

Rec'd NCD 7 Apr 80 NY

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NCL-269-80-5
DATE RECEIVED	4-7-80
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	5-6-80
acting	Walter N. Stender
Archivist of the United States	

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

1 FROM (AGENCY OR ESTABLISHMENT)
General Services Administration

2 MAJOR SUBDIVISION
Office of Administrative Services

3 MINOR SUBDIVISION
Information Management Division

4 NAME OF PERSON WITH WHOM TO CONFER
Ray Her'shberger

5. TEL EXT
566-0673

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 14 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE <u>April 3, 1980</u>	D SIGNATURE OF AGENCY REPRESENTATIVE <u>Michael G. Barbour</u> Michael G. Barbour	E. TITLE Chief, Records Management Branch (HRAR)
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>Information Management Files</u></p> <p>Files descriptions and requested disposition authorizations are contained in the attached proposed chapter to the HB, GSA Records Maintenance and Disposition System (OAD P 1820.2).</p> <p>Items for which disposition authority is requested are noted by vertical lines in the right-hand margin beside the disposition statement. <i>Walter NCD, per Ray Her'shberger, HRAR, 29 Apr 80.</i></p>	<p>NN171-137 NN168-87 NN172-223 NC-269-76-1</p>	

115-107
Copies for Agency, NNF & NND 8 May 80 NY
All FRG's 15 Jun 80 NY (Chap 4)

51 items

CHAPTER 11. INFORMATION MANAGEMENT FILES

1. General. This chapter provides documentation, maintenance, and disposition instructions for files relating to the GSA internal information management program. These instructions are contained in:

- a. Appendix 11-A. Forms Management Program Files
- b. Appendix 11-B. Directives Management Program Files
- c. Appendix 11-C. Records Management Program Files
- d. Appendix 11-D. Reports Management Program Files

2. Reserved.

11A1. Form registers. Registers used to record and control the numbers and other identifying data assigned to each form.

Destroy when no longer needed.

11A2 - 11A4. Reserved.

11A5. Forms case files (GSA Agency-wide forms, GSA forms numbered in the 6,000 through 12,000 series, and GSA promulgated Standard and Optional forms). Numerical case files created during the analysis, design, clearance, and evaluation of GSA forms. Included are requests for forms management services, papers relating to development of the forms, drafts of directives prescribing the forms or written statements explaining their purpose, clearances, printed copies of each edition of the form, forms action/status notices, current approved camera copy, running record of all actions taken, and related records.

- Amended by
R. Steine, v.c.o.
Per Telcom w.
Roy Handberg, HRAR
29 Apr 84.*
- a. Forms Management Branch: ~~One copy of each GSA form with related papers showing inception, scope, and purpose with related instructions. Permanent.~~ Place in an inactive file on cancellation of the form. Cut off the inactive file at the end of the year and retire to ERC. ~~Offer to NARS 10 years after cancellation.~~ DESTROY WHEN 10 YEARS OLD
 - b. Other offices: Place in an inactive file on cancellation of the form. Cut off the inactive file at the end of the year, destroy when 1 year old.

11A6. Forms case files (regional numbered forms). Numerical case files created during the analysis, design, clearance, and evaluation of regional forms. Included are requests for forms management services, papers relating to developing the forms, drafts of directives prescribing the forms or written statements explaining their purpose, clearances, printed copies of each edition of the form, forms action notices, current approved camera copy, running record of all actions taken, and related records.

- a. Information Management Branch: Place in an inactive file on cancellation of the form. Cut off the inactive file at the end of the year, destroy when 3 years old.
- b. Other offices: Destroy on cancellation of the form.

11A7. Forms case files (GSA one-time forms with form numbers containing "T" prefix). Numerical case files created during the analysis, design, clearance, and evaluation of GSA one-time forms. Included are requests for forms management services, papers relating to development of the forms, drafts of directives prescribing the forms or written statements explaining their purpose, clearances, printed copies of the form, forms action/status notices, current approved camera copy (composition copy or GPO proof), running record of all actions taken, and related records.

- a. Central Office: Cancel 6 months after development, unless otherwise indicated, destroy when 1 year old.
- b. Information Management Branch: Cancel 6 months after development, unless otherwise indicated, destroy when 1 year old.

Needs
new

11A8 - 11A9. Reserved.

