation in Paperwork Systems**

Source: The provisions of this Subpart 101-11.9 appear at 33 F.R. 894, Jan. 25, 1968, unless otherwise noted.

**§ 101-11.900 Scope.**

This subpart concerns the application of source data automation (SDA) to the mechanization of office paperwork-processing systems and provides guidelines for agencies to follow in using SDA.

**§ 101-11.901 Definition of source data automation.**

"Source data automation" means a system of mechanized document-creating devices in an office environment for capturing data in a machine-readable form for future use in producing forms and other records required throughout the system, without subsequent manual re-entry of the data. As a byproduct, SDA may provide a machinable output for use as input to an automatic data processing (ADP) system.

**§ 101-11.902 Need for source data automation.**

Applied continuously as an organized program for mechanizing the creation of records through machine-to-machine processing, SDA can reduce costs, improve accuracy, and provide faster processing, SDA can further provide maximum flexibility in the transmission, protection, and perpetuation of data or documents.

**§ 101-11.903 Criteria for the use of source data automation.**

SDA is applicable to paperwork systems where the same data are used repetitively. Use of SDA techniques and devices should be considered whenever the volume of data is adequate to amortize the equipment cost within a reasonable period. Use of SDA should also be considered whenever data usage requires

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urgent handling to meet deadlines or whenever a greater degree of accuracy is necessary.

§ 101-11.904 Application of source data automation.

Federal agencies will apply actively and continuously SDA techniques to paperwork procedures, as a part of their records management, systems development and maintenance, and related activities. The agency will assure that:

(a) Responsibility for the promotion and coordination of SDA applications is assigned to an official or office.

(b) Present and proposed paperwork activities involving manual operations or the keyboard entry of the same data by two or more office machines are examined for potential application of SDA.

(c) Existing automatic data processing applications are reviewed for feasibility in providing input data captured at the source by SDA or as a SDA by-product of necessary clerical operations.

(d) Procedures are established for the submission, review, and approval of all requests for obtaining SDA equipment. Each request should be reviewed for feasibility, economy, and compatibility with the existing equipment and systems and with the agency's other plans for improved systems.

(e) Timely information concerning the capabilities, limitations, advantages, and uses of SDA equipment and techniques is disseminated to managers and operating officials.

(f) All GSA publications on the subject of SDA techniques and equipment are made available for use.

Subparts 101-11.10—101-11.48  
[Reserved]

Subpart 101-11.49—Forms and Reports

SOURCE: The provisions of this Subpart 101-11.49 appear at 32 F.R. 8036, June 3, 1967, unless otherwise noted.

§ 101-11.4900 Scope of subpart.

This Subpart 101-11.49 contains forms and reports used in connection with the regulations on records management prescribed in this Part 101-11.

NOTE: Forms in §§ 101-11.4901—101-11.4919 filed as part of the original document. Copies may be obtained from Central Office, GSA.

§ 101-11.4901 Standard Form 136: Annual Summary of Records Holdings.

[33 F.R. 8775, June 15, 1968]

§ 101-11.4902 Standard Form 115: Request for Authority to Dispose of Records.

§ 101-11.4903 Standard Form 115a: Request for Authority to Dispose of Records—Continuation Sheet.

§ 101-11.4904 Instructions for Preparing Standard Forms 115 and 115a.

§ 101-11.4905 Standard Form 137; Agency Records Center Annual Report.

§ 101-11.4906 Standard Form 127: Request for Official Personnel Folder (Separated Employee).

§ 101-11.4907 Standard Form 135: Records Transmittal and Receipt.

§ 101-11.4908 Standard Form 135a: Records Transmittal and Receipt—(Continuation).

§ 101-11.4909 GSA Form 439: Report of Disposition of Records.

§ 101-11.4910 Optional Form 11: Reference Request—Federal Records Centers.

§ 101-11.4911 GSA Form 10: United States Government Memorandum.

§ 101-11.4912 Optional Form 10: United States Government Memorandum.

§ 101-11.4913 Standard Form 63: Memorandum of Call.

§ 101-11.4914 Standard Form 65; U.S. Government Messenger Envelope.

§ 101-11.4915 Optional Form 27: United States Government 2-Way Memo.

§ 101-11.4916 "Guides to Simplified Informal Correspondence".

§ 101-11.4917 GSA Form 2034: Vital Records Protection Status Report (Part I—Emergency Operating Records).

