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# Records Disposal A Guidebook for Laboratory Offices

J. A. S. PITTS

*NRL Historian*

April 1985

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NAVAL RESEARCH LABORATORY  
Washington, D.C.

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## SUMMARY CHECKLIST OF DISPOSAL GUIDELINES

Q: WHAT are records?

A: RECORDS are any media (handwritten, typewritten, printed, photographic, drawn, taped, etc.) on which information pertaining to an office's organization and functions has been recorded, and which were created at Government expense or by Government employees during accountable working hours. TEMPORARY RECORDS serve a short-term function and are not essential for understanding the origins, evolution and functions of an office and its programs. PERMANENT RECORDS have long-term legal, scientific or historical value and provide documentation of the complete history of an office, project or other activity. OFFICIAL RECORDS are permanent records that document work, activities, decisions, etc. that resulted from official duties. INFORMAL RECORDS are materials, such as working papers and memos for file, that were created in the process of carrying out official duties, but which contain information that was not necessarily intended for inclusion in official records. Informal records are permanent records if they contain significant information (ie., legal, scientific or historical value) that was not included in official records. PERSONAL RECORDS are informal records created or compiled by individuals for their own use. They are permanent records if they were created at Government expense and if they contain significant information that is not documented in official records.

Q: WHEN should records be reviewed for disposal action?

A: Disposal schedules vary depending on the nature of the records (temporary or permanent) and the types of records (e.g., case files, scientific notebooks, program records). Code 2021 will provide information on disposal schedules on request. In general, review records for disposal action

... at least once per year;

... whenever an office is disestablished, or a project is closed;

... prior to the departure or reassignment of the person who is accountable for the records.

Q: WHO should conduct the review?

A: The official or scientist who has accountability for the records has the responsibility for ensuring the timely and efficient review and disposal of the records under his/her control. For most records, the accountable individual will be the head of an organizational unit (e.g., division, branch), a special project office or a special laboratory (e.g., Laboratory for Computational Physics).

Q: WHICH records can be destroyed, or otherwise disposed of, by the accountable office?

A. The accountable official, or designated office records custodian can destroy, or otherwise dispose of any records that pertain to temporary controls and routine housekeeping matters, that are held strictly for information or reference purposes, that duplicate records preserved elsewhere, that contain information that has already been reported fully and thoroughly in official records or reports, or that contain no significant information relating to the mission of an office or the functions for which it exists. Disposal action can be taken when the records are obsolete, superseded, no longer needed, or in accordance with specified schedules. Common types of such records are:

- ... General housekeeping records, such as inventory control, suspense, job control, leave, and travel records.
- ... General and administrative correspondence, such as courtesy letters, letters of transmittal, and correspondence pertaining to travel, hotel reservations, professional affairs, etc.
- ... Routine and quasi-official notices, such as notices of meetings, fund drives, awards ceremonies.
- ... Office copies of official directives, instructions, manuals.
- ... Telephone books, directories, code sheets published after 1945.
- ... Schedules of daily activities, appointments books, calendars (unless they were used to record substantive information).
- ... Office copies of procurement records and other standard forms for documenting administration of contracts.
- ... Information copies of official records, correspondence & reports.
- ... Reading file copies of office correspondence.
- ... Reference copies of technical reports and publications.
- ... Exact duplicate copies of all publications and of all reports that have been processed for distribution.
- ... Unpublished materials, such as drafts and manuscripts, that exactly duplicate information reported in published forms or documented in official records and reports.
- ... All record forms that are faulty, technically poor, or otherwise unusable (primarily pertains to audiovisual materials and to data and specifications forms).



Q: WHICH records should be transferred to Code 2021 for final disposal action?

A: Any records that document the history, origin, evolution, primary functions, programs, and representative work and accomplishments of an NRL organizational unit; document the objectives, progress and principal accomplishments of a research project; present evidence that may have long-term legal or scientific value; contain original data that may be applicable to future research projects; or document the progression of events leading to a notable scientific advance or technological information, should be transferred to Code 2021 for final disposal action. The only exceptions are a). data forms that are determined to be not usable (i.e., their form or physical condition precludes re-use); b). records that definitely are not unique (i.e., the information in the record is known to have been fully and thoroughly documented elsewhere); and c). records that are clearly unimportant (i.e., contain no substantive information or have no legal, scientific or historical value). Records that conform to any of these exceptions can be destroyed by the controlling office.

Typical examples of records that should be sent to Code 2021 are

Programatic files:

Official and action copies of correspondence, planning and review documents, and related records that document research program functions, planning, management and execution.

Informal records, such as memos for file, working papers, and personal papers containing substantive information that probably has not been documented in official records.

Subject files pertaining to program activities, projects, committees, etc.

Project Case Files:

Official and action copies of project-related correspondence and records of project-related committees.

Usable original data forms and originals of all preliminary and final drawings and specifications.

One captioned and one reference copy of each photograph and other A-V materials.

Informal records, such as working papers, preliminary interpretations of data, etc., containing substantive information that probably has not been documented in official records.

Original, or record copy, of each project-related reports.

Drafts/working copies of reports if they differ substantially from final versions, or if they contain substantive comments added by reviewing officials.

Other Scientific and technical files:

Scientific and technical notebooks and other media used to record original observations, experimental results, hypotheses, tentative conclusions, preliminary interpretations, etc.

Drafts and manuscripts of published and processed reports that contain substantive, critical comments added by reviewers.

Personal records containing observations on research activities or the progression of events leading to a significant scientific advance or technological innovation.

Q: WHICH records and files should be reviewed by the NRL Historian before disposal action is taken?

A. Request an appraisal from the NRL Historian whenever

the uniqueness or importance of the records cannot be determined easily or with certainty (the most common examples are handwritten records and drafts/manuscripts that contain handwritten comments);

the recorded information is in the form of a material object, such as a model, design prototype, or other physical artifact (in other words, any object that appears to be suitable for display in an exhibit or museum);

the records are

... telephone directories or code sheets that predate 1945.

... NRL scientific and technical reports that predate 1935.

... organizational charts, diagrams, instructions, and personnel rosters that predate 1933.

... Audiovisual materials pertaining to notable individuals and noteworthy events in the Laboratory's history.

... Audiovisual materials that predate 1945.

the records present an unofficial or unpublished history of an organizational unit, a long-term research project, or a field of research.

the records contain the personal opinions and observations of an individual who desires a confidential appraisal of their worth and importance.

## I. INTRODUCTION TO THE GUIDEBOOK

### I-1. Purpose.

The purpose of this guidebook is to provide NRL researchers, administrators, and office records custodians with clear and concise guidelines on the procedures to follow when disposing of office records. The guidebook is not a new set of records management instructions or requirements. Rather, it is an interpretation of those that already exist and is designed to be a handy reference source for use when handling records disposal tasks. The need for such guidelines was identified by an NRL Records Management Study Task Group, which surveyed and inventoried the office files and records keeping practices of 50 offices selected from the six NRL directorates and representing all organizational levels.

### I-2. Regulations.

Users of this guidebook are reminded of the following regulations that govern NRL records management policy and procedures:

1. National Archives and Records Service Publications Nr. 7610-01-005-8704, "Disposition of Federal Records," 1981, FPMR 101-11.4, "General Records Schedules," 1979.
2. Department of Defense Directives 5000.19, "Policies for the Management and Control of Information Requirements," 1976, and 5015.2, "Records Management Program," 1980.
3. SECNAV Instructions P5212.5B, "Disposal of Navy and Marine Corps Records," 1961, and 5210.8B, "Records Management Program for the Department of the Navy," 1981.

There is no specific NRL instruction on records management; the Laboratory's records management program follows SECNAVINST P5210.8B.

### I-3. Further Guidance.

Users who need clarification of information presented in this guidebook, assistance with specific disposal problems, or further guidance regarding records management regulations, policies and procedures should contact either the Head, Records and Correspondence Management Office (Code 2021), or the NRL Historian (Code 2604).

### I-4. Security.

Policies governing the management and disposition of Federal records apply to all records, regardless their level of classification. However, the procedures for the packaging, transfer and final disposition of classified Federal records are governed by special regulations. Questions concerning these procedures should be directed to Code 2021 or to the Classification Management and Control Section, Code 1221.

## II. RECORDS AND RECORDS DISPOSAL

### II-1. What are Records?

All Federal, DoD and Navy agencies follow the definition of "records" as set forth in Title 44, U.S. Code, Chapter 33, Section 3301:

...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 or in connection with the transaction of public business and preserved or appropriate for preservation...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....

In short, an NRL employee creates a record whenever 1). she/he records information in some form while performing official duties, and 2). the recorded information pertains to the Laboratory's organization, management, functions, policies, decisions, etc.

