

Washington 25, D. C.

October 4, 1954

GSA Declassification/Release Instructions on File

REGULATIONS OF THE GENERAL SERVICES ADMINISTRATION
TITLE 3, FEDERAL RECORDS

To: Heads of Federal Agencies

1. Material Transmitted

Attached are new authentication; revised subsection 104.02, Chapter IV; revised items 6, 16, 21, 22, and 23 and new item 25 of General Records Schedule 1, revised items 1, 13, and 20 and revised appraisals of most of the items of General Records Schedule 2, revised items 1 and 4 and new items 13 and 14 of General Records Schedule 3, revised item 1 of General Records Schedule 6, revised item 4 and revised appraisal of item 5 of General Records Schedule 9, revised General Records Schedule 14, and new General Records Schedule 17; and revised Table of Contents, Appendix B.

2. Nature of Revisions and Additions

Revised subsection 104.02, Chapter IV, changes the listing of approved General Records Schedules to include the new schedule.

Revised item 6 of General Records Schedule 1 extends the period of time for which certificate files are to be retained.

Revised items 16 and 23 of General Records Schedule 1 clarify the coverage of the items.

Revised items 21 and 22 of General Records Schedule 1 extend the coverage of the items.

New item 25 of General Records Schedule 1 provides for the disposition of certificates of performance ratings.

Revised item 1 of General Records Schedule 2 provides new standards for the transfer to Federal Records Centers of individual earning and service cards.

Revised item 13 of General Records Schedule 2 provides for the disposition of security copies of certain payrolling documents.

Revised item 20 of General Records Schedule 2 clarifies the coverage of the item.

Revised appraisals of most of the items of General Records Schedule 2 provide more complete explanations of the reasons for the disposition provisions of the schedule.

Revised items 1 and 4 of General Records Schedule 3 exclude from the coverage of these items records covered by new item 13 of the same schedule.

New item 13 of General Records Schedule 3 provides for the disposition of contractors' payrolls.

New item 14 of General Records Schedule 3 provides for the disposition of tax exemption certificate files.

Revised item 1 of General Records Schedule 6 provides for the disposition of security copies of certain papers supporting accountable officers' returns.

Revised item 4 of General Records Schedule 9 clarifies the coverage of the item.

Revised appraisal of item 5 of General Records Schedule 9 provides a more complete explanation of the reasons for disposing of certain travel records.

Revised General Records Schedule 14 provides for the disposition of certain records of informational services.

New General Records Schedule 17 provides for the disposition of certain cartographic, photogrammetric, and related records.

Authority for the disposal provisions in these new and revised schedules and items is contained in the following House Reports: 1468 (General Records Schedules 2 and 6), 1541 (General Records Schedule 1), 1571 (General Records Schedule 3), 2030 (General Records Schedule 1), 2644 (General Records Schedule 17), and 2605 (General Records Schedules 1, 3, 9, and 14), 83d Congress, 2d session.

3. Supplies of Schedules

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

4. Page Changes

<u>Remove</u>	<u>Insert</u>
3-IV-104.02 (Cont'd-2) (8-27-53)	3-IV-104.02 (Cont'd-2) (10-4-54)
Appendix B, Table of Contents (8-27-53)	Appendix B, Table of Contents (10-4-54)

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Appendix B, GRS 1
Page 2
(7-10-53)
Pages 4, 5, 6, and 7
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Appendix B, GRS 1
Pages 2, 4, 5, 6, and 7
(10-4-54)

Appendix B, GRS 2
Pages 2, 3, 4, and 5
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Appendix B, GRS 3
Pages 2, 4, 5, and 6
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Appendix B, GRS 6
Pages 2 and 3
(10-4-54)

Appendix B, GRS 9
Pages 2 and 3
(10-4-54)

Appendix B, GRS 14
(10-4-54)

Appendix B, GRS 17
(10-4-54)

5. Effective Date

The Regulations transmitted herewith shall become effective on November 18, 1954.



EDMUND F. MANSURE
Administrator

Attachments

A U T H E N T I C A T I O N

In accordance with the authority vested in the
Administrator of General Services, I hereby declare
that the Regulations of the General Services Admin-
istration, Title 3, Federal Records, shall be the
Regulations governing the management of the records
of Federal agencies until modified by order of the
Administrator or by law.

A handwritten signature in black ink, appearing to read "E. Mansure". The signature is written in a cursive style with a long horizontal flourish extending to the right.