§ 101-11.4918 GSA Form 2035: Vital Records Protection Status Report (Part II—Rights and Interests Records).

§ 101-11.4920 Standard Form 152: Request for Clearance and Procurement—Standard and Optional Forms.

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§ 101-13.3

**§ 101-11.4921 Standard Form 180: Request Pertaining to Military Records.**

NOTE: The form in § 101-11.4921 is filed as a part of the original document. Federal agencies may obtain copies from the nearest General Services Administration supply depot.

[33 F.R. 18281, Dec. 10, 1968]

**PART 101-12 [RESERVED]****PART 101-13—PRESERVATION OF RECORDS BY WAR CONTRACTORS**

Sec.

- 101-13.1 Scope of regulation.
- 101-13.2 Responsibility of the war contractor.
- 101-13.3 Records not to be destroyed for stated period.
- 101-13.4 Partial settlements, exclusions or exceptions.
- 101-13.4a Exemptions.
- 101-13.5 Duplicate copies.
- 101-13.6 Authorization to destroy if photographs are retained.
- 101-13.7 Features which photography would not clearly reflect.
- 101-13.8 Arrangement, classification and self-identification of records.
- 101-13.9 Minimum standards for film and processing.
- 101-13.10 Certificate of authenticity.
- 101-13.11 Additional special requirements for microfilm.
- 101-13.12 Indexing and retention of photographs.

**AUTHORITY:** The provisions of this Part 101-13 issued under sec. 1, 62 Stat. 705, as amended; 18 U.S.C. 443.

**SOURCE:** The provisions of this Part 101-13 contained in Regulation 11, Revised, 18 F.R. 1318, Mar. 7, 1953, unless otherwise noted. Redesignated at 26 F.R. 11425, Dec. 2, 1961, and further redesignated at 29 F.R. 19091, Dec. 30, 1964.

**§ 101-13.1 Scope of regulation.**

- (a) This regulation applies to:
- (1) Any records of a war contractor relating to the negotiation, award, performance, payment, interim financing, cancellation or other termination, or settlement of a war contract of \$25,000 or more,
  - (2) Any records of a war contractor and any purchaser relating to any disposition of termination inventory in which the consideration received by any war contractor or any Government agency is \$5,000 or more, and
  - (3) Any records of a war contractor which by the war contract are required

on termination to be preserved or made available.

(b) The term "war contract" which is defined in the Contract Settlement Act of 1944 as meaning either a prime contract or subcontract, has the same meaning herein. It is not limited to terminated contracts but, except where otherwise limited by the context, also includes continuing or completed contracts.

(c) As used in this part, the term "records" includes, but is not limited to, books, ledgers, checks and check stubs, payroll data, vouchers, memoranda, correspondence, inspection reports, and certificates, and cost data where involved in final payment or settlement of the contract.

**§ 101-13.2 Responsibility of the war contractor.**

(a) Pursuant to section 443 of the act of June 25, 1948, the war contractor shall preserve for the period of time stated below records essential to determining the performance under the war contract and to justifying the settlement thereof; any determination that certain records are not essential and need not be retained is made at the contractor's risk in accordance with the requirements of such act.

(b) Since the Contract Settlement Act defines "war contractor" as a holder of either a prime contract or a subcontract, the subcontractor has the same responsibility to preserve his individual contract records as does the prime contractor, and may dispose of such records in accordance with the provisions of this regulation without approval of the prime contractor unless required by the subcontract.

**§ 101-13.3 Records not to be destroyed for stated period.**

(a) Except as provided in § 101-13.4 at the conclusion of the time period stated below, final disposition of the contract records which he is required to preserve is in the discretion of the war contractor and requires no authorization from the Office of Contract Settlement or (unless required by the war contract) by the contracting agency:

- (1) Five years after such disposition of termination inventory by such war contractor or Government agency, or
- (2) Five years after the final payment or settlement of such war contract.

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(b) Nothing in this section shall be construed:

(1) As affecting the requirements relating to records under any law other than the Contract Settlement Act of 1944, or

(2) As prohibiting the destruction of records, the destruction of which is not otherwise prohibited, or

(3) As authorizing the destruction of records where the contract is in litigation or under investigation, or

(4) As requiring the photographing of records of war contractors, or

(5) As affecting the requirements of the Comptroller General of the United States for preservation and submission of records, or

(6) As reducing the period of time for retention of records as provided for in any war contract as that term is defined in this regulation.