### II-2. What is Records Disposal?

As defined by the National Archives and Records Service (NARS), which has statutory authority to define standards for records disposal, records disposal is an orderly program which provides for:

The timely and systematic removal of records deemed temporary by the creating office, the agency and the Government for later destruction...(and) designation of permanent records having sufficient historical and archival values to warrant immediate or later transfer to NARS for permanent preservation.

An authorized records disposal program establishes the form of disposal (immediate destruction, temporary retention or permanent preservation), the schedules for disposal, and the levels at which disposal authorities can be exercised. The authority for disposal of NRL records is SECNAVINST 5210.8B and P5212.5B, and the authority is exercised through the Records and Correspondence Management Branch (RCMB).

### II-3. What Are the Rules for Records Disposal?

The fundamental rules concerning records disposal are set forth in Title 44, U.S. Code, Chapter 31, Section 3102:

... records created by Federal employees and/or through the facilities of Federal agencies belong to the Federal Government and not to individuals

... individuals may not legally destroy such records except through the authority and procedures of an approved disposition program.

The practical rule is that no records should be destroyed at the office level unless:

- ... the destruction is clearly authorized by a). SECNAVINST 5210.8B and P5212.5B or b). NRL directives governing specific categories of temporary records; or
- ... the records have been appraised by the Head, Records and Correspondence Management Branch (Code 2021) or the NRL Historian (Code 2604).

#### 11-4. What Records Should be Preserved?

Certain categories of office records are routinely transferred to Code 2021 by direction of the Commanding Officer. These records are appraised for their permanent retention value by the Records and Correspondence Management Branch. These records include:

- ... All correspondence signed by the Commanding Officer or by others at his direction.
- ... Records of all meetings, task groups, program reviews, etc. carried out by direction of the Commanding Officer.
- ... Scientific notebooks and official problems files.
- ... Individual office administrative files which exist by direction of the Commanding Officer.

Because these records are disposed of by direction of the Commanding Officer, they are considered to be the official records of the Laboratory. However, these represent only a portion of the Laboratory's records. Many important records are not routinely appraised for preservation, even though they have potential value. These include records files created by individual researchers and office heads for internal use, many forms of scientific data, most internal correspondence, many program reviews at the division and lower levels, and comparable materials. They may also include materials which should be preserved because of their age or because they are the only surviving copies of official records that were inadvertently destroyed.

Unfortunately, there are no simple rules by which individual offices can distinguish which of these latter category of records should be preserved and which should not. Records appraisal is not a science and can pose a challenge to even the most experienced records appraisers. Needless to say, the challenge is even greater for individual office records keepers. Accordingly, individual offices commonly destroy records which have permanent value while retaining records which should be destroyed.

### III. TEMPORARY AND PERMANENT RECORDS

#### III-1. Temporary Records

Temporary records are any documents that serve a short-term function in an individual office and that are not essential for understanding the origins and evolution of the office's programs. They have primary value to the individual office for their administrative, legal and fiscal uses. Some temporary records can be destroyed by the office's designated records custodian when no longer required for use. Temporary records with retention periods of more than 3 years will be sent to Code 2021 when no longer required for use. Temporary records have one or more of the following features in common:

- ... they duplicate official copies stored elsewhere.
- ... they have been summarized at higher agency levels;
- ... they pertain to temporary controls, such as logs and "ticklers";
- ... they pertain to routine housekeeping matters, such as requisitions, stock controls, etc.
- ... they contain no substantive information relating to the functions for which the office exists.

#### III-2. Disposal of Temporary Records.

Certain types of temporary records can be destroyed by the individual office, while other types must be transferred to Code 2021 for final action. Final action may include immediate destruction, temporary retention for specified periods, or transfer to the National Archives and Records Service (NARS) for permanent retention. The criteria for distinguishing between temporary and permanent records are set forth in Sections IV and V.

#### III-3. Permanent Records

Permanent records document the origins and evolution of agencies and individual offices and present evidence of and substantial information relating to activities, programs, organization, functions, and other critical aspects of an agency's or office's growth and development. All permanent records are official records and have these characteristics in common:

- ... Unique: contain information that either is not preserved elsewhere or is not preserved in as complete and usable a form.
- ... Important: provide evidence of a). the origins and evolution of the office and its programs, and b). the what, why, how and who of work performed and decisions made.
- ... Usable: they are in a form and physical condition that permits access to the data contained in them.

TABLE 4: DISPOSAL OF DATA AND SPECIFICATIONS RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
3.	R&D DRAWING AND SPECIFICATION FILES: drawings, specifications, audio-visual materials, related records, finding aids and microforms pertaining to the design and construction of objects, such as research instruments and hardware, models, etc.	NOTE: Audio-visual materials are also discussed in Section V-7 and Appendix 2.
	a. Case file records. Original drawings, etc. that pertain to a specific project and that should be incorporated into the project case file.	
	1). Official copies. One (1) captioned copy and one (1) reference copy of each original drawing, design, photograph, etc.	TRANSFER to Code 2021 with related project case file.
	NOTE: If for some reason these items were not transferred to Code 2021 when the related project case file was transferred, these materials can be transferred separately. In such cases, enclose the problem number, project title, or comparable descriptive information, so that these materials can be combined with the original case files.	
	2). Copy masters. Master negatives, tapes, etc., from which official copies were made.	CONSULT Technical Information Division Photographic Branch (Code 2650).
	3). Duplicate and reference copies.	DESTROY when no longer needed.
	4). Materials that are not usable.	DESTROY
	b. Historical Materials.	
	1). Models and artifacts. Physical objects, such as prototypes, brassboards, etc.	CONSULT NRL Historian and/or Code 2610 (Information Services). Per Navy regulations, models and artifacts must be offered to the Curator of the Navy.
	2). Drawings, specifications, etc. that a). pertain to projects closed more than 20 years ago, or b). cannot be identified with a specific project.	CONSULT NRL Historian.
	c. Files and materials not described above.	DESTROY when no longer needed.

Data and specifications records that do not meet the test of usability can be destroyed without further review. Records that meet the test of usability should be processed in accordance with the guidelines set forth in Table 4, below.

TABLE 4: DISPOSAL OF DATA AND SPECIFICATIONS RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	<p>DATA FILES. All media and forms (other than notebooks), on which are recorded raw &amp; original data, reduced data, preliminary interpretations and tabulations of data, and final presentations of data.</p>	
	<p>a. Human-readable data files. Records that are handwritten, printed, photographic, etc.</p>	
	<p>1). Records that are usable, unique and important.</p>	<p>TRANSFER master copies to Code 2021 with related project case file (or separately if not related to a specific project), with recommendation for Permanent retention.</p>
	<p>2). Records that are usable, but not unique or not important.</p>	<p>TRANSFER master copies to Code 2021 with recommendation for Temporary retention (1-5 years).</p>
	<p>3). Duplicate and reference copies.</p>	<p>DESTROY after project closed, or when no longer needed.</p>
	<p>4). Records that are not usable.</p>	<p>DESTROY.</p>
	<p>b. Machine-readable data files.</p>	<p>REFER to Appendix 1 of this Guidebook and FOLLOW appropriate guidelines.</p>
2.	<p>SCIENTIFIC AND TECHNICAL NOTEBOOKS.</p>	
	<p>a. Notebooks issued to researchers by Code 2021.</p>	<p>RETURN to Code 2021 when filled, or when researcher terminates employment (this applies even if the notebook is blank).</p>
	<p>b. Other notebooks used to record data collected or processed at Laboratory expense or using Laboratory facilities.</p>	<p>TRANSFER to Code 2021 when filled, or when researcher terminates (this does not apply if notebook is blank).</p>



The general rule for disposal of records containing data and specifications is that all such records should be reviewed for their long-term value before disposal action is taken. The general rule covers both those records that contain final results and those that contain preliminary information (e.g., raw data, preliminary interpretations of data, preliminary designs and sketches, experimental models, etc.). While the importance of records containing final results is obvious, the importance of those containing preliminary information is often overlooked. The latter are important because a). they may have use value to future researchers, and b). they reveal the process by which final results were achieved.

While it is obvious that not all records containing data and specifications can, or should be preserved, those that appear to be unique, usable and important should be reviewed by competent authority before disposal action is taken. How does one make such a determination? One simple method is to apply the following questions to the records being considered for disposal. If the answer to any one of the following sets of questions is "Yes", then a record can be considered as meeting the related criterion.

Uniqueness Are the records unusual in their accuracy, comprehensiveness, and completeness?

Do the files contain data that cannot be replicated or that pertains to experiments or observations that cannot be repeated?

Do the records contain significant information that has not been published, or is there a substantial difference between published information and the information in the records?