EDMUND F. MANSURE
Administrator

SECTION 104.00 GENERAL RETENTION AND DISPOSAL SCHEDULES

104.01 Authority. Section 505(b) of the Federal Records Act of 1950 (44 U.S.C., Supp. V, sec. 395(b)) directs the Administrator to establish standards for the selective retention of records of continuing value. The Records Disposal Act prescribes that no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of the Act. This Act also authorizes the Administrator 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.

These General Records Schedules, when reported upon favorably by the Joint Committee on the Disposition of Executive Papers, constitute authority to dispose of the records included therein. Agencies may apply this authority subject to approval of the Comptroller General of the United States when required by section 9 of the Records Disposal Act. Such disposal authority is permissive and not mandatory. Agencies desiring authority to dispose of records covered by such schedules after shorter periods of time than the periods set forth in the General Records Schedules shall make request therefor in the manner prescribed by section 106.00 of this Chapter. 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.

104.02 Approved General Records Schedules. Pursuant to the authority cited in subsection 104.01, 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 contained in Appendix B to this Title:

- 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

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- Schedule 16. Administrative Management Records
- Schedule 17. Cartographic, Photogrammetric, and Related Records

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

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

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

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

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
			separated employees to inactive file on separation in accordance with the Federal Personnel Manual, RI-35; for Department of Defense transfer folder to Federal Records Center, St. Louis, Missouri, 1 month after separation; for all other agencies, 1 year after separation.
2.	Service Record Card (Standard Form 7 or its equivalent).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I A.	Transfer to Federal Records Center, St. Louis, Missouri, 5 years after year of employee's separation or transfer to another agency.
3.	Position descriptions pertaining to positions abolished after September 1, 1950, and descriptions superseded after that date.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I C 4.	Retain one copy. (See item 8 for disposal of other position descriptions.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence in the operating personnel office and its subordinate units relating to their administration and operation.	By subject or agency filing system; start a new file every 3 years.	Dispose 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.
5.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted: Destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment, and dispose of in accordance with provisions in item 16; (3) All others: Dispose immediately.
6.	Certificate files, consisting of: a. Requests for certificates of eligibles. b. Certificates of eligibles.	File requests and certificates by certificate number. File requests and certificates by certificate number.	Dispose 2 years after date of certificate. Dispose 2 years after date of certificate.
7.	Employee record cards used for informational purposes outside personnel offices (such as Form OF-4).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part III B 2 and B 3.	Dispose on transfer to another agency or bureau or on separation of employee.

GENERAL RECORDS SCHEDULE 1

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

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
16.	Applications for employment and related papers, excluding (a) records relating to appointments requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder (covered in item 1 of this schedule).	In accordance with inspection requirements of the Civil Service Commission as stated in Chapter A7 of the Federal Personnel Manual.	Dispose upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier, providing the requirements of Section A7-48.04 of the Federal Personnel Manual are observed.
17.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose 2 years after date of report.
18.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.		
	a. Correspondence and forms relating to pending personnel actions.	Not applicable.	Dispose when action is completed.
	b. Retention registers (including card files and related papers) from which reduction-in-force actions <u>have</u> been taken.	In accordance with Chapter R3 of the Federal Personnel Manual.	Dispose after 2 years.
	c. Retention registers (including card files and related papers) from which <u>no</u> reduction-in-force actions have been taken.	In accordance with Chapter R3 of the Federal Personnel Manual.	Dispose when superseded.
	d. All other correspondence and forms.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
19.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
20.	Files pertaining to the deferment of Federal employees from military training under the Selective Service and Training Act of 1940, as amended (excluding records held by the Selective Service System and the Review Committee on Deferment of Government Employees and their predecessor and successor agencies).		
	a. Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WMC Form 27 or equivalent).	Conform to agency practice.	Dispose after 6 months.
	b. Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers.	Conform to agency practice.	Dispose after 6 months.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
c.	Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers.	Conform to agency practice.	Dispose after 6 months.
d.	Correspondence between individual agencies and the Review Committee on Deferment of Government Employees and its predecessors.	Conform to agency practice.	Dispose after 6 months.
e.	Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions."	Conform to agency practice.	Dispose after 6 months.
f.	Reports made within an agency by individual employees on their Selective Service status.	Conform to agency practice.	Dispose after 6 months.
21.	Individual health record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated.	All cards pertaining to an individual to be disposed of 6 years after date of last entry on the cards pertaining to him.
22.	Logs or registers of visits to dispensaries, first aid rooms, and health units.		
a.	Where information is summarized on statistical reports.	Chronologically.	Dispose 3 months after last date on log or register.
b.	Where information is not summarized elsewhere.	Chronologically.	Dispose 2 years after last date on log or register.
23.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history, except pre-employment physical examinations, disability retirement examinations, and fitness for duty examinations which may be made a part of or associated with the Official Personnel Folder or may be retained separately.	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose 6 years after date of last papers in the file.
24.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose 2 years after date of summary or report.
25.	Certificates of performance rating.	Conform to agency practice.	Dispose after 1 year.