[18 F.R. 1318, Mar. 7, 1953, as amended at 27 F.R. 4739, May 18, 1962]

## § 101-13.4 Partial settlements, exclusions or exceptions.

(a) The period prescribed by § 101-13.3 for retaining records commences:

(1) On the date the war contractor accepts the final payment or settlement offered by the agency which contracted with him, or

(2) Where the war contractor does not accept such payment or settlement, on the date when the period prescribed by law for appeal or other action contesting such payment or settlement expires, or

(3) Where an appeal or other action contesting such payment or settlement is filed on the date of final determination of such appeal or other action.

(b) Where the settlement is not complete, or there are exclusions or exceptions to the settlement, the records of the parts or items which are settled are eligible for destruction at the end of the period prescribed in § 101-13.3 dating from such settlement, except that all records pertaining to such exclusion or exception must be retained for the prescribed period from its date of settlement.

## § 101-13.4a Exemptions.

The provisions of this part and section 443 of the act of June 25, 1948 (62 Stat. 705; 18 U.S.C. 443) do not apply to (a) war contractor records title to which is transferred to a Government agency, (b) war contractor records that are in-

cluded by Federal agencies on records disposition schedules approved by the Congress in the manner provided in the Records Disposal Act (57 Stat. 380; 44 U.S.C. 366 et seq.), or (c) war contractor records disposal of which is approved in writing by the Administrator of General Services and the Comptroller General of the United States.

[Reg. 11, Rev., Amdt. 2, 22 F.R. 5955, July 27, 1957]

## § 101-13.5 Duplicate copies.

Duplicate or extra copies of the contract records need not be retained.

## § 101-13.6 Authorization to destroy if photographs are retained.

Subject to the provisions of § 101-13.1, any records to which this regulation applies and which can be reproduced through photography without loss of their primary usefulness may be destroyed, *Provided, however*, That clearly legible photographs thereof are made and preserved in accordance with the conditions and standards set forth in this section. Any number of copies of the record may be destroyed, provided one such photograph of the record is preserved. The terms "photograph," "photographing" and "photography" include, but are not limited to, "microphotograph," "microfilm," "microphotographing" and "microphotography."

## § 101-13.7 Features which photography would not clearly reflect.

If there is any significant characteristic, feature, or other attribute of a record which photograph would not clearly reflect, as for example that the record is a copy, or is an original, or that certain figures thereon are red, the record shall not be destroyed unless prior to being photographed it is marked so that the existence of such characteristic, feature, or other attribute is clearly reflected. When a number of the records to be microfilmed have in common any such characteristic, feature, or attribute, an appropriate notation identifying the characteristic, feature, or attribute with the records to which it applies may be placed at the beginning of the roll of film instead of on the individual records.

## § 101-13.8 Arrangements, classification and self-identification of records.

At the time of photographing, the records shall be so arranged, classified and self-identified as readily to permit the

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subsequent examination, location, identification and reproduction of the photographs thereof.

**§ 101-13.9 Minimum standards for film and processing.**

The minimum standards for film and processing used in the production of photographs shall be those set forth in the "Standards for Temporary Record Photographic Microcopying Film" issued by the National Bureau of Standards under date of October 25, 1943, and set forth below as Exhibit A.

**§ 101-13.10 Certificate of authenticity.**

The photographs shall have attached thereto a certificate or certificates that the photographs are accurate and complete reproductions of the records submitted by the war contractor or purchaser and that they have been made in accordance with the standards and requirements set forth in this regulation. Such certificate or certificates shall be executed by a person or persons having personal knowledge of the facts covered thereby.

**§ 101-13.11 Additional special requirements for microfilm.**

In the case of microphotographs, a microfilm of such certificate or certificates shall be photographed on each roll of film. The photographic matter on each roll shall commence and end with a frame stating the nature and arrangement of the records reproduced, the name of the photographer and the date. Rolls of film shall not be cut. Supplemental or retaken film whether of misplaced or omitted documents or of portions of a film found to be spoiled or illegible or of other matter, shall be attached to the beginning of the roll, and in such event the certificate or certificates referred to in § 101-13.10 shall cover also such supplemental or retaken film and shall state the reasons for taking such film.

**§ 101-13.12 Indexing and retention of photographs.**

The photographs shall be indexed and retained in such manner as will render them readily accessible and identifiable and will reasonably insure their preservation against loss by fire or other means of foreseeable destruction. They shall be retained for the period of time during which, except for this regulation, the destruction of the original records would have been prohibited.