Usability Are the files accurate, comprehensive and complete, and is the recorded information concentrated in some way (for example, on microfiche) that increases the ease of access and decreases storage requirements?

Is the physical condition of the records such that the information can be read and interpreted? OR, If the records have suffered serious deterioration, can they be restored to human-or machine-readable form at a reasonable cost?

Do the files contain raw data that can be used by other researchers or that are likely to be applicable to a wide variety and broad range of research problems?

Importance Do the records contain data or specifications that could be used as evidence for a patent claim or a case in litigation?

Do the records contain historically significant information, such as documentation of the progression of events leading to a noteworthy discovery or application, the evolution of a significant line of science or technology, or the cumulative accomplishments of the Laboratory, an NRL research office, or a notable NRL researcher?

Do the records contain data that can clarify, augment, or otherwise relate to research being undertaken elsewhere on the Laboratory?

TABLE 3: GUIDELINES FOR DISPOSAL OF CASE FILE RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
5.	PROJECT FILES OF CONTRACTORS AND CONSULTANTS. Records of projects carried out for, or on NRL by grant holders, contractors and consultants.	TRANSFER to Code 2021 after completion of project.
	a. Procurement records and other records pertaining to contract administration.	DESTROY when no longer needed.
	b. Records of scientific and technical work and consultations.	
	1). Projects carried out entirely by grantee/contractor/consultant.	TRANSFER TO Code 2021 after completion of project.
	2). Work performed in support of a project being carried out by NRL.	FILE with appropriate project case file and TRANSFER to Code 2021 after project has been completed.
	3). Duplicate, information and reference copies.	DESTROY when no longer needed.
6.	PROJECT PROPOSAL FILE. Records of investigations into the feasibility of proposals, including both proposals originating within the Laboratory and those received from outsiders.	
	1). Proposals which culminated in approved projects.	FILE with appropriate project case file and TRANSFER to Code 2021 after project has been completed.
	2). Other Proposals.	TRANSFER to Code 2021 after proposal has been rejected.

V-5. Disposal of DATA AND SPECIFICATION FILES.

These files include all media and forms on which scientific data, technical drawings and technical specifications are recorded. Data Files show the complete history of data collection and processing from the inception of a project through the presentation of final interpretations. They include raw, original, unreduced data, preliminary reductions and interpretations of data, and final presentations of data. Drawing and specifications files show the complete history of the physical development of equipment and systems. They include designs, sketches, preliminary and final drawings and specifications, and related materials.

TABLE 3: GUIDELINES FOR DISPOSAL OF CASE FILE RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
3.	PROJECT REPORT FILES. Interim, summary progress and final reports of findings, interpretations, results and conclusions.	
	a. Official copy of each report prepared for distribution or publication.	TRANSFER to Code 2021 with Primary Records.
	b. Duplicate and reference copies of reports.	DESTROY when no longer needed.
	c. Information copies of reports received on distribution.	Do.
	d. Drafts and working papers of reports.	
	1). Drafts contain substantive information that was not included in final copies, contain scientific or technical findings, interpretations or conclusions not included in final reports, or contain substantive critical comments added by reviewers.	TRANSFER to Code 2021 with Primary Records.
	2). Notes, memos, tables, charts and related materials used in preparing reports.	Do.
	3). Drafts that duplicate final reports and contain no substantive added comments.	DESTROY when no longer needed.
4.	PROJECT AUDIOVISUAL RECORDS. Still and motion pictures, sound recordings, videotapes, etc.	
	a. Primary copies.	FILE one (1) captioned copy and one (1) reference copy with Primary Records. TRANSFER original negatives and master tapes/disks to Code 2650.
	b. Duplicate copies.	DESTROY when no longer needed.

V-4. Disposal of CASE FILES.

Case file records include all materials that document the execution of individual elements of the Research Program and that show the complete history of individual research projects from initiation through completion. Case file materials commonly maintained include administrative documents (e.g., DD Form 1498), project-related correspondence and memoranda, progress reports, records of project-related meetings, final drawings and specifications, final data forms, and miscellaneous working papers.

The following guidelines pertain to case file records maintained by divisions, branches, sections, special laboratories, and special project offices. The guidelines do not apply case file documents maintained by the Office of Management and Administration (Code 1005), as these basic project records are transferred routinely to Code 2021 after a project is completed.

TABLE 3: GUIDELINES FOR DISPOSAL OF CASE FILE RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	PROJECT MANAGEMENT RECORDS. All correspondence, memoranda, meetings records, and related unpublished materials that pertain to project planning and execution and that document the day-to-day evolution of a project.	
	a. Primary Records. Records maintained by the office that has primary accountability for the project.	TRANSFER to Code 2021 after project has been closed.
	b. Duplicate copies of primary records.	DESTROY when project closed, or when no longer needed.
	c. Working papers. Internal memoranda, memos for file, unedited minutes of meetings, etc., which contain information that is preliminary in nature.	1). DESTROY any papers that are exact duplicates of Primary Records; 2). TRANSFER remaining papers to Code 2021 with Primary Records; 3). CONSULT NRL Historian if in doubt.
2.	PROJECT DATA AND SPECIFICATION FILES.	
	a. Final Data Forms. Media on which data are recorded in final form. These forms are generally human-readable, but may also be machine-readable.	TRANSFER to Code 2021 with Primary Records.
	b. Final drawings and specifications.	Do.
	c. Other data and specification records.	REFER to Section V-5, "Disposal of Data and Specification Files"

TABLE 2: GUIDELINES FOR DISPOSAL OF PROGRAM MANAGEMENT RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
4.	<p>COMMITTEE AND BOARD FILES: Correspondence, agendas, directives, minutes of meetings, committee reports and comparable materials pertaining to the origin, operations, recommendations and actions of the committee.</p>	
	<p>a. Records of committees established by top management to review problems and issues having Laboratory-wide significance.</p>	
	<p>1). Official records maintained by the secretary, chairperson or other designee.</p>	<p>TRANSFER to Code 2021 after three (3) years.</p>
	<p>2). <u>Associated records</u>, such as working papers, memoranda and similar materials prepared for internal use by committee members, and <u>filed separately from official records</u>.</p>	<p>TRANSFER to Code 2021 with official records, <u>or</u> CONSULT NRL Historian.</p>
	<p>3). Copies of materials distributed to committee members and/or offices affiliated with committee.</p>	<p>DESTROY when superseded or obsolete, when committee is disestablished, or upon termination of membership.</p>
	<p>4). Information copies of committee materials.</p>	<p>DESTROY when superseded or obsolete, when committee is disestablished, or when no longer needed.</p>
	<p>b. Records of committees established by an Associate Director or division superintendent to review internal operations, projects, etc.</p>	
	<p>1). Official records maintained with office records of Associate Director or division superintendent.</p>	<p>TRANSFER to Code 2021 after three (3) years.</p>
	<p>2). Associated records filed separately from official records.</p>	<p>TRANSFER to Code 2021 with official records, <u>or</u> CONSULT NRL Historian.</p>
	<p>3). Other copies.</p>	<p>DESTROY when no longer required</p>

TABLE 2: GUIDELINES FOR DISPOSAL OF PROGRAM MANAGEMENT RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
2.	<p>PLANNING AND REVIEW DOCUMENTS. Materials pertaining to an office's role in the planning, review and management of the Research Program.</p>	
	<p>a. Official records. Official and action copies of all memoranda, studies, reviews, reports, etc. which describe and explain office's role in planning and execution of NRL Research Program.</p>	<p>TRANSFER to Code 2021 after three (3) years.</p>
	<p>b. Information and reference copies of official records.</p>	<p>DESTROY after two (2) years, or when no longer required.</p>
	<p>c. <u>Associated records</u>, such as working papers, internal memoranda, memos for file and similar materials prepared for internal use and <u>filed separately from official records</u>.</p>	<p>TRANSFER to Code 2021 with official records, <u>or</u> CONSULT NRL Historian.</p>
	<p>NOTE: Associated records commonly are destroyed in the mistaken belief that they are unimportant. In reality, associated materials often contain important information that is missing from official copies.</p>	
	<p>d. Research Reviews. Summary reviews of research accomplishments of individual offices (usually division level).</p>	<p>FILE one (1) copy with official records. SEND one (1) copy to NRL Historian.</p>
3.	<p>ORGANIZATION &amp; MANAGEMENT RECORDS. Materials pertaining to the establishment/disestablishment of Research Program offices and the evolution of their mission and functions.</p>	
	<p>a. Official records: all memoranda, studies, reviews, etc., which describe and explain planned, proposed or completed changes in the organization, management, or function of of an office.</p>	<p>TRANSFER to Code 2021 after three (3) years.</p>
	<p>b. Descriptive &amp; authorizing records, such as organization manuals, Laboratory directives and Laboratory instructions.</p>	<p>DESTROY when superseded.</p>
	<p>c. <u>Associated records</u> that are <u>filed separately from official records</u>.</p>	<p>TRANSFER to Code 2021 with official records, <u>or</u> CONSULT NRL Historian.</p>
	<p>d. Organizational histories: unpublished histories and chronologies prepared for internal use.</p>	<p>CONSULT NRL Historian.</p>

disestablished offices, and special files created by individual office heads) commonly are retained indefinitely in the individual office or destroyed before their long-term value can be determined. As a result of this inconsistency in records disposal practices, there are significant gaps in the records of the Laboratory's past work and accomplishments.