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

GENERAL RECORDS SCHEDULE 1

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

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

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

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

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

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

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

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

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

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

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

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

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

Item 16. These files are involved in agency recruitment and appointment activities which are subject to Commission inspection to ensure that applicable rules are being observed. The application files are held for a sufficient period to serve the inspection needs of the Commission as well as the administrative

GENERAL RECORDS SCHEDULE 1

needs of the agency personnel office. Papers pertaining to successful applicants are retained as part of the personnel folders described in item 1. The files covered by this item, however, involve pending or unsuccessful applications.

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

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

Normally copies of papers required by the Comptroller General to be maintained for site audit or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts (Schedule 6). In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of 1943, as amended (44 U.S.C. 374).

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

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

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

In the payrolling process, a group of diverse records are accumulated. Under the Regulations 102 system, the pay records are normally site audited by representatives of the General Accounting Office, who examine primarily the earning record cards, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signature of the agency certifying officer, check lists prepared in lieu of the more formal payrolls by Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms advising of personnel actions resulting in changes in pay. In addition pay registers and other accounting devices are maintained to check and balance the accounts.

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

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

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

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

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

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

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

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

Items 2, 7, 12, 17. These files reflect the general operation and administration of the organizational unit responsible for preparation of the payroll. The correspondence files pertain to routine administrative matters and normally do not relate to individual pay accounts. Nor do they contain key fiscal data of more than transitory importance. Reports pertaining to bond sales are made either for internal accounting purposes or are submitted to Treasury units involved in the management of the savings bond program. In either case, the papers are held long enough to satisfy internal accounting, reporting, and other administrative needs. The administrative reports files may provide data on the volume of voucher examination or the incidence of other accounting operations, of interest for work measurement or staffing purposes; or they may consist of papers or reports transmitting agency accounting data for special or routine reporting purposes. In either case, copies are retained to provide for the reference needs of the unit preparing the report or compiling the data.

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

a. Check lists, payrolls, posting media, controls, and related papers (Items 3, 11, 13-16). The basic record used in accumulating data for the preparation of payrolls are the time and attendance reports, which may consist of sheets manually posted by employees or payrolling personnel, or punched mechanically by time clocks or similar equipment. Changes in employee status affecting the payroll are noted by the payrolling office on the fiscal copy of the notification of personnel action (item 11a), or the change slip (item 15) prepared by the personnel office to authenticate, document, and provide accounting data on pay adjustments. The time and attendance reports, personnel action notifications, and change slips are all posting media to individual earning and service cards, and to check inscription plates (in the case of the change slips). Payroll control registers (item 14) are accounting devices locally maintained to insure the proper reconciliation, balancing, and agreement of accounts from one pay period to the next. The fiscal schedules are documents (item 16) summarizing, for accounting purposes, disbursements, collections, and specialized transactions occurring during the payrolling process, but they normally do not contain data on individual payments. Schedules may be filed with other papers accumulated during the payrolling process or may be filed as a supporting paper to the account current of the accountable officer (Schedule 6, item 1), or both.

Agencies using the simplified payroll system retain memorandum copies of check lists (item 13b) prepared by the Division of Disbursement, Treasury Department, or of comprehensive payrolls which have been prepared by the agency for the Division of Disbursement or agency disbursing officers. Comprehensive payrolls normally preclude the maintenance of individual earning cards. Where both are kept, the payroll is made disposable with the posting media and controls two years after the General Accounting Office site audit to provide for reference after such audit clearance. Where the earning record card is not maintained the memorandum copy of the comprehensive payroll is retained for 10 years. With the exception of individual earnings record cards and comprehensive payrolls which are retained for 56 years, General Accounting Office records relating to payroll transactions supporting disbursing accounts are available for a 12-year period.