## EXHIBIT A

## STANDARD FOR TEMPORARY RECORD PHOTOGRAPHIC MICROCOPYING FILM

(Gelatin-Silver Halide Emulsion Type)

The exposed and processed film shall be of such a type that no serious loss in the quality of the image shall result within five years after processing when the film is kept under ordinary storage conditions. All film shall be of 16 mm or 35 mm size either perforated or unperforated as specified.

## DETAILED REQUIREMENTS

**Film base.** The film base shall be the slow burning cellulose-acetate type known as "safety" film. The thickness of the film base and emulsion shall be  $0.0055 \pm 0.0010$  inch.

**Emulsion.** The emulsion or light sensitive coating shall be composed of silver-halide crystals of a size distribution entirely suitable for microcopying use, uniformly dispersed in a thin layer of high grade gelatin on one side of the film base. The white-light and spectral sensitivities shall be such that accurate and complete copies of the documents are obtained with the usual exposure and development technique.

**Processing.** The film shall be developed with the usual organic developing agents such as "Metol," hydroquinone, glycine, etc., compounded to produce a silver image essentially black. Developers producing stained or colored images are not to be used. The films shall be fixed in the usual sodium thiosulphate fixing bath. Fixing baths containing ammonium thiosulphate shall not be used. No intensification or reduction of the developed image is permitted.

**Hypo content of emulsion.** The hypo (sodium thiosulphate) content of the processed film shall not exceed 0.02 mg per square inch of film. The hypo content shall be determined by the method of Crabtree and Ross in the Journal of the Society of Motion Picture Engineers, Vol. 14, p. 419 (1930).<sup>1</sup> One square inch of film ( $1\frac{1}{8}$ " of 16 mm film or  $\frac{3}{4}$ " of 35 mm film) is immersed in a shell vial  $\frac{3}{4}$  x 4" containing 10 ml of the following solutions:

Potassium bromide.....	25 grams.
Mercuric chloride.....	25 grams.
Water to make.....	1 liter.

After the sample has remained in the above solution for 15 minutes the turbidity is compared with that of three similar shell vials containing the above solution, one with no hypo, one with 0.02 mg, and one with 0.03 mg hypo ( $\text{Na}_2\text{S}_2\text{O}_3$ ). The comparison is made in a darkened room using a mercury lamp for

<sup>1</sup> In this article (p. 426) the sensitivity of the mercuric chloride test is given as 0.05 mg of hypo without stating the volume of solution or area or length of film. This value is obviously for 1 foot of film since with ordinary care 0.005 mg per frame of 35 mm film (1 square inch) is detectable.

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illumination. The shell vials should rest on a black surface, the light entering from one side of the vials. The criterion is that the turbidity of the tested solution should not exceed that of the one having 0.02 mg. of hypo.

*Flexibility.* Flexibility is determined by means of a Pfund folding endurance tester used as described by Weber and Hill, National Bureau of Standards Miscellaneous Publication M158, obtainable from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402, price 5 cents.

Processed film, conditioned at 65% relative humidity, shall stand at least 16 single folds in the Pfund tester (19 mm between jaws) without breaking. Film aged 72 hours at 100°C and conditioned at 65% relative humidity shall not lose more than 25% in folding endurance of the original sample.

*Burning time test.* A sample 16 inches long shall be cut from the 16 mm or 35 mm film to be tested. All gelatin layers shall be removed by washing in warm water or treat-

ment with an enzyme such as pancreatin. After drying for at least 24 hours, the sample shall be marked 2 inches from each end and perforated with holes approximately 0.12 inch in diameter along one edge at intervals of about 1¼ inches, if sample is not already perforated. A wire having a diameter of not more than 0.020 inch shall be threaded through the perforations on one side at points approximately 1¼ inches apart.

The wire holding the dried sample is stretched horizontally between two supports permitting the sample to hang vertically from it. The bottom corner of one end of the sample is ignited. The time which elapses from the moment the flame reaches the first mark until the flame reaches the second mark shall be recorded as the burning time. If the sample does not ignite or if it does not completely burn, the burning time is recorded as infinite. The test shall be made in a room free from draughts. At least three tests shall be made. The burning time shall not be less than 45 seconds.

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c. 6, 53 Stat. 812, as  
; sec. 205(c), 63 Stat.  
sec. 704, 64 Stat. 816,  
App. 2154; E.O. 10480,  
49-1953 Comp., p. 962,  
1.1, 29 F.R. 5076.

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