The guidelines set forth in the following paragraphs and tables are intended to rectify this situation. The paragraphs describe the broad categories of records, while the tables identify the types of records within each category and the appropriate disposal action for each type. By referring to these tables, records custodians in the individual Research Program offices should be able to more easily and accurately identify those types of records that require higher level review before final disposal action is taken.

NOTE: The following tables describe types of records and do not necessarily correspond to forms of file organization. In most NRL offices, the types of records described are combined into 2 or 3 file categories. A common arrangement involves organization of records into "subject" files (containing records on programs and projects, committees and boards, etc.); "technical" files (containing records of research projects); and "correspondence" files (containing official correspondence generated or received). In addition, most office heads and individual researchers will maintain a special file containing materials pertinent to his/her work or duties.

V-3. Disposal of PROGRAM MANAGEMENT RECORDS.

As indicated before, Scientific and Technical Program Management Records include all materials that document the planning and execution of the Research Program and its individual elements, the organization and management of Research Program offices, the policies and decisions affecting the Research Program and Research Program offices, and relations between Research Program offices and the broader Navy, DoD and Federal R&D communities. These records typically are maintained at the division level and above.

TABLE 2: GUIDELINES FOR DISPOSAL OF PROGRAM MANAGEMENT RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	CORRESPONDENCE FILES.	
	a. Official Correspondence: Correspondence pertaining to mission and function of the office, including both materials originating from the office and materials requiring action by the office.	TRANSFER to Code 2021 after five (5) years. Correspondence files of branch and lower offices are transferred with division records.
	b. Information copies of official correspondence.	DESTROY after two (2) years, or when no longer required.

## V. DISPOSAL GUIDELINES II: SCIENTIFIC AND TECHNICAL PROGRAM RECORDS

### V-1. Categories of Scientific and Technical Program Records.

Scientific and Technical Program (STP) records consist of all documentary materials that record the planning, management, organization, execution and reporting of Laboratory research and development activities. For purposes of records disposal, STP records can be divided into the following broad categories:

1. PROGRAM MANAGEMENT RECORDS: Records pertaining to the planning and execution of the Research Program.
2. CASE FILES: Records pertaining to the planning and execution of research projects.
3. DATA AND SPECIFICATION FILES. Records containing raw or original data and technical specifications.
4. REPORTS FILES: Scientific and technical reports and publications prepared by NRL personnel and/or received by NRL on distribution.
5. AUDIOVISUAL RECORDS: Still and motion pictures, sound recordings and videotapes, which are separate from other STP files.
6. PERSONAL FILES. Records created and/or compiled by an individual for his/her restricted use.

### V-2. Disposal of Scientific and Technical Program Records.

National Archives and Records Service (NARS) guidances specify that recorded materials which document the mission, functions and primary activities of a Federal agency are official records and may not be destroyed unless the designated records management authority has determined that they have no permanent value. At NRL, STP records are official Laboratory records, and the disposal authority is SECNAVINST P5212.5B, "Disposal of Navy and Marine Corps Records," 1961. For most STP records, this authority is carried out by the Records and Correspondence Management Branch (Code 2021).

The individual Research Program offices, however, have responsibility for making the initial review of STP records and for determining which records should be sent to Code 2021 for final processing. Unfortunately, the criteria for making these determinations are not always clear since NRL has no single instruction covering the management and disposal of all types of records and because the Navy Disposal Manual is seriously outdated. Consequently, certain obvious types of records (for example, the program management files of the Director of Research, the Associate Directors of Research and the division superintendents) are routinely transferred to Code 2021 for final processing, while potentially important, but less obvious records (such as working papers of individual scientists, records of



ITEM	DESCRIPTION	DISPOSAL ACTION
6.	<p>SCHEDULES OF DAILY ACTIVITIES: Calendars, appointment books, logs, diaries, and similar materials for documenting meetings, appointments, telephone calls, visits, etc.</p> <p>EXCEPTION:</p> <p>Schedules which have been used to record substantive information relating to Laboratory programs or policies.</p>	<p>DESTROY when no longer needed.</p> <p>CONSULT NRL Historian.</p>
7.	<p>FINDING AIDS: Indexes, lists, serial logs, registers, etc., prepared as aids in using general office records.</p>	<p>DESTROY when no longer needed.</p>

NOTE: Finding aids that relate to official records, or which are used for both official records and general office records should be handled according to procedures described in the next section.

ITEM	DESCRIPTION	DISPOSAL ACTION
4.	GENERAL CORRESPONDENCE FILES. Correspondence that is routine, quasi-official, non-substantive, and/or duplicative.	
	a. Information/reference copies of official correspondence received by office.	DESTROY when no longer needed.
	EXCEPTIONS:	
	1). Copies contain substantive added comments.	CONSULT NRL Historian.
	2). Copies are more than 35 years old, or are believed to be the only existing copies.	Do.
	b. Reading file copies of office correspondence	DESTROY after 90 days, or when no longer needed.
	c. Administrative correspondence, such as courtesy letters, letters of transmittal, requests for publications, letters pertaining to plane and hotel reservations, ticklers, follow-ups, etc.	Do.
5.	ADMINISTRATIVE REFERENCE FILES. Reference materials maintained for purposes of administrative convenience.	
	a. Office copies of official directives, instructions, manuals, etc.	DESTROY when superseded, cancelled, or otherwise no longer needed.
	b. Trade, supply and similar catalogs.	Do.
	c. Telephone books, directories, code sheets.	Do.
	EXCEPTION:	
	NRL telephone directories and code sheets predating 1945.	TRANSFER to NRL Historian.
	d. Quasi-official notices, such as notices of meetings, fund drives, award ceremonies, etc.	DESTROY after 90 days or when no longer needed.

#### IV. DISPOSAL GUIDELINES I: GENERAL OFFICE RECORDS

##### IV-1. What are General Office Records?

General office records include non-record materials, such as extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents, general housekeeping records, transitory files and comparable materials which have temporary value for internal administration. Such records are not basic program records and do not document the functions for which the office exists.

##### IV-2. Disposal of General Office Records.

Each NRL office is responsible for disposing of its own general office records. These should be destroyed after specified periods of time, or when they are no longer required for use within the office. However, there are exceptional cases in which records should be reviewed by Code 2021 or 2604 before destruction is carried out. Table 1, below, lists the categories of general office records, the appropriate disposal actions, and the notable exceptions.

TABLE 1: GUIDELINES FOR DISPOSAL OF GENERAL OFFICE RECORDS

ITEM	DESCRIPTION	DISPOSAL ACTION
1.	ROUTINE ADMINISTRATION AND HOUSEKEEPING FILES: Records relating to internal administration and housekeeping, such as records pertaining to routine organization and staffing, travel, leave, training, fund drives, requests and receipts for office supplies and equipment, administrative expenditures, etc.	DESTROY after two (2) years or when no longer needed, which ever is earlier.
2.	SUSPENSE FILES: notes, memos for file, and similar items arranged chronologically as reminders that action is required or should be taken on a given date.	DESTROY after action is taken.
3.	ROUTINE CONTROL FILES: Job control records, correspondence control forms, supply stubs and receipts and similar records used solely to control work flow or routine administrative actions.	REMOVE from related records & DESTROY when work completed or no longer needed for administrative action.

#### III-4. Disposal of Permanent Records.

The following are general categories of permanent records that commonly are maintained by NRL regular offices at the division level and above, by special program and project offices, and by special laboratories. Original and action copies of any records that fall within any of these categories should be transferred to Code 2021 for final action.