11A10. Forms classification files. Collections of Central Office prescribed GSA, Standard, and Optional forms, and regional numbered forms (grouped by function) for use in evaluating, simplifying, combining, or eliminating existing forms. Also used to preclude the creation of new forms that duplicate existing forms and other forms management actions.

Destroy individual forms when canceled or discontinued.

11A11 - 11A14. Reserved.

11A15. Forms representative designation files. Documents reflecting the designation of service and staff office forms liaison representatives. Included are letters of designation and specifically related records.

Destroy when superseded by a new designation or when obsolete.

11A16 - 11A19. Reserved.

11A20. Forms management activities. Documents created in reporting accomplishments under the forms management programs, such as reports of savings realized in printing, handling, storing, and using forms; forms consolidated or eliminated; or similar forms management activities. Included are reports and specifically related records.

Cut off annually, destroy when 2 years old.

11A21 - 11A24. Reserved.

11A25. Forms management training files. Documents relating to preparing and conducting training in forms management, including forms and format standards. Included are requests for training and papers concerning arrangements, notifications, and number of people trained.

Cut off annually, destroy when 2 years old.

11A26 - 11A29. Reserved.

11A30. Forms management training materials. Documents relating to the preparation and use of training materials for forms management. Included are outlines, texts, handouts, training aids, and related records.

- a. Office preparing GSA-wide training materials:
Destroy when superseded or obsolete.
- b. Information Management Branches: Destroy when
superseded or obsolete.

*No
longer
needed?*
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11A31 - 11A34. Reserved.

11A35. Withdrawn by CHGE .

This appendix describes files created in establishing and implementing procedures, standards, and systems for the preparation, coordination, approval, classification, codification, writing style, format, distribution, and maintenance of internal and external directives. Directives management program files are created pursuant to provisions in the GSA Administrative Manual, ch. 1-1 thru 28 (OAD P 5410.1), and orders and handbooks in the 1812 and 1832 subject classification series. Related documents accumulated by other offices in originating, commenting on, implementing, or interpreting directives applicable to their program areas are not directives management program files. Rather, this documentation pertains to the programs of the offices concerned and should be identified for filing in accordance with the appendixes applicable to the particular programs involved.

11B1. Directives management surveys. Documents accumulated in the survey of directives practices of the services, staff offices, and regions. Included are survey reports, replies thereto, and related records.

Office responsible for directives management surveys:
Destroy after the next comparable survey.

11B2 - 11B4. Reserved.

11B5. Directives management training files. Documents relating to the conduct of training sessions in directives writing and format standards and related directives management subjects. Included are requests for, notifications of, and arrangements for training; communications about the number of people trained; and similar records.

Cut off annually, destroy when 2 years old.

11B6 - 11B9. Reserved.

11B10. Directives management training materials. Documents relating to the preparation and use of training materials on writing and format standards and other directives management subjects. Included are outlines, texts, handouts, training aids, and related records.

- a. Office preparing GSA-wide training materials:
Destroy when superseded or obsolete.
- b. Information Management Branches: Destroy when
superseded or obsolete.

11B11 - 11B14. Reserved.

11B15. Federal Register liaison materials. Documents accumulated as a result of GSA liaison with the Office of the Federal Register. Included are copies of GSA materials for inclusion in the U.S. Government Organization Manual, requests for additions to, deletions from, or copies of the Code of Federal Regulations, Federal Register, Weekly Compilation of Presidential Documents, Public Papers of the Presidents, or similar Federal Register publications, and related records.

Cut off annually, destroy when 3 years old.

11B16 - 11B19. Reserved.

11B20. Directive masters binders. Master binders or record sets of external and internal directives maintained by Central Office and

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regional office directive clearance elements. Included are Federal Procurement Regulations; General Services Administration Procurement Regulations; Federal Property Management Regulations; GSA bulletins, orders, notices, handbooks, and manuals; and miscellaneous external directives. A copy of each regional directive is included in the GSA master binder.

*amended by
AS/lexis, NCO
30 Apr 80*

- a. Central Office Directives Management Branch responsible for maintenance of the GSA master binders: Permanent. Offer to NARS when no longer needed for reference, *17 10 year blocks.*
- b. Central Office service and staff offices responsible for maintenance of master binders: Destroy when no longer needed for reference.
- c. Information Management Branches in regions: Destroy when no longer needed for reference.

11B21 - 11B24. Reserved.

