

U.S. Department  
of Transportation

United States  
Coast Guard



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United States Coast Guard

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COMDTNOTE 5212  
MAR 15 1995  
CANCELLED: MAR 14 1996

COMMANDANT NOTICE 5212

Subj: CH-5 to The Paperwork Management Manual, COMDTINST  
M5212.12

1. PURPOSE. This Notice provides page changes to The Paperwork Management Manual, COMDTINST M5212.12.
2. ACTION. Area and district commanders; commanders of maintenance and logistics commands and CG Activities Europe; commanding officers of headquarters units; and Chiefs of Offices and special staff divisions at Headquarters shall ensure compliance with the provisions of this Notice.
3. SUMMARY OF CHANGES. These changes alter the disposition of some medical records and extend the freeze on Coast Guard environmental records.
4. PROCEDURES. Make the following page changes.

Remove  
pages 7-1 - 7-2

Insert  
pages 7-1 - 7-2  
page 17-1

/s/ D.E. CIANCAGLINI  
Chief, Office of Command, Control  
and Communications

Encl: (1) CH-5 to The Paperwork Management Manual, COMDTINST  
M5212.12

U.S. Department  
of Transportation

United States  
Coast Guard



Commandant (G-CMA)  
United States Coast Guard

2100 Second St. S.W.  
Washington, DC 20593-0001  
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COMDTINST M5212.12  
JUN 8 1982

COMMANDANT INSTRUCTION M5212.12

Subj: Coast Guard Paperwork Management Manual

1. PURPOSE. This manual prescribes policies and outlines procedures for administering the Coast Guard paperwork management program as it relates to the management of records, filing systems, reports, and forms.
2. DIRECTIVES AFFECTED. CG-416, Paperwork Management Manual, is cancelled.
3. SCOPE. The provisions of this publication apply throughout the Coast Guard and are designed to assist Headquarters and field activities in planning and accomplishing a systematic program for creating, maintaining, using and disposing of record material.
4. AUTHORITY. The Federal Records Act of 1950 (44 U.S.C. 391-396) requires each Federal agency to establish controls on the creation and maintenance of records, as well as on their retirement and recordkeeping practices.
5. ACTION.
  - a. Area commanders, district commanders, the Superintendent of the Academy, Commander, Coast Guard Activities Europe, commanding officers of Headquarters units and chiefs of offices and special staff divisions at Headquarters shall:
    - (1) Comply with the provisions of this manual.
    - (2) Designate a records coordinator to provide guidance to offices and subordinate units in records matters and to assist in implementing and maintaining the paperwork management program established by this manual.

COMDTINST M5212.12  
JUN 8 1992

- 5. b. All Units Maintaining Records. Personnel assigned responsibility for maintaining records shall review all records and files and take steps to apply the prescribed standards and procedures. Periodic reviews and inspections shall be made annually.
- 6. REPORTS. Requirements for the Annual Report of Records Holdings, (RCS CMA-1013) are in Chapter 1, paragraph M.
- 7. FORMS AND PUBLICATIONS.
  - a. The forms referred to in this publication are available from Supply Center Brooklyn unless otherwise indicated.
  - b. The following National Archives and Records Service Handbooks may also be helpful in managing paperwork and can be purchased from GSA directly.

<u>Publication</u>	<u>Federal Stock Number</u>
Federal Archives and Records Centers	7610-00-298-6904
Files Operations	7610-00-985-6973
File Stations	7610-00-926-2129
Subject Filing	7610-00-926-2128
Forms Analysis and Design	7610-00-753-4771
Disposition of Federal Records	7610-00-055-8704

/s/ P.A. YOST  
Chief of Staff

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CHAPTER 1. GENERAL INFORMATION AND REPORTING REQUIREMENTS

- | A. Purpose. This manual outlines responsibilities and prescribes  
| policies and procedures for the maintenance, transfer and destruction  
| of field record material. It is designed to assist field offices in  
| planning and accomplishing a systematic records retention, transfer  
| and disposal program. Procedures for transfer and destruction of  
| Headquarters records are contained in HQINST M5212.6.
- B. Discussion. The establishment and maintenance of an active,  
continuing records transfer and destruction program is the combined  
responsibility of the Commandant, area commanders, district  
commanders and commanding officers of Coast Guard units. Effective  
controls over the maintenance, transfer and destruction of records  
will maximize the use of space and equipment and will provide  
management with fewer and more easily identifiable and retrievable  
records with which to conduct current business. Additionally, those  
records required by law to be kept for proper documentation of  
Coast Guard organizations and activities may be readily  
identified.
- C. Responsibilities.
1. Commandant will:
    - a. Establish policy and procedures relating to maintenance,  
transfer and destruction of all Coast Guard records.
    - b. Prescribe Coast Guard wide records disposition standards.
    - c. Conduct required liaison activities with the National  
Archives and Records Service (NARS) of the General Services  
Administration (GSA), the General Accounting Office (GAO) and  
the Department of Transportation (DOT) concerning records  
disposition standards, policies and procedures.
  2. Area commanders, district commanders, Commander, Coast Guard  
Activities Europe, and commanding officers of Headquarters units  
shall:
    - a. Prescribe records management standards and apply them within  
their command and provide guidance as necessary to  
subordinate units.
    - b. Maintain a copy of each Standard Form 135 (Records  
Transmittal and Receipt) for all records transferred to a  
records center.
    - c. Conduct local liaison activities with the appropriate  
Regional Director of the Federal Records Center regarding  
transfer of records. Consolidate and submit the annual  
report of records holdings to Commandant (G-CMA) to arrive  
not later than 20 October of each year. (See paragraph 1.M  
for details).

- C.2.d. Designate a records coordinator to provide guidance to subordinate units and to act as a point of contact for all record related matters within the command. Submit the name and phone number of the records coordinator to Commandant (G-CMA) upon receipt of this publication and thereafter whenever a change occurs.
- e. Review appropriate portions of the records schedule (enclosures (1) and (2)) to ensure that record material which is being maintained has an authorized disposition. For newly created record material or for record material which does not have an authorized disposition, submit a description of the records with a recommended retention period via the chain of command to Commandant (G-CMA), so an authorized disposition may be obtained from GSA and/or GAO. In no event may record material be destroyed without obtaining an authorized disposition.

D. Definitions of Terms Used.

1. Record Material. Records are defined as books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by the Coast Guard in pursuance of Federal Law or in connection with the transaction of public business, and preserved or appropriated for preservation because they are evidence of organization, functions, policies, decisions, procedures, operations or other activities of the Coast Guard, or because of the informational value of the data contained therein. Microfilm records, audiovisual records, and automatic data processing records are included in the definition.
2. Non-Record Material. "Non-Record" is material that serves other than record purposes. Often this type of material is of such short term value that it may be destroyed without ever filing. If the material is of such short term value, it should be filed in a temporary file where it can be easily extracted and destroyed when it is no longer of any value. Listed below are some examples of "non-record" material.
  - a. Extra copies of documents preserved only for convenience or reference.
  - b. "Reading file" copies of correspondence.
  - c. "Tickler, follow-up or suspense" copies of correspondence.
  - d. Identical duplicate copies of all documents maintained in the same file.
  - e. Extra copies of printed or processed materials, official copies of which have been retained for record purposes.

- 1.D.2. f. Superseded manuals and other directives maintained outside the office responsible for retaining the record set of such issuances.
  - g. Materials documenting certain fringe activities such as employee welfare activities, charitable fund drives, and the like.
  - h. Routing Slips.
  - i. Working papers.
  - j. Drafts of reports and correspondence.
  - k. Transmittal sheets.
  - l. Blank forms.
  - m. Transcribed stenographic materials.
  - n. Processed or published materials received from other activities or offices which require no action and are not required for documentary purposes (originating office or activity is required to maintain record copies of its issuances).
  - o. Catalogs, trade-journals, and other publications or papers received from other Government agencies, commercial firms or private institutions, which require no action and are not part of a case upon which action is taken.
  - p. Correspondence and other records of short-term value which after action has been completed, have neither evidential nor informational value, such as request for publications.
  - q. Reproduction materials such as stencils, hectograph masters, and offset plates.
  - r. Information copies of correspondence and other papers on which no documented administrative action is taken.
  - s. Physical exhibits, artifacts, and material objects lacking documentary values.
3. Permanent Records. These are records that have been appraised as having enduring historical, research, legal, scientific, cultural, or other values. Coast Guard's permanent records are those that will protect Coast Guard interests and that document the primary missions, functions, responsibilities, and significant accomplishments of the Coast Guard.



- 1.D.4. Temporary Records. These are records that have been appraised as having no lasting administrative, fiscal, legal or historical value. They need to be retained only for a period of time or until completion of an action or occurrence of an event, after which they may be destroyed. the destruction must be accomplished under the provisions of an authorized records control schedule.
  
5. Records Control Schedules. These schedules describe a series of records and establish a retention period, depending on administrative, fiscal, legal or historical value, after which the records may be destroyed or transferred to a Federal Records Center. Such schedules, after approval by the National Archives and Records Service and General Accounting Office, constitute authority to dispose of present and future Coast Guard records when the retention period has expired.
  
6. Permanent. "Permanent" when used in the attached schedules means that the particular records are of sufficient value to warrant preservation because of historical interest or continued administrative value.
  
7. Transfer. "Transfer" means to remove inactive records from Coast Guard office space or holding areas and send to the records center for storage.
  
8. Accession Numbers. These are authorization numbers issued by the appropriate records center and assigned to groups of records for each transfer project.
  
9. Record Group Number. This is a permanent number assigned to an agency to distinguish its records from those of other government agencies stored at records centers or the National Archives. The Record Group Number for Coast Guard is No. 26.

E. Management of Coast Guard Records.

1. The Federal Records Act of 1950 requires that adequate controls over the creation of records be provided. Records documenting the organization, functions, policies, decisions, procedures and essential transactions of the Coast Guard must be preserved to furnish information necessary to protect the legal and financial the legal and financial rights of the Coast Guard and persons affected by the activities of the Coast Guard. Correspondence, reports, forms, machine readable records with their supporting documentation, and directives are the principal types of records created. Programs, policies and procedures shall be adequately shall be adequately documented in directives and record copies of each directive (including those superseded) shall be maintained as part of the official files in accordance with the Coast Guard Directives System (COMDTINST M5215.6).

- 1.E.2. Files should be arranged so that records may be found rapidly, complete records are ensured, records of permanent value may be easily selected and non-current records may be transferred or disposed of promptly in accordance with approved schedules. File personnel should know the disposal requirements for material they are filing and should prepare material for eventual disposition when it is initially filed to eliminate the costly screening and reshuffling before final disposition can be carried out. Combining or interfiling documents which have different disposal periods should be avoided. Standard Subject Identification Codes shall be used for classifying, referencing, arranging and filing of Coast Guard Documents as prescribed in accordance with Commandant Instruction 5210.5 (Series)
3. The principal objectives relating to disposition of Coast Guard records are:
  - a. The preservation of records having long-term or permanent value because of their continuing administrative, legal, scientific or historical significance. These permanent records must be identified and ear-marked for preservation.
  - b. The orderly and prompt destruction of temporary records which are no longer useful.
  - c. The systematic transfer to Federal Records Centers of those records which are no longer required in the conduct of daily business of the Coast Guard.
4. Prior to requisitioning additional filing cabinets, all authorized disposal schedules should be applied and eligible records either destroyed or transferred to the Federal Records Center (FRC).