In the normal course of current operations, security copies of agency payrolls or check lists and attached papers (item 13a) are transferred to appropriate Federal Records Centers by disbursing officers as soon as checks are issued. Since only current data need be available, documents are disposable at the Centers when the second subsequent roll or list is received. Other copies and the papers attached are held long enough after site audit to satisfy agency needs. Under this procedure the current and immediately preceding payment listing will be continuously available.

b. Savings bond, retirement, and tax files (Items 4-6, 18-21). These are among the records relating to the documentation of deductions from pay made in the course of the payrolling operation. They are summarized in the individual earnings record (item 1) and other fiscal records, such as certain vouchers and schedules (item 16). The Public Debt Bureau maintains adequate records of bonds purchased through payroll savings plans; reports of income and social security taxes are sent to the Internal Revenue Service; and reports of retirement transactions are sent to the Civil Service Commission.

c. Leave records (Items 8-10). The applications for leave are held for a minimum period, since they are posted to summary leave record cards (item 9). Most cards are disposable after retention for three years to satisfy normal reference needs, but cards showing accumulated leave upon separation are disposable after a sufficient period to provide for their use in answering claims brought within the statutory ten-year period. The record of leave data transferred, submitted to the receiving agency on employee transfer, is posted to the new leave record shortly after receipt of the data.

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Procurement and Supply Records

Agency procurement and supply records include the papers and files involved in obtaining goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

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

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

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

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

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. Forms to be used and reports to be made both ad hoc and as part of the returns of Federal disbursing officers are prescribed. General Regulation No. 4 of the Administrator of General Services, for example, makes mandatory the use of certain standard supply contract forms. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

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

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisitions, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization. Conformed copies of most procurement documents involving sums over \$5,000 for military agencies and over \$2,000 for other agencies, and leases, are submitted to the General Accounting Office at the time of their execution. The General Accounting Office contract file normally includes only those basic papers which enable its auditors to pass on the propriety of the expenditure or obligation. In agencies whose accounts are under site audit, the pertinent copies are maintained in agency space for the General Accounting Office.

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

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

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

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

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

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

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
	(2) Transactions of more than \$1,000 and less than \$25,000.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 7 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
	(3) Transactions of \$25,000 or more.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 11 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
	b. Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
	c. Other copies of papers described in 4a.		
	(1) Papers duplicated in item 4a.	As appropriate.	Dispose 1 year after completion of transaction.
	(2) Papers not duplicated in item 4a.	As appropriate.	Dispose in accordance with provision for item 4a.
5.	Files of volume and workload reports on procurement and supply operations and procedures (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
	a. Copies received from other units for internal purposes or for transmission.	By report and chronologically thereunder.	Dispose 2 years after date of report.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose 1 year after date of report.
6.	Bid files.		
	a. Successful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	b. Unsuccessful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	c. Lists or cards of acceptable bidders.	Alphabetically by stock item or by name of bidder.	Dispose when new list or card is made.
7.	Records relating to requisitions on the Public Printer, and all supporting papers.		
	a. Printing procurement unit copy of requisition, invoice, specifications and related papers.	By requisition number.	Dispose 4 years after completion or cancellation of requisition.
	b. Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Attach to related vouchers.	Dispose 4 years after period covered by related account.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	By requisition number.	Dispose after 1 year.
9.	Requisitions for supplies and equipment from current inventory.		
	a. Stockroom copy.	Numerically by requisition number.	Dispose 2 years after completion or cancellation of requisition.
	b. All other copies.	Numerically by requisition number.	Dispose after 6 months.
10.	Inventory files.		
	a. Inventory lists.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years from date of list.
	b. Inventory cards.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.
	c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules.	Conform to agency practice.	Dispose 2 years after date of survey action or date of posting medium.
11.	Telephone statements and toll slips.	Attached to related vouchers.	Dispose 4 years after period covered by related account.
12.	Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	By report and chronologically thereunder.	Dispose after 2 years.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose after 1 year.
13.	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	By contract; thereunder chronologically.	Dispose 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
14.	Tax exemption certificates, and related papers.	Conform to agency practice.	Dispose 4 years after period covered by related account.

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

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

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

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

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 3

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

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

Item 10. Inventory records, maintained to provide replenishment, stock control, and property maintenance data, are normally of administrative value as long as the individual inventory items involved are in stock or in current use. The periods provided are sufficient to allow for administrative and management uses, including those involving the property accounting audit responsibilities of the General Accounting Office, and the reconciliation with cost and control accounts. Papers primarily created to serve as posting media to inventory records, such as reports of survey resulting in the writing off or abandonment of property other than by sale or salvage, are held for a brief period after posting.

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

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

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

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

Accountable Officers' Accounts

Accountable officers' accounts include record copies of all papers concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer, who accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary schedule attests to the authenticity of vouchers listed on the schedule. The latter official, who is bonded, takes the responsibility of approving for payment by the disbursing officer the sums due other agencies, contractors, employees and others who have provided goods and services to the Government. Within the Federal Government the certifying officer and the disbursing officer are usually different individuals, but the disbursing officer and the collecting officer may be the same or different individuals.

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF TEMPORARY VALUE:</u>			
1.	Accountable officers' returns, comprising memorandum copies of accounts current, all supporting vouchers, schedules, documents, and related papers not otherwise provided for in this schedule (exclusive of freight records covered by Schedule 9 and payroll records covered by Schedule 2).		
a.	Security copies of payment lists prepared or used for disbursement by Treasury disbursing offices.	Chronologically by payment period.	Dispose when Federal Records Center receives second subsequent document covering same type of payment.
b.	All other returns files.	Chronologically.	Dispose 4 years after period covered by the account.
2.	General Accounting Office notices of exception (formal or informal) and related correspondence.	Chronologically.	Dispose 1 year after exception is reported as cleared by the General Accounting Office.
3.	Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related papers.		
a.	Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Case file or schedule in chronological order.	Dispose 2 years after date of settlement, providing certificate is cleared.
b.	Certificates covering periodic settlements.	Case file or schedule in chronological order.	Dispose when subsequent certificate of settlement is received.
4.	Schedules of certificates of settlement of claims settled by the General Accounting Office.	Chronologically or by schedule number.	Dispose 2 years after date of settlement.
5.	Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants (other than records covered by item 1).	Chronologically.	Dispose 4 years after date of document.
6.	Administrative correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.		
a.	Files used for workload and personnel management purposes.	Conform to agency filing system.	Dispose after 2 years.
b.	All other files.	Conform to agency filing system.	Dispose after 4 years.

Items 1-4. Accountable officers' returns consist of a variety of papers prescribed by regulations of the Comptroller General. The returns, which are normally submitted monthly (although some returns are rendered quarterly), consist of an account current, summarizing all collection and disbursement transactions of the accountable officer, supported by detail documents supporting each summary entry on the account current. The account current and all supporting documents are audited by the General Accounting Office to insure that transactions were conducted by the accountable officers for legally proper purposes in accordance with established procedures. Exceptions may be raised where the propriety of transactions is not clear or where the supporting documentation is incomplete.

GENERAL RECORDS SCHEDULE 6

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

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

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

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

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

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

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records created since January 1, 1921, that pertain to the movements of goods and persons under Government orders. The record keeping involved in the movement of goods centers about the bills of lading, related vouchers, and associated records prescribed by General Regulations No. 97 of the Comptroller General, while General Regulations No. 88 and several executive orders govern passenger movement and reimbursement. Copies of some records used to support payments become part of the accountable officers' accounts, but because of temporary circumstances noted below they are excluded from coverage in Schedule 6 and their retirement is provided for separately in this schedule (items 1 and 3).

a. Movement of goods. The key record is the bill of lading, of which there are copies for consigners, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which completely document the administrative aspect of encumbrance of funds. Included are records relating to the shipment of household effects, which is authorized by law and regulation for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents.

Certain records pertaining to the movement of goods, normally disposable, are designated as records of continuing value to protect the interests of the Government during a General Accounting Office freight rate readjustment. These records will be reappraised after completion of the audit.

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

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Export certificates, transit certificates, demurrage car record books, and shipping documents pertinent to freight classifications because they list articles involved in shipments.	Conform to agency practice, but file separately from other papers covering payment of freight transportation charges.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
2.	Correspondence files maintained by operating units responsible for travel and transportation, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.
3.	Files covering payment of freight transportation charges (except records covered by item 1), consisting of memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, and including files relating to the shipment of household effects.		
a.	Issuing office memorandum copy.	By bill of lading number.	Dispose after 10 years. (Transfer to inactive file on completion of transaction; break inactive file every 2 years and transfer to Federal Records Center 1 year later.)
b.	Consignee memorandum copy for encumbrance of funds.	Attach to related vouchers.	Dispose 4 years after period covered by the related account.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Bill of lading registers.	In numerical sequence.	Dispose 10 years after date of final entry on register.
4.	Papers covering passenger transportation charges, consisting of vouchers and related papers. (Individual travel papers are covered by item 5.)		
	a. Memorandum copy.	With related accounts.	Dispose 4 years after period covered by related account.
	b. Obligation copy, if different from copy described in item 4a.		Dispose when funds are obligated.
5.	Records relating to official travel of officers, employees, dependents, or others authorized to travel by law (exclusive of records covered by items 1 and 4).		
	a. Travel administrative unit copies.	In folders arranged alphabetically by name of employee; break file every 2 years.	Dispose after 4 years.
	b. Obligation copies.	In appropriate fashion for posting.	Dispose when funds are obligated.
6.	Schedules of valuables shipped, and related papers and reports.	Chronologically in case fashion.	Dispose after 4 years.

Item 1. These records are required by the General Accounting Office in its comprehensive reaudit of World War II freight charges. The export certificates are the key documents affecting freight charges for material destined for overseas shipment; transit certificates document in-transit storage of freight; demurrage car record books show cars involved in freight demurrage and related data; and shipping documents giving a detailed description of the materials shipped are essential in determining proper freight classifications. It is around these points that controversies over freight charges usually revolve, and therefore for the time being these files are designated as records of continuing value since they must be retained until completion of the reaudit program.

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

Item 3. These files, which document all shipment transactions, are held long enough to satisfy agency legal and administrative needs and General Accounting Office normal audit requirements. They include all papers accumulated during the shipping transaction (except the specialized papers covered by item 1), such as bills of lading, demurrage reports, shortage and overage reports, check-off sheets, delivery tickets, related correspondence, and registers summarizing essential data appearing on each bill of lading issued. The ten-year period is sufficient for accounting adjustments, and claims can normally be adjudicated on the basis of the originals of papers that are sent to the General Accounting Office.

Item 4. These papers pertain to the payment to carriers for the transportation of personnel authorized by law to travel. Memorandum copies of the payment vouchers, and supporting papers which may be required from time to time by the General Accounting Office, are held as long as the agency accounts to which they relate. Memorandum copies of the accounts are covered by item 1 of General Records Schedule 6. Originals of these papers are forwarded to the General Accounting Office for centralized audit. The obligation copies of vouchers, which represent additional copies that may be made by the agency if the formal memorandum copy is not used for fund control purposes, have no value once the expenditure and appropriation data are posted to agency control ledgers. The records covered by this item relate to agency payments to carriers for groups of passengers transported. Travel records pertaining to individuals are covered by item 5.

GENERAL RECORDS SCHEDULE 9

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

Papers covered by item 5a include also transportation request files. The originals of transportation requests are surrendered to the carrier by the traveler, while a retained carbon copy of each is held as a check against the originals, which are returned by the carrier with his bill and which become part of the agency accounts. The carbon is disposable after 4 years. Transportation requests which are unused, void, or otherwise canceled, as well as the empty request book covers, are not record material. They are disposable as soon as the request numbers involved are posted to the agency travel request accountability record as required by General Regulations 108 of the Comptroller General. The accountability record itself is disposable under this item 4 years after all entries on the record are cleared.

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

GENERAL RECORDS SCHEDULE 14

Informational Services Records

This schedule covers certain records created since January 1, 1921, pertaining to informational services performed by Government agencies in their day to day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6, however, are applicable only to files maintained in formally designated informational offices to which has been assigned responsibility for the operation of the informational activities of the agency or a subdivision thereof.

Since formal informational releases represent an agency's contemporary explanation to the public of its program, policies, and accomplishments, these end products are of considerable value for future research. The records designated as disposable by this schedule are not the only other types of records created by Federal agencies in connection with their relations with the public, but in many offices they are relatively voluminous and may be disposed of after a very short time. Essentially they consist of routine inquiries, replies thereto, other correspondence in which no unusual administrative decisions, policies, or efforts are involved, and administrative background materials for formal informational releases. Closely related records, such as certain records relating to budget presentation and printing, duplicating, and distribution records, are covered by other general records schedules.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations, and indexes thereto.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 4 years after close of file.)
2.	Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Conform to agency practice. Start a new file every 2 years.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 2 years after break in file.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Requests for information and copies of replies thereto, involving no administrative action, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs and other informational literature.	Chronologically.	Dispose 3 months after transmittal or reply.
4.	Acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply.	Chronologically.	Dispose 3 months after acknowledgment and referral.
5.	Daily press service teletype news.	Chronologically.	Dispose after 3 months.
6.	Informational services project case files maintained in formally designated informational offices.	By project. Start a new file every year.	Dispose 1 year after close of file or 1 year after completion of project if method of filing differs from that suggested herein.
7.	Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated in individual personnel records.	Chronologically.	Dispose after 3 months.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
8.	Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Conform to agency practice.	Dispose when superseded or obsolete.

Item 1. These records document the public release of information concerning agency activities and accomplishments. It is incumbent upon the agency to determine where and in what manner the record series of these releases are retained (see General Records Schedule 13, item 1). Other copies, if filed separately, may be considered nonrecord and may be disposed of when of no further reference value; if integrated in general subject files they may be disposed of in the same manner as the file of which they are a part.

Item 2. The value of these records will vary greatly from agency to agency and even from bureau to bureau within a single agency. Some of the files, such as correspondence concerning the use of copyrighted material, may have long term legal value and other segments of the files may have continuing historical and research values.

Items 3 and 4. These records are of transitory value and after the lapse of time specified they will not have sufficient value to warrant their preservation. Inquiries and requests from the public are of such a nature that the retention of the material for statistical purposes would serve no significant purpose.

Item 5. These records keep agency officials posted on current news events and at times are of vital importance in the formulation of agency policy decisions. The information contained in these records is available with more comprehensive coverage in the daily newspapers, libraries, or in the organization issuing the releases.

Item 6. These records are accumulated in the preparation of agency informational releases (item 1). They consist chiefly of preliminary drafts, copies of requisitions and distribution lists, statistical compilations and work papers used in the preparation and issuance of formal informational releases. Basic data supporting the formal releases resulting from research or other work done in operating offices are retained in the operating offices engaged in program activities covered by the release.

Item 7. Those anonymous letters and letters of commendation, complaint, criticism, and suggestions and replies for which investigations or administrative action has been taken are not covered by this item. The residue are of little use in the documentation of agency programs and are of no value beyond the specified time.

Item 8. These records are of no value as finding aids unless kept current and those that are useful as indexes are retained under the provisions of item 1.

GENERAL RECORDS SCHEDULE 17

Cartographic, Photogrammetric, and Related Records

This schedule covers cartographic, photogrammetric, and related records that have been created, used, or located in agencies of the Federal Government. Disposal authorizations contained herein are not applicable to records created before January 1, 1860. Records created prior to that date are not disposable unless specific approval of their disposal is obtained from the Congress.

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

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

This schedule covers the principal categories of records that are common to several or all agencies. Records not included are of such a specialized character that they are not readily susceptible to evaluation on a Government-wide basis. For example, the schedule covers annotated maps used in intermediate stages of the preparation of a published map. These annotated maps are essentially working papers used by all map-making agencies in similar ways. Annotated maps that are unique and an end in themselves are not, however, covered. This is because it is impossible to state in general terms which of these have enduring value and which are disposable. Among such records are military campaign and order of battle maps, international boundary maps, cadastral maps, and maps showing property lines and rights of way.

The map-making and map-using activities of the Government have increased many times over during the past several decades and the making of a modern map has become exceedingly complex. This is largely the result of the development of photogrammetry, the science of obtaining reliable measurements of the earth's surface by means of photography.

The rapid increase in mapping activities and the complex methods required to achieve a final product have resulted in the creation of a large volume of records of varying degrees of importance. Most of these records lose their usefulness after specified periods of time and can therefore be disposed of. Certain records, created or used in the process of making a map, however, have continuing value. They should be transferred to a Federal Records Center or to the National Archives when they are no longer needed in the current operations of the agency holding them. Normally cartographic and related records created or used in offices outside the Washington area should be transferred to the nearest Federal Records Center. In the Washington area records of continuing value should be transferred to the National Archives or the Region 3 Federal Records Center.

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

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

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

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

CARTOGRAPHIC RECORDS

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

GENERAL RECORDS SCHEDULE 17

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

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

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

PHOTOGRAMMETRIC RECORDS

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

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

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

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

RELATED RECORDS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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