11B25. Directive case files. Documents reflecting the preparation, review, clearance, and publication of directives maintained in master binders and directives which are not included in master binders, such as GSA materials submitted for inclusion in the Federal Register, the CFR, and the U.S. Government Manual. Included are directive proposal brief; permission statements for the use of copyrighted material; memorandums of consultation; directive clearance sheets; memorandums reconciling or explaining comments; comments of other Federal agencies, industrial concerns, and professional groups; originals of directives; copies of the published directives; copies of printing requisitions; and related records.

- a. Offices at the Central Office and National Capital Region: One copy of each directive with related background materials (exclusive of administrative materials; i.e., requisitions). Permanent. Cut off annually when superseded or canceled and retire to FRC. Offer to NARS 10 years after supersession or cancellation.
- b. Other offices: Cut off annually when superseded or canceled, hold 2 years, and retire to FRC. Destroy after 3 additional years, except that directives case files containing copyrighted authorizations will be destroyed after 56 years.

11B26 - 11B29. Reserved.

11B30. Directive controls. Documents used to control the numbering, processing, and distribution of directives. Included are directive number assignment cards, logs, registers, mailing list cards, or similar records.

Destroy when superseded or obsolete.

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red.*

11C1. Records officer designations. Documents reflecting names and information about individuals designated to perform records management duties.

Destroy when superseded or obsolete.

11C2 - 11C4. Reserved.

11C5. File plans. Documents retained by records management officials that reflect file categories, file subdivisions, and other information about the files accumulated in individual file stations. Included are file plans, record inventories, and related records.

Destroy on receipt of a revised plan or on discontinuance of the plan or the requirement.

11C6 - 11C9. Reserved.

11C10. Disposition campaigns. Documents accumulated in planning, conducting, and providing special reports on records disposition drives or campaigns. Included are copies of orders or notices announcing and publicizing the campaigns, reports reflecting disposition accomplishments, and related papers, but not record volume and activity reports described elsewhere in this appendix.

Cut off annually following completion of the drive or campaign:

- a. Records Management Branch: Cut off annually, hold 5 additional years or until completion of a subsequent campaign, whichever is sooner, and destroy.
- b. Other offices: Destroy when 2 years old.

11C11 - 11C13. Reserved.

11C14. Disposition instruction request files. Documents (accumulated by records officers) relating to requests for changes or additions to, exemptions from, or similar actions applicable to official records maintenance and disposition instructions. Included are requests, replies thereto, and related records.

Cut off annually, destroy when 2 years old, except that exemption and special authorizations shall be destroyed when superseded, canceled, or obsolete.

11C15. Disposition authorizations. Documents created only by the Records Management Branch in requesting authority from NARS and GAO for the disposal of records. Included are Standard Form 115, Request for Records Disposition Authority; clearances, including GAO clearances; and related records.

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Destroy when superseded or obsolete.

11C16 - 11C19. Reserved.

11C20. Records retirement. Documents created in retiring records to the National Archives or to Federal records centers. Included are Standard Form 135, Records Transmittal and Receipt; accession agreements; copies of approved disposal requests; and related records.

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Destroy 2 years after all records listed therein have been destroyed or when no longer needed.

11C21 - 11C24. Reserved.

11C25. Records donation and transfer. Documents created in reviewing, clearing, approving, and arranging for the donation of GSA records to organizations, institutions, and the transfer of records internally or between GSA and other Federal agencies. Included are requests or proposals for the donation or transfer of GSA records, clearance actions, approvals, and related records.

- a. Records Management Branch: Destroy 2 years after files are donated or transferred.
- b. Offices of records officers: Destroy 1 year after files are donated or transferred.

11C26 - 11C29. Reserved.

11C30. Records maintenance and disposition reports. Documents accumulated in consolidating, reporting, and evaluating information on the volume of records on hand, retired, transferred, and destroyed. Included are reports and related records.

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Cut off annually, hold 3 years in current files area, and destroy.

5 3/2

11C31 - 11C34. Reserved.

11C35. Information management program surveys. Documents accumulated in auditing or surveying the supervision and execution of information management programs of Central Office and regional services, staff offices, or elements thereof. Included are survey or audit reports, replies thereto, and related records. |

- a. Records Management Branch: Cut off annually following completion of the survey, hold 3 years in the current files area, and destroy. | 5 yrs
- b. Other offices: Destroy after the next comparable survey or after 3 years, whichever is sooner. | 5 yrs

11C36. Information management project files. Documents accumulated in planning, conducting, assisting in, reporting on, and taking other action in connection with information management projects and studies that do not result in the preparation of a directive or other instruction. Included are requests, coordinating actions, reports with recommendations, and related records.

Cut off annually following completion of the project or study, destroy when 3 years old.

11C37 - 11C39. Reserved.

11C40. File equipment and supplies. Documents created in the records management review of requests for file equipment and nonstandard supplies for the purpose of recommending approval or disapproval of supply action. Included are requests for equipment or supplies; approvals, disapprovals, and clearance actions, and other papers about specific items or equipment or supply.

Cut off annually, destroy when 2 years old.

11C41 - 11C44. Reserved.

11C45. Records management training files. Documents relating to providing and conducting training in correspondence, mail, files, or other areas of records management. Included are requests for training and papers concerning arrangements, notifications, and number of people trained.

Cut off annually, destroy when 1 year old.

11C46 - 11C49. Reserved.

11C50. Records management training materials. Documents relating to the preparation, clearance, and issuance of materials for use in correspondence, mail, files, or other records management training. Included are outlines, texts, handouts, training aids, and related records.

- a. Office preparing GSA-wide training materials:
Destroy when superseded or obsolete.
- b. Office of records officers: Destroy when
superseded or obsolete.

11C51 - 11C54. Reserved.

11C55. Withdrawn by CHGE

11C56. Withdrawn by CHGE

11C57 - 11C59. Reserved.

11C60. Emergency operating records controls. Documents accumulated by records officers to control the identification, transmission, maintenance, and disposition of emergency operating records. Included are inventories not incorporated in handbooks and similar records.

Destroy when superseded or obsolete.

11C61 - 11C64. Reserved.

11C65. Withdrawn by CHGE

11C66 - 11C69. Reserved.

11C70. Privacy Act general administrative files. Documents created in implementation of the Privacy Act within the Agency. Included are GSA orders, notices, minutes of meetings, agenda, correspondence, and related records.

Cut off annually, hold 2 years, and destroy if no longer needed for administrative use.

Note.—Files that provide the basis for, or result in the preparation of a directive or other instruction, should be withdrawn and filed in 9C2; Instruction file, or forwarded to the directives clearance officer for inclusion in the official directives file, whichever is appropriate.

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11C71 - 11C74. Reserved.

11C75. Privacy Act reports files. Documents accumulated in preparing reports and providing information relating to the implementation of the Privacy Act within the Agency. Included are one-time reports, feeder reports, annual reports to the Congress of the United States, the Office of Management and Budget, reports on new systems, letters canceling old systems, and related records.

- a. Annual reports: Office responsible for administration of the program within GSA. Permanent. Cut off annually, hold 5 years, and retire to FRC. Offer to NARS when 15 years old, *in 10 year blocks.*
- b. Other reports: Cut off annually, destroy when 2 years old.
- c. Other offices: Cut off annually, destroy when 2 years old.

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11C76 - 11C79. Reserved.

11C80. Information management studies. Documents accumulated in planning, administering, conducting, assisting in, reporting on, and taking other action in connection with information management studies for developing, recommending, and assisting in the installation of improvements to paper-work operations, systems, procedures, and methods. Included are requests, coordinating actions, reports with recommendations, and related records.

- a. Office responsible for conducting and clearing the study: Cut off annually, destroy when 5 years old.
- b. Other offices: Hold 2 years and destroy.

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11C81 - 11C84. Reserved.

11C85. Micrographics project files. Documents accumulated in planning, conducting, assisting in, reporting on, and taking other action in connection with micrographics projects and studies. Included are requests, coordinating actions, reports with recommendations, and related records.

Cut off annually following completion of the project or study, destroy when 3 years old.

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11C86 - 11C89. Reserved.

11C90. Micrographics equipment. Documents created in the management review or requests for micrographics equipment for the purpose of recommending approval or disapproval of supply action. Included are requests for equipment; approvals, disapprovals, and clearance actions; and other papers about specific items of equipment of supply.

Cut off annually, destroy when 2 years old.

11C91 - 11C94. Reserved.

11C95. Information processing project records. Documents created in planning, administering, conducting, assisting in, reporting on, and taking other actions in connection with information processing for developing, recommending, and assisting in the installation of information processing projects, systems, standards, procedures, and methods. Included are requests, coordinating actions, reports, standards, recommendations, and related records.

Cut off annually, destroy when 5 years old.

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Revision
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