1. GENERAL SUBJECT FILES which document the origins and evolution of the office, its programs and projects, and its relations with other NRL offices and with agencies outside NRL. Files may include correspondence, unpublished reports, internal memoranda, program reviews, etc.
2. SELECTED CASE FILES which pertain to specific actions, events, persons, projects, etc. of significance to the individual office and which provide complete documentation of activities from initiation to completion.
3. ANALYTICAL REPORTS which have not been published, printed for widespread distribution outside the office, or summarized in an annual or final report.
4. RECORDS OF COMMITTEES, TASK FORCES, BOARDS, including minutes, agendas, proposals submitted for committee review, summaries of recommendations and actions, and other records pertinent to understanding the work and accomplishments of the committee.
5. RECORDS PERTAINING TO LEGAL AND LEGISLATIVE ISSUES having a direct bearing on the individual office and which were prepared by individuals within the office in response to inquiries from the NRL Counsel, the NRL Patent Counsel or the NRL Public Affairs Officer.
6. EVALUATIONS OF INTERNAL OPERATIONS, including both records of evaluations/program reviews initiated by the office head and records of the office's responses to reviews initiated by higher levels of management.
7. RECORDS ON FUNCTIONAL ORGANIZATION, which describe organizational changes within an office and explain why they occurred.
8. BRIEFING MATERIALS pertaining to programmatic presentations given to NRL top management, to a sponsor or to a higher Navy command.
9. HISTORIES AND HISTORICAL MATERIALS. These include unpublished narratives, charts, statistical tabulations, etc., which were compiled as part of an effort to reconstruct the history of the individual office.
10. SCIENTIFIC AND TECHNICAL DATA. Original data files that, in the view of competent authorities is unique, cannot be easily or economically reproduced, or can be used by future researchers.

V-6. Disposal of TECHNICAL REPORT FILES.

These files pertain to media that contain scientific and technical information, which has been prepared for publication, processed for distribution, developed for oral presentation, or organized into manuscript form. The files include both media originating from within the Laboratory and those received on distribution from outside agencies and individuals. The files also may contain associated materials, such as working papers and drafts, which contain substantive information that was not included in the reports prepared for distribution.

TABLE 5: DISPOSAL OF TECHNICAL REPORT FILES

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	PROGRAM REPORT FILES. Copies of published materials and manuscripts of unpublished items. DOES NOT INCLUDE reports prepared to meet requirements of specific projects.	
	a. Copy of Record. One (1) copy of each report prepared within the office (printed version for published reports; final manuscript for unpublished reports), and of any manuscript that contains substantive critical comments added by reviewers.	TRANSFER to Code 2021 with office program records.
	b. Drafts and working papers.	
	1). Drafts contain substantive information not included in copy of record.	Do.
	2). Drafts duplicate copy of record.	DESTROY when no longer needed.
	c. Duplicate and reference copies	
	1). Current and recent reports.	DESTROY when no longer required for reference use.
	2). Reports predating 1945.	SEND one (1) copy to NRL Historian
	d. Information copies of reports received on distribution.	DESTROY when no longer required for reference use.
	e. Office copies of Report control forms (DD Form 1473, NDW-NRL 5213/2658, and NDW-NRL 5511/1259).	DESTROY after release for publication has been approved.

TABLE 5: DISPOSAL OF TECHNICAL REPORT FILES

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
2.	<p>PROJECT REPORT FILES. Copies of reports prepared by project office to show progress in scientific and technical work from initiation of project through completion. Commonly referred to as interim, summary progress and final reports.</p>	
	<p>a. Copies of Record. Original and final copies of interim, summary progress and final reports.</p>	<p>TRANSFER original (or official copy) to Code 2021 with related project case file. SEND one (1) copy to Code 2627 (Documents Section).</p>
	<p>b. Drafts/working copies of project reports; feeder reports used in preparing copies of record; and materials prepared for use in briefings and other oral presentations.</p>	
	<p>1). Materials contain substantive information that was not included in copies of record.</p>	<p>TRANSFER to Code 2021 with related project case file.</p>
	<p>2). Materials delicate copies of record.</p>	<p>DESTROY after final copy of report has been submitted.</p>
	<p>c. Duplicate and reference copies retained by project office.</p>	<p>DESTROY after project has closed, or when no longer required for reference use.</p>
	<p>d. Information copies distributed by project office.</p>	<p>DESTROY after project has closed.</p>
3.	<p>TECHNICAL REFERENCE FILES. Reports, articles, books and other media retained for reference purposes. Includes non-record copies of NRL Formal Reports, NRL project reports, reports and articles by NRL authors, and reports and articles received from outside agencies and individuals.</p>	<p>REVIEW annually. CONSULT NRL Historian regarding any items that pre-date 1945, or that contain substantive handwritten comments. DESTROY any other items when they no longer have reference value.</p>

V-7. Disposal of AUDIOVISUAL RECORDS.

Audiovisual records include still and motion pictures, sound recordings and videotape recordings. Audiovisual records controlled by NRL Research Program offices generally are of two types. The most common are audiovisual materials that were created in conjunction with specific research projects, such as still photos of equipment, photographic records of experiments or observations. Less common are A-V materials that were created to document the organization, functions, accomplishments or representative work of a Research Program office. As indicated in Table 6, below, the former materials should be handled as data and specification records and processed with related case files; while the latter should be processed as program management records.

TABLE 6: DISPOSAL OF AUDIOVISUAL RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	R&D AUDIOVISUAL RECORDS. Media used to record data derived from observation, experimentation, test or evaluation or to document design and development of new technology and systems.	FOLLOW disposal guidelines for "Data and Specifications Records," set forth in Section V-5.
	a. Copy masters. Original negatives, master tapes/disks.	CONSULT Code 2650 for guidance.
	b. Case file copies. One (1) captioned and one (1) reference copy.	TRANSFER to Code 2021 with related project case file.
	c. Other copies.	DESTROY when no longer needed.
2.	PROGRAMMATIC AUDIOVISUAL RECORDS. Media used to document the organization, functions, broad accomplishments and representative work of a Research Program office.	
	a. Official File. One (1) captioned copy and one (1) reference copy of each item.	TRANSFER to Code 2021 with office Program records.
	b. Master File. Original negative or master tape/disk.	CONSULT Code 2650 for disposal guidance.
	c. Historical materials. Media that are more than 25 years old.	CONSULT NRL Historian for disposal guidance.
	d. Public information materials. Media prepared purely for public information purposes.	CONSULT Code 2610 for disposal guidance.

TABLE 6: DISPOSAL OF AUDIOVISUAL RECORDS

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
3.	OTHER AUDIOVISUAL RECORDS. Includes A-V records that contain no substantive information pertaining to the organization, functions and work of Research Program offices and records that are faulty, technically poor or otherwise unusable.	DESTROY.

V-8. Disposal of "PERSONAL" FILES.

"Personal" files are created and maintained by individuals for their own use. They may contain records that are strictly personal in nature (such as, an individual's copies of his/her own personnel records, correspondence pertaining to personal matters, personal copies of unclassified publications, etc.), or they may contain records that present substantive information about the Laboratory, its functions, programs, policies or personnel. The information in the latter commonly is in the form of personal observations and typically is recorded in memos for file, handwritten notes, diaries, logs, notebooks, or working papers. Depending on the information content of the records, personal files may belong to the individual who created them, or they may belong to the Laboratory.

How does one determine the proper disposal action for personal files? According to Federal Law and to records management guidances issued by the National Archives and Records Service (NARS), records in the personal files of Laboratory personnel belong to NRL (as agent for the Federal Government) and must be appraised for permanent retention value if they meet the following criteria:

- a. Records were obtained and/or created in conjunction with official duties, during accountable working hours, at government expense, or through use of Government facilities or equipment.
- b. Records contain unique (i.e., not otherwise documented) and substantive information about the Laboratory and its research functions, the organization and management of the Research Program, policies and decisions affecting the Research Program, or individual research projects.

As indicated in Table 7, records that meet these criteria must be reviewed by authorized authority before disposal action is taken. Records that do not meet these criteria can be disposed of at the discretion of the individual who handles the personal file.



TABLE 7: DISPOSAL OF PERSONAL FILES

ITEM NO.	RECORDS CATEGORY	DISPOSAL ACTION
1.	PROJECT-RELATED RECORDS.	
	a. Records containing personal observations on the origin management and progress of a research project.	TRANSFER to Code 2021 with related project case file. CONSULT NRL Historian if case file has already been transferred.
	b. Records containing preliminary observations or working thoughts on data and specifications.	Do.
	c. Records containing information that has been completely and thoroughly documented in official project records and/or reports.	DESTROY when no longer needed.
2.	PROGRAM-RELATED RECORDS.	
	a. Records containing personal observations on organization & management of Research Program and research offices, on meetings of committees and boards, on policies and decisions affecting Research Program, etc.	TRANSFER to Code 2021 with appropriate Program Management Records (see Section V-3). CONSULT NRL Historian if related Program records have already been transferred.
	b. Records containing information that has been completely and thoroughly documented in official records or reports.	DESTROY when no longer needed.
3.	HISTORICAL RECORDS.	
	a. Records containing personal reconstruction of significant events in the history of NRL or its research offices.	TRANSFER one (1) copy to Code 2021 with Program Management Records. SEND one (1) copy to NRL Historian.
	b. Copies of records which were collected and maintained in the belief that they represent key documents in the history of an office or a project.	CONSULT NRL Historian for guidance.
4.	PRIVATE RECORDS. Records that are strictly personal in nature, such as personal correspondence, personal copies of own personnel records, etc.	HANDLE as personal property.