F. Authority for Disposition of Records.

1. Field Records shall be disposed of in accordance with Coast Guard Comprehensive Records Control Schedule (Enclosure (1)) and the General Records Schedules published by the General Services Administration (enclosure (2)). Enclosure (1) covers many unique Coast Guard created records while Enclosure (2) contains records common to several or all agencies of the Federal Government. In order to provide easy reference for the Coast Guard user of the schedules, certain of the more common items as contained in the General Records Schedules have been included in the Coast Guard Records Control Schedule. The Coast Guard user should first refer to the appropriate section of enclosure (1), i.e., Boating, Public and Consumer Affairs, for an authorized disposition of the records. If the item for which disposition is sought is not found in enclosure (1) then reference should be made to enclosure (2) for disposition. If a disposition is not found in either schedule, a request for authorized disposition should be initiated using procedures as contained in paragraph 1.C.2.e. These disposition schedules do not apply to records created prior to 1 January 1921. Any command/unit having records created prior to that date shall to that date shall contact Commandant (G-CMA) for appropriate disposition instructions.

1.F.2. Headquarters records shall be disposed of in accordance with Head-quarters Records Control Manual, HQINST M5212.6.

G. Classified Material.

1. Classified material is subject to disposition under the Coast Guard Records Management Program. Records control schedules shall be applied to classified records in the same manner as they are to unclassified records.
2. Classified Material Control Officers must insure that in addition to application of the schedules, proper security is afforded. The Coast Guard Security Manual (COMDTINST M5500.11) provides instructions for safeguarding classified material and shall be followed whenever classified records are destroyed, transferred or otherwise disposed of under authorities specified in records control schedules.
  - a. Microfilm copies and tape records carry the same security classification, if any, as the original record; therefore security regulations must be followed in storing or disposing of this material.
  - b. Every effort should be made to declassify or down-grade classified material before transferring to a Federal Records Center.
  - c. Classified material shall be included in the reports required by paragraph M.

H. Donation of Coast Guard Records.

1. Federal Property Management Regulations, Subchapter B, Archives and Records, provide for the donation or disposal of Federal records at the discretion of the agency whenever the public interest is served. The following restrictions and procedures must be observed in donating records.
  - a. Only those records which are eligible for disposal in accordance with approved records control schedules may be considered.
  - b. Records which have been authorized for disposal may be transferred to an eligible government (including a foreign government), organization, institution, corporation, or person that has made application for them provided that:
    - (1) The applicant agrees not to sell the records as documents.
    - (2) The transfer is made without cost to the United States Government.
    - (3) The records do not reveal information which is prohibited by law or would be contrary to the public interest.
    - (4) The transfer is approved by the General Services Administration, National Archives and Records Service.

- 1.H.2. Proposals to donate disposable Coast Guard records under the above authority shall be submitted to Commandant (G-CMA) for approval. The proposal must include the name and address of the applicant, the intended use of the records, and other information pertinent to restrictions listed above. Include a list of the records involved containing an identification by identification by series, the inclusive dates of each series, and the item numbers of the applicable records control schedule under which the disposal is authorized.

I. Sale of Record Material.

1. If the quantity warrants, paper records authorized for destruction may be sold as wastepaper. Any such sale shall be in accordance with Federal Property Management Regulations governing the sale or salvage of government records. In addition the following provisions apply:
  - a. If the records are defense classified, their disposal is governed by Executive Order 12065 (32 CFR).
  - b. If the records are restricted, that is, if laws or regulations forbid their use by the public, the wastepaper contractor shall be required to pulp, macerate or shred them. The contracting officer shall name a Federal employee to witness the disposal.
2. For all other records the contract for sale shall prohibit their resale for use as records or documents.
3. Records other than paper records (film, plastic recording, etc.) may be salvaged or sold in the same manner and under the same conditions as paper records.
4. All sales shall be in accordance with the established procedures for sale of surplus personal property (see FPRM regulations, Subchapter H 101-45, Sale, Abandonment, or Destruction of Personal Property).

J. Microfilming of Records. The microfilming of records may be of value in preserving records, reducing volume, providing duplicate copies, and facilitating information retrieval. Listed below is some general information concerning microfilming operations.

1. To determine whether microfilming is economical as a means of reducing records volume, and save space and equipment, an evaluation must be conducted to determine if the conversion process will be cost effective. Generally records that are disposable within fifteen years or less can be stored for less than the cost of microfilming operations.
2. When records are microfilmed the original documents may not be destroyed without National Archives and Records Service approval. Request for a new disposal authority shall be submitted to Commandant (G-CMA) when microfilming is to replace original documentation.

- 1.J.3. When records are microfilmed for the purpose of obtaining extra or security copies (original documents not destroyed), the film copies are non-record material.
  4. Microfilm copies of records must carry the same security classification, if any, as the original records from which they were made.
  5. The General Services Administration operates a microfiling service for Federal agencies on a cost reimbursable basis. This service includes furnishing information on current uses of microfilm, technical advice and inspection of film and labeling containers. Additional information on these services may be obtained by contacting the servicing Federal Records Center or Commandant (G-CMA).
- K. Marking of Private Papers. Papers of a private or non-official character which pertain only to an individual's personal affairs that are kept in the office of a federal official will be clearly marked or labeled by him/her as non-official and will at all times be filed separately from the official records of his/her office. In cases where matters requiring the transaction of official business are received in private personal correspondence, that portion which pertains to official business will be extracted and made a part of the official files.
- L. Automatic Data Processing Records. Magnetic tapes, tabulating cards, punched paper tapes, edge punched cards, etc., meet the definition of records and as such may not be released or destroyed except under the terms of an authorized records control schedule as contained in this manual.
  1. Schedules developed for retention and disposal of ADP records should be reviewed and personnel who are responsible for automatic data processing should retain or dispose of machine readable records only in accordance with authorized record control schedules. When record material is recorded in more than one machine readable form, such as a tabulation card disc or as card-images on magnetic tape, only one form must be retained.
  2. If the ADP documentation replaces original paper or other documents designated as a "permanent" item, the original may not be destroyed until its destruction has been authorized by NARS. Submit requests for such authorization to Commandant (G-CMA).
- M. Annual Report of Records Holdings (RCS-CMA-1013). The Annual Report of Records Holdings is no longer requested annually; however, National Archives and Records Service (NARS) will require a report on records holdings and record centers on an as needed basis.

CHAPTER 2. TRANSFER OF RECORDS TO FEDERAL RECORDS CENTERS  
AND DIRECT OFFER OF RECORDS TO NATIONAL ARCHIVES

A. General Information.

1. The General Services Administration maintains and operates Federal Records Centers for storing, processing, and servicing records of Federal agencies. Federal Records Centers are located regionally and serve as the repositories for inactive permanent or temporary agency records. Files referred to less than once a month per file drawer and not needed for current agency operations are considered inactive and should generally be scheduled for transfer. Only records designated in enclosure (1) with the notation "Transfer to FRC" may be transferred to a Federal Records Center. Page 2-7 contains the address of each center and the area serviced. In addition to the Federal Records Center operations, GSA maintains and operates the National Archives for preservation of historical records. Certain agency records are pre-determined for deposit at the National Archives, while other records may be submitted as a direct offer after GSA appraisal.
  - a. Direct offers of records to the National Archives, often consisting of pre-1921 records or of possibly valuable records no longer being created by the agency must be made on SF-258, "Request to Transfer, Approval, and Receipt of Records to National Archives of the United States". In addition to scheduled permanent records that are stored at the FRC and later offered to NARS at a specified time, many unscheduled records maintained at the centers, and some older records currently maintained in office space, may be eligible for direct offer to the National Archives.
  - b. Scheduled records are those records whose disposal schedule NARS and General Accounting Office have approved. Unscheduled records are records for which no ultimate disposition has been determined.
2. Records that are transferred to FRC are subject to recall and reuse. Quick and reliable reference service is provided by records centers within 24 hours after receipt of a request. The information can be provided in one of the following ways:
  - a. Furnishing the original record or copy;
  - b. Furnishing easily discernable information for emergency requests only;
  - c. Furnishing an entire box or accession of boxes;
  - d. Forwarding the records elsewhere, if authorized to do so.

B. Selecting and Preparing Records for Transfer.

1. File custodians should survey their files each year and set aside the inactive records which will be eligible for transfer. The files selected will ordinarily include subject files more than three years old and case files completed or which are referred to less than once a month per file drawer. A minimum of one cubic foot (1 box) is required to initiate the transfer. Do not send nonrecords to the FRC (see non-record listing, Chapter 1, paragraph D-2). Do not send records with less than three years remaining before destruction to

2.B.1. (cont'd) the FRC. Records of different series and different disposal dates shall not be placed in the same box. Under no circumstances should permanent records be placed in the same box with temporary records.

2. Standard record shipping boxes may be obtained from servicing GSA stores or by ordering through the MILSTRIP requisitioning system. Ordering information is listed below. The two styles of record boxes (file folders) are available at the GSA Federal Supply Service.

a. Federal Stock No.	Description	Unit of Issue
8115-00-117-8344	14-3/4 x 12x9-1/2 Box, Record (Standard) must be sealed at bottom	25 per bundle
8115-00-117-8249	14-3/4 x 12x9-1/2 Box, Record (Truck-bottom)	25 per bundle
8115-00-117-8347	14-3/4 x 11-3/4 x 11-3/4 Box, Computer or Magnetic Tape	25 per bundle
8115-01-025-3245	Microfiche 4 x 6 14-3/4 x 6-1/2 x 4-1/2 Box, Microfiche	25 per bundle

b. The use of odd-size containers must be coordinated with the appropriate records center in advance due to shelving limitations at the centers.

C. Packing Records. Pack records firmly in the box. To make future references easier, records shall not be packed so tight as to hinder withdrawal. Do not mix records with different retention periods in the same box. Face all folders in the same direction. Do not pack file guide cards. Letter size files are placed facing the end of the box while legal-size files are placed facing the side of the box. each box completely, but do not overpack to cause bulges. If a 5 box is not fully packed, allowing folders to slide under one another, pack the remaining space with wadded paper.

D. Preparing SF-135, Records Transmittal and Receipt. Prepare an original and three copies of the SF-135 (Refer to sample SF-135, page 2-5)

Block 1 "To". Type the parcel mailing address of the FRC which receives the the records. (Refer to FRC listing, page 2-7)

Block 2 Agency Transfer Authorization. This is for the signature of the individual having overall responsibility for records disposition of the unit transferring the records.

Block 3 Agency Contact. Type the name, office and telephone number of the person in the office transferring the records who will be liaison with the FRC.

Block 4 Records Center Receipt. Leave blank. This block will be completed by the FRC.

Block 5 "From". Enter the name and complete mailing address of the office transferring the records. The signed receipt of this form will be sent to this address.

2.D. (cont'd) Block 6 "Records Data" This block contains the information necessary for the FRC to identify, approve and service records while they are in FRC storage. A separate Accession Number-Records Data is required for each series of records listed on the SF-135. A series consists of records having the same disposal authority and disposal date. Block 6a RG - meaning Agency Record Group Number. Coast Guard RG is "26" assigned to all Coast Guard records transferred to FRC. Block 6b FY - are the last two digits of the current Fiscal Year. Block 6c The four digit sequential number will be entered by the FRC after receipt of the shipment of records. Block 6d Volume. Enter the volume in cubic feet of each series of records being transferred. Block 6e Agency Box Numbers indicate the number of boxes in each series of records being transferred. Prior to shipment, mark (black felt marker) each carton with the assigned accession number in the upper left hand corner on the front of the box. The boxes are numbered sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with box number 1). Block 6f Series Descriptions. Describe the records in sufficient detail to allow the FRC to check for proper application of the schedule. The description from the records schedule to be applied will usually suffice. Indicate the organizational component that created or accumulated the records when it is other than that shown on item 5. Block 6g Indicate any applicable restrictions to be placed on the use of the records. (Refer to the Code Restriction, page 2-6) Block 6b Enter the disposition authority from enclosures (1) or (2). Block 6i Enter disposal date from enclosures (1) or (2). When preparing the SF-135, the transferring office should prepare a supplemental listing of the records being transferred (on plain bond paper). This listing is an item by item or folder by folder itemization of the contents of each box. This each box. This will assist the transferring office in identifying the contents of each box and will allow faster and easier retrieval of necessary records from the center.

