

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-269-86-1

**TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

3-14-86

1. FROM (Agency or establishment)

General Services Administration

2. MAJOR SUBDIVISION

Office of Administrative Services

3. MINOR SUBDIVISION

Records and Forms Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER

Mae Simms

5. TELEPHONE EXT.

535-7938

DATE

6-18-86

ARCHIVIST OF THE UNITED STATES

Frederick S. Burke

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 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE

2/28/87

C. SIGNATURE OF AGENCY REPRESENTATIVE

[Signature]

D. TITLE

Chief, Records and Forms Management Branch

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN
(NARS USE ONLY)

Files Common to Most Offices

App. 9C is revised to update instructions (9C1 1.(2) on the maintenance and disposition of common-type program files. The record categories are revised to cite the Standard Form 115 job number of the General Records Schedule (GRS) and the item number that authories disposal of the records (OAD P 1820.2).

1 item

Copies sent to Agency, 6-24-86, emh

9C1. **Program administration. (NC1-269-80-2).** Documents relating to the routine administration of a program, but not files described elsewhere in this handbook. If any documents in this file results in initiating a program process project, directive, or case (the files of which are described elsewhere in this appendix or in a later chapter), the record copy should be filed in the official file for the process, project, directive, or case. Reference copies may be placed in the program administration file. Example of files in this class include but are not limited to:

~~a. **General correspondence.** General correspondence not described elsewhere in this appendix or in succeeding chapters. If volume warrants, subdivide by program unit or alphabetically by subject, name, or geographical location.~~

~~b. **Accounting.** Documents accumulated in monitoring appropriated and revolving funds received and expended for agency programs. This paragraph does not apply to files accumulated by offices administering budget and financial programs or to files of impress fund cashiers. Included are cost reports and statements, and tabulations.~~

~~c. **Audit.** Extracts of and comments on audit and evaluation reports pertaining to a program.~~

~~d. **Automation data processing.** Documents accumulated in developing, and operating ADP systems but records maintained by the Office of GSA Information Systems, IRMS, regional Information Systems Operations Division; Included are plans and study reports, feasibility and design reports, and approval documents.~~

~~e. **Clearance comments.** Comments on directives, plans, and similar publications prepared by another office, but not directives case files or instruction files.~~

~~f. **Congressional.** Documents relating to congressional inquires and replies but not documents accumulated by the Office of Congressional Affairs.~~

~~g. **Information.** Comments on, or contributions to, news releases or other media publicizing a program, but not related documents accumulated by the Office of Public Affairs.~~

~~h. **Legislative files.** Documents accumulated in drafting or commenting on proposed legislation affecting a program, but excluding documents accumulated by the Office of Congressional Affairs, other offices in the Office of Public Affairs, and the Office of General Counsel.~~

~~i. **Management.** Documents relating to management improvement, cost reduction, performance analysis and work measurement, but not documents relating to the program activity or project that produced the saving or improvement. This subparagraph does not apply to files accumulated by offices having GSA, service, staff office, or regional office program responsibility for these functions.~~

~~j. **Program and budget.** Documents created in preparing and submitting plans budgets program review and analysis data, but not records accumulated by offices having GSA, service, staff office, or regional office program responsibility for these functions.~~

~~k. **Routine reports.** Routine and controlled reports not described elsewhere.~~

~~l. **Suggestion evaluations.** Documents created in evaluating suggestions that do not affect specific program areas. Excluded are records of incentive award committees.~~

~~(1) Cut off annually, destroy when 2 years old (NC1-269-80-2). (Disposition applies to all records described in files. 9C1, above, except for legislative and audit.~~

(2) Audit Files 9C1c (). Cut off at the end of the fiscal year in which follow-up actions on report recommendations are completed; destroy when 6 months old.

~~(3) Legislative files 9C1h (NC1-269-80-2). Cut off at the end of the second session of the Congress concerned, destroy when 2 years old.~~

Note.— Program administration files may be subdivided using lower-case letter and titles to identify subparagraphs above or in any other manner that simplifies retaining them.

~~9C2. Non-official directives case files and instructional letters. (NCI-269-80-2). Files of working papers used to develop directives, maintained in the originating office and records on developing and issuing temporary directives (instructional letters, numbered memos, etc.). This item covers records of offices not covered elsewhere in this handbook. Records of the directives control office are described in par. 11B25.~~

~~a. Working papers used in the development of official directives, but maintained in the office of origin. These may include studies, research findings, or other documents which provide a basis for the directive.~~

~~b. Instructional letters and other forms of temporary directives.~~

~~Cut off annually after directive or instruction is superseded, cancelled, or expired. Destroy 5 years after cutoff.~~

~~9C3. Nonrecord files. (NCI-269-80-2). These files consist of nonrecord material required longer than like material included in suspense files for destruction within 30 days or less. Nonrecord files include, but are not necessarily limited to, the following types:~~

~~a. Copies of documents kept by action personnel duplicated in the record files of the same office.~~

~~b. Documents received for general information requiring no action and are not required to document a particular action, case, or project.~~

~~c. Cards, listings, indexes, registers, and similar documents used in controlling program work. Excluded are file indexes normally retired or destroyed with the file concerned. Also excluded are registers required by directives; these are described specifically elsewhere in this handbook.~~

~~d. Notes, drafts, feeder reports, clippings, and other nonessential working papers leading to final results in a project, study, or case, but not formal recommendations, clearance, or similar material essential to the record file.~~

~~e. Directives and other publications used for a specific project, study, survey, or case.~~

~~(1) Destroy documents described in d and e, above, on completion of the related action or project, except that publications or directives needed for future cases or general reference must be withdrawn and placed in the 9B31 Technical and Reference materials files.~~

~~(2) Cut off all other nonrecord files at the end of the year, destroy when 1 year old.~~

~~Note.— Nonrecord material, when required for inclusion in record files to facilitate reference, shall normally be retired or destroyed (without screening) with the record file concerned. Nonrecord material included in a record file may be destroyed at any time, especially if the accumulation presents a reference, storage, or retirement problem.~~

~~9C4. Policy and precedent files. (NCI-269-80-2). Duplicate copies of documents establishing policy or precedent for future and continuing action. These files are normally maintained at action levels and their maintenance is optional. Included are policy and procedure statements, copies of documents regarding organization and functions, examples or models of typical cases, and similar documents duplicated in official files.~~

~~Destroy when superseded, obsolete, or no longer needed for reference.~~

~~9C5. Unscheduled files. (NCI-269-80-2). Documents showing the performance of a specific program function, process, and for which documentation, maintenance, and disposition instructions are not provided elsewhere in this appendix or the appendix applicable to the program concerned.~~

~~Cut off annually, or on completion of the project or other applicable action, hold until records are scheduled.~~

~~Note.—The action specified in chapter 8-37b must be taken to schedule these records before the next review date of the file plan.~~

~~9C6. Committee files. (NCI-269-80-2). Documents created in establishing, operating, and dissolving committees whose purposes are to consider, advise, recommend, or take action. This file category is not applicable to files of ad hoc committees, committee files described elsewhere in this handbook, and files of committees whose operations are an integral part of a specific process, project, or case. Included are proposals, approvals, and disapprovals on committee establishment; charters; copies of directives establishing, changing, continuing, or dissolving committees; documents reflecting the nomination, appointment, and relief of committee members; notices, agenda, minutes, and reports of committee meetings; and related records.~~

~~a. Office of the chairperson or secretariat, whichever is designated office of record: Permanent. Cut off annually and retire when no longer needed for current operations. Offer to NARS when 10 years old.~~

~~b. Files of committee members: Cut off annually, destroy when 2 years old.~~

~~9C7. Contracting officer designation files. (NCI-269-80-3). Documents appointing individuals by name, organizational title, or position to serve or act as contracting officers. Included are GSA Form 3409, Personal Qualification Statement for appointment as Contracting Officer; GSA Form 3410, Request for appointment; limitations on scope of authority; designation revocations; and related records.~~

~~Place in inactive file after reassignment, end of employment, or revocation of designation. Cut off annually, destroy when 2 years old.~~