APPENDICES

APPENDIX 1: FPMR 101-11.4, "General Records Schedule 20: Machine-Readable Records," October 1982.

APPENDIX 2: FPMR 101-11.4, "General Records Schedule 21: Audiovisual Records," October 1982.

APPENDIX 3: FPMR 101-11.4, "General Records Schedule 22: Design and Construction Drawings and Related Records," October 1982.

GENERAL RECORDS SCHEDULE 20

Machine-Readable Records

This schedule covers machine-readable records and the related documentation required to service them. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which make them easy to modify and update. This contributes to the mistaken notion that such records are temporary or nonrecord material, especially as opposed to textual records containing equivalent information. Federal statutes and regulations define Federal records as the products of government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms, including computer output microform (COM), various factors bear on the decisions of which medium should be retained for archival purposes. Among these are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which most hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

Data on magnetic tape, disk packs, magnetic drums, and punched cards may be scheduled by General Records Schedule 20. This schedule should also be applied to new media such as optical disk.

Machine-readable records differ from records on other media in four important ways:

- 1) The machine-readable media on which they are most often recorded are erasable and reusable. This introduces a cost-effectiveness factor absent in other media.
- 2) Because of the fragile nature of the magnetic media on which most machine-readable records are recorded, it is mandatory that such records be brought under control as early as possible in their life cycle. Ideally, control should be exercised at the time a system is created, even before it has generated records.
- 3) The ease of updating, revising, or reusing machine-readable records causes their life cycle to be brief and more complex than that of other records. While master files are generally the form in which machine-readable records are retained for archival appraisal, other versions are occasionally more suitable because they contain more complete information than related master files or because they are particularly relevant to agency policy, decisions, or special reports.
- 4) Because machine-readable records must be subjected to electronic processing and decoding to be converted to human-readable information, the records revealing such processes must be scheduled with the machine-readable records. These records are called "documentation" and are usually found in textual form.

The qualities that separate machine-readable records from those on other media make it difficult to produce for them a subject-oriented general schedule analogous in form to other general schedules. Thus, this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are common to most A DP systems. It is divided into three parts:

## GENERAL RECORDS SCHEDULE 20

Master files (Part I) constitute the definitive state of a data file in a system at a given time. Such files are categorized herein only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the informational value of a file.

Processing files (Part II) are those machine-readable files, aside from master files, which comprise the life cycle of most computerized records prior to the production of a given master file. Processing files — from work files and input/source files to some valid transaction files — are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they generally do not qualify for long-term retention. Those files for which disposal is not authorized are so treated because they may contain more complete information than the related master file or be especially relevant to agency policy, decision, or special reports — adequate reasons for initiating archival appraisal. The proper scheduling of processing files can increase the availability of space on machine-readable media and reduce agency expenditures for stocks of magnetic media.

Documentation (Part III) covers those records required for servicing machine-readable records — for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. As might be expected, the disposition of documentation is linked to the disposition of the related machine-readable files.

"Data automation planning and operational records" are no longer included in General Records Schedule 20. They are textual records and relate to an agency's planning, procurement, and operational processes. Thus, they may be scheduled by reference to other appropriate General Records Schedules.

It should be emphasized that machine-readable records that do not fit categories listed in this schedule are not authorized automatically for disposal. Disposition of such records should be authorized by submission to the National Archives and Records Service of a completed SF 115, Request for Records Disposition Authority.

The decision-table format, rather than the columnar format, is used herein to assist the user in conceptualizing the many categories and subcategories of records involved.

Part I - Master Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
5		natural resources data related to the use, condition, management, and/or ownership of land, water, minerals, and/or wildlife	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.	
6			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.	
7		emergency operations data that document military or civil operations during war, national emergencies, natural disaster, and/or civil strife	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.	
8			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.	
9		political or judicial data that document such activities as elections, special investigations, and/or court proceedings	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.	
10			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.	

Part I - Master Files

GENERAL RECORDS SCHEDULE 20				
Item	File function/ designation	Consisting of	Which are	Then
1	Statistical file	economic data on such topics as Federal expenditures, organizational economic profiles, intranational or international trade, business conditions, productivity, and/or taxes	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.
2			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.
3		social data on topics such as the family structure, education, health, behavior, opinions, employment, criminal acts and investigations, housing, transportation, personal economics, demographics, and/or groups of individuals	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.
4			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.

Part II - Processing Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
11	Intermediate input/output file	data that is manipulated, sorted, and/or moved from one run to a subsequent run	used in the process of creating or updating a master file	Dispose of after master file has been proven satisfactory.	
12	Valid transaction file	data used with a master file for creation of an updated master file	used for independent analysis	Submit SF 115, Request for Records Disposition Authority.	
13			not used for independent analysis	Dispose of after three or more update cycles.	
14	Audit trail file	"statistical" data generated during the creation of a master file	used to validate a master file during a processing cycle	Dispose of in accordance with instructions for each appropriate cycle of the master file.	

Part II - Processing Files

GENERAL RECORDS SCHEDULE 20				
Item	Files function/ designation	Consisting of	Which are	Then
7			officially designed to replace or serve as the record copy in lieu of the hard copy or other input/source document	Dispose of in accordance with instructions applicable to the hard copy.
8		data created by another agency <sup>1</sup> /	files that the creating agency routinely made available to other agencies or to the public	Dispose of as reference material.
9			the result of a request of the receiving agency for a special tabulation, extract or master files designed to meet the needs of the receiving agency	Submit SF 115, Request for Records Disposition Authority
10		punched cards that contain original entry with film or written inserts (such as aperture cards)	source documents	Dispose of in accordance with instructions applicable to the hard copy.

<sup>1</sup> If the receiving agency reformats, edits, merges, analyzes, summarizes, or otherwise processes the data in a file from another agency, then the files created during such processing are files of the receiving agency. The receiving agency should schedule the resulting files according to the appropriate category in Part I, Master File.



Part II - Processing Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
1	Work file	new media, or media not included in a library control system, or files whose retention dates have expired	used by computer operators to facilitate the processing of a specific job and/or system run	Available for immediate use or reuse.	
2	Test file	data used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing	Dispose of when no longer needed.	
3	Input/Source file	data abstracted from input/source documents or other media and entered into the system for each update cycle	converted to magnetic media	Dispose of after verification of data on related magnetic media.	
4			used for updating and required to support reconstruction of a master file	Dispose of after three or more update cycles.	
5			not used as input to a file and not required to reconstruct a master file	Submit SF 115, Request for Records Disposition Authority.	
6			retained by ADP operational elements as back-up to magnetic media	Dispose of when no longer needed.	

Part I - Master Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
30	Publication file	source output data extracted from the system to produce a printed publication	created without destroying the source file	Dispose of upon publication when not required for republication.	
31	Print file	source output data extracted from the system to produce printouts of tabulations, ledgers, tables, registers and/or reports	created from files authorized for disposal	Dispose of when superseded or obsolete.	
32			created from files not authorized for disposal	Dispose of when superseded or obsolete.	
33	Security backup file	data identical in format to a master file	retained in case the master file is damaged or inadvertently erased	Dispose of as provided for the related master file.	
34	Technical reformat file	data essentially duplicated in another master file but which is written with varying technical specifications such as density, character code, blocking and labeling	created for the specific purpose of information exchange	Dispose of as provided for the related master file.	

GENERAL RECORDS SCHEDULE 22

Design and Construction Drawings and Related Records

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by agencies of the Federal government in connection with their official activities. Drawings refer to those graphic and engineering records that depict conceptual as well as precise measured information essential for the planning and construction of static structures such as buildings, bridges, canals, and other public works projects, as well as miscellaneous engineering projects such as machinery, weapons, and equipment. Related records are comprised chiefly of indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness to the agency after specific periods of time. Generally speaking, drawings pertaining to the design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used during the construction process have a continuing value during the life of the structure, especially for repair and maintenance projects. The original construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained or owned by the Federal government.

After the design and construction files are no longer useful to the agency, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by agency personnel with appropriate historical training, subject to the approval of NARS. However, any records created prior to January 1, 1921, must be offered to NARS before applying the disposition instruction in this schedule.

This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects.

Those records which pertain to the design process generally consist of:

Preliminary Drawings. Drawings and sketches that are conceptual in nature. These drawings, which are usually freehand studies that show the basic design of the structure, include the arrangement of rooms, general appearance of elevations and floor plans as well as other details under consideration.

Presentation Drawings. Pictorial and unmeasured drawings prepared by the architect to present his ideas. They include color renderings or perspective views of the outside elevations, as well as general floor plans.

## GENERAL RECORDS SCHEDULE 22

Models. Three dimensional, reduced-scale models which are prepared for illustrative or presentation purposes.

The records which pertain to the construction process usually consist of:

Intermediate and Prefinal Drawings. Intermediate stages of drawings which are created and reviewed in preparation of the final working drawings.

Final Working Drawings. Architectural and engineering drawings which consist of the master tracings and acceptable reproducibles. These drawings provide information about various aspects of the construction of the building including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, and air-conditioning details, as well as site and landscaping plans. This is probably the most important class of records since they provide not only detailed instructions for the erection of the building but also present a comprehensive and detailed picture of its design.

"As Built" Drawings. Annotated copies of final working drawings or additional drawings which show changes in the initial construction from the original design.

Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be assembled in their shops. These drawings which include plans for architectural embellishments and interior design such as tile and marble work, special cabinet work, elevators, or heating systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future repair and preservation projects.

Repair and Alteration Drawings. Original drawings which depict repairs and alterations to the building as it was originally constructed.

Contract Drawings. Copies of the original workings on which contract negotiations are based.

Standard Drawings. Final drawings for standard details and other documents created in their preparation.

Project Specifications. Guides for individual construction projects which outline material requirements and explain the materials and manufactured items depicted on related drawings.

Space Assignment Plan. Drawings which depict outline floor plans used for space assignments.

GENERAL RECORDS SCHEDULE 21

Motion Pictures (Cont'd)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24.	Films produced under grant that are submitted to the agency.	Submit SF 115 (see also GRS 3, Item 18).
25.	Films acquired from outside sources (other than those identified in Items 15 and 16 above) that document or are used to carry out agency programs.	Submit SF 115.
26.	Documentary footage (except that footage identified in Items 17 and 18 above) shot for research and development, fact-finding or other studies.	Submit SF 115.
27.	Stock footage, outtakes and trims created during the course of an agency-sponsored production.	Offer immediately for deposit in the stock film collection, Special Archives Division, NARS.

Video Recordings

Record Elements

The original or earliest generation of recording, and a dubbing if one exists.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
28.	Programs acquired from outside sources for personnel and management training.	Destroy one year after completion of training program.
29.	Programs acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
30.	Rehearsal or practice tapes.	Destroy immediately.
31.	Internal personnel and administrative training programs that do <u>not</u> reflect the mission of the agency. (These include "role-play" sessions, management and supervisory instruction, etc.)	Destroy one year after completion of training program.
32.	Routine surveillance recordings.	Destroy when no longer needed.
33.	Routine scientific, medical or engineering recordings.	Destroy when two years old or when no longer needed.

GENERAL RECORDS SCHEDULE 21

Video Recordings (Cont'd)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
34.	Recordings that document routine meetings and award presentations.	Destroy when no longer needed.
35.	Duplicate dubbings and pre-mix elements in excess of those elements required for preservation, duplication, and reference by 41 CFR 101-11.411-4.	Destroy when no longer needed.
36.	Agency-sponsored video productions intended for public distribution. (These include informational, educational, and recruiting productions.)	Submit SF 115, Request for Records Disposition Authority.
37.	Agency-sponsored television news releases or information reports.	Submit SF 115.
38.	Agency-sponsored television public service (or "spot") announcements.	Submit SF 115.
39.	Agency-sponsored training programs that explain agency functions or activities (other than those identified in Item 31) intended for internal or external distribution.	Submit SF 115.
40.	Internal management news or information programs.	Submit SF 115.
41.	Recordings of public meetings or speeches, agency-sponsored conferences, guest speakers, and testimony of agency officials before the Congress and at other hearings.	Submit SF 115.
42.	Programs produced under grant that are submitted to the agency.	Submit SF 115 (see also GRS 3, Item 18).
43.	Programs acquired from outside sources (other than those identified in Items 28 and 29) that document or are used to carry out agency programs.	Submit SF 115.
44.	Media appearances by top agency officials.	Submit SF 115.
45.	Documentary recordings (except those identified in Items 32-35 above)	Submit SF 115.

GENERAL RECORDS SCHEDULE 21

Still Photography (Cont'd)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7.	All other color negative, large format or 35mm transparency files (not identified in Items 1, 2, 3, or 4 above).	Submit SF 115.
8.	All other slide or filmstrip programs (not identified in Item 3 above).	Submit SF 115.

Graphic Arts

Record Elements

- (a) posters: 2 copies
- (b) original art: original and a photographic copy, if one exists.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9.	Viewgraphs	Destroy one year after use or when no longer needed.
10.	Routine artwork for handbills, flyers, posters, letterhead, and other graphics.	Destroy one year after final publication or when no longer needed.
11.	Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.	Destroy when no longer needed for publication or reprinting.
12.	Line copies of graphs and charts.	Destroy one year after final production or when no longer needed.
13.	Posters distributed agency-wide or to the public.	Submit SF 115, Request for Records Disposition Authority.
14.	Original artwork of unusual or outstanding merit.	Submit SF 115.

GENERAL RECORDS SCHEDULE 21

Motion Pictures

Record Elements

- (a) Agency sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording;
- (b) Acquired films: two projection prints or one projection print and a video recording;
- (c) Unedited footage: the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
15.	Films acquired from outside sources for personnel and management training.	Destroy one year after completion of training program.
16.	Films acquired from outside sources for personnel entertainment and recreation.	Destroy when no longer needed.
17.	Routine surveillance footage.	Destroy when no longer needed.
18.	Routine scientific, medical or engineering footage.	Destroy when two years old or when no longer needed.
19.	Duplicate prints and pre-print elements required for preservation,	Destroy when no longer needed.
20.	Agency-sponsored films intended for public distribution. (These include informational, educational, and recruiting films.)	Submit SF 115, Request for Records Disposition Authority.
21.	Agency-sponsored television news releases and information reports.	Submit SF 115.
22.	Agency-sponsored television public service (or "spot") announcements.	Submit SF 115.
23.	Agency-sponsored training films that explain agency functions or activities intended for internal or external distribution.	Submit SF 115.



## GENERAL RECORDS SCHEDULE 21

### Audiovisual Records

#### Scope

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. Audiovisual records more than 30 years old must be offered to the National Archives and Records Service (NARS) before applying disposition instructions set forth in this schedule.

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, (3) microform copies of textual records, or (4) research and development source data. Cartographic records and remote sensing imagery recorded on film are covered by GRS 17; digitized or computerized data are covered by GRS 20; microform copies of textual records may be covered by other General Records Schedules, depending on the informational content of the textual records; and research and development source data are covered by GRS 19.

#### Record Elements

For each type of audiovisual record, the specific record elements (originals, negatives, prints, dubbings, etc.) required by 41 CFR 101-11.411-4 for preservation, reproduction, and reference are listed. Since audiovisual records covered by this schedule include those produced under contract, by grant, and acquired from outside sources as well as those produced internally, maintenance and control of these record elements for records subject to the disposition "Submit SF 115" are essential, whether the record elements are stored in agency or contractor facilities.

#### Disposition Instructions

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as magnetic tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-42.3, "Recovery of Precious Metals and Strategic and Critical Materials."

The instruction "Submit SF 115" requires that the records be included in either an agency's comprehensive records schedule or a specific request for disposition authority, unless they have been described on an agency records schedule approved by NARS after May 14, 1973. The introduction to the General Records Schedules provides additional information on scheduling records which have no authorized disposition in this General Records Schedule. When describing these records in a comprehensive records schedule or a specific request for disposition authority, agencies may be guided by the categorical descriptions in this General Records Schedule, but these descriptions are not a substitute for specific agency prepared descriptions that are required to schedule the records.

## GENERAL RECORDS SCHEDULE 21

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARS. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the governing disposition instruction from this General Records Schedule as the authority for destroying the records.

### Still Photography

#### Record Elements

- (a) Black-and-white and color negative photography: the original negative, a captioned print, and, for color negative photography, a duplicate negative if one exists; \*
- (b) Color transparency and slide photography: the original and a duplicate;
- (c) Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.	Destroy when one year old or when no longer needed.
2.	Personnel identification or passport photographs.	Destroy when five years old or when no longer needed.
3.	Internal personnel and administrative training filmstrips and slide of programs that do not reflect the mission of the agency.	Destroy one year after completion of training program.
4.	Duplicate items in excess of record elements required for preservation, duplication and reference by 41 CFR 101-11.411-4.	Destroy when no longer needed.
5.	Official portraits of senior agency officials.	Submit SF 115, Request for Records Disposition Authority.
6.	All other black-and-white photograph files (not identified in Items 1, 2, 3, or 4 above).	Submit SF 115.

\* Negative and print files may be maintained in separate agency offices; in these cases, elements should be scheduled as distinct series.

Part I - Master Files

GENERAL RECORDS SCHEDULE 20				
Item	File function/ designation	Consisting of	Which are	Then
11		national security and international relations data that document such activities as strategic and foreign policy assessment, intelligence collection, public opinion in foreign countries, and international negotiations including military assistance and arms limitation	created or received by the agency in pursuance of Federal law or in connection with the transaction of public business	Submit SF 115, Request for Records Disposition Authority.
12			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.
13	Scientific file	data such as environmental, oceanographic, atmospheric, terrestrial, and/or extraterrestrial observations and measurements, medical research and/or animal or plant husbandry investigations	created or received by an agency or national data center in pursuance of Federal law or in connection with the transaction of public business and held in a national data center	National Data Center: Submit SF 115, Request for Records Disposition Authority.
14			created or received by an agency and not duplicated in a national data center	Agency: Submit SF 115, Request for Records Disposition Authority.

Part I - Master Files

GENERAL RECORDS SCHEDULE 20				
Item	File function/ designation	Consisting of	Which are	Then
15			created under contract and are in the possession of the contractor	Submit SF 258, Request for Transfer of Records.
16			created or received by an agency in pursuance of Federal law or in connection with the transaction of public business and duplicated in a national data center	Agency: Dispose of after three or more update cycles.
17		data used in the development, fabrication, construction, testing, and/or routine operation of such things as instruments, vehicles, machinery or spacecraft	used in research and development programs	Dispose of after three or more update cycles or when no longer required for the program.
18		digital or analog data used in observation or measurement activities or in research and development programs	not calibrated or validated	Dispose of after subsequent magnetic media have been created. 1/

1 Schedule subsequent magnetic media under Part I, items 13-17.

Part I - Master Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
19	Federal loan and/or grant file	data on individual loans or grant applications or awards	data on characteristics of individual applicants or recipients and their awards	Submit SF 115, Records Disposition Authority.	
20			summary or aggregate fiscal values used for accounting purposes	Dispose of after three or more update cycles.	
21	Information retrieval file	indexes or tracking systems to textual or nontextual records	used to facilitate access to these materials	Dispose of as provided for the related records.	
22		indexes to "library materials"	used to facilitate access to published documents or reports.	Dispose of as reference material.	
23	Summary file	aggregates of individual observations	created from files not authorized for disposal under this General Records Schedule	Submit SF 115, Records Disposition Authority.	
24			created from files authorized for disposal under this General Records Schedule	Dispose of as provided for related data.	

Part I - Master Files

GENERAL RECORDS SCHEDULE 20					
Item	File function/ designation	Consisting of	Which are	Then	
25	Sample and/or subsample file	data selected from a larger census or survey file	created for files not authorized for disposal under this General Records Schedule	Submit SF 115, Request for Records Disposition Authority.	
26			created for files authorized for disposal under this General Records Schedule	Dispose of as provided for related data.	
27	Housekeeping file	data for routine administrative "housekeeping" processes such as fiscal accountability, supply management, payroll administration, and/or motor pool operations	required for GAO site audit	Dispose of in accordance with instructions applicable to hard copy. 2/	
29			not required for GAO site audit but serve as record copy	Dispose of in accordance with instructions applicable to hard copy. 2/	
			not required for GAO site audit and do not serve as record copy	Dispose of as reference material.	

<sup>2</sup>Instructions for hard copy equivalents are available in General Records Schedules 1 - 16.

GENERAL RECORDS SCHEDULE 20

Part III - Documentation

Item	File function/ designation	Consisting of	Which are	Then
1	Data systems specifications	documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives	for a disapproved proposed system	Dispose of one year after final action.
2			for an approved system for which all related magnetic data files are authorized for disposal	Dispose of one year after discontinuance of the system.
3			for an approved system for which any related magnetic data file is not authorized for disposal	Retain with related data file.
4	System test documentation	descriptive material including test plans and test analysis reports	for an approved system	Dispose of one year after completion of testing.
5			for a disapproved proposed system	Dispose of when no longer needed.

Part III - Documentation

GENERAL RECORDS SCHEDULE 20				
Item	File function/ designation	Consisting of	Which are	Then
6	File specifications	definitions of the logical and physical characteristics of each record, element or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross-reference code manual; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume; sample copy of each input/source document	for a system for which all related magnetic data files are authorized for disposal	Dispose of with related data file.
7			for a system for which related magnetic data file is not authorized for disposal	Retain with related data file.
8	User guides	Information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	handbooks, guides to data availability, and procedures for querying files	Retain with data systems specifications.



GENERAL RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Files not included under Item 2a of this schedule.	Dispose of when no longer needed for administrative purposes.
3.	<u>Other Architectural and Engineering Drawings.</u>  Original manuscript and duplicate drawings submitted to Federal agencies by private firms or other Federal agencies to meet Federal minimum standards.	
	a. Drawings interfiled with related case files.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
	b. Drawings filed separately from related case files.	Submit SF 115, Request for Records Disposition Authority.
4.	<u>Measured Drawings.</u>  Drawings produced by such agencies as the Historic American Buildings Survey and Historic American Engineering Record.	Permanent. Offer to NARS when administrative use ceases unless another depository is specified by law.
5.	<u>Finding Aids.</u>  Indexes and other finding aids to design and construction files.	Dispose of in accordance with instructions covering the related design and construction records.
6.	<u>Microform Files.</u>  Microform copies of design and construction files.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 22

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1.	<u>Federal Structures Design Files.</u>	
	Preliminary and presentation drawings and models of Federal structures and engineering projects.	
	a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	
	(1) Drawings.	Permanent. Offer to NARS within 5 years after completion of project.
	(2) Models.	Submit SF 115, Request for Records Disposition Authority.
	b. Files not included under Item 1a of this schedule.	Dispose of when no longer needed for administrative purposes.
2.	<u>Federal Structures Construction Files.</u>	
	Intermediate and prefinal, final working, "as built," shop, repair and alteration, contract, and standard drawings; project specifications, with documents relating to their preparation; and space assignment plans of Federal structures and engineering projects.	
	a. Files selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	
	(1) Final Working Drawings.	Permanent. Offer to NARS when file is inactive (see introduction to this schedule).
	(2) "As Built" Drawings.	
	(3) Shop Drawings.	
	(4) Repair and Alteration Drawings.	
	(5) Standard Drawings.	
	(6) Specifications and related records.	

## GENERAL RECORDS SCHEDULE 22

buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive plans for projects such as river and harbor improvements, landscape plans, plans of systems related to a complex of buildings like military or educational institutions, or master plans for urban or regional parks, are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see General Records Schedule 17), while individual structures within the system can be evaluated on the basis of this schedule.

### Item 2a(3)

"As Built" drawings that are the same as or very similar to the final working drawing should not be retained permanently and are included for disposal under Item 2b.

### Item 6

The National Archives and Records Service generally does not recognize microfilm as an adequate substitute for design and construction drawings unless film, processing, and storage meet the standards as prescribed in FPMR 101-11.5, and unless the microimage meets certain minimum standards developed by NARS for legibility and mathematical accuracy. Only under these conditions and with the approval of NARS may original drawings or specifications be disposed of. However, microfilm should not be substituted for color renderings or drawings, or for final working drawings of buildings with major historical or architectural significance, such as those listed (or potentially listed) by the National Register of Historic Places and similar organizations. In this case microfilm should be used for reference purposes, but it should not be considered the permanent record copy. Microfilm is advised for those files which are extensive and repetitive, and for those buildings of lesser importance, particularly those with similar or repetitive designs or those which are not likely to be renowned historically or architecturally.

GENERAL RECORDS SCHEDULE 22

EXPLANATORY NOTES

Items 1a and 2a.

Criteria for the selection of architecturally, historically, and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to those buildings which are essentially original in design. Although it may incorporate standard features, a uniquely designed building is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. In cases where buildings use a standard or repetitive design, it is not necessary to retain permanently a file for each building. However, a file should be retained for the building most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings which include architectural or engineering innovations.

Historical Significance

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies (post office, customs houses, court houses, forts, hospitals).

National Events or Personalities. Buildings which are associated with events or persons who represent the broad history of the country.

Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings.

Controversial. Buildings which were involved in controversy in regards to their design, construction, or utilization.

Technological Significance

This category includes files for such objects as ships, airplanes, spacecraft, weapons, machinery, equipment, and furniture. Since this is a broad category which covers many different types of technical structures, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to

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