E. Submission of SF-135. Submit the original and two copies of the SF-135 to the appropriate FRC for review and approval prior to shipment of any records. Retain the fourth copy and the supplemental record listing as a suspense copy. The FRC will review FRC will review the SF-135 for completeness and determine the propriety of the transfer. The FRC will not accept transfer of unscheduled records. Be sure to cite the disposal schedules and the applicable item in Block 6(h) of the SF-135.



2.E.(cont'd) If the disposal authority is not shown on the SF-135, the FRC will return the SF-135 for completion. If the FRC approves the transfer, the center will provide the information for Block 6(j) indicating the location on the first box in each series of records after the records are received. The FRC will return a copy of the SF-135 to the transferring office at the address shown in Block 5, indicating that the records may be transferred.

F. Shipment of Records to Federal Records Center.

1. Shipment of records should be accomplished within 90 calendar days after receipt of shipping instructions. A copy of the SF-135 should be placed in the front of box 1 of the shipment. Each box(s) shall be labeled on one end with a marking pen to indicate the following information:

Accession number, box number, agency, division or office, and a brief description of the records to include the calendar or fiscal year.

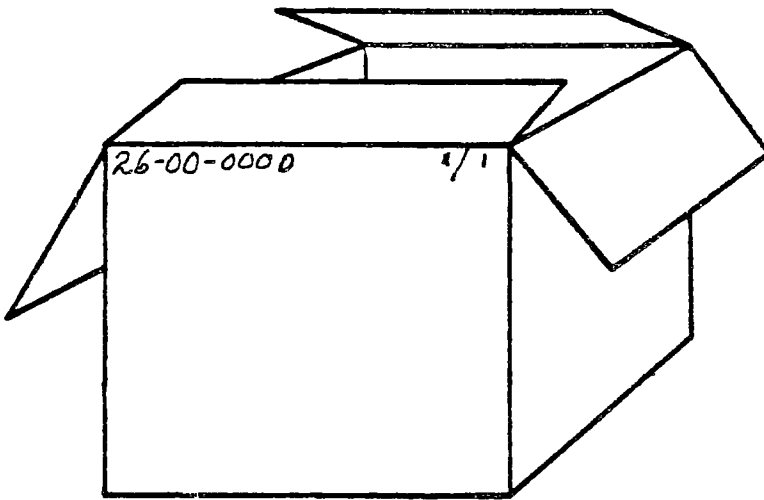


FIGURE 2-1

2. When using Coast Guard vehicles to transport large quantities of records, call the Accession and Disposal Branch 24 hours before delivery so that prompt unloading can take place.
3. If using commercial carriers, instruct the carrier's dispatcher to call the Accession and Disposal Branch 24 hours before delivery. This instruction should be noted on the bill of lading.
4. Accession of more than 500 cubic feet normally requires advance space and manpower planning. In such instances written notification of at least two weeks before the planned shipment should be forwarded to director of the appropriate Federal Records Center.
5. Upon receipt of the records shipment in the center, the cartons are matched against the copy of the SF-135 submitted with the accession. That copy then is signed by the appropriate FRC officials, and returned to the agency for its files.

**RECORDS TRANSMITTAL AND RECEIPT** Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. PAGE 1 OF PAGE 3

**1. TO** (Complete the address for the appropriate records center serving your area)  
**Federal Archives and Records Center**  
**General Services Administration**

As shown in **FFMR 401-11-410-1** Complete mailing address of the appropriate Federal Records Center

**2. AGENCY TRANSFER AUTHORIZATION**  
 TRANSFERRING AGENCY OFFICIAL (Signature and title)  DATE

**3. AGENCY CONTACT**  
 TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

**4. RECORDS CENTER RECEIPT**  
 RECORDS RECEIVED BY (Signature and title) \_\_\_\_\_ DATE \_\_\_\_\_

**5. FROM** (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

U.S. Coast Guard  
 Name of Division  
 Branch, (Routing Symbol)  
 Address-Room Number  
 City, State, Zip Code

**RECORDS DATA**

ACCESSION NUMBER		VOLUME (In. /s.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and Item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)							NUMBER (c)	LOCATION (j)	FILED (k)	DATE (l)
26	✓	✓	✓	✓	✓	✓	✓				
				Description of Records		If enclosure 1 is used as Disposal authority COMDTINST 15212.12 Sec# and Item#  or If enclosure 2 is used as disposal authority GRS Schedule# and Item#					
				ALL CHECKED AREAS SHOULD BE COMPLETED. SEE REVERSE SIDE FOR ADDITIONAL INSTRUCTION.							

## INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

### FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

**Col.**

*Accession Number.* A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.
- (e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal not required (specify in column (f))
W	Restricted use—witnessed disposal required (specify in column (f))
N	No restrictions

(h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

### FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

**Col.**

- (j) *Location.* The records center annotates the shelf location of the first carton for each series of records.
- (k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10c, HR, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) *Automatic Disposal.* The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 6-75)  
U.S. Government Printing Office: 1975-261-750-2

**General Services Administration  
Federal Archives and Records Centers**

Area Served	Mailing and Shipping Address	Area Served	Mailing and Shipping Address
<b>National Centers</b>			
District of Columbia, Maryland, Virginia, and West Virginia, except U.S. court records for Maryland, Virginia, and West Virginia.	Washington National Records Center Washington DC 20409	GSA Region 5 Illinois, Wisconsin, Minnesota, and U.S. court records for Indiana, Michigan, and Ohio	Federal Archives and Records Center 7150 South Pulaski Road Chicago, IL 60629
The entire Federal Government personnel records of separated Federal employees, medical and pay records of all Federal employees, designated medical records of Army and Air Force military personnel and their dependents, and records of agencies in the St. Louis area (Missouri only), of Scott AFB, Ill., and of the Memphis Service Center, Internal Revenue Service	Shipping address only (do not use for mail) 4205 Susland Road, Susland, MD National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118	Indiana, Michigan, and Ohio except U.S. court records	Federal Records Center 3150 Springboro Road Dayton, OH 45439
Designated records of the Department of Defense and the U.S. Coast Guard	National Personnel Records Center (Military Personnel Records) 9700 Page Boulevard St. Louis, MO 63132	GSA Region 6 Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area Greater St. Louis area (Missouri only)	Federal Archives and Records Center 2306 East Bannacker Road Kansas City, MO 64131 National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118
<b>Regional Centers</b>			
GSA Region 1 Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Archives and Records Center 380 Trapelo Road Watham, MA 02154	GSA Region 7 Texas (Alabama, Arkansas, Louisiana, and New Mexico)	Federal Archives and Records Center P.O. Box 4216 Fort Worth, TX 76115
GSA Region 2 New York, New Jersey, Puerto Rico, the Virgin Islands, and the Panama Canal Zone	Federal Archives and Records Center Military Ocean Terminal, Bldg. 22 Bayonne, NJ 07002	Shipping address only (do not use for mail) 4901 Hemphill Street, Building 1, Dock 1, Fort Worth, TX	Shipping address only (do not use for mail) 4901 Hemphill Street, Building 1, Dock 1, Fort Worth, TX
GSA Region 3 Delaware, Pennsylvania, and U.S. court records for Maryland, Virginia, and West Virginia.	Federal Archives and Records Center 5400 Wissahickon Avenue Philadelphia, PA 19134	GSA Region 8 Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota	Federal Archives and Records Center Bldg. 48, Denver Federal Center P.O. Box 25307 Denver, CO 80225
GSA Region 4 North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky	Federal Archives and Records Center 1557 St. Joseph Avenue East Point, GA 30344	GSA Region 9 American Samoa, California, except southern California, and Nevada, except Clark County Azusa, Clark County, Nevada, and southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego)	Federal Archives and Records Center 1400 Commodore Drive San Bruno, CA 94066
		GSA Region 10 Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean areas (except American Samoa)	Federal Archives and Records Center 24000 Avila Road Laguna Niguel, CA 92677
			Federal Archives and Records Center 6125 Sand Point Way Seattle, WA 98115

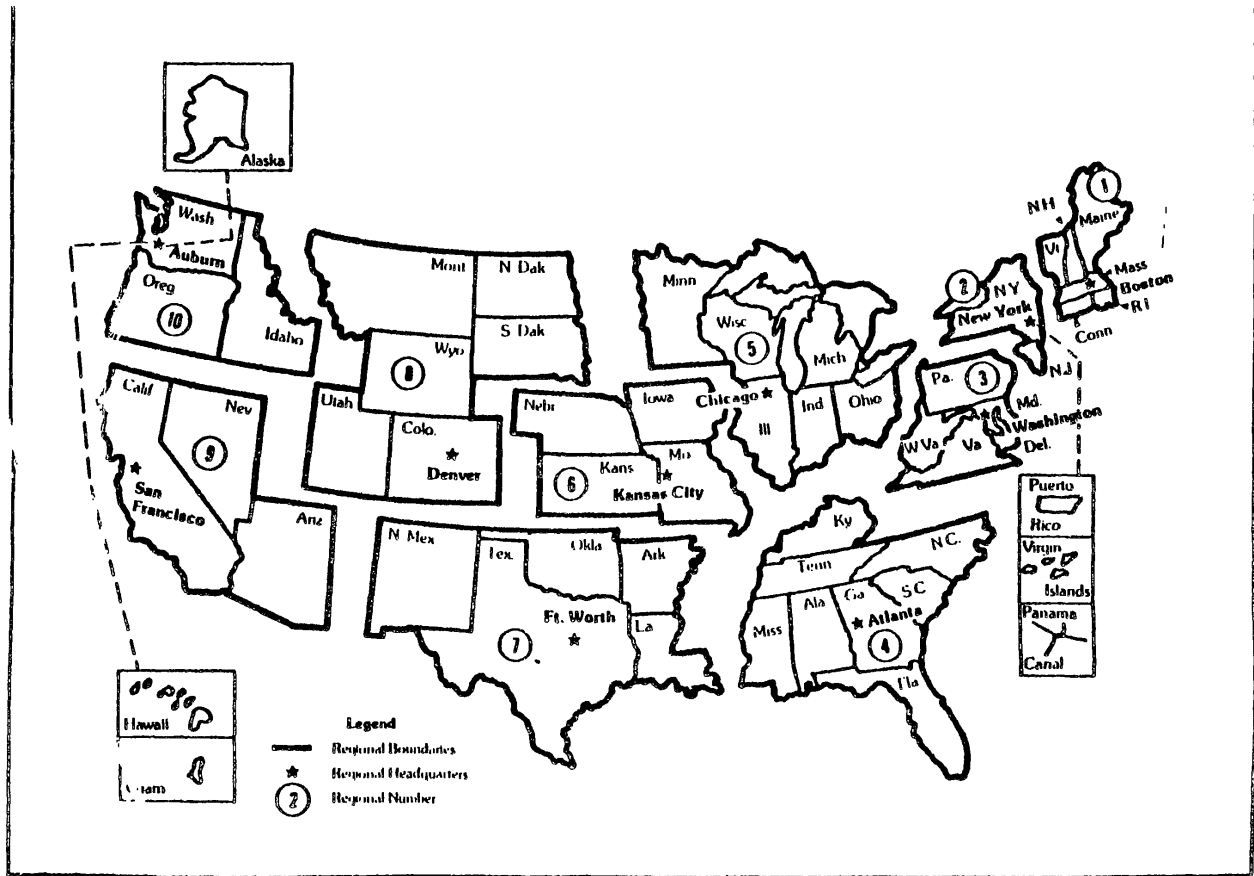


FIGURE 2-3

- | G. Direct Offer of Records to National Archives.  
| A direct offer of records must be submitted on a SF-258, "Request to  
| Transfer, Approval, and Receipt of Records to National Archives of  
| the United States". (Refer to sample SF-258, page 2-11). These  
| forms may be obtained by submitting a requisition request to Supply  
| Center Brooklyn using stock number 7530-01-GF2-9660.
- | H. Preparing SF-258. Prepare an original and five copies (6 part  
| set) of SF-258. Fill in the appropriate block(s) in items 1 and 2,  
| and all items checked on the sample SF-258. When preparing the  
| SF-258, the transferring office should also prepare a supplemental  
| listing of the records being offered (use plain bond paper) and  
| attach it to the SF-258. This listing is an item by item or folder  
| by folder itemization of the contents of each box.
- | I. Submission of SF-258. Submit the original and four copies of  
| SF-258 and supplemental listing to Commandant (G-CMA) to arrive at  
| least sixty (60) days before the desired shipment date. Retain the  
| sixth copy in the transferring office.
- | a. Commandant (G-CMA) will review the SF-258 for completeness.  
| If the SF-258 has been improperly prepared, it may be  
| returned to the transferring office for correction. After  
| review by Commandant (G-CMA) the forms will be forwarded  
| to the National Archives. The National Archives will review  
| the SF-258 to determine whether specified restrictions are  
| acceptable, and will return two (2) annotated copies to  
| Commandant (G-CMA) with shipping and delivery instructions.  
| Upon receipt, Commandant (G-CMA) will enter additional data  
| from the annotated SF-258 and mail both copies and shipping  
| instructions to the transferring office.
- | b. If the request has been disapproved, the National Archives  
| will recommend appropriate disposition of the records.
- | J. Shipment of Records to National Archives. The transferring  
| office should ship the records within 60 days after receipt of the  
| shipping instructions. A copy of SF-258 should be placed in front  
| of box one of the shipment. Mark each box with a black felt marker  
| as shown on page 2-4, but address it to the National Archives.

| NOTE: For SF-258's used for transferring unit logs, follow  
| instructions contained in COMDTINST 3123.12 (series)

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REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES <i>(See instructions on reverse)</i>		LEAVE BLANK		RG		
		UNIT	DATE RECEIVED	UNIT	DATE RECEIVED	
		JOB NUMBER		JOB NUMBER		
<b>1. TYPE OF ACTION</b>		<b>2. TO</b>		<b>3. UNIT THAT CREATED THE RECORDS</b>		
<input type="checkbox"/> <b>A. OFFER OF UNSCHEDULED RECORDS</b>		<input type="checkbox"/> <b>A. RECORDS DISPOSITION DIVISION</b> MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NCD) WASHINGTON, DC 20408		<b>A. AGENCY OR ESTABLISHMENT</b> U.S. Coast Guard (G-CMA)		
<input type="checkbox"/> <b>B. TRANSFER OF SCHEDULED RECORDS</b>		<input type="checkbox"/> <b>B. NATIONAL ARCHIVES</b> MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NNB) WASHINGTON DC 20408		<b>B. MAJOR SUBDIVISION</b> XX		
		<input type="checkbox"/> <b>C. REGIONAL ARCHIVES</b> FEDERAL ARCHIVES AND RECORD CENTER GENERAL SERVICES ADMINISTRATION		<b>C. MINOR SUBDIVISION</b> XX		
				<b>D. NAME OF UNIT</b> XX		
				<b>E. NAME OF PERSON WITH WHOM TO CONFER ABOUT THE CONTENT OF THE RECORDS</b> XX		
				<b>F. TELEPHONE (include area code)</b> XX		
<b>4. CURRENT LOCATION OF RECORDS</b>		<input type="checkbox"/> <b>A. AGENCY SPACE (Give location)</b> XX				
		<input type="checkbox"/> <b>B. FEDERAL RECORDS CENTER (Identify center and FRC accession no. and enter location)</b>				
		<b>C. REQUESTED TRANSFER DATE</b>				
<b>5. RECORDS DATA</b>						
<b>A. DESCRIPTION OF RECORDS (Give overall title of records, individual documents, dates, and attach Standard Form 136, if records are now in FRC. Continue on separate sheet of paper, if necessary.)</b>						
<input type="checkbox"/> SF 136 ATTACHED XX						
<input checked="" type="checkbox"/> SEPARATE SHEET(S) ATTACHED <b>List of Records Being Offered</b>						
<b>B. EST. VOLUME</b>		<b>C. ARE RECORDS SUBJECT TO PRIVACY ACT? (If yes, cite agency system number and F.R. volume and page number for most recent notice and attach a copy)</b>		<b>D. SPECIFIC RESTRICTIONS TO BE IMPOSED (Include justification and cite statute or FOI exemption that authorizes such restrictions)</b>		
cu. ft. cu. in.		XX If Applicable		XX If Applicable		
XX						
<b>E. RECORDS CONTROL SCHEDULE/ITEM NO. OR APPRAISAL JOB NO.</b>			<b>F. AGENCY REMARKS</b>			
XX			XX If Applicable			
<b>6. STATEMENT OF AGENCY REPRESENTATIVE</b>						
The records described above and on the attached pages are hereby offered for deposit with the National Archives of the United States in accordance with 44 U.S.C. 2103. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 41 C.F.R. 101-11.411, 41 C.F.R. 105-61, and such other rules or regulations as may be prescribed by the Administrator of General Services or the Archivist of the United States. Unless specified and justified above, there are no restrictions on the use of these records other than the general and specific record group restrictions on the use of records in the National Archives of the United States that have been published in 41 C.F.R. 105-61.53 or in the Guide to the National Archives of the United States. The Archivist of the United States may destroy, donate, or otherwise dispose of any containers, duplicate records, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation without further consent of this agency. I certify that any restrictions specified by this agency on the use of these records are in conformance with the requirements of 5 U.S.C. 552 and that I am authorized by the head of this agency to act for the agency on matters pertaining to the disposition of agency records.						
<b>A. SIGNATURE OF AGENCY REPRESENTATIVE</b>		<b>B. TITLE</b>		<b>C. MAILING ADDRESS</b>		
		Chief, Management Analysis Division		U.S. Coast Guard (G-CMA-4) Washington, D.C. 20593		
				<b>D. DATE</b>		
<b>7. ACTION TAKEN BY NATIONAL ARCHIVES AND RECORDS SERVICE, GENERAL SERVICES ADMINISTRATION</b>						
<b>A. ACTION</b>		<b>B. NARS CONCURRENCES</b>				<b>C. FOR NARS USE ONLY</b>
<input type="checkbox"/> APPROVED		INITIALS UNIT DATE INITIALS UNIT DATE				
<input type="checkbox"/> DISAPPROVED						
<b>D. NARS REMARKS REGARDING DISPOSITION/SHIPPING</b>						
<b>E. SIGNATURE OF NARS AUTHORIZED REPRESENTATIVE</b>				<b>F. TITLE</b>		
				<b>G. DATE</b>		
<b>8. RECORDS RECEIVED NARS DEPOSITORY</b>		<b>A. DATE</b>		<b>B. SIGNATURE</b>		
				2-11		
				<b>C. TITLE</b> CH-1		



INSTRUCTIONS

This form may be initiated by either the transferring agency or a Federal records center.

INITIATED BY AGENCY:

ITEM 5. RECORDS DATA:

Agency completes items 1 through 6 (see specific instructions below). Describe the records. If the records are in a Federal records center, attach SF 135. Arrangement statement must be provided to the appropriate address in item 2 sixty days before planned enough description to substantiate responses in time 5B (with date of transfer. volume for each item) 5C and 5D.

INITIATED BY FEDERAL RECORDS CENTER:

Estimated volume may be indicated in either cubic feet or cubic meters.

Federal records center completes items 1, 2, 3A-F, if known, 4B, 5A and B, D and E and sends original and 3 copies to transferring Privacy Act notices must be cited for records subject to the agency records officer.

Privacy Act (5 U.S.C. 552a) and should be attached.

Agency completes/corrects items 3, 5A, 5C-F, and 6. Item 6 must Specific restrictions must be fully justified and may not violate be signed and dated. Agency sends original and 3 copies to the address the Freedom of Information Act (5 U.S.C. 552).

Address indicated in item 2 sixty days before planned date of transfer.

If the records have previously been scheduled in a records control

schedule, the schedule and item number must be cited, and the

ITEM 1. TYPE OF ACTION

schedule itself may be attached. If the records are not scheduled

a part of the series has been appraised as permanent in the past

If 1B is checked, a reference to the records control schedule number transferred to a NARS depository, than cite the appraisal job number or NARS appraisal job number must be included in 5E. (Item number as authority and treat as a scheduled offer.

18 may be checked for unscheduled records if an appropriate appraisal job is cited to reflect an accretion according to prior evaluation

ITEM 6. STATEMENT OF AGENCY REPRESENTATIVE:

tion of the series).

Signature and title of agency records officer is placed here and normally

ITEM 2. TO:

is not the name or office given in items 3.

When 1B is checked, requests are sent to the National Archives

ITEM 7. ACTION TAKEN BY NARS:

(NNB) unless the records control schedule or appraisal job specifies a regional archives or Presidential library.

NARS will indicate approval and provide shipping or delivery instructions,

or disapproval and recommend appropriate disposition

When 2C is checked, include in that block address (number and the records. NARS will indicate quantity of offer approved, dis-

| street, city, State, and zip code) of the regional archives branch be-  
approved and for which action is deferred.  
| ing offered the records.

|  
NARS approves the transfer, the Office of the National Archives If

| ITEM 3. UNIT THAT CREATED THE RECORDS:  
sends SF 258 to the agency (or to the Federal records center if the  
|  
records are in a center) with a transfer date and shipping or delivery.  
| Fully identify the agency, subdivision, and unit that created or  
| originated the records (not the agency records office). If this is If  
NARS disapproved the transfer, the Records Disposition Division  
| not possible, or a successor unit or agency is transferring the rec-  
returns SF 258 to the agency with suggestions for disposition of the  
| ords, then explain under Agency Remarks, item 5F.  
records.

| ITEM 4. CURRENT LOCATION OF RECORDS:

ITEM 8. RECORDS RECEIVED:

| Identify the agency location or the particular records center in  
After receipt of records by a NARS depository NARS will sign and  
| which the records are located and provide FRC accession number.  
return one copy of SF 258 to the agency.

| The stack location in the center may also be provided.

CH-1

2-12

Chapter 3 - Classifying and Filing of Coast Guard Written Ma

CHAPTER 3. CLASSIFYING AND FILING OF COAST GUARD WRITTEN MATERIAL

- A. Purpose. This chapter prescribes standard procedures for classifying and filing Coast Guard correspondence, directives and other documents using the Standard Subject Identification Codes (SSIC) contained in Commandant Instruction 5210.5(series). These codes reflect the functions of the U.S. Navy and Coast Guard and are designed to meet the needs of both services for a basic uniform subject classification structure for classifying, file arrangement and referencing documents.
- B. Responsibility. All commanding officers are responsible for the establishment, maintenance, and disposition of official subject files. They shall define and assign file responsibilities to insure that authorized records control schedules are applied and reports relating to records disposition and holding are submitted in accordance with requirements in Chapter 1. Recommendations for changes to classifying, filing procedures or Standard Subject Identification Codes shall be forwarded to Commandant (G-CMA) via the chain of command with a detailed explanation for recommending the change.
- C. Classifying Documents.
1. Base Number. The subject matter of correspondence and other items to be filed will be given a file number selected from the prescribed List of Standard Subject Identification Codes contained in COMDTINST 5210.5 (series). This number is called the Base Number and is assigned by the originator of the correspondence.
  2. Arbitrary Subdivision. The average activity will find the subject numbers in the Standard List adequate for file purposes. In order to facilitate reference, some subjects may require further subdivision. This may be done provided the arbitrary local breaks are logical and systematic, follow a standard classification number, and are separated from the standard number by a slant (/). Since arbitrary subdivisions are for an activities own convenience, they are of no concern to another activity. The slant makes them readily distinguishable from standard subject identification code numbers. Local subdivisions may be made in a number of ways. Any SSIC number may be further subdivided by the particular transaction, project, activity, or name as shown below:
    - a. Adding Arbitrary Numbers
      - 5441 Status of Vessels
      - 5441/1 Ship Movement
      - 5441/1-1 Operational Orders

3.C.2.b. Adding Arbitrary Words (Subjects)

5212 Records Management

5212/Disposals

5212/Transfers

c. Combining File Numbers

\*3440/11080 Disaster Control, Nuclear, Biological, and  
Chemical Defense

\*11080/3440 Atomic, Biological and Chemical Defense,  
Disaster Control

\* The first number indicates the principal subject.

Cross referencing should be used in such instances.

d. Other Suggested Subdivisions

<u>Subjects</u>	<u>Subdivided by:</u>
Boards, committees, firms, individuals government organizations	Name
Contracts, purchase orders, requisitions	Number
Cities, towns, Area Commands, warfare operations	Location
Programs, reports, claims, decisions	Subject
Appropriations, budget estimates	Date (fiscal year)
Materials	Class number

NOTE: When arbitrary subdivisions are made to files, the standard list used by the office maintaining the file must be supplemented to show breakdown. This supplemental list shall be kept current for reference use by that particular office.

D. Standard File Procedures.

1. File Material. Records required for general correspondence files are basic incoming document (letter, memorandum, message, enclosures, reports, etc.) if any, and the official yellow copy of outgoing correspondence, together with any essential supporting documents. Unnecessary and useless papers (such as working papers, extra copies, preliminary drafts, informational material) shall be disposed of immediately when their purpose has been served so as not to clutter the official files.
2. Marking Documents for File. The SSIC number that identifies the file material shall be placed in the upper right hand corner of the document to assist accurate filing, quick retrieval, and eventual disposal.

3.D.3. Filing documents.

a. Material is filed by its base number into a folder bearing a corresponding base number. It is permissible to file an item classified to the secondary or tertiary subdivisions into a folder labeled only with the primary subdivision at small units where correspondence on a large variety of subjects is not common. As the volume of the file on any particular subject increases, the file should be subdivided into the secondary or tertiary number.

b. Case filing, in many instances the simplest method of filing and the one most useful for reference purposes, is that of placing together related papers on a particular person, place or thing. Examples of the case method of filing are:

- (1) Personnel files in which all papers concerning a specific person are kept together under the name of that person.
- (2) Contract files in which all papers concerning a specific contract are kept together by contract number or name of contractor. A form of Case filing may be adapted to the general subject folders by fastening together within such folders papers related to each other so a complete story of a transaction is kept together.
- (3) The loose filing of papers in folders is generally the best method of filing and one which significantly saves time and material. Material in case-type files, such as contract or personnel files, may be fastened to folders as deemed necessary to prevent possible loss of records when charged out.

4. Cross-referencing. When a document has more than one subject, and the subject may be interpreted differently, or when names of persons, places, or things appearing in the document pertain to two or more subject classifications, Cross Reference (Optional Form 21) or extra copies of the document itself, should be filed under the subject or name other than the one under which the basic record is filed. Extra copies used for this purpose should be marked as cross reference to show the location of the basic record.

| 5. Charging Out Records. To control the withdrawal of official  
| records, the following Optional Forms are prescribed: OF-23  
| (Chargeout Record), OF-24 (Shelf Chargeout Record-Letter Size),  
| and OF-25 (Shelf Chargeout Record-Legal Size).

6. Breaking Files. To facilitate disposal or transfer of records, subject files as well as most other files shall be maintained in blocks by record series according to calendar or fiscal year. Breaking files is the closing, or cutting off of a file at the end of CY or FY and the establishment of a new active file. Case files are cut off when the case is closed or terminated. OF-22 (Continuity Reference) may be used to replace documents which continue to be active beyond the break period and need to be brought forward and refiled with current material for continued use.

## CHAPTER 4. FORMS MANAGEMENT

- A. Introduction. Forms are the backbone of most record systems. Forms are needed to provide accurate, dependable and precise information that will be readily accessible in our records system. Forms are also needed to provide reliable raw data which can be used in formulating policies, making decisions and coordinating or directing operations. Forms management is a staff function which provides one of the essential methods of controlling the creation and use of records.
- B. Scope. This chapter is intended to implement the Coast Guard wide forms management program. The provisions of this chapter affect forms prescribed by the Commandant for service wide use and the creation and use of local forms prescribed by area and district commanders, Commander, CG Activities Europe and commanding officers of Headquarters units.
- C. Objectives. The objectives of forms management are:
1. To increase the usefulness of forms through proper design and establishment of accurate procedures relating to the use of forms.
  2. To reduce costs relating to filling in, using and filing forms.
  3. To eliminate unnecessary and duplicate forms by consolidating those relating to similar or like functions.
  4. To simplify design and improve appearance and readability of forms.
  5. To achieve savings in designing, printing, storing and distributing forms.
  6. To ensure that all applicable laws, statutes, and regulations (e.g., Freedom of Information Act and Privacy Act) are considered in development and review of all Coast Guard forms.
- D. Definition and Identification of Forms. A form is any printed or otherwise reproduced document which contains a fixed arrangement of blank spaces. These blank spaces are used to collect information and can be filled in by hand, or business machine. Certain printed items such as letterhead, memorandum, post cards, tags, labels, etc., may be considered as forms for identification, control and stocking purposes.
1. Coast Guard Forms. These forms are identified by the letter "CG" before the form number and are prescribed by the Commandant for use within two or more Coast Guard districts or Headquarters units, or for use by the public in the conduct of Coast Guard business. When two or more forms are required for closely related functions or where a series of forms is prescribed for a particular operation, the capital letter A, B, C, etc., is added after the number (Example: CG-3301A).
  2. Standard Forms. A Standard Form is a form prescribed by a Federal Agency, pursuant to its authority, and approved by the General Services Administration for mandatory use. Such mandatory use is set forth in regulations of the promulgating agency.

4.D. 3. Optional Forms. An Optional Form is a form developed for use in two or more agencies and approved by the General Services Administration for non-mandatory use.

4. Other Government Agency Forms (OGA). In many cases, the Coast Guard has adopted other agency forms to fulfill its operational needs, either because of participation in programs of these agencies or because adoption is expedient and economical. These forms are identified by the letters of the sponsoring agency preceding the form number.

5. Local Forms. These forms may be prescribed or approved by a district or Headquarters unit for use within their own district or Headquarters unit provided there is no Coast Guard form authorized for the same purpose. Responsibilities involved in local forms management are outlined in paragraph number 4.H.3.

E. Required Authorizations.

1. Prescribing Directive. A printed form is an expression of a fixed method or procedure for recording information. The description of the way a form is to be prepared, submitted, used, and its relation to the standard way of doing a job must be prescribed in a directive. It is the responsibility of the office which prescribes the form to furnish effective instructions for its use.

2. Office of Management and Budget (OMB) approval. Pursuant to the Federal Reports Act of 1942 and the Paperwork Reduction Act of 1980, any form or reporting device for use by any person or group other than Federal employees (military or civilian) must be specifically approved by the Office of Management and Budget. Any such form or reporting device being considered for adoption, or in use and not presently cleared through OMB, shall be reported to Commandant (G-CMA) via the chain of command in accordance with the instructions contained in Chapter 5, paragraph. The Commandant (G-CMA) will accomplish liaison with OMB.

3. Comptroller General Approval. Under the Budget and Accounting Procedures Act of 1921, agencies are required to establish and maintain systems of accounting and internal control which shall conform to the principles, standards, and related requirements prescribed by the Comptroller General. Proposed accounting forms developed for use in lieu of standard accounting forms which have been prescribed to serve as support of expenditure or collection of Government funds in the accounts of disbursing or other accountable officers, and those forms relating to military pay and allowances supporting accounts of military disbursing officers will be submitted via the chain of command to Commandant (G-CMA) for review and coordination and approval by the Comptroller General.

4.F. Analysis, Design and Printing of Forms.

1. Analysis. Forms analysis requires the examination of all aspects of a form's use. The originator has up-to-date facts and information about the steps needed to process the form, such as, how the form will be filled in, transmitted, filed, sorted and stocked. Often that individual has information on the cost and effectiveness of present or planned arrangements and operations. Some typical questions to be considered are:
  - a. Is the record (form) necessary?
  - b. Is the information to be collected current?
  - c. Who needs the information?
  - d. What is the most efficient way to capture the information, considering the real source of the data, the facilities available, and subsequent collection, sorting and summarization required?
  - e. Is the proposed form the only source available for collecting the information? Often, the information needed can be taken from other sources, such as existing forms, records, or reports.
  - f. Does the value of the information to be collected exceed the cost of gathering and preparing the information?
  - g. Is this the best way to obtain the information?
2. Design. Forms design is the technique of arranging items, headings, spaces, and columns on paper to produce a form layout ready for the printer. Proper forms design recognizes all factors concerning usage, office machines/computer spacing, efficient layout, optimum size for filing or mailing, and clear instructions. Proper forms design is accomplished through analysis of its contents and use.
3. Printing. Printing of forms includes all steps necessary to get the final design on paper, and ready for distribution and use. These steps may include offset reproduction, typesetting, presswork, collating, carbon inter-leaving, padding, etc. Since many of these steps are very time consuming, a reasonable amount of production time must be allowed.

G. Supply of Forms Prescribed by Commandant.

1. Stocking and Requisitioning. Forms prescribed by Commandant for use by more than two field units will normally be stocked at Supply Center Brooklyn. Procedures for requisitioning such forms are contained in the Catalog of Forms (CG-218) and in the Comptroller Manual, Commandant Instruction M4400.13. Certain forms may be stocked only at selected units, including offices at Headquarters, due to limited usage, security, accountability, restricted issue or other reasons. Using units should consult CG-218 to determine stocking point.



G.2. Initial Distribution.

- a. New Forms. When a new form is prescribed for Coast Guard use a nominal supply is usually furnished using units. In addition, the office that initiates the form must provide funds, or a sufficient quantity of forms, to provide for an initial two (2) year supply to be stocked at Supply Center Brooklyn.
- b. Revised Forms. When a form is revised and previous editions are obsolete, distribution must be made in accordance with paragraph G.2.a. above. If the previous editions may be used, the new edition is printed and placed in supply after the existing stock is depleted.

H. Responsibilities in the Administration and Operation of the Forms Management Program.

- 1. Commandant. The Commandant will develop forms management concepts, develop and publish information for guidance to Coast Guard units, coordinate the overall forms management program and evaluate its effectiveness. The functions performed are:
  - a. Reviewing for approval, or disapproval, all forms or form letters proposed for Coast Guard use in accordance with principles outlined in this publication.
  - b. Performing an analysis of any form used or proposed for use by any Coast Guard activity with the objective of:
    - (1) minimizing the number of forms required for any function or operation, or for the service as a whole,
    - (2) reducing clerical time, number of handlings, copies, and filing time of forms to the absolute minimum,
    - (3) correlating forms with reporting and record-keeping requirements,
    - (4) improving existing forms through functional analysis and application of uniform standards of design, construction, and printing.
  - c. Maintaining appropriate records of the relation of forms to the procedures of the Coast Guard.
  - d. Recommending the elimination, consolidation, adoption, or creation of forms.
  - e. Providing or arranging for forms design service for CG and CGHQ numbered forms, and the forms of field activities as provided in paragraph 4.I.2.h.

- 4.H.1.f. Numbering and assigning edition dates, designating cognizant office at Headquarters, and determining distribution and unit of issue of all authorized forms.
- g. Issuing Forms Change Notices as necessary to advise Supply Center Brooklyn of new forms authorized for Coast Guard use or any change in the status of existing forms.
- h. Applying for approval of the Comptroller General or the Office of Management and Budget for certain forms used by the Coast Guard in accordance with appropriate regulations.
2. Supply Center Brooklyn. The Supply Center is the sole stocking and distribution point for all authorized blank forms prescribed by Commandant except as indicated in paragraph 4.G.1. Under this centralized support system the Supply Center is responsible for preparing, printing, distributing and maintaining the Catalog of Forms, (CG-218).
3. Commander, Activities Europe, Area Commanders, District Commanders, Commanding Officers of Headquarters Units. These commands are responsible for the management of their local forms program and the implementation of appropriate guidelines outlined in section 4.I. It is recommended that these commands designate a qualified person to perform the duties in carrying out this responsibility which includes:
- a. Review of all requests for printing of local forms.
- b. Assignment of form numbers to approved local forms and maintenance of a list of such forms currently in use.
- c. Insuring that locally produced forms do not duplicate the functions of authorized Coast Guard or other Government agency forms.
- d. Arranging local reproduction of forms, or, if unit facilities are inadequate for the quantity of forms needed, submission of a letter requested to Commandant (G-CMA) requesting assistance.
4. District Operating Units. District operating units shall submit any requests for forms support or assistance via the chain of command to the district commander.
5. General Responsibility. In addition to the activities, duties, and responsibilities prescribed above, all units are invited and encouraged to further participate in the Forms Management Program by sending, through the chain of command, ideas, recommendations, and proposals for consideration and possible adoption by Commandant. Some examples of possible areas for improvement are listed below.
- a. Establishment of a Coast Guard form to fill a particular need, when it appears that this need may be common to two or more districts or Headquarters units.

- 4.H.5.b. Revisions of existing Coast Guard forms to save time, paper, and manpower and eliminate unnecessary items and procedures.
- c. Adoption of any other Government agency forms which may fill a Coast Guard requirement, replace a Coast Guard or local form, or insure compliance with the regulations of another agency.
- d. Elimination of any form which has become obsolete, which has fallen into disuse, or which is still being stocked even though there are no regulations or authority calling for its use.

I. Guidelines for Effective Forms Management.

- 1. General. The following guidelines will be observed by all commands authorized to prescribe and/or produce forms.
  - a. Blank forms of other Government agencies shall not be reproduced or over-printed by the Coast Guard unless authorized in writing by that agency and approved by Commandant.
  - b. The Coast Guard shall not adopt and renumber other agency forms as Coast Guard forms as long as they are available from the other agency.
  - c. Forms may be produced as carbon interleaved or "No Carbon Required" paper sets when there is high volume public usage, when they are used in data processing machines, or otherwise justified as cost effective.
  - d. Personal names and signatures, telephone and room numbers, and other variable information shall not be printed on forms. This does not apply to form letters.
  - e. Colored paper and ink may be used in the construction of a form only when they serve a functional purpose.
- 2. Guidelines and Standards for Field Units Producing Local Forms. The following guidelines and standards are furnished for use in the design and production of local forms:
  - a. The words "DEPARTMENT OF TRANSPORTATION, U.S. COAST GUARD" must appear on the face of the form.
  - b. The form must have a number which distinguishes it from all other forms and must include the letters "CG" with the abbreviation which identifies the activity. For example: CGYARD-15, for a form used locally by the Coast Guard Yard.
  - c. Whether it is an original edition or revision, a form must bear an edition date.
  - d. If revised, there must be a note on the face of the form stating whether previous editions may be used or are obsolete.

4.I.2.e. Each form must have a title. A title should be brief, yet completely descriptive of the subject and function of the form. As an example, the title "Management Report" while brief, is not completely descriptive. It denotes that the subject is "management" and the function is "to report"; however, there may be a number of management reports for different purposes. In this case a word which defines the subject will make the title clear; for example: "Forms Management Report".

f. When a certain form is always transmitted to the same place or organizational unit, the address should be printed on the form to make it self-transmitting and eliminate the need for a transmittal letter, routing slip, etc.

g. The following additional design standards are recommended:

- (1) Size - To effect savings in paper costs, forms should be designated in the standard sizes shown below, choosing the smallest standard size which will accomodate the required data and yet meet mailing and filing requirements.

<u>Standard Paper Sizes</u>	<u>Standard Card Sizes</u>
8-1/2 x 11	3-1/2 x 5
8 x 5-1/2	4-1/4 x 5
8 x 3-2/1	5 x 8
4 x 5-1/2	
4 x 3-2/3	

NOTE: Post Cards may not be smaller than 3-1/2 x 5", nor larger than 4-1'4 x 6".

- (2) Box Style - Whenever possible, forms should be designed in box style, which not only conserves space but also minimizes the possibility of error in filling in the form and avoids waste of clerical time. The size of the typewriter spacing, one tenth or one twelfth of an inch should be allowed for each character depending on the typewriter to be used. For vertical spacing, one sixth of an inch is required for each line. Forms to be filled in by hand require double the space required for each typewritten line. The item heading should be entered in the upper left corner of the box, thus allowing insertion of the fill-in below the item heading.

- (3) Number boxes - When reference to specific items on a form is anticipated, each item should be numbered to facilitate the reference.

- (4) Instructions - Brief, concise instructions may be printed on forms if it is not possible to make a heading completely self-explanatory.

h. Technical assistance in the design or production of local forms is available from Commandant (G-CMA). Requests for assistance may be made by letter and should include the following information.

- (1) A brief description of the proposed use of the form.

4.I.2.h.(2) Number of copies estimated for a one year supply.

(3) Pencil draft of the proposed form.

(4) Description of any special requirements, such as special filing equipment, machine spacing for accounting machines, pocket sizes, etc.

| i. The National Archives and Records Service handbook "Forms  
| Analysis and Design" contains detailed information on the  
| subject of forms. These handbooks have been distributed to  
| district offices. Additional copies may be obtained from  
| GSA or a limited number of copies may be requested from  
| Commandant (G-CMA).

## CHAPTER 5. REPORTS MANAGEMENT

A. Objectives. The objectives of the Coast Guard Reports Management Program are to provide management with information where and when it is needed, in a format that provides the greatest utility, and to furnish the information as economically and efficiently as possible. The goal of the Reports Management Program is to eliminate duplicative and unnecessary reporting. The reports management function also includes internal review and approval of information requirements levied on the public and coordination of clearance request submittals to the Office of Management and Budget. Approval by OMB of reporting and recordkeeping requirements levied on the public is required under the Federal Reports Act of 1942 and the Paperwork Reduction Act of 1980.

### B. Internal Reports Defined.

1. An Internal Report is data or information required to be transmitted from field activities to Commandant for use in determining policy, planning, evaluating operations and performance and preparing other reports. The data or information may be in narrative, statistical, graphic or other form.
2. Certain categories of Internal Reports are exempted from the requirements of the Reports Management Program. Some exempted reports inspection and audit reports, reports of investigation or official proceedings associated with judicial or administrative bodies, operating documents (applications, bids, bills, claims, contracts, leases, shipping orders, etc.), suggestions, classified documents, technical information associated with research projects, comments or concurrences in association with routine clearance of proposed actions, requisitions or publications and other reports determined by Commandant to conform to the intent of the exempt report categories.

### C. Administration of the Coast Guard Internal Reports Management Program.

Commandant is responsible for administering the Reports Management Program for the purpose of ensuring that reporting requirements are not imposed on field activities unless the data requested are necessary to the function of the requesting Headquarters office. Data obtained from reports must be adequate for the purpose for which purpose for which used, provide accurate and timely information, and justify the cost of preparation. Instructions for report preparation must be adequate and up-to-date, and units requested to prepare the reports must be the best source of data. (Chiefs of Headquarters offices/divisions should refer to the current Headquarters Instruction on reports management relative to establishing reporting requirements, HQINST 5214.4 (series)).

1. Reports Control Symbol. A Reports Control Symbol (RCS) is assigned to each approved report required to be submitted to the Commandant on a recurring basis. All directives and correspondence from Headquarters which request information from field units, not exempted in B.2. above, must have a RCS to indicate that the information requirement has been approved by the Commandant. The RCS also serves two other purposes. First, it is an identification device, such as a stock number or form number, the purpose of which is to relate the report to its prescribing directive and to any forms which may be involved in its submission. Second, it gives the preparing office the symbol of the Headquarters office to which the report is submitted.

- 5.C.1. (cont'd) All approved reports submitted to the Commandant shall bear the reports control symbol as follows:
- a. Letter and Message Report. The letters RCS and the appropriate reports control symbol, in parentheses after the subject, as: Subj: Annual Report of Records Holdings (RCS # G-CMA-1013).
  - b. Form Report. The RCS will appear in the upper right corner of the form.

2. Listing of Approved Reports.

- a. Reports required to be submitted to the Commandant which have been assigned a reports control symbol are listed in Chapter 3 of the Directives, Publications and Reports Index (COMDTNOTE 5600). Such reports are listed by report control symbol followed by the title of the report, the form number or other method of submission (letter, prescribed format, message, etc.), the requiring directive or publication, preparing activities and frequency of submission.
  - b. Reports which have been designed exempt from the Reports Management Program because of their content, use, or purpose are not assigned report control symbols and are not listed in COMDTNOTE 5600.
  - c. Reports which have been discontinued during the six month period previous to promulgation of the cumulative edition of COMDTNOTE 5600 are listed in Chapter 3, Part 3 of that publication. This does not constitute authority to discontinue submission of any report. In all cases the requiring directive is the authority as to submission and will be complied with until revised or cancelled.
  - d. To insure the accurate and timely submission of reports, each Coast Guard unit should maintain a tickler file or reports calendar for all reports required by the Commandant. This file may be expanded to include feeder reports and any other reporting requirements established on a recurring basis.
  - e. Suggestions and recommendations concerning improvement or changes to any of the reporting requirements listed in Chapter 3 of COMDTNOTE 5600 are invited, and should be directed to Commandant (G-CMA).
- D. Public Use Reporting and Recordkeeping Requirements. Federal agencies are prohibited from conducting or sponsoring the collection or maintenance of information, upon identical items, from ten or more persons (other than federal employees) without prior specific approval of OMB. Commandant (G-CMA) is responsible for submitting all plans for such reporting requirements proposed by the Coast Guard to the Assistant Secretary for Administration for forwarding to OMB. Action by responsible Coast Guard officials is required as follows:
1. Area and district commanders, Commander, CG Activities Europe, commanding officers of Headquarters units, and chiefs of Headquarters offices/divisions shall ensure that no reporting or recordkeeping requirements are imposed on the public which have not been approved and assigned an OMB approval number. Plans for collection of information from the public shall be forwarded through the appropriate office or division at Headquarters having program responsibility, to Commandant (G-CMA) with samples of proposed forms or other material to be cleared.

5.D.1. (cont'd) The plans shall include the following information:

- a. A description of the situation which makes collection of the information necessary with an explanation of how the data will be used and by whom;
- b. The number and type of individuals (or organizations) to be contacted;
- c. Frequency of use, i.e., annual, quarterly, single time, on occasion, etc. If collection is on a regular repetitive basis, explain the need for frequency of collection; if single time, indicate when collection will begin and end;
- d. The reporting method, i.e., mail, personal interview, or other;
- e. The estimated time (burden hours) it will require for a respondent to supply information; and
- f. Names of individuals, groups, or organizations outside Coast Guard with whom the responsible Coast Guard office has consulted concerning the particular information requirement they are proposing.

| 2. Commandant (G-CMA) will review all plans that require reporting  
| or record keeping from the public and will assist the  
| responsible office or division at Headquarters in preparation  
| and submission of the request for OMB approval. Specific  
| guidance on obtaining OMB approval of an information requirement  
| is available from Commandant (G-CMA). All reporting and  
| recordkeeping requirements levied on the public must be  
| initiated through the appropriate Headquarters office and may  
| not be levied by field activities independent of  
| Headquarters. Additionally, all proposed reporting or  
| recordkeeping requirements which may be levied on the public  
| must be planned or budgeted in advance of implementation on the  
| annual Coast Guard Information Collection Budget which is  
| prepared and submitted 1 July of each year. Originators  
| of requests for OMB approval will be notified by the Commandant  
| of the date of approval, approval number and date of  
| expiration. Additional information, instruction and/or  
| restrictions pertinent to implementing the reporting  
| requirement will be included as needed.



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SECTION 1 - ADMINISTRATION AND MANAGEMENT RECORDS

These records relate to the management administration of the various Coast Guard programs at area and district offices, Headquarters units, Coast Guard Activities Europe and district units. Specialized records relating to the management of military personnel, financial matters, engineering programs, operations, etc., are covered in other parts of this schedule.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1. <u>Directives and Publications</u> Issued by the Area Commanders, District Commanders, Commanding Officers of Headquarters Units and Commander, Coast Guard Activities Europe.	
a. Original of directive or publications,	PERMANENT. Transfer to FRC 1 year after superseded or cancelled. Offer to NARS 20 years after superseded or cancelled in 5 year blocks.
b. All other copies.	DESTROY when superseded or cancelled.
2. <u>General Correspondence Files</u> General Administrative correspondence files for routine administrative or housekeeping purposes	DESTROY when 2 years old.
3. <u>Management Improvement Reports</u> Copies of management improvement reports submitted to the Office of Management and Budget, and related analysis feeder reports.	DESTROY 2 years after submission of report.
4. <u>AUDIT by GAO and OST</u>	
a. General administrative correspondence on audit activities at district offices, Headquarters units, afloat and ashore activities.	DESTROY when 3 years old.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

AUDIT GAO and OST (cont'd)

- |   |  |
|---|--|
| b. Records of GAO and OST audits.   | DESTROY when 3 years old.  |
| 5. <u>DOT Annual Report</u><br>Copy of Coast Guard portion of DOT annual report submitted to the Department of Transportation and related feeder reports. | DESTROY 1 year after DOT annual report is printed.   |
| 6. <u>Inspection Reports</u>  |  |
| a. Originals of Area and District Inspection Office Inspection Reports.   | DESTROY after completion of 2 subsequent inspections or when administrative usefulness ends, whichever is sooner.  |
| b. Completed Check Lists.   | DESTROY completed check lists and other background material when 2 years old or when no longer required for administrative purposes, whichever is later. |
| c. Inspection Schedule.   |  |
| (1) Material used for reference in inspecting office.   | DESTROY when superseded or obsolete.   |
| (2) Material relating to a floating unit on re-assignment to another jurisdiction.  | Forward immediately all previous reports and associated items to gaining inspector.  |
| (3) Inspection Historical File.   | DESTROY 1 year after decommissioning or disestablishment of unit.  |
| 7. - 43. RESERVED.  |  |

ENCL: (1) to COMDTINST M5212.12, CH-2

SECTION 2 - BOATING, PUBLIC AND CONSUMER AFFAIRS RECORDS

These records relate to the administration and operation of the Recreational Boating Safety Program at district offices and field activities. The program is aimed at reducing accidents, injuries and fatalities related to the operation of pleasure craft on the waters of the United States and its possessions by the enforcement of Federal laws and regulations governing recreational boating, educating the public, maintaining liaison with State Boating Law Administrators and organizations concerned with boating safety to encourage uniformity and reciprocity of boating laws and regulations, etc. In addition, this section contains disposition instructions for Public and International Affairs.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
44. <u>Law Enforcement Agreements</u> Original of Coast Guard State Law Enforcement Agreements.	DESTROY 3 years after superseded or obsolete.
45. <u>Conference Records</u> Minutes of conferences with State Boating Law Administrators.	DESTROY when 3 years old.
46. <u>Boating Investigations and Reports</u>	
a. Investigations or boating fatalities (marine casualties).	
(1) Reports of Investigation.	DESTROY 5 years after investigation is completed.
(2) Marine Boards.	DESTROY when 10 years old.
b. Boating Accident Report case files.	DESTROY 1 year after final action.
47. <u>Applications for Numbers</u>	
a. Application for numbers for undocumented vessels.	DESTROY 3 years after expiration of permit or loss of vessel.
b. Current Computer or Word Processor Retrieval system of vessel registration. These systems consists of informa- tion abstracted from the certi- ficates and other documents which accompanied the vessel owners application. If none of the above documents are avail- able, establish and maintain a card or recording vessel numbers issued.	TRANSFER current records to states or territories when an approved num- bering system has been adopted by the state or territory.  DESTROY non-current documents and and cards when superseded

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
48. <u>Boarding Files</u>	
a. Unit copies of boarding forms, including those where violation was present and those where it was not, and related papers.	DESTROY 3 years from date of boarding.
b. Notifications to Manufacturers of Factory Visit Findings.	DESTROY 3 years after visit is completed.
49. <u>Public Releases</u> Public releases issued by the Public Affairs Officer.	PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 20 years old in 5 year blocks.
50. <u>Biographical Data</u> Biographical data containing photographs and press releases concerning individual service personnel.	DESTROY when superseded or obsolete or when individual is transferred or separated.
51. <u>Photograph Files</u> Photographic negatives, prints and motion picture film of Coast Guard vessels, units and activities.	
a. Motion picture film	Forward to Commandant (G-BPA) when 5 years old. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6, item 84).
b. Still pictures, negatives and prints.	Forward to Commandant (G-BPA) when 5 years old. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6, item 84).
52. <u>Video Tape Files</u> Video tape recordings of agency produced or sponsored public affairs programs, news releases or information reports.	Forward to Commandant (G-BPA) when 5 years old. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6, item 88c).
53. <u>Reference File</u> General reference file containing correspondence, memoranda, media clippings and articles, other processed and printed material concerning Coast Guard activities used as reference material in the work of the Public Affairs Officer.	DESTROY when superseded or obsolete.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

54. - 59. RESERVED.

Auxiliary Record

60. Board Meetings

a. Copies of minutes of district board meetings, decisions and recommendations of district boards.

DESTROY when 10 years old. Transfer to FRC when 5 years old.

b. Annual schedule of District Board Meetings.

DESTROY when 3 years old.

61. News Articles on Auxiliary Activities

DESTROY when 1 year old.

62. Individual Personnel Folders  
Personnel Jackets for members of Coast Guard Auxiliary.

DESTROY when 30 years old. Transfer to FRC 2 years after disenrollment or death of member.

63. Unit Personnel Files

a. Annual District directory of Auxiliary officers, and each amendment thereto.

DESTROY when 10 years old. Transfer to FRC when 3 years old.

b. Copies of reports of change of address of district commodores, district vice commodores and district rear commodores.

DESTROY when 1 year old.

c. Quarterly Flotilla Rosters and monthly alphabetical listings.

DESTROY when 2 years old.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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|--|--|
| 64. <u>Reports Files.</u>  |  |
| a. Copies of reports of newly qualified Operational members and requests for AUXOP Certificate.  | DESTROY when 3 years old.  |
| b. Copies of reports to Director, National Ocean Survey of names, addresses, flotilla designation, and charts requested for newly chartered flotillas. | DESTROY when 3 years old.  |
| c. Files of current Facility inspection and Offer of Use Reports.  | DESTROY 3 years after facility is no longer used by the Coast Guard. |
| 65. <u>CME and Facility Decals</u><br>Records of all CME and Facility Decalcomania, by serial number, issued to members of the Auxiliary.              | DESTROY when 3 years old.  |
| 66. <u>Excess Property</u><br>Files of Auxiliary unit requests for excess property or material.  | DESTROY when 3 years old.  |
| 67. <u>Cumulative Summary</u>  |  |
| a. Weekly Cumulative Summary by District and Monthly Cumulative Division Summary by Flotilla.  | DESTROY final report of year when 4 years old.                       |
| b. All other copies.   | DESTROY when 2 years old.  |
| 68. - 78. RESERVED.  |  |

SECTION 3 - ENGINEERING RECORDS

These records relate to the administration and operation of the engineering programs at Coast Guard district offices, Headquarters units, and other field activities concerned with the design and construction of shore and marine structures and the construction, repair, maintenance, outfitting and approved alteration of cutters, vehicles, aids to navigation, shore and marine structures, machinery, electronic equipment, etc. Records peculiar to the Coast Guard Aircraft Repair and Supply Center and the Yard are listed under separate headings.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
79. <u>Real Property Files (Site Files)</u>	
a. Original deeds, and record copies of improvements on shore facilities, proceedings of Boards of Survey and correspondence.	FORWARD to Headquarters (G-FLP). Headquarters dispose IAW Headquarters Records Control Manual (HOINST M5212.6).
b. Copies of records for improvements on shore facilities.	DESTROY 3 years after facility is eliminated.
c. Copies of proceedings of the Boards of Survey with related correspondence.	DESTROY 3 years after disposal of property.
80. <u>Electronics Engineering Files</u>	
a. Electronics equipment case files containing correspondence, memorandum reports, plans, and authorizations pertaining to the acquisition, maintenance, repairs, and design of a particular type of equipment.	DESTROY 1 year after disposal of equipment.
b. Copies of plans and blueprints for installation of electronic equipment.	DESTROY when superseded or obsolete.
c. Copies of landline installation records and related papers describing the landline facilities for specified areas.	DESTROY when superseded or obsolete.
d. Copies of right of way permits for landlines, with related papers, granted to the Coast Guard by Government agencies, local government units and private firms.	DESTROY 3 years after installation is abandoned or expiration of permit, whichever is later.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Electronics Engineering Files (cont'd)

- |   |                           |
|---|---------------------------|
| e. Correspondence, memorandums, and reports, relating to the installation and maintenance of electronic installations of Coast Guard units. | DESTROY when 3 years old. |
|---|---------------------------|

81. Cutter and Boat Files

- |   |   |
|---|---|
| a. Copies of cutter and ordnance plans and specifications.  | DESTROY when superseded or obsolete or after disposal of cutter.  |
| b. Copies of survey reports pertaining to serviceability of cutters.  | DESTROY 1 year after transfer or disposal of cutter.              |
| c. Allowance lists CALMS pertaining to the allowance of equipment, spare parts, and supplies to cutters of specified classes.   | DESTROY when superseded or 1 year after disposal of cutter.       |
| d. Cutter case files containing correspondence, memorandums, reports, plans, dry-docking reports, contracts, and work authorizations pertaining to the acquisition, maintenance, repairs and construction of a particular cutter. | DESTROY 1 year after disposal of cutter.                          |
| e. Class shipalts and boatalts.   | DESTROY 1 year after last cutter or boat of class is disposed of. |
| f. Boat records and machinery indexes/CALMS containing a general description of the hulls and main engines, for boats under 65 feet in length, with descriptive information.  | DESTROY when superseded or obsolete.                              |
| g. Drydocking reports.  | DESTROY 1 year after disposal of cutter.                          |



ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |  |   |
|--|---|
| 82. <u>Hull and Machinery Files</u>  |   |
| a. Quarterly Hull and Machinery Reports and other reports pertaining to the condition, repair, and renewal of hull and machinery.  | DESTROY 3 years after transcribing into Hull History and Machinery History.   |
| b. Machinery logs containing an operating record of installed equipment.   | DESTROY when 3 years old.   |
| 83. <u>Damage Control Files Pertaining to Inspection for the Prevention of Damage</u>  | DESTROY when 1 year old.  |
| 84. <u>Vehicle Files</u><br>General subject file on vehicles containing correspondence and reports.  | DESTROY when 3 years old.   |
| 85. <u>Planning Files</u><br>Advance planning file containing project reports for AC&I (on Forms CG-2618 series or equivalent) and Unit Development Plans describing work proposed, cost estimates, justifications with related charts, drawings, maps or photographs as needed. | DESTROY 3 years after project is completed.   |
| 86. <u>Photograph Files</u>  |   |
| a. Photographs of Coast Guard shore units construction project.  | FORWARD to Headquarter (G-BPA) after unit is deactivated. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6, item 115). |
| b. 35mm and 105mm negatives of drawings of active shore units.   | FORWARD to Headquarters (G-ECV). Headquarters screen IAW Headquarters Records Control Manual (HQINST M5212.6, items 116 and 117).                     |

ENCL: (1) to COMDTINST M5212.12, CH-2  
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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

87. Equipment and Systems Drawings  
(Tracings)

| a. Original AS BUILT drawings  
| (tracings) of aids to naviga-  
| tion equipment and minor  
| structures, oceanographic and  
| marine environmental protec-  
| tion (MEP) equipment, sensor  
| systems, and microfilm.

b. All other copies.

FORWARD to Headquarters  
(G-EOE). Headquarters  
screen and dispose of IAW  
Headquarters Records Control  
Schedule (HQINST M5212.6,  
items 117, 147, and 149).

DESTROY 1 year after dis-  
continuance of equipment or  
system.

88. - 98. RESERVED.

Enclosure (1) to COMDTINST M5212.12, CH-2

SECTION 4 - FISCAL, ACCOUNTING AND SUPPLY RECORDS (INCLUDES ADF RECORDS)

These records are accumulated in connection with fiscal, accounting, supply, and other comptroller-type operations of Coast Guard field activities. Regardless of disposal periods fixed by this schedule, records pertaining to matters listed below shall not be destroyed without specific written approval of the General Accounting Office in each instance:

- a. An outstanding exception by the General Accounting Office or internal auditors;
- b. An unsettled claim by or against the Government;
- c. A case under current or pending litigation;
- d. An incomplete investigation.

When a claim has been filed on a procurement action or when there is reasonable expectation that a claim is about to be filed, all pertinent records should be segregated from other procurement files. If any pertinent records are in a Federal Records Center, the center should be asked to hold them until further notice. When such files are no longer to be earmarked for indefinite retention because a claim has been adjudicated or if not claim is filed, the center should be advised.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
99. <u>Payroll Files</u>	
a. Closed Military Pay Records of separated members. Transfer closed records to Commanding Officer, Pay and Personnel Center, S&P.	Pay and Personnel Center DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 3 years after period covered by the account. (NC1-26-76-2, item 227)
b. Commanding Officer's pay records orders with supporting papers.	DESTROY 2 years after GAO audit or when 3 years old, or whichever is sooner. (NC1-26-80-4, item 99c)
c. Copies of payroll, military.	DESTROY 6 months after end of the pay period. (NC1-26-80-4, item 99c)

Enclosure (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

Payroll Files (cont'd)

<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d. Closed Military Pay Records of active duty members.	DESTROY 56 years after period covered by account. TRANSFER to FRC 6 months after period covered by account. (GAO-SCHED/5/1) (NC1-26-7-2, item 227a)
e. Closed Account Payable documents.	DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 3 years after period covered by the account. (NC1-26-76-2, ITEM 188)
f. Accounts receivable Documents	DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 3 years after collection action is completed. (NC1-26-76-2, item 189)
g. Vouchers Schedules with Original Invoices and supporting papers.	DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 3 years after period covered by the account. (NC1-26-76-2, item 190)
h. Working Files of Directives and Policy making material pertinent to payment and claims activities.	DESTROY when obsolete or when superseded. (NC1-26 76-2, item 225).
i. Claims Files containing claims for military pay and allowances with supporting papers.	DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 2 years after settlement. (NC1-26-76-2, item 228)
j. General Accounting Office Exception Files.	DESTROY 5 years after completion of GAO waiver. (NC1-26-76-2, item 229)
k. Uncollectible Overpayment Files.	DESTROY 6 years, 3 months after date of determination of collectibility. TRANSFER to FRC 2 years after date of determination. (NC1-26-76-2, item 230)

Enclosure (1) to COMDTINST M5212.12, CH-2

Payroll Files (cont'd)

<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
l. Supporting documents submitted by other services Disbursing Officers and Coast Guard Certifying Officers.	DESTROY 6 years, 3 months after period covered by the account. TRANSFER to FRC 3 years after period covered by the account. (NC1-26-76-2, item 231)
m. Reserve Pay Files on deceased members (Final Payment, Date of Death).	DESTROY 6 years, 3 months after date of settlement. TRANSFER to FRC 2 years after date of settlement. (NC1-26-76-2, item 233)
n. Memorandum copies of Military Payrolls, Certification Sheets and Fiscal Schedules involved in Military Payroll processing.	DESTROY when 4 years old. (NC1-26-76-2, item 23-
o. Retired Military Pay Case Files.	DESTROY 25 years after termination of retirement status or payment of annuity of beneficiaries under the provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. TRANSFER to FRC 2 years after termination of retirement or payment of annuity under RSFPP and SPB whichever is later (NC1-26-76-2, item 23
p. Civilian Personnel Accounting System. A personnel record is maintained for each civilian employee. All units submit copies of forms SF-52 and SF-50 to HQ when data is centrally coded for computed input. The files supply the data needed to meet Department and minority personnel reporting requirements. Does not include the payroll function.	DISPOSE of in accordance with published guidance (NC1-26- of 76-2, item 293)
q. Military Personnel Accounting (JUMPS) contains comprehensive data for each active duty officer and enlisted member. The system will provide personnel management reports, payrolls, leave and arning statements, financial accounting and fund management reports, and other interest control audit reports.	DISPOSE of in accordance with user publisher guidance. (NC1-26-76-2, item 294)

Enclosure (1) to COMDTINST M5212.12, CH-2

Payroll Files (cont'd)

<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
r. Retired Pay and Personnel Accounting System. Produces monthly pay checks for retired military personnel, tax data information on magnetic tape for the Internal Revenue Service. W-2 tax withholding information forms to members, payroll change slips, and personnel statistical reports.	DISPOSE of in accordance with user published guidance. (NC1-26-76-2, item 295)
s. FICA W-2 Wage Reporting. Provides a balancing and reporting system for active duty personnel at districts and HC units; establishes direct input to the central FICA-W-2 system; provides FICA and income tax data; assists in adjusting payments made on estimated matching funds to the Social Security Administration; prepares magnetic tapes for the Social Security Administration, IRS, and Allotment system.	DISPOSE of in accordance with user published guidance. (NC1-26-76-2, item 296)
t. Military Allotment System. Maintains a current file of authorized allotments for all active duty and retired members. Magnetic tape files are prepared monthly for the Treasury Department, when allotment checks and U. S. Savings Bonds are produced.	DISPOSE of in accordance with user published guidance. (NC1-26-76-2, item 298)
100. <u>Letters of Designation for ADO's Cashiers, ACO's and Alternates.</u>	DESTROY 4 years after termination of designation. (NC1-26-80-4, item100)
101. ADO's Cash Books and Subsidiary Accounts and Cashier Ledger Accounts.	DESTROY 10 years after the close of the fiscal year involved. (NC1-26-80-4, item 101)

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

102. <u>Time and Attendance Cards</u> (salmon copies)	DESTROY after GAO audit or when 3 years old, whichever is sooner.
103. <u>Shipping Records, Bills of Lading.</u>	
a. Issuing Office memorandum copies.	DESTROY when 3 years old.
b. All other copies.	DESTROY when 1 year old.
c. Bills of Lading Registers.	DESTROY 3 years after final entry on register.
104. <u>Boards of Survey Files</u> Proceedings of Boards of Survey with related correspondence.	DESTROY 2 years after date of survey action or date of posting medium.
105. <u>RESERVED.</u>	
106. <u>RESERVED.</u>	
107. <u>Work Order Files</u> Completed and pending work orders containing labor and material chits, cost recapitulation sheets and shop orders.	DESTROY 3 years after completion of work.
108. <u>Expenditure Transaction Files</u> EAM cards: Expenditure Transactions Monthly Summary Cards, Closed Accounts Payable Cards, Closed Obligations Cards.	DESTROY after end of next calendar quarter following quarter in which produced.

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

109. Inventory Control Point Records.  
(AICP, E GICP SICP)

- |  |   |
|--|---|
| a. Reports reflecting the results of tests by chemical analysis and other media of material purchased for Coast Guard use.                               | DESTROY when superseded or when obsolete.   |
| b. Inventory and stock record cards, reports of all supporting and related documents pertaining to storage and stocking of material for Coast Guard use. | DESTROY after 2 years except for disposal of inventory tags which will be in accordance with paragraph 3D03007, Comptroller Manual. |
| c. Specification files used for procurement of Coast Guard material.   | DESTROY when superseding specification is received.   |
| d. Stock records.  |   |
| (1) Stock Records Cards.   | DESTROY 2 years after discontinuance of item or 1 year after balance has been transferred to new card.                              |
| (2) Computer stock record file.  | DELETE from computer record 1 year after discontinuance of stocking of item.  |
| e. Catalog revision files.   | DESTROY 2 years after change appears in catalog.  |
| f. Stock status reports.   | DESTROYS 2 years after submission of new report.  |
| g. Reports of inventory of weapons.  | DESTROY when 2 years old.   |
| h. Copies of ordinance history cards.  | DESTROY when 2 years old.   |
| i. Coast Guard stock list for which cataloging is responsible.   | DESTROY as revised, superseded copy for 5 years.  |
| j. DOD Federal Supply Cataloging Material.   | DESTROY when superseded by revised edition.   |
| k. Federal and Military Standard and Specifications Qualified Products List including CG MIL specifications and Purchase Descriptions.                   | DESTROY when superseded or complete revision occurs.  |



ENCL: (1) to COMDTINST M5212.12, CH-1

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Inventory Control Point Records  
(AICP, E GICP SICP) (cont'd)

- |    |   |  |
|----|---|--|
| l. | Concurrences (with or without comments on standardization projects and simplifications studies).      | DESTROY when CG is no longer registered as a user of the item. |
| m. | Federal Item Identification Guides.   | DESTROY as superseded.   |
| n. | Record copies relating to development of data on CG items of supply, and assignment of stock numbers. | DESTROY when 5 years old.                                      |

110. Non-Appropriated Fund

- |    |   |   |
|----|---|---|
| a. | Letter(s) of authorization for Coast Guard NAT Activities.  | DESTROY 3 years after disestablishment of exchange.                     |
| b. | Records of Coast Guard NAF property.  | DESTROY 3 years after disposal of property.                             |
| c. | Records and supporting documents for administration of Coast Guard NAF Activities including bank statements, check books, cash books, cancelled checks, property and stock records, expenditure vouchers, purchase orders, vendors' invoices, payroll and personnel records, package store safe chits, daily activity records, guest register cards, stub requisitions, food and beverage cost control sheets, petty cash vouchers, reports and related papers. | DESTROY records 6 years, 3 months, after period covered by the account. |
| d. | Original commissary reports. (District office).   | DESTROY when 3 years old.   |

ENCL: (1) to COMDTINST M5212.12,

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Non-Appropriate Fund (cont'd)

- |      |  |   |
|------|--|---|
| e.   | Copies of logistics records such as commissary reports, clothing reports, inventory reports, requisitions, invoices and vouchers, purchase orders on which delivery of material or services has been made, receipts for which the material or funds have been accounted for, and copies of all other related papers on which the required action has been completed; except those on file in the assistant disbursing officer's account. | DESTROY when 3 years old.   |
| <br> |  |   |
| 111. | <u>Firearms and Ammunition NAF</u> , records pertaining to purchase and sale of firearms and ammunition. (Disposal periods subject to changes in accordance with current Bureau of Alcohol, Tobacco and Firearms directives.)  |   |
| a.   | Record of sale or other distribution of ammunition.  | DESTROY 2 years after date of last entry.   |
| b.   | Record of ammunition received.   | DESTROY 2 years after date of last entry.   |
| c.   | Firearms transaction forms (Treasury Department Form 4473).  | Retain on licensed premises as an active file. Do not retire to FRC.  |
| d.   | Record of acquisition and disposition of firearms.   | Retain on licensed premises as an active file. Do not retire to FRC.  |
| e.   | Firearms or ammunition businesses succeeded by new licