

[REDACTED]
INFORMATION AND RECORDS MANAGEMENT

HHB [REDACTED]

RECORDS DISPOSITION HANDBOOK

DISTRIBUTION: [REDACTED]

Approved for Release

Date June 1992

FOREWORD

References: [REDACTED] and [REDACTED]

1. This handbook contains procedures for Agency employees to follow in carrying out the Records Disposition Management Program. The objectives of records disposition management are to identify records as having either temporary or permanent retention value; to develop and maintain a continuing records scheduling program; to retain in office space and storage equipment only the minimum records needed for efficient operation; to transfer to the Agency Archives and Records Center those records that cannot be disposed of immediately but need not be maintained in more expensive office space and storage equipment; to dispose, after the lapse of specified and approved retention periods, of those records not having sufficient value to justify their further retention; and to preserve those records having permanent value.

2. [REDACTED], Office of Information Services, Directorate of Administration, is responsible for developing, coordinating, and monitoring the Records Disposition Management Program for the Agency. This handbook may be implemented in such manner as to accommodate the unique records disposition management requirements of individual components. With the concurrence of Chief, [REDACTED], procedures may be modified, consistent with the Agency regulatory system ([REDACTED]), as necessary in the context of this program.

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Deputy Director
for
Administration

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INFORMATION AND RECORDS MANAGEMENT

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CHAPTER II: PREPARATION, COORDINATION, AND APPROVAL OF RECORDS CONTROL SCHEDULES

5. DEVELOPING A RECORDS CONTROL SCHEDULE

a. GENERAL

The two basic phases in developing a records control schedule are:

- (1) An inventory to identify records series, volume, and location.
- (2) A comprehensive records series evaluation to determine retention periods.

b. THE INVENTORY OF RECORDS

The records inventory is a list of each type of records within an office. It describes each records series, its location, and other pertinent information. The inventory is the heart of records scheduling and should be conducted in a thorough manner by records officers. Each series of records should actually be reviewed and measured. The records management officer (RMO) should not rely solely on the existing records control schedule and oral descriptions by operating personnel.

- (1) Use Form [REDACTED] Records Inventory Work Sheet (Figure 1), which may be obtained from the [REDACTED]
- (2) Use existing records control schedules and the General Records Schedules issued by NARS (see paragraph c) as guides in collecting the information needed to develop revised schedules. Work closely with the operating personnel responsible for the records in order to obtain answers to questions about each records series.
- (3) Prepare Form [REDACTED] by hand, in one copy only, and use a separate form for each records series identified. Each records series and its component parts will usually constitute one schedule item when later preparing the records control schedule; some series may be combined into one schedule item.
- (4) Use the instructions furnished in Figure 1 to complete Form [REDACTED]

c. EVALUATING RECORDS SERIES TO DETERMINE RETENTION PERIODS

Records series must be evaluated in order to determine which records should be destroyed, which should be preserved, and what retention periods are necessary. Retention values for particular records are determined on the basis of their administrative, fiscal, legal, scientific and technological, evidential, historical, or informational value. Following this basic evaluation, it also must be determined whether the records serve a long- or short-term purpose. General evaluation guidance is provided in NARS handbook "Disposition of Federal Records," Table 4, Permanent Records Appraisal Guidelines (attached as Appendix D).

d. WRITING THE RECORDS CONTROL SCHEDULE (FORM [REDACTED])

After the survey is completed and the records evaluations are made, the records control schedule should be prepared. Records control schedules provide for the systematic disposition of record and nonrecord material either by permanent preservation, destruction within the office area, transfer to another component, or transfer to the Agency Archives and Records Center for eventual disposal or preservation.

(1) General Guidelines

- (a) The fact that a system of records is published in the Federal Register under the requirements of the Privacy Act of 1974 must be considered when preparing or amending the records

control schedule. Offices with published records systems must ensure that the retention and disposal statement in the Federal Register is consistent with the disposition instructions in the records control schedule. Any substantive difference must be brought to the attention of the Chief, Information and Privacy Division, OIS/DDA, and the Office of General Counsel (OGC) so that the retention and disposal statement in the Federal Register can be amended accordingly. (See also HHB)

- (b) The following statement must be included in parentheses at the end of each applicable records control schedule description: "(Published in the Federal Register. Notification of Systems of Records, Privacy Act of 1974. The Federal Register must be amended if this system is changed or discontinued.)"
- (c) The records control schedule description covering record copies should begin: "Record copy of" An office maintaining duplicates of records for which another office is the office of record should identify those records in the description: "Duplicate copies of (AB is the office of record.)"
- (d) Below are some questions that should be answered in developing records series descriptions and disposition instructions.
 - (1) Is this the office of record? If so, the disposition instructions must provide for the maintenance and disposition of the record copy. If not, the instructions must provide for the disposal of duplicate copies, which usually have a shorter retention period. Refer to paragraph (c) above.
 - (2) What purpose do the records serve—convenience, reference, policy, housekeeping, management, research, supplemental documentation?
 - (3) What does the term "project file" mean when used to describe records in this office? Are the records:
 - (a) A gathering of data to produce a report, publication, briefing, or some other published end product?
 - (b) A collection of data to develop an invention or material item other than a written product?
 - (c) A collection of data for use with any requirement that may arise in a particular area (usually background and reference information)?
 - (d) Data used to monitor a specific event or action without necessarily developing further action?

(These explanations will assist the appraiser in determining the retention value of the many series that may be described as "project" records.)

- (e) Below are some preferred terms or phrases to be used when writing records descriptions and disposition instructions.
 - (1) "Destroy" rather than "dispose."
 - (2) "Transfer" rather than "retire, ship, forward, or send."
 - (3) "Record copy" rather than "original."
 - (4) Duplicates should be called "duplicates" and nonrecords should be called "nonrecords" rather than "copies."
 - (5) "Hold" rather than "retain."
 - (6) "Screen" rather than "purge."
 - (7) "Sanitize" rather than "sterilize."
 - (8) "Erase" rather than "degauss."
 - (9) When describing logs or control cards, use as a general term "control records."

(2) Guidance for Completing Form [REDACTED] Records Control Schedule (Figure 2) and Form [REDACTED] Continuation Sheet (Figure 2a)

(a) Schedule No.

All records control schedules are numbered in accordance with the assigned Office of Primary Interest (OPI) number followed by the year of preparation (e.g., 0000-S1).

(b) Directorate/Office

Enter the appropriate office designation.

(c) Item Number

Beginning with number one, list and number each records series consecutively, starting with series common to the entire directorate/office and continuing with unique records series for each component within the directorate/office.

(d) File Identification

Describe each records series precisely. If the records are part of an automated data processing (ADP) system, the system alone may be considered a records series or the user may view the system as belonging to a larger series of records. This series description must accurately identify the records and help determine the prescribed disposition. Each file identification consists of six elements:

- (1) The title or name of the file.
- (2) A meaningful description of the file.
- (3) A brief statement of the specific function or operation for which the file is maintained.
- (4) The file arrangement (not necessary for automated data processing systems).
- (5) Storage medium; e.g., microfilm, punchcards.
- (6) The inclusive dates of the file (e.g., 1964-1979 or 1976 to present).

(e) Volume

Enter the total volume in cubic feet of each permanent file series and the estimated annual growth; e.g., 120/10. Include all records in the series, whether located in the office or in AARC. In determining volume, fractions are rounded to the nearest half foot.

(f) Disposition Instructions

Entries in this column are made only after careful evaluation of the records series, based on guidance provided in paragraph 5c. The disposition instructions consist of the following elements:

- (1) Each instruction should begin by indicating whether the record series is "PERMANENT" or "TEMPORARY." All disposition instructions must specify the total retention period followed by complete instructions for file cutoff, transfer, and destruction. Examples:

Temporary. Destroy 2 years after cutoff. Cut off at end of each calendar year, hold in current files area for 2 years and destroy.

Temporary. Destroy 3 years after cutoff. Cut off at end of each calendar year, hold in current files area for 1 year, then transfer to AARC for 2 years and destroy.

Permanent. Cut off at end of each calendar year, hold in current files area for 2 years, then transfer to AARC.

Permanent. Transfer to AARC when no longer needed in the current files area.

- (2) Disposition instructions for microfilmed records will provide for the disposition of the microforms as well as the original records.

- (3) The General Records Schedules, previous NARS approvals, or any other officially established disposition authority must be cited in parentheses at the end of the disposition instructions of the records to which they apply; e.g., (GRS 15-6a), (NC-123-76-45).

(GAO Title 8). If the proposed disposition differs from the authorized disposition, justification must be provided on a separate sheet, cross-referenced to the schedule item citing the authority.

6. COORDINATION AND APPROVAL OF RECORDS CONTROL SCHEDULES

<u>WHO</u>	<u>DOES WHAT</u>
a. RMO	Forwards draft of schedule to [REDACTED] for review.
b. [REDACTED]	Reviews schedule and discusses any questions with RMO.
c. RMO	(1) Incorporates any changes made to the schedule and prepares final draft. (2) Forwards draft to [REDACTED]
d. [REDACTED]	(1) Coordinates draft schedule with Agency Archives and Records Center. (2) Contacts NARS representative to arrange for NARS review.
e. NARS Representative	Reviews draft schedule and recommends any changes to [REDACTED]
f. [REDACTED]	Coordinates changes recommended by NARS representative with RMO.
g. NARS Representative	Reviews changes and approves final draft.
h. [REDACTED]	(1) Prepares final schedule (see Figures 2 and 2a) and SF 115, Request for Records Disposition Authority. [REDACTED] [REDACTED] (2) Coordinates final schedule and SF 115 with originating office and obtains signatures of RMO and office/directorate head, approving content and security classification; obtains OGC concurrence where appropriate. (3) Forwards original and one copy of SF 115 to NARS. (4) Forwards one copy of records control schedule and SF 115 to Office of External Affairs, Legislative Liaison Division (LLD), for transmittal to the SSCI. (5) Holds original copy of records control schedule and one copy of SF 115 with coordination sheet until approval received from NARS.
i. NARS	If clarification is necessary on an SF 115, notifies C/ [REDACTED]
j. C/ [REDACTED]	(1) Hand-carries records control schedule to NARS for meeting. (2) When approved SF 115 is received from NARS, notes on the original records control schedule any changes made by NARS.
k. [REDACTED]	(1) If any changes were made by NARS, sends a copy of each amended page of records control schedule and SF 115 to LLD for the SSCI. (2) Distributes copies of records control schedule and SF 115 as follows: Form [REDACTED] and SF 115— [REDACTED] (Office of Record). 1 of each—Directorate RMO. 1 of each—Responsible RMO (if other than directorate RMO). 1 of each—AARC.

Upon receipt of the approved schedule, the office may transfer records to AARC as authorized by the disposition instructions. No destruction of records may occur under the approved schedule until 60 days after receipt of the records control schedule and SF 115 by the SSCI. [REDACTED] will inform the RMO of the expiration of the 60 days in the transmittal memo covering their copy of the records control schedule and SF 115. Any amendments made to the records control schedule must be handled in the same manner.

7. AMENDMENTS TO RECORDS CONTROL SCHEDULES

FPMR 101-11.401-3(e) requires that records control schedules be reviewed annually and amended as necessary to maintain currency. Amendments are necessary to reflect organizational changes, the creation of new file series, conversion of a file series to a different medium, transfer or deletion of existing file series, or substantive changes in item identifications or disposition instructions. It is the responsibility of the RMO's to ensure their records control schedules are current.

- a. When changes to a records control schedule involve the addition of a new file series, conversion of a file series to a different medium, substantive changes in item identifications, or changes in retention periods, the procedures in paragraph 6 should be followed.
- b. Amendments such as organizational changes, discontinuance of file series, or transfer of files from one office to another do not require resubmission of an SF 115 to NARS. Requirements for effecting such changes are:

(1) Discontinued File Series or Organizational Changes

RMO's are responsible for informing [REDACTED] in writing of any discontinued file series or intradirectorate organizational changes explaining the nature of the change and effective dates. The original and one copy of the memo should be sent to [REDACTED] via the directorate RMO, with one copy to AARC. [REDACTED] will retain the original with the record copy of the records control schedule and forward one copy to the SSCI via LLD.

(2) Transfer of Files

Interoffice transfers of files are effected by memorandum signed by both the transferring and the accepting office. It is the responsibility of the RMO's of each office to amend their records control schedules to reflect the transfer. The RMO of the accepting office should add the new records series to his or her records control schedule, identifying the transferring office, old records control schedule item number, and date received, and forward an original and one copy of the Form [REDACTED] to [REDACTED] and one copy to AARC; [REDACTED] will distribute the original and one copy as in paragraph 7b(1) above.

8-9. Reserved.

CHAPTER III: IMPLEMENTATION OF APPROVED RECORDS CONTROL SCHEDULES

10. THE RECORDS INFORMATION SYSTEM

- a. An important part of the Agency's control over records transferred to the AARC is a computer system called the Archives and Records Center Inventory System (ARCINS). ARCINS is a subsystem of The Records Information System (TRIS), a computer-based records management system being developed by OIS.
- b. All records transferred to AARC are entered into the ARCINS system by job number, box number, folder number, folder title, and inclusive dates. When completed, ARCINS will provide an index to all file folders deposited in AARC.
- c. Another subsystem planned as a part of TRIS is the Records Center and Archives Management System (RAMS). It is envisioned that this system will consist of a network of online terminals connecting AARC with RMO's throughout the Agency. The system is intended to reduce the paperwork required in depositing, accessioning, maintaining, referencing, servicing, and disposing of retired records by enabling these transactions to be conducted via computer.

11. RECORDS DESTRUCTION POLICY

- a. Before destroying any records, an employee must consult the component RMO and the custodian of the records to ensure that the records are scheduled for immediate destruction on an approved records control schedule.
- b. Records relating to pending Freedom of Information Act (FOIA) or Privacy Act (PA) requests to the Agency are subject to additional retention periods established by the Archivist which are included in the records control schedules. Normally, requested records are duplicated in their entirety at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request using Form [REDACTED] Information Request Flag (Figure 4), and must be segregated from the records series at the time the records series is being processed for destruction. Alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.
- c. Records being processed for destruction must be checked to determine whether they are related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress. The initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by OGC and LLD to the component RMO through the Agency and directorate RMO's. If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form [REDACTED] Request for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate RMO's to [REDACTED]. The Agency RMO must obtain the concurrence of OGC prior to approving the actual destruction of the records. (If approval is denied, the Agency RMO must submit to the Archivist a request for authorization to retain the records longer than originally scheduled.)
- d. In addition to notifying the Director of Central Intelligence, OGC, and the Inspector General as required in [REDACTED], [REDACTED] should be notified if any improper files on United States citizens or resident aliens are identified using the criteria of Executive Order 12333, 4 December 1981, Section 2, Conduct of Intelligence Activities.

12. PROCEDURES FOR DESTRUCTION OF RECORDS IN OFFICE AREA

WHO

DOES WHAT

- | | |
|--------------------------------|---|
| a. Records Custodian | Consults with RMO regarding records to be destroyed. Identifies records pertaining to FOIA and PA requests or containing information related to any item on the OGC-LLD Records Retention Requirements List. |
| b. Component RMO | <ol style="list-style-type: none"> (1) Verifies that records are scheduled for immediate destruction per the approved records control schedule. (2) If not, either authorizes records to be held until due for destruction or prepares amendment to the records control schedule in accordance with paragraph 7. (3) If records are due for destruction, checks the records against the OGC-LLD Records Retention Requirements List. If records are free of OGC and LLD interest and do not contain records pertaining to FOIA or PA requests, authorizes destruction of records. (4) If records contain information related to an item or items on the OGC-LLD list or information that might be of possible interest to OGC or LLD, prepares an original and four copies of Form [REDACTED] (Figure 5). (5) Forwards original and four copies of Form [REDACTED] to directorate RMO. |
| c. Directorate RMO | Reviews request and, if in agreement, signs Form [REDACTED] and forwards all copies to C/[REDACTED] |
| d. C/[REDACTED] | Reviews and assigns number to request, holds suspense copy, and forwards remaining copies of Form [REDACTED] to OGC. |
| e. OGC | <ol style="list-style-type: none"> (1) Determines if records should be retained or destroyed and checks appropriate box on Form [REDACTED]. If further retention required, recommends proposed new disposition instructions. (2) Retains one copy of Form [REDACTED] and forwards original and remaining copies to C/[REDACTED] |
| f. C/[REDACTED] | Approves or disapproves request based on OGC guidance and forwards Form [REDACTED] to C/[REDACTED] |
| g. [REDACTED] | <ol style="list-style-type: none"> (1) If records authorized for destruction, distributes Form [REDACTED] as follows: <ol style="list-style-type: none"> Original—[REDACTED] 1—Directorate RMO 1—Component RMO 1—Requesting Office (2) If some or all records are to be retained: <ol style="list-style-type: none"> (a) In coordination with the component and directorate RMO's and OGC, prepares a letter requesting extension of the retention period and forwards letter to NARS for approval with one copy to SSCI. (b) Forwards copy of approved letter with copy of Form [REDACTED] to component RMO, directorate RMO, and requesting office. |
| h. Component RMO/
Custodian | <ol style="list-style-type: none"> (1) If records are authorized for destruction, destroys records. (2) If records are to be retained, posts new disposition date on file and index. |

WHO

DOES WHAT

- (3) If some records are to be destroyed and others retained, flags those records to be retained with Form [REDACTED]. Posts new disposition date on file or index. Destroys remaining records.

NOTE: If records authorized for destruction consist of material containing silver or other precious metals (e.g., microfilm, photo paper, X-rays), contact [REDACTED] Office of Logistics (OL), for disposition instructions.

13. PROCEDURES FOR TRANSFERRING RECORDS TO THE AGENCY ARCHIVES AND RECORDS CENTER (AARC)

The following procedures can be used for any type of record. However, if data processing files are maintained for a custodian by the Office of Data Processing (ODP), the custodian and the custodian's RMO should consider using ODP's magnetic tape offsite storage procedures instead of the procedures stated below. ODP's procedures are published in the ODP Users Guide and are reprinted as Appendix E of this handbook.

a. SUPPLIES NEEDED

- (1) Boxes—records center boxes are available in [REDACTED]. OL. Check with RMO if special boxes are needed.
- (2) Form [REDACTED] Records Retirement Request—available in [REDACTED] (Figure 6).
- (3) Form [REDACTED] File Review Worksheet—available in [REDACTED] (Figure 7).
- (4) Form [REDACTED] Records Storage Box Label—available in [REDACTED] (Figure 8).
- (5) Form [REDACTED] Record of Top Secret Documents Transferred to Agency Archives and Records Center—available in [REDACTED] (Figure 9).

b. PROCEDURES

WHO

DOES WHAT

- | | |
|--------------------------|--|
| <p>(1) Custodian</p> | <p>(a) Checks records against applicable items of records control schedule to ensure compliance with disposition instructions.</p> <p>(b) Prepares Part I of Form [REDACTED]. The description in Part I should include name of file series, content and arrangement of records, function or purpose for which files were created, inclusive dates of files, and media of records (e.g., paper, microfiche, magnetic tape). NOTE: More than one series of records may be transferred under the same Form [REDACTED] but only if the applicable records control schedule items have the same disposition date.</p> <p>(c) Forwards Form [REDACTED] to component RMO. If Top Secret (TS) or SCI material is included in records to be transferred, note either TS or appropriate SCI system designator on the form.</p> |
| <p>(2) Component RMO</p> | <p>(a) Reviews Form [REDACTED] for completeness and verifies that records are eligible for transfer. Completes Part II of Form [REDACTED].</p> <p>(b) Forwards original and four copies of Form [REDACTED] to accessioning unit of AARC with note if there are any special circumstances concerning the transfer.</p> <p>(c) When copy of Form [REDACTED] with job number is received from AARC as authorization to transfer records, notifies records custodian to prepare the records for transfer.</p> |

WHO

DOES WHAT

- (3) Custodian
- (a) Removes and destroys duplicates and ensures proper filing arrangement of records. Checks labels for proper file titles and inclusive dates.
 - (b) Packs the records in the boxes without disturbing the existing filing arrangement. Viewing the small, seamless end as the front of the box, places files in the boxes as follows: letter-size files in front-to-back order and legal size files in left-to-right order. Leaves room in the boxes so that folders can be removed easily for reference.
 - (c) Numbers folders consecutively within each box (front-to-back or left-to-right, as appropriate) beginning with No. 001 for each box. Numbers each folder on the upper right corner of folder tab or upper right corner of documents not contained in folders. (Odd-size material such as magnetic tapes, belts, cassettes, microfilm cartridges, or individual microfiche should be numbered as file folders. A tray of microfiche may be numbered as one folder if its content involves a single subject; in this case, reference service to individual microfiche within the tray will not be provided—instead the entire tray must be retrieved.)
 - (d) Completes Form [REDACTED] File Review Worksheet, in triplicate, following the instructions printed on the back of that form. NOTE: AARC services reference requests only to the level at which they are entered on Form [REDACTED], e.g., if there is only one entry per box, the whole box must be recalled.
 - (e) Completes Form [REDACTED] if collateral TS documents are included in the job. Flags individual collateral TS documents so they can be seen upon opening the box. (Form [REDACTED] Control and Cover Sheet for Top Secret Document, has a tab that serves this purpose. Green cardboard tabs are available from AARC if needed. For microfiche, the tabs should be cut to a 4½-inch length and inserted in the front of the microfiche envelope.)
 - (f) If SCI material is involved, follows established security and administrative procedures furnished by RMO.
 - (g) Completes Form [REDACTED] Records Storage Box Label, for each box. Cites any access restrictions on Form [REDACTED]. Affixes label to the upper left corner of the small, seamless end of the box.
 - (h) Contacts component RMO for review of boxes and paperwork.
- (4) Component RMO Reviews files and paperwork for completeness and furnishes any special instructions necessary.

c. DISTRIBUTION OF FORMS [REDACTED] AND [REDACTED] AND SHIPPING INSTRUCTIONS

- (1) Form [REDACTED] Record of Top Secret Documents Transferred to Agency Archives and Records Center

Original and 2 copies—To AARC with records. (AARC verifies, signs, and returns one copy to area Top Secret Control Officer (TSCO). AARC retains copy and sends signed original to Agency TSCO.)

1—Retained by custodian.

1—Sent to area TSCO prior to shipment of records as suspense copy.

(2) Form File Review Worksheet

Original—Sent to [REDACTED] OIS, for input into ARCINS. (Once data is input and verified, [REDACTED] will send two copies of computer-generated shelf list to component RMO.)

1—AARC with records.

1—Component RMO as holdback.

(3) Boxes of Records

(a) If the total number of records center boxes is 10 or less, the boxes will be picked up during the regular courier pickup.

(b) If there are 10 or more but less than 50 boxes, call the [REDACTED] OL, to arrange for pickup.

(c) If there are 50 or more boxes, the RMO will call AARC to arrange for transport. The AARC needs the following information:

(1) Number and type of boxes.

(2) Location where the records are to be picked up.

(3) Name and extension of custodian.

(4) Any other applicable information if the shipment is unusual.

d. INSTRUCTIONS FOR TRANSFERRING MICROFILM

Basically the same procedures established in paragraph 13b should be followed for transferring microfilm to AARC. Below are some additional instructions to be followed for microfilm records.

(1) Documentation, Verification, and Certification

(a) The fact that the records are on microfilm must be made a part of the description on Form [REDACTED], e.g., "records are on 16mm microfilm," "records are on microfiche," or a similar statement that adequately describes the medium. If microfilm is the record copy, a certification statement that the microfilm has been verified must be on the Form [REDACTED] and should read: "The microfilm described hereon was produced in the normal course of Agency operations and has been verified as a complete and accurate copy of the original record." It is the responsibility of the creating office to ensure that microfilm is verified where required.

(b) If the microfilm is a permanent record, the silver original (or a silver duplicate) plus one copy (which may be silver, diazo, or vesicular) must be transferred to AARC. Two job numbers and therefore two Forms [REDACTED] are necessary for permanent microfilm due to the separate storage locations of the original and duplicate copies at AARC (see paragraph (3) below). The original silver and duplicate must be transferred in separate containers. The film should be arranged identically in each container. Each Form [REDACTED] should indicate whether the microfilm is the silver original or the silver, diazo, or vesicular duplicate. Two identical sets of Form [REDACTED] are required, one for each job number. NOTE: This procedure is necessary because the silver original is not used for reference purposes.

(c) The fact that the records consist of microfilm must be recorded in the column headed "Medium" on the Form [REDACTED]

(2) Storage Containers for Microfilm

(a) Roll film is transferred to AARC in 5 x 12 x 15 inch boxes. Microfiche is transferred in 4 1/4 x 6 1/4 x 15 inch boxes. Both boxes are available from AARC.

(b) Foreign materials such as rubber bands, paper clips, or string must not be used to hold film on reels. Only acid-free paper strips may be used for this purpose. Microfiche must be independently filed in acid-free envelopes in the storage containers without using paper clips, rubber bands, or other items to bind them together.

(3) Storage Facilities for Microfilm

The silver original of permanent microfilm and of microfilm used to generate reproduction masters is stored in the cool room. Temporary microfilm and duplicates of the permanent silver original microfilm are stored in the normal stack areas.

(4) Use of Microfilm

The silver original of permanent microfilm must not be used for reference or verification purposes. It may be used only to produce additional duplicates as necessary.

14. REFERENCE TO RECORDS TRANSFERRED TO THE AGENCY ARCHIVES AND RECORDS CENTER

Reference requests that conflict with restrictions established by the office that transferred the records will not be honored. Depositors placing restrictions on transferred records are required to abide by the handling instructions they impose. At no time will AARC personnel be asked to open a container of records on which restrictions have been placed to prohibit servicing for reference needs; depositors must recall, control, and handle the entire container. When records containing Top Secret documents are recalled from AARC, the Top Secret documents must be sent to the requesting office via the area TSCO. The records withdrawal request must be coordinated with the area TSCO, and the requesting office should indicate how long the records will be retained by that office. If the records are to be retained for longer than 60 days or on a permanent basis, the requesting office must annotate its copy of Form [REDACTED] to show which documents are being retained and send one copy of the form to the area TSCO. The area TSCO must complete a Form [REDACTED] Record of Document Transaction, indicating the change in location of the documents, and forward it to the Agency TSCO. The requesting office also must coordinate the return of the Top Secret documents to AARC through the area TSCO. When records are recalled from AARC, it is the responsibility of the requesting office to ensure that the records are returned as soon as possible. When records are recalled from AARC on a permanent basis, the request must be signed by the component RMO. Routine requests for reference service to records transferred to AARC will be made by completing a Form [REDACTED] Archives & Records Center Service Request (Figure 10). It is important that all information requested on this form be filled in. A separate Form [REDACTED] should be completed for each job number.

a. GUIDANCE FOR COMPLETING FORM [REDACTED] ARCHIVES & RECORDS CENTER SERVICE REQUEST

(1) No. and Date Served

Do not fill in No. and Date Served boxes; these will be filled in by AARC.

(2) Date

Enter the date of the request.

(3) Box Number

Enter the box(es) being recalled or the box in which individual folders being requested are filed.

(4) Job Number

Enter the job number under which the records were transferred (ONLY ONE JOB NUMBER PER REQUEST FORM).

(5) Action Requested

Enter the type of action required; e.g., loan, permanent retention, or information.

(6) Name of Requester

Enter the name of the person requesting the service.

(7) Office and Telephone Extension

Enter office OPI number and telephone number of the requester.

(8) To

Enter the name and complete address of the person to whom the records are to be sent.

(9) Log Data

Indicate whether the material is to be used for FOIA, Privacy Act, congressional investigations, or other purposes. If an individual folder is requested, enter the folder number and title and special instructions, as necessary. Multiple folders may be requested on a single Form as long as the folder numbers are in consecutive sequence (i.e., folders 1, 2, and 3, or 15 through 20); otherwise a separate Form must be prepared for each folder.

b. TYPES OF REFERENCE SERVICE

(1) Routine Service

This service requires about 36 hours; e.g., requests mailed one morning usually are filled and returned to the headquarters mailroom the next day. To obtain routine service, complete a Form, retain the last copy, and send the remaining three copies to AARC. Some offices find it desirable to require that all requests for reference service be made by or channeled through one or two persons in the office. The names of such persons should be on record at AARC.

(2) Priority Service

This service requires about eight hours. To obtain priority service, call the component RMO, explain the need for such service, and furnish component RMO with the same information required on the Form. Telephone requests will be honored only when they come from the component RMO or alternates who have written authorization.

(3) Emergency Service

This service requires only the time it takes to pull the record and deliver it to the requester; e.g., about one and a half hours. To obtain emergency service, call the component RMO, explain and justify the need for emergency service, specify the time the records are needed, and furnish component RMO with the same information required on Form. Emergency service will be provided only at the request of the component RMO or alternates who have written authorization.

(4) Afterhours Service

This service requires about two hours. To obtain afterhours service, follow procedures set up by the component RMO.

c. VISITORS TO THE AGENCY ARCHIVES AND RECORDS CENTER

Visitors to the Agency Archives and Records Center are required to call one day prior to their arrival to inform the Chief, AARC of their planned visit giving date, name, and purpose of visit so that arrangements can be made for admittance to the site. Visitors will adhere to the escort requirements at all times. Visitors will refrain from smoking, eating, drinking, or having containers or vases of liquid in any area where records are stored or are being worked on while visiting the Archives and Records Center.

15. PROCEDURES FOR DESTRUCTION OF RECORDS HELD IN THE AGENCY ARCHIVES AND RECORDS CENTER

The following procedures will be followed when the scheduled destruction date arrives for temporary records transferred to AARC.

a. BASIC PROCEDURES

WHO

DOES WHAT

(1) AARC

(a) Prepares original and three copies of Form Request for Authorization to Destroy Records in AARC (Figure 11), completing items 2 through 7.

WHO

DOES WHAT

- (2) Component RMO
 - (b) Retains last copy as suspense.
 - (c) Forwards original and two copies to component RMO.
 - (a) Consults with custodian of records to see if records are still needed and checks OGC-LLD Records Retention Requirements List.
 - (b) If records are not needed and are free of OGC or LLD interest, checks fourth block on Form [REDACTED] destroy all), signs, has custodian sign, and returns original and one copy of Form [REDACTED] to AARC. (Proceed to Step 15a(5)(b).) If records contain information related to an item on the OGC-LLD list, follows procedures in paragraph 15b. If records are free of OGC-LLD interest but some or all are still needed, checks first or second block on Form [REDACTED] (retain all; retain partial).
 - (c) Provides proposed new disposition instructions and justification for continued retention of records under Section 8 (Remarks) of Form [REDACTED]
 - (d) Signs and forwards original and one copy of Form [REDACTED] to [REDACTED] through directorate RMO with a copy of Form [REDACTED] pertaining to the job and, if only a portion of the records are to be retained, a copy of the shelf list annotated to show which records are to be retained.
- (3) Directorate RMO
 - Reviews request and, if in agreement, forwards to [REDACTED]
- (4) [REDACTED]
 - (a) Prepares a letter requesting extension of the retention period and forwards letter to NARS for approval with one copy to the SSCI.
 - (b) When approval is received from NARS, forwards Form [REDACTED] and one copy of approved letter to component RMO and one copy of approved letter to directorate RMO. [REDACTED] maintains original letter with record copy of records control schedule.)
 - (c) Forwards original and one copy of Form [REDACTED] with copy of approved letter and, if appropriate, shelf list to AARC.
- (5) AARC
 - (a) Posts new disposition date on Form [REDACTED] for records to be retained.
 - (b) Destroys records authorized for destruction. (If records consist of photographic material (such as microfilm) containing silver, they will be processed through appropriate channels for silver recovery.)
 - (c) Files original Form [REDACTED] with Form [REDACTED]
 - (d) Forwards one copy of Form [REDACTED] and [REDACTED] to RMO as notification of destruction.

b. ALTERNATIVE PROCEDURES FOR QUESTIONABLE RECORDS

First follow paragraphs 15a(1)(a) through 15a(2)(b) of Basic Procedures. Then proceed as follows:

WHO

DOES WHAT

- (1) Component RMO
 - (a) If records contain information related to an item or items on OGC-LLD list or information that might be of possible interest to OGC or LLD, checks third block on Form [REDACTED] (Questionable) and prepares original and four copies of Form [REDACTED]
 - (b) Signs Form [REDACTED] forwards original and four copies of Form [REDACTED] with original and one copy of Form [REDACTED] to [REDACTED] through directorate RMO.
- (2) Directorate RMO
 - Reviews request and if in agreement, signs Forms [REDACTED] and forwards forms to [REDACTED]

WHO

DOES WHAT

- | | |
|----------|---|
| (3) C/ | Reviews and assigns number to request, holds suspense copy of Form and both copies of Form and forwards remaining copies of Form to OGC. |
| (4) OGC | (a) Determines if records should be retained or destroyed and checks appropriate box on Form. If further retention is required, recommends proposed new disposition instructions.
(b) Retains one copy of Form and forwards original and remaining copies to Chief, /OIS. |
| (5) C/ | Approves or disapproves request based on OGC guidance and forwards Form to C/ |
| (6) C/ | (a) If records are authorized for destruction, forwards copy of Form to directorate RMO and component RMO.
(b) If some or all records are to be retained:
(1) In coordination with the component and directorate RMO's and OGC, prepares a letter requesting extension of the retention period and forwards letter to NARS for approval, with copies to the SSCI.
(2) Forwards copy of approved letter with Form to directorate RMO and component RMO. |
| (7) AARC | (c) Forwards one copy of Form with original and one copy of Form to AARC. (Also sends copy of approved letter of continued retention if records are to be retained.)
(a) If records authorized for destruction, destroys records. (If records consist of photographic material such as microfilm containing silver, they will be processed through appropriate channels for silver recovery.) Files Form and with and sends copy of Form and to component RMO as notification of destruction.
(b) If all records are to be retained, posts new disposition date on Form and files Form and approval letter with Form
(c) If some records are to be destroyed and others retained:
(1) Posts new disposition date on Form for records to be retained.
(2) Flags those records with Form records to be retained.
(3) Follows procedures in paragraph 15a above for records to be destroyed and distribution of forms. |

16. TRANSFER OF RECORDS TO THE NATIONAL ARCHIVES AND RECORDS SERVICE

- a. Permanent records may be offered for accessioning to NARS when no longer needed for the conduct of Agency business. When accessioned into NARS, these records are surveyed, screened, and then are made available to the public, according to any mutually agreed-upon access restrictions.
- b. The Administrator of General Services is authorized by 44 U.S.C. 2103 to "direct and effect the transfer to the National Archives of the United States of records of a Federal agency that have been in existence for more than thirty years and determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the United States Government, unless the head of the agency which has custody of them certifies in writing to the Administrator that they must be retained in his custody for use in the conduct of the regular current business of the agency."

c. The following procedures should be followed to transfer permanent records to NARS:

<u>WHO</u>	<u>DOES WHAT</u>
(1) Component RMO	(a) Prepares original and five copies of Standard Form 258, Request to Transfer—Approval and Receipt of Records (Figure 12), completing Items 1 through 5. (SF 258 is available from [REDACTED]) (b) Forwards all copies of SF 258 to C/[REDACTED] through directorate RMO.
(2) Directorate RMO	Reviews SF 258 and forwards to C/[REDACTED]
(3) C/[REDACTED]	(a) Reviews and signs SF 258. (b) Holds one copy as suspense and forwards original and four copies to NARS. (c) When approval to transfer records is received from NARS, sends one copy of approved SF 258 to component RMO through directorate RMO.
(4) Component RMO	Follows instructions provided by NARS on SF 258 for shipping the records to the National Archives.
(5) NARS	Signs and returns one copy of SF 258 to C/[REDACTED] as notification of receipt of records.

17. TRANSFER OF RECORDS TO ANOTHER FEDERAL AGENCY

In accordance with FPMR 101-11.409, NARS approval is needed for the transfer of records between agencies. The component RMO for the office requesting the transfer of its records to another agency should send a memorandum to C/[REDACTED] through the directorate RMO containing the following information:

- Office responsible for the records and agency to which records will be transferred.
- A concise description of the records to be transferred, including volume and inclusive dates, applicable records control schedule number, and item numbers.
- Any restrictions imposed on access to or use of the records.
- Number of reference requests per month, identification of requesters, and purpose of requests.
- Number of persons involved in administering the records.
- Present and proposed physical locations of the records.
- Why the proposed transfer is in the best interests of the Government.
- Justification for the transfer of records more than five years old.

C/[REDACTED] then will request the concurrence of the gaining agency and the approval of NARS. When approval is received, C/[REDACTED] will inform the component RMO where to ship the records. The records control schedule must be amended following the instructions contained in paragraph 7b.

18. DISPOSITION OF GIFTS

- [REDACTED] addresses Agency policy and procedures concerning the receipt and disposition of foreign gifts. The Director of Personnel is responsible for all foreign gifts accepted by Agency employees and will arrange for the appropriate disposition of such gifts.
- Records storage space at the AARC may be used to hold foreign gifts when necessary and appropriate.

Figure 2

OLD SCHEDULE AND ITEM NO(S).	NEW ITEM NO.	FILES IDENTIFICATION	CLASSIFICATION	VOLUME	DISPOSITION INSTRUCTIONS
<div style="text-align: right;">1413</div>					

RECORDS CONTROL SCHEDULE
CONTINUATION SHEET

FORM
8-74
DISPOSABLE
EDITIONS

Figure 2a

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		DATE RECEIVED	
1. FROM: AGENCY OR ESTABLISHMENT		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION			
3. MAJOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER		5. EXT	
6. CERTIFICATE OF AGENCY REPRESENTATIVE I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.			
<input type="checkbox"/> A Request for immediate disposal.			
<input checked="" type="checkbox"/> B Request for disposal after a specified period of time or request for permanent retention.			
C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM With Inclusive Dates or Retention Periods		9. SAMPLE OR JOB NO.
			10. ACTION TAKEN
1.	OFFICE SUBJECT FILES		
	a. Policy Files (120/10) Permanent. Cut off at end of each calendar year, hold in current files area for 2 years, then transfer to the Agency Archives.		
	b. Administrative Files (Non-record) Temporary. Destroy 2 years after cutoff. Cut off at end of each calendar year, hold inactive records in current files area for 1 year, transfer to the Agency Records Center for 1 year and destroy.		
	c. Chronological Files Temporary. Destroy 2 years after cutoff. Cut off at end of each calendar year, hold in current files area for 2 years and destroy.		

115-107

STANDARD FORM 115
Revised Apr. 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

Figure 3

INFORMATION REQUEST FLAG			
<p>THIS FORM IS USED TO SAFEGUARD FROM INADVERTENT DESTRUCTION RECORDS THAT ARE INVOLVED IN FREEDOM OF INFORMATION ACT OR PRIVACY ACT REQUESTS, LITIGATION OR MATTERS UNDER INVESTIGATION BY THE DEPARTMENT OF JUSTICE OR CONGRESS. IT MUST BE FILED IN THE FRONT OF A FOLDER TO LIST ALL DOCUMENTS IN THE FOLDER RELATED TO A SPECIFIC REQUEST (one form for each request) OR AS A SINGLE ATTACHMENT TO EACH INDIVIDUAL DOCUMENT. IT MUST NOT BE REMOVED FROM THE DOCUMENT OR FOLDER UNTIL THE RECORD SERIES IS DUE FOR DESTRUCTION IN ACCORDANCE WITH APPROVED RECORDS CONTROL SCHEDULES AT WHICH TIME DISPOSITION OF FLAGGED RECORDS WILL BE CHECKED WITH THE COMPONENT RECORDS MANAGEMENT OFFICER AND OTHER AUTHORITIES AND WILL BE DEPENDENT ON THE STATUS OF EACH REQUEST.</p>			
TYPE OF REQUEST			
PRIVACY ACT	CONGRESSIONAL INVESTIGATIONS	OTHER (Specify)	
FOIA	DEPT OF JUSTICE INVESTIGATIONS		
LITIGATION	MANDATORY CLASSIFICATION REVIEW		
REQUESTER		REQUEST NO.	
SUBJECT OF REQUEST		DATE OF REQUEST	
DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO. SYMBOL, DATE AND SUBJECT			
REMARKS		<input type="checkbox"/> CONTINUED ON SEPARATE PAGE	
DATE OF COMPONENT RESPONSE		DATE APPEALED (if applicable)	
<input type="checkbox"/> CONTINUED ON SEPARATE PAGE			
DO NOT REMOVE THIS FORM FROM THIS FILE			

FORM 9-77

INFORMATION REQUEST

Figure 4

SUBMIT ORIGINAL AND 4 COPIES TO ISAS

REQUEST FOR AUTHORIZATION TO RETAIN OR DESTROY QUESTIONABLE RECORDS		1. DESTRUCTION AUTHORIZATION NO. Assigned by [REDACTED]
TO : Chief, [REDACTED], DDA THRU: Component Records Management Officer Directorate Records Management Officer [REDACTED]/DDA Office of General Counsel		FROM: OFFICE DESIGNATION OF ORIGINATOR: 2. DATE PREPARED
THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION. HOWEVER, THEY MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. AUTHORIZATION IS REQUESTED EITHER TO RETAIN THE RECORDS OR TO DESTROY THEM AS SCHEDULED. THE RECORDS ARE BEING HELD PENDING RECEIPT OF AUTHORIZATION. IF FURTHER RETENTION IS REQUIRED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO [REDACTED].		
IDENTIFICATION OF RECORDS		
3. OFFICE	4. SCHEDULE NO.	5. ITEM NUMBER
		6. INCLUSIVE DATES
7. VOLUME NO.		
8. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM [REDACTED] AND [REDACTED] MARKED TO INDICATE WHICH RECORDS ARE QUESTIONABLE. EXPLAIN BASIS FOR DETERMINING THAT RECORDS ARE QUESTIONABLE.		
<input type="checkbox"/> CONTINUED ON SEPARATE PAGE		
	9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS	
	EXTENSION DATE	
	10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER	
	EXTENSION DATE	
	11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER	
	EXTENSION DATE	
AUTHORIZATION TO RETAIN OR DESTROY RECORDS		
RETAIN ALL <input checked="" type="checkbox"/>	12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE	
RETAIN PARTIAL <input checked="" type="checkbox"/>	EXTENSION DATE	
DESTROY ALL <input type="checkbox"/>	13. TYPED NAME AND SIGNATURE OF CHIEF [REDACTED]	
APPROVED	DATE	
14. <input checked="" type="checkbox"/> PROVIDE JUSTIFICATION FOR CONTINUED RETENTION. ALSO PROVIDE PROPOSED NEW DISPOSITION INSTRUCTIONS. <input checked="" type="checkbox"/> INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE ALLOCATED FOR IMMEDIATE DESTRUCTION.		
<input type="checkbox"/> CONTINUED ON SEPARATE PAGE		

FORM 3-77 [REDACTED] 15-75

Figure 5

RECORDS RETIREMENT REQUEST		JOB NO. ASSIGNED BY ARCHIVES & RECORDS CENTER	
Submit original and 4 copies to Archives and Records Center. Two copies will be returned to the originating office. Additional copies may be prepared as indicated by your RMO.		For Reference Service on Records Transferred to Storage Complete Form and Refer to Above Job Number	
PART I (TO BE COMPLETED BY THE RECORDS CUSTODIAN)			
TO:	FROM: Depositing office (DIV/BR/SEC)	Date	
		Room	Building Extension
APPLICATION IS MADE FOR RETIREMENT OF THE RECORDS DESCRIBED BELOW:			
Provide detailed description, inclusive dates, and media of files. Use Records Control Schedule description only if it specifically refers to the series concerned. transferred. List files on Form and forward copy of completed form with first box of files.			
SCHEDULE NO.	ITEM(S) NO.	CLASSIFICATION CODEWORD OF RECORDS	SIGNATURE OF RECORDS CUSTODIAN
PART II (TO BE COMPLETED BY THE RECORDS MANAGEMENT OFFICER)			
CITE RESTRICTIONS ON USE OF RECORDS AND INCLUDE THE SAME RESTRICTION ON BOX LABEL FORM 141 FOR EACH BOX IN JOB (If no restrictions write "None")			
DATE		SIGNATURE RECORDS MANAGEMENT OFFICER	
PART III A (TO BE COMPLETED BY ARCHIVES AND RECORDS CENTER)			
DISPOSITION OF THE RECORDS DESCRIBED HEREON HAS BEEN MADE AS FOLLOWS. AUTHORIZATION:			
WHOLE JOB DISPOSITION		PARTIAL JOB DISPOSITION	
<input type="checkbox"/> DESTROYED		<input type="checkbox"/> DESTROYED - BOX NOS.	
<input type="checkbox"/> TRANSFERRED TO:		<input type="checkbox"/> TRANSFERRED - BOX NOS. TO:	
		<input type="checkbox"/> SEE ATTACHMENT(S)	<input type="checkbox"/> SEE REMARKS ON BACK
DATE		SIGNATURE CHIEF DISPOSITION ARCHIVES & RECORDS CENTER	

ORM 3-80 USE PREVIOUS EDITIONS

13-461

Figure 6

BOX NO. OF	BOXES	JOB NO.
OFFICE		DIVISION
RESTRICTIONS		
FILE SERIES		
STARTS		
ENDS		
RECORDS STORAGE BOX LABEL		
FORM 3-79	USE PREVIOUS EDITIONS	(35)

Figure 8

ARCHIVES & RECORDS CENTER SERVICE REQUEST FOR INACTIVE RECORDS		INSTRUCTIONS: Complete all items of information and type in LARC LARC JUSTIFY (if not applicable) LARC NUMBER	
JOB NO.	<div style="border: 1px solid black; width: 100px; height: 15px;"></div>	BOX	<div style="border: 1px solid black; width: 100px; height: 15px;"></div>
		FOLDER	<div style="border: 1px solid black; width: 100px; height: 15px;"></div>
NAME:	ADDRESS		
	<div style="border: 1px solid black; width: 100%; height: 15px;"></div>		
REQ FOR	<input type="checkbox"/> FOIA	<input type="checkbox"/> PRIVACY	<input type="checkbox"/> COMMITTEE
			<input type="checkbox"/> OTHER
REQ ACTION:	<input type="checkbox"/> LOAN		
	<input type="checkbox"/> PERMANENT RETENTION		
<p>COMMENT: THIS ITEM MUST CONTAIN EXPLANATION IF BOX AND/OR FOLDER ARE NOT SPECIFIED ABOVE. IT SHOULD ALSO CONTAIN FOLDER TITLE WHEN A FOLDER IS REQUESTED. IT MAY ALSO CONTAIN SPECIAL INSTRUCTIONS SUCH AS INFORMATION ONLY REQUESTS, NAME AND ADDRESS OF PERSON TO WHOM FILE IS TO BE MAILED IF OTHER THAN THE REQUESTER, AND ANY INFORMATION THAT WOULD BE HELPFUL TO THE REQUESTING OFFICE SUCH AS BADGE NO. OR OTHER ID OF INDIVIDUAL THAT WILL USE FILE.</p>			

FORM 10-48

Figure 10

REQUEST FOR AUTHORIZATION TO DESTROY RECORDS IN AARC				1. DISPOSITION JOB NO. (Assigned by AARC)	
TO : Archives and Records Center, [REDACTED] DDA			FROM: Archives and Records Center, [REDACTED] DDA		
THRU: Component Records Management Officer			2. DATE PREPARED		
THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION. AUTHORIZATION IS REQUESTED TO DESTROY THE RECORDS AS SCHEDULED. IF AUTHORIZATION IS DENIED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO [REDACTED]					
IDENTIFICATION OF RECORDS					
3. OFFICE	4. SCHEDULE NO.	5. ITEM NUMBERS	6. ACCESSION JOB NOS.	7. BOX NUMBERS	
8. REMARKS					
<input type="checkbox"/> CONTINUED ON SEPARATE PAGE					
AUTHORIZATION TO DESTROY RECORDS					
RETAIN ALL <u>1</u>	9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS			EXTENSION DATE	
RETAIN PARTIAL <u>1.2</u>					
QUESTIONABLE <u>2</u>	10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER			EXTENSION DATE	
DESTROY ALL					
<u>1</u> RMO ATTACH COPY OF FORM 140 RECORDS RETIREMENT REQUEST AND PROVIDE JUSTIFICATION FOR CONTINUED RETENTION OF RECORDS UNDER SECTION 8 ABOVE. ALSO PROVIDE PROPOSED NEW DISPOSITION INSTRUCTIONS. FORWARD TO RAS THRU DIREC- TORATE RMO					
<u>2</u> RMO ATTACH COPY OF FORM 140A SHELF LIST ANNOTATED TO SHOW WHICH RECORDS ARE TO BE RETAINED. IF FORM [REDACTED] IS NOT AVAILABLE PROVIDE DETAILED DESCRIPTION BY BOX AND FOLDER NUMBER OF THE RECORDS TO BE RETAINED. RECORDS NOT INDICATED FOR RETENTION ARE AUTHORIZED FOR IMMEDIATE DESTRUCTION					
<u>3</u> RMO PREPARE FORM [REDACTED] REQUEST FOR AUTHORIZATION TO RETAIN OR DESTROY QUESTIONABLE RECORDS FOR RECORDS THAT MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. FORWARD WITH THIS FORM TO RAS THROUGH DIRECTORATE RMO					
FOR AARC USE ONLY					
DESTROYED		TRANSFERRED			
PARTIAL JOB (Box Nos.)	PARTIAL JOB (Box Nos.)	*Q:			
COMPLETE JOB	COMPLETE JOB				
REMARKS					
CHIEF DISPOSITION SECTION					
DATE					

FORM [REDACTED]
2-77

Figure 11

REQUEST TO TRANSFER—APPROVAL AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES (See instructions on reverse)		LEAVE BLANK		RG	
		UNIT	DATE RECEIVED	UNIT	DATE RECEIVED
		JOB NUMBER		JOB NUMBER	
1. TYPE OF ACTION		2. TO		3. FROM (Transferring agency)	
<input type="checkbox"/> A. OFFER OF UNSCHEDULED RECORDS <input type="checkbox"/> B. TRANSFER OF SCHEDULED RECORDS		<input type="checkbox"/> A. RECORDS DISPOSITION DIVISION GENERAL SERVICES ADMINISTRATION—NCO WASHINGTON, DC 20408 <input type="checkbox"/> B. NATIONAL ARCHIVES GENERAL SERVICES ADMINISTRATION WASHINGTON, DC 20408 <input type="checkbox"/> C. REGIONAL ARCHIVES FEDERAL ARCHIVES AND RECORD CENTER GENERAL SERVICES ADMINISTRATION		<input type="checkbox"/> A. FROM (Agency or establishment) <input type="checkbox"/> B. MAJOR SUBDIVISION <input type="checkbox"/> C. MINOR SUBDIVISION <input type="checkbox"/> D. NAME OF PERSON WITH WHOM TO CONFER <input type="checkbox"/> E. TELEPHONE <input type="checkbox"/> F. MAILING ADDRESS <input type="checkbox"/> G. REQUESTED TRANSFER DATE	
4. CURRENT LOCATION OF RECORDS		5. RECORDS DATA			
<input type="checkbox"/> A. AGENCY SPACE (Give location) <input type="checkbox"/> B. FEDERAL RECORDS CENTER (Enter location and FRC accession no.)		A. DESCRIPTION OF RECORDS (Give overall title of records, individual documents, dates, and attach Standard Form 135, if records are now in FRC. Continue on separate sheet of paper, if necessary.) <input type="checkbox"/> SF 135 ATTACHED B. EST. VOLUME cu. ft. cu. mtr. C. ARE RECORDS SUBJECT TO PRIVACY ACT? (If yes, cite agency system number and F.R. volume and page number for most recent notice.) <input type="checkbox"/> YES <input type="checkbox"/> NO			
		D. SPECIFIC RESTRICTIONS TO BE IMPOSED (Include justification and cite statute or FOI exemption that authorizes such restrictions.) E. RECORDS CONTROL SCHEDULE/ITEM NO.			
F. AGENCY REMARKS:					
6. STATEMENT OF AGENCY REPRESENTATIVE					
<p>The records described above and on the attached sheets are hereby offered for deposit with the National Archives of the United States in accordance with 44 U.S.C. 2101-2106. I agree that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 41 C.F.R. 101-11.411, 41 C.F.R. 105-41, and such other rules or regulations as may be prescribed by the Administrator of General Services or the Archivist of the United States, unless specified and justified above. There are no restrictions on the use of these records other than the general and specific record group restrictions on the use of records in the National Archives of the United States that have been published in 41 C.F.R. 101-11.411, 41 C.F.R. 105-41, and the Guide to the National Archives of the United States. The Archivist of the United States may destroy, donate, or otherwise dispose of any containers, old date records, unused blank stationery, nonreproducible printed or processed materials, or other nonrecord material in any manner authorized by law or regulation without further consent of the agency, except any restrictions specified by this agency on the use of these records are in conformance with the requirements of 5 U.S.C. 552 and that I am authorized by the head of this agency to act for the agency on matters pertaining to the disposition of agency records.</p>					
A. SIGNATURE OF AGENCY REPRESENTATIVE		B. TITLE		C. DATE	
7. ACTION TAKEN BY NATIONAL ARCHIVES AND RECORDS SERVICE, GENERAL SERVICES ADMINISTRATION					
A. <input type="checkbox"/> APPROVED SHIPPING OR DELIVERY INSTRUCTIONS.		B. <input type="checkbox"/> DISAPPROVED. RECOMMENDED DISPOSITION OF RECORDS			
C. SIGNATURE OF AUTHORIZED REPRESENTATIVE		D. TITLE		E. DATE	
8. RECORDS RECEIVED NARS DEPOSITORY		A. SIGNATURE		B. TITLE	

258-101

Figure 12

APPENDIX B—GLOSSARY OF TERMS

ACCESSIONS	<ol style="list-style-type: none">(1) The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency or a records center. In records center operations, transfer of legal title may not be involved.(2) The materials involved in such a transfer of custody.
ACTIVE RECORDS	See CURRENT RECORDS.
ADMINISTRATIVE RECORDS	See HOUSEKEEPING RECORDS.
ADMINISTRATIVE VALUE	The usefulness of records to the originating or successor agency in the conduct of current business. See also RECORDS VALUE.
AGENCY ARCHIVAL STORAGE AREA	A temporary storage area for the Agency's permanent records until they can be declassified and transferred to the National Archives.
APPRAISAL	The process of determining the value and thus the disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and their relationship to other records.
ARCHIVAL VALUE	The determination by appraisal that records are worthy of permanent preservation by an archival agency. See also HISTORICAL VALUE.
ARCHIVES	<ol style="list-style-type: none">(1) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to as archival materials or archival holdings.(2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency.(3) The building or a part of a building where such materials are located; also referred to as an archival repository or depository.
ARCHIVIST OF THE UNITED STATES	Acting for the Administrator of General Services, the official who is responsible for the appraisal and disposition approval of Federal records based on their legal, historic, fiscal, administrative, or other value.
CASE FILE	A folder or other file unit containing material relating to a specific action, event, person, place, project, or other subject. Sometimes referred to as a project file or a transaction file. Also a collection of such folders or other file units.
CONVENIENCE FILE	Extra copies of records, personal papers, or publications maintained for ease of access and reference. Sometimes improperly known as personal file.
COOL ROOM (COLD STORAGE)	A specific area within the Archives and Records Center Building constructed under specifications required by law for the storage and preservation of filmed records or records on other perishable media requiring this environmental control.

CURRENT RECORDS	Records that are necessary for conducting the current business of an office and therefore must be maintained in office space and equipment.
CUT OFF	See FILE BREAK.
DEPOSITORY	A place where archives and noncurrent records are kept. Sometimes referred to as a repository.
DISPOSAL	Physical destruction of records.
DISPOSAL AUTHORITY	The legal authorization for the disposal of records obtained from the Archivist of the United States and, for certain series, from the Comptroller General.
DISPOSAL LIST	A document providing one-time authorization for the legal destruction of a specified nonrecurring record series.
DISPOSITION	The transfer or disposal of records.
DOCUMENT	Recorded information regardless of medium or characteristics. Frequently used interchangeably with record. See also RECORDS.
EVALUATION	See APPRAISAL.
EVIDENTIAL VALUE	The value attached to records because of the evidence they contain of an Agency's organization and functions. See also RECORDS VALUE.
FILE	<ol style="list-style-type: none">(1) An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier.(2) To place documents in a predetermined location according to an overall plan of arrangement.(3) Storage equipment, such as a filing cabinet. See also SERIES.
FILE BREAK	Termination of a file at regular periodic intervals to facilitate continuous disposal or transfer of the file series.
FILES	A collective term usually applied to all records of an office or agency.
FISCAL VALUE	The usefulness of records for information about the financial transactions and obligations of agencies and organizations. See also RECORDS VALUE.
GENERAL RECORDS SCHEDULE	A schedule, issued by NARS, governing the disposition of specified recurring record series common to several or all agencies.
HISTORICAL VALUE	The usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things. See also RECORDS VALUE.
HOLDING AREA	Agency space assigned for the temporary storage of current or semicurrent records and for records with relatively short retention periods. Also known as staging area.
HOUSEKEEPING RECORDS	Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations

	normally common to most agencies, as distinguished from program or substantive records that relate to an agency's primary functions. See also PROGRAM RECORDS.
INACTIVE RECORDS	See NONCURRENT RECORDS.
INFORMATION MANAGEMENT	See RECORDS MANAGEMENT.
INFORMATIONAL VALUE	The value of records that derives from the information they contain on matters with which public agencies deal, rather than from the information that is in such records about the agencies themselves. See also RECORDS VALUE.
INVENTORY	A survey of records series prior to the development of schedules. Generally includes data such as series titles, inclusive dates, use, quantity, arrangement, duplication, and other pertinent information.
LEGAL VALUE	The usefulness of records containing evidence of legally enforceable rights or obligations of governments and/or private persons. See also RECORDS VALUE.
NONCURRENT RECORDS	Records that are no longer required in the conduct of current business and therefore can be accessioned by an archival repository or destroyed. See also CURRENT RECORDS, SEMI-CURRENT RECORDS.
NONRECORD MATERIAL	Material excluded from the definition of records, such as unofficial copies of documents that are kept only for convenience or reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. See also RECORDS.
OFFICE OF RECORD	Office responsible for maintaining the official record copy for the Agency.
PAPERWORK MANAGEMENT	See RECORDS MANAGEMENT.
PERMANENT RECORDS	Records considered to be so valuable or unique in documenting the history of an agency (or for other reasons) that they are to be preserved for an infinite period of time.
PRESERVATION	<ol style="list-style-type: none">(1) The basic responsibility to provide adequate facilities for the protection, care, and maintenance of records.(2) Specific measures, individual and collective, undertaken for the repair, maintenance, restoration, or protection of documents.
PROGRAM RECORDS	Records created or received and maintained by an agency in the conduct of the substantive functions for which it is responsible. The term is used in contrast with housekeeping or facilitative records. See also HOUSEKEEPING RECORDS.
PROJECT FILE	See CASE FILE.
RECORD COPY	The official or record copy so marked or recognized complete with enclosures or related papers. Normally the record with the longest retention time.

RECORD GROUP	A body of organizationally related records established with regard to the administrative history, the complexity, and the volume of the records of the organization involved.
RECORD SERIES	See SERIES.
RECORDS	All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. See also NONRECORD MATERIAL.
RECORDS CENTER	A facility, sometimes especially designed and constructed, for the low-cost and efficient storage and furnishing of reference service on semicurrent records pending their ultimate disposition.
RECORDS CONTROL SCHEDULE	A document listing the files of an office showing which records are to be destroyed and those to be retained. An approved records control schedule is the legal Agency authority for disposition of records, including those to be retained permanently. It indicates period of cutoff, how long the records are to be kept in offices, when and if they are to be destroyed, and when they should be transferred to the Agency Archives and Records Center. Records control schedules must be approved by the Archivist of the United States by submitting the schedules to NARS on Standard Form 115, Request for Records Disposition Authority.
RECORDS CUSTODIANS	Individuals responsible for the creation, transmission, utilization, maintenance, and disposition management of records located within their areas of jurisdiction.
RECORDS DISPOSITION	See DISPOSITION.
RECORDS MANAGEMENT	General management directed to achieving economy and efficiency in the creation, maintenance and use, and disposition of records. Includes fulfilling archival requirements and ensuring effective documentation.
RECORDS MANAGEMENT OFFICERS	Individuals within directorates and independent offices responsible for administering the records management program within their areas of jurisdiction.
RECORDS VALUE	The determination of usefulness of records. See also ADMINISTRATIVE, EVIDENTIAL, FISCAL, HISTORICAL, INFORMATIONAL, LEGAL, AND RESEARCH VALUE.
REPOSITORY	See DEPOSITORY.
RESEARCH VALUE	The usefulness of records for research by the Government, business and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines. See also RECORDS VALUE.

RETENTION PERIOD	The time period for particular records (normally a series) to be kept in the office, transferred to a records center, destroyed, or transferred to NARS.
SAMPLING	Selection for retention of part of a body of similar records to serve as a representation of the whole body.
SEMICURRENT RECORDS	Records required so infrequently in the conduct of current business that they should be moved to a holding area or directly to a records center. See also CURRENT RECORDS, NONCURRENT RECORDS.
SERIES	File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Sometimes known as a record series.
TEMPORARY RECORDS	A generic term for those types of records that lose their value within a prescribed period of time.
TRANSFER	The movement of records from one place to another, usually out of office space and equipment to a depository or to another office or agency.
UNSCHEDULED RECORDS	Series of records for which no decision on disposition has been made and which are not included in an approved records control schedule.

[REDACTED]
INFORMATION AND RECORDS MANAGEMENT

HHB [REDACTED]
APPENDIX C

APPENDIX C—Reserved

TABLE 4 — PERMANENT RECORDS APPRAISAL GUIDELINES

The generic series descriptions listed below illustrate the types of records normally appraised for permanent retention by NARS. Because of the wide variety of records created in the Federal Government and the complex nature of the appraisal process, this list cannot detail every type of series that may be appraised for retention. In addition, the list applies only to current records whose life cycle has been carefully controlled. Somewhat different standards apply to records created in earlier periods of our history when the maintenance and disposition of Federal records were not as closely regulated. Because many important 19th-century records were inadvertently destroyed by fire, flood, and general neglect, routine administrative and housekeeping records are often preserved for this period to show the functions of the Federal Government.

1. General Subject Files Documenting Substantive Agency Programs.

Correspondence with other Federal agencies, Members of Congress and congressional committees, the Executive Office of the President, the President, private organizations and individuals, internal agency memorandums, narrative and statistical reports, budget estimates and justifications, and a variety of other records concerning all substantive and distinctive programs of the agency. These series represent the basic system of records documenting the evolution of major policies and procedures and are frequently designated for permanent retention when created at the following levels: secretary; under secretary; deputy secretary; assistant secretary; administrators, chairpersons, commissioners, and directors of administrations, bureaus, and services within a department; and heads of independent Federal agencies and their chief assistants. When the agency's important programs are not documented in program correspondence maintained at these higher levels, similar records created at lower levels must be designated for preservation. The number of series selected from a given agency will depend on the degree of duplication evidenced by comparisons among files created at the various administrative levels. Where substantial duplication does exist, the file created at the highest level will be chosen. Where little or no duplication exists, series at all levels will be taken and in some cases at levels lower than those indicated above.

2. Selected Case Files.

Many Federal records are created in the form of case files. These records may include correspondence, memorandums, periodic narrative reports, and similar materials which relate to a specific action, event, person, place, project, or other subject and provide complete documentation of an agency's activities from initiation to conclusion. Although most case file series are disposable at some future date, a

complete set occasionally may be designated for permanent retention, particularly when the files have been captured in machine-readable form. More frequently, however, only a portion of a case file series is selected for transfer to the National Archives. Those chosen normally fall under one or more of the following categories. The case:

- a. Established a precedent and therefore resulted in a major policy or procedural change;
- b. Was involved in extensive litigation;
- c. Received widespread attention from the news media;
- d. Was widely recognized for its uniqueness by established authorities outside the Government;
- e. Was reviewed at length in the agency's annual report to the Congress; or
- f. Was selected to document agency procedures rather than to capture information relating to the subject of the individual file.

Categories a through e establish the exceptional nature of a particular case file while category f relates to routine files chosen because they exemplify the policies and procedures of the creating agency. The types of case files selected for permanent retention under the criteria established above include, but are not limited to, research grants awarded for studies; research and development projects; investigative, enforcement, and litigation case files; social service and welfare case files; labor relations case files; case files related to the development of natural resources and the preservation of historic studies; public works case files; and Federal court case files.

3. Analytical Reports.

Analytical research studies and periodic reports prepared by the agency or by a private organization or individual under contract to the agency or in receipt of a grant from the agency. Studies and reports selected for permanent retention may be statistical, narrative, machine-readable or audiovisual in nature. Regional reports prepared by field offices and forwarded to the agency's headquarters are frequently selected because they contain information relating to ethnic, social, economic, or other aspects of specific geographical locations. Excluded from selection are studies and reports which are published and therefore widely available in public libraries, as well as recurring periodic reports which are summarized on an annual basis. (See item 13 for publications permanently retained.) In some instances, only selected studies and reports are maintained for future research.

4. Formal Minutes of Boards and Commissions.

Minutes of meetings of boards and commissions of Federal agencies documenting substantive policy and procedural decisions. Frequently, the executive direction of a Federal agency is provided by a board or commission rather

than by a single appointed individual. Typically, these agencies are regulatory bodies such as the Federal Trade Commission, but also include organizations such as the Pension Benefit Guaranty Corporation and the Commission of Fine Arts. Minutes may be literal transcriptions or edited summaries. Sound recordings of these meetings should also be preserved.

5. Records of Internal Agency, Interagency, and Non-Federal Committees.

Minutes, agenda, proposals submitted for review, and final recommendations of meetings of ad hoc committees as well as more formally established councils, conferences (e.g., White House Conferences), and task forces attended by senior agency officers. These meetings may be limited to internal agency personnel or may include representatives from other Federal agencies or even non-Federal groups. Records selected for permanent retention to document interagency meetings will be limited to the agency designated as the group's secretariat. The minutes selected may be summary in nature, verbatim transcripts, or audio or video recordings.

6. Legal Opinions and Comments on Legislation.

Memorandums prepared by an agency's legal counsel or program officers concerning interpretations of existing laws and regulations or the effects of proposed laws and regulations which govern the agency or which have a direct effect on its operations. Records selected under this item concern the agency's primary missions and normally exclude general opinions and comments relating to other Federal agencies. Included are formal comments on pending legislation prepared at the request of the Congress or the Office of Management and Budget. Most of these records are permanent when created in the offices of general counsels of departments and independent agencies. Excluded are copies of bills, hearings, and statutes held for convenient reference. Similar records maintained below the departmental level may not be archival depending on their content and relationship with records of the departmental counsel.

7. Evaluations of Internal Operations.

Studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals. These may include evaluations of both program and administrative operations and may be made by the agency itself (inspectors general) or by outside oversight agencies (General Accounting Office). Only those studies which recommend significant changes in policy or procedural violations are preserved. In addition, a complete record set of studies prepared by oversight agencies are designated for preservation in the creating agency. All other copies are disposable.

8. Formal Directives, Procedural Issuances, and Operating Manuals.

Formal directives distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally these are issued with the authority of the head of the agency. Extensive procedures are frequently detailed in lengthy operating manuals.

9. Records on Functional Organization.

a. Organizational charts and reorganization studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

b. Functional statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of an agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations, they are not designated for preservation as a separate series.

10. Briefing Materials.

Statistical and narrative reports and other summary materials prepared for briefings of recently appointed heads of agencies and their senior advisors to inform them of the current status of the agency. In addition, briefing books are occasionally prepared to inform an agency head of the current status of a major issue confronting the agency or in preparation for hearings, press conferences, or major addresses.

11. Public Relations Records.

a. Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural organizations. Interviews may be granted to radio, television, or printed news media commentators. The format selected may be paper, audio or video tape, machine-readable tape or discs, or motion picture film.

b. News releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts

in policy, and changes in senior agency personnel and may be a textual record such as a formal press release or nontextual record, such as film and video or sound recordings.

12. Agency Histories and Selected Background Materials.

Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made by the researcher for convenient reference.

13. Publications.

Formally prepared publications printed by the Government Printing Office, the National Technical Information Service, or the agency itself. Examples of such publications include annual reports to the Congress; studies conducted by the agency or under contract for the agency; procedural brochures, pamphlets, and handbooks distributed for guidance to other Federal agencies, State and local governments, and private organizations and citizens; instructional and educational materials on audiovisual formats (audio or video recordings, motion picture, filmstrips and slide-tape productions); maps; and film productions and television and radio programs prepared to furnish information on agency policies or promote agency programs and operations. The availability of reference copies of audiovisual items in non-Government depositories does not exclude retaining the original production elements required to ensure the preservation of the audiovisual items.

14. Visual, Audio, and Graphic Materials.

Agency-originated motion picture film, still photography, sound and video recordings, cartographic materials, or architectural drawings created to record substantive events or information that cannot be or normally are not recorded in written form. Examples of these materials are instantaneous recordings or photographic coverage of significant scientific or technological phenomena and significant nonrecurring events, such as combat operations, lunar explorations, and extemporaneous occurrences, discussions, and interviews; maps recording topographic information for specific geographic areas; and architectural/engineering drawings recording the building program of individual Federal agencies.

15. Scientific and Technical Data.

Data resulting from observations of natural events or phenomena or from controlled laboratory or field experiments. These data generally are created at project or operating levels rather than at administrative levels. The data may be recorded in either human-readable or machine-readable

format and be found in laboratory notebooks, completed forms, tabulations and computations, graphs, microforms, or machine-readable files. Scientific and technical data are selected for permanent preservation if they are unique, usable, and important. If these data are accurate, comprehensive, and complete, if they can and are likely to be applied to wide variety of research problems, then they can also be considered to have passed the test of usability. Data which can be recreated because they document repeatable activities may also be considered both unique and usable if they constitute a definitive, critical, or standard reference data set. The cost of data collection is one, but not the only, measure of its importance. In assessing the importance of any set of data, consideration should be given to its historical as well as its scientific significance.

16. Socioeconomic Micro-Level Data.

Micro-level data collected for input into periodic and one-time studies and statistical reports including information filed to comply with Government regulations. The information may cover such subjects as economic and tax information, health care, demographic trends, education, discrimination, and other comparable social science areas. Although agency reports and studies, briefing materials, and official releases frequently summarize these data, the micro-level information, usually in machine-readable form, is of permanent value. Obviously, the data must be usable in their raw state if they have not been converted to a machine-readable form.

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MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

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APPENDIX E

MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

1. INTRODUCTION

1.1 GENERAL

ODP's tape library uses the Agency Archives and Records Center (AARC), an offsite storage facility for magnetic tapes. Data custodians, i.e., employees responsible for applications that require magnetic media, must be familiar with these offsite storage procedures.

1.2 RESPONSIBILITY

Data custodians are responsible for ensuring that data stored on magnetic media (such as magnetic computer tapes or disk packs) are not lost through physical destruction (such as disk head crash or tape breakage), accidental erasure, or loss caused by writing over data. Therefore, data custodians must take advantage of the offsite storage facility for protection against data loss.

NOTE: It is recommended that redundancy (e.g., microfilm, microfiche, hard copy, or multiple-respository locations) be considered as an additional measure to protect data.

1.3 STORAGE TYPES

Tapes stored at AARC are categorized as:

Long-Term - contain data (vital to the data custodian) that must be stored for up to 10 years with an automatic 5-year review and do not require periodic updating (reference section 2, "Long-Term Data Storage").

Rotational - contain data that must be periodically accessed for use or updating; user must allow at least 24-hours for tape retrieval and environmental conditioning (reference section 3, "Rotational Data Storage," and section 5, "Recalling Tapes").

Inactive - contain data that have not been used for a 6-month period.

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1.4 TAPE-MANAGEMENT SOFTWARE (TMS)

Offsite storage tapes are managed by ODP's Tape-Management Software (TMS), a system used to monitor and control magnetic tapes (reference Tape Management Software (TMS) User's Guide, March 1978). TMS has been modified to identify three types of storage tapes, long-term, rotational, and inactive. TMS reports can be generated to list any or all types. For each tape processed under TMS, the tape management catalog (TMC) is updated with information concerning each tape used. The ODP tape librarian maintains a schedule for rotational tapes, which consists of a volume-serial (VOLSER) number, PRISM project number and name, and the week or month tapes are rotated.

1.5 TAPE CONTROL AND ACCESS

The following procedures facilitate both the control of magnetic tape data stored offsite and user access to those tapes:

- Data on tapes authorized for offsite storage are duplicated on new WT- or W-tapes and are labeled either standard label (SL) or non-label (NL) per data custodian's request. The expiration date in TMC is 99365 for long-term storage and 94365 for rotational storage.
- Data on inactive ODP tapes authorized for offsite storage are not duplicated on new WT- or W-tape. (Inactive ODP tapes are tapes residing in ODP libraries that have not been used during the past 6 months.) Inactive ODP tapes bear an external WT or W label. The internal label (for tapes created with standard labels) contains the ODP VOLSER number and dataset name present when tapes were created. The expiration date in TMC is 99365. Tapes returning from AARC to ODP must be processed via the bypass-label-processing (BLP) feature.
- The dataset names must comply with ODP dataset-naming conventions, or they will be purged from the system.

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APPENDIX E

MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

2. LONG-TERM DATA STORAGE

2.1 GENERAL

Long-term data storage refers to the offsite storage of magnetic-tape data for up to 10 years, with an automatic 5-year review with the data custodian to confirm need for continued storage.

2.2 DATA CHARACTERISTICS

Characteristics of magnetic-tape data that qualify for long-term storage are as follows:

- Data of historical value (i.e., data must be stored on magnetic tape for up to 10 years). If storage requirement exceeds 10 years, reference subsection 2.7, "WT- or W-Tape 10-Year Maturity."
- Data vital to the Agency's mission, but data access not required for at least 1 year.
- Data in ODP's tape library not used for 6 months (requires concurrence of data custodian). Note that user may elect to erase (scratch--reference section 4, "Scratching Tapes") the tape, or duplicate the data on a WT- or W-tape for long-term storage.

2.3 JUSTIFICATION/AUTHORIZATION

Justification for long-term data storage on magnetic tape must be documented in memorandum format by the component ADP Control Officer, routed through the Records Management Officer (RMO), and submitted for approval to the Chief, [REDACTED]. Memorandum should address the nature of the application and provide information to assist the Chief, [REDACTED] in justifying the validity of the request. Memorandum also should cite the RMO item number authorizing this storage, and either the records-control or the vital-records schedule number (all from Form [REDACTED] "Records Control Schedule," and available through component's RMO).

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2.4 DATA PREPARATION AND RESPONSIBILITIES

Prior to shipping the WT- or W-tape for offsite storage, the data custodian must ensure redundancy and accuracy of data to be stored. Following are ODP's procedures for long-term data storage:

- a. Data custodian completes Form [redacted] "Magnetic Tape Storage" (reference Attachment A), and submits it to an ODP tape librarian in [redacted] Headquarters.
- b. Tape librarian assigns the WT- or W-tape VOLSER number for each dataset name (DSN) indicated by data custodian. The VOLSER number is initialized internally on the SL or NL tape. Tape librarian also updates TMC with a combination of the WT- or W-tape number and DSN, specifies a 30-day expiration date, and returns Copy 4 of Form [redacted] to data custodian.
- c. Data custodian has 30 days to duplicate the data on a new WT- or W-tape(s). Note that the custodian must specify a 99365 expiration date, which automatically updates TMC and resets the 30-day expiration date.
- d. Data custodian verifies the duplicated data by comparing both tapes (or disk pack and tape) via the IESCOMPR utility and, if satisfactory, erases (scratches) the original ODP tape from which the duplicate was prepared.
- e. ODP sends the new WT- or W-tape to the offsite-storage facility 30 days after TMC has been updated. If the data have not been duplicated on the new WT- or W-tape, the tape expires (is scratched). However, if offsite storage remains a requirement, the entire procedure is reinitiated by the data custodian (reference item a, above).
- f. ODP tape librarian compiles a monthly list of inactive tapes (tapes not used during the past 6 months) and submits list to data custodian.
- g. Tape librarian assigns a WT- or W-tape VOLSER number to each tape on the inactive list and updates TMC with the WT- or W-tape number, listing the information associated with the ODP tape number.
- h. Tape librarian verifies that TMC is updated correctly, using the WT- or W-tape number; if TMC verification is satisfactory, tape librarian returns the ODP tape number to a "scratch-tape list" for future use (reference section 4, "Scratching Tapes").
- i. If WT- or W-tape is to be erased (scratched) prior to the 10-year maturity period or reviewed prior to automatic 5-year review, the custodian must so specify on Form [redacted] "Tape Request Sheet" (reference Attachment B).

2.5 DATA INTEGRITY

Data loss can occur on recorded magnetic computer tapes when tapes are stored unused for long periods. This loss, caused by the "plastic flow" tendencies of tape, distorts data in the physical structure of wound tapes.

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To protect stored data's integrity, a tape that has been inactive for 1 year is "refreshed" by mounting it on a tape device (located at AAPC), spinning the tape to the end-of-tape (EOT) mark, and then rewinding it to the beginning-of-tape (BOT).

2.6 WT- OR W-TAPE 5-YEAR REVIEW

The 5-year review procedure was established to remind the data custodian of the tape's existence at the offsite location and to determine if storage remains a requirement.

The ODP tape librarian prepares and forwards a list of all tapes that have been stored offsite for 5 years to the data custodian, through the respective ADP Control Officer, for coordination with the Records Management Officer. Data custodian has 10 workdays to respond to the reminder; if data custodian fails to respond, the ADP Control Officer will be notified.

- a. If offsite storage is no longer required, tape must be erased (scratched), using established ODP procedures (reference section 4, "Scratching Tapes"). In addition, the list of stored tapes, indicating tapes that were scratched, must be returned to the ODP tape librarian within 10 workdays.
- b. If offsite storage remains a requirement, the list of stored tapes, indicating tapes that still require offsite storage, must be returned to the ODP tape librarian within 10 workdays.

2.7 WT- OR W-TAPE 10-YEAR MATURITY

Annual spinning of WT- or W-tape (reference subsection 3.5, "Data Integrity") may be repeated for 10 years, the maximum long-term storage period. The ODP tape librarian then recalls the WT- or W-tape to Headquarters and prepares and forwards a list of the WT- or W-tape numbers to the data custodian, through the responsible ADP Control Officer for coordination with the Records Management Officer. This list alerts data custodians that they have 30 days to respond with one of the following actions:

- a. Erase the WT- or W-tape, using established ODP procedures (reference section 4, "Scratching Tapes").
- b. Microfilm or microfiche the data on WT- or W-tape (contact the [redacted] Office of Logistics) and then erase the WT- or W-tape (reference subsection 2.6). Note that data must first be recopied to an ODP SL-tape to use the microfilming facilities.
- c. Repeat procedures itemized in subsection 2.4, "Data Preparation and Responsibilities," and erase (scratch) the WT- or W-tape being replaced, if data must be stored for a longer period.

NOTE: If data custodian fails to respond by the end of the 30-day period, the ADP Control Officer is notified.

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APPENDIX E

MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

3. ROTATIONAL DATA STORAGE

3.1 GENERAL

Rotational data storage is offsite storage of data on magnetic tape for a short, user-scheduled period of time. NOTE: Requests for rotational data storage must be accompanied by a schedule indicating when tapes should be recalled from annually, quarterly, monthly, biweekly, or daily (reference item 9, Attachment A). The data may be required to restore an application or online system to a useful state with minimum maintenance and, therefore, must be as current as possible to achieve restoration.

In most cases, two tape versions are required for frequently updated data--the current version is stored offsite, and the older version is at Headquarters for the data custodian to update. However, some applications require more than two tape versions.

3.2 DATA CHARACTERISTICS

Characteristics of data to be stored on a rotational basis are specified by data custodian on Form "Magnetic Tape Storage," as follows:

- Data must be critical to the operation of an application or to an online system.
- Data require scheduled updating within a reasonable time (predetermined by the data custodian), to ensure that data are current and would require minimum modification to update the dataset to the most current, usable state.

3.3 JUSTIFICATION/AUTHORIZATION

Justification for rotational data storage must be determined by the data custodian. The required authorization is the completed Form "Magnetic Tape Storage."

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3.4 DATA PREPARATION AND RESPONSIBILITIES

Prior to shipping the WT- or W-tape to offsite storage, data custodian is responsible for ensuring redundancy and accuracy of data to be stored. ODP's procedures for rotational-data storage are:

- a. Data custodian completes form "Magnetic Tape Storage," and submits it to an ODP tape librarian.
- b. Tape librarian assigns the WT- or W-tape VOLSER number for each DSN requested by data custodian. (The VOLSER number is initialized internally on the SL or NL tape.) Tape librarian also updates the TMC with a combination of WT- or W-tape number and DSN, specifies a 30-day expiration date, and returns Copy 4 of Form to data custodian.
- c. Data custodian has 30 days to duplicate data to the new WT- or W-tape. Note that data custodian must specify 94365 as the expiration date, which automatically updates TMC and resets the 30-day expiration date.
- d. Data custodian verifies the duplicated data by comparing both tapes (or disk pack and tape) via the IEBCOMPR utility and, if duplicate is satisfactory, erases (scratches) the original ODP tape from which the duplicate was prepared.
- e. ODP sends the new WT- or W-tape to the offsite storage facility 30 days after TMC has been updated. If the data have not been duplicated on the new WT- or W-tape, the tape expires (is scratched). However, if offsite storage remains a requirement, the entire procedure is reinitiated by the data custodian (reference item a, above).
- f. If the WT- or W-tape is to be erased (scratched) at any specified time that would interrupt the schedule specified on Form , use the procedures in section 4, "Scratching Tapes." If a tape must remain in the Ruffing Computer Center (RCC) or the Special Computer Center (SCC) longer than 30 days (e.g., for system problems or changes in the program), data custodian coordinates with the ODP tape librarian. However, if no arrangement has been made with the tape librarian and data custodian fails to copy the tape within 30 days, the ADP Control Officer will be notified.

3.5 DATA INTEGRITY

Tapes stored for long periods (in excess of 1 year) tend to become physically distorted, which also could affect the data. Tapes rotated one or more times within a year should not be affected by the possibility of this distortion. However, for rotational tapes not scheduled for annual rotation, reference subsection 2.5, "Data Integrity."

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APPENDIX E

MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

4. SCRATCHING TAPES

Tapes no longer required for processing should be placed in the tape pool for reuse, using a procedure called scratching (demagnetizing).

To return "permanent-" or "temporary-save" tapes to scratch status, tape owner submits Form [REDACTED] "Tape Request Sheet," (reference Attachment 8) to the ODP tape librarian, indicating the job number, job name, programmer's name, tape reel number, and DSN. Form [REDACTED] may be obtained from the tape library.

NOTE: If tape number and DSN on Form [REDACTED] do not agree with the TMC, tapes are not scratched--and data custodian is alerted.

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APPENDIX E

MAGNETIC TAPE OFFSITE STORAGE PROCEDURES

5. RECALLING TAPES

Procedures to recall tapes from offsite storage are the same for both long-term and rotational storage. These procedures should not be confused with procedures for the specified periodic tape rotation described in section 3, "Rotational Data Storage."

Approximately 24 hours are needed for a tape to physically arrive at Headquarters and to be reconditioned to RCC or SCC's environment. Tape recall procedures are as follows:

- a. Submit Form [REDACTED], "Speed Letter," to an ODP tape librarian. Specify the WT- or W-tape numbers, associated PRISM project number, and authorized data custodian's name (as specified on Form [REDACTED], item 11).
- b. When tapes arrive in the ODP tape library, the tape librarian notifies data custodian by phone.
- c. Data custodian must access the tapes within 30 days. If the tapes are not designated for scratch, they are returned automatically to the offsite-storage facility after 30 days.

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Appendix E (continued)

ATTACHMENT A

(Instructions on reverse side of this form)

FORM _____ of _____

[illegible]

DECLASS BY _____
ORV BY _____

FORM 1-68 USE PREVIOUS EDITIONS
5010-108-01

DECLASSIFICATION

CP 1 - CCP - LIBRARY

Form **██████**, "Magnetic Tape Storage"

ATTACHMENT B

112, 19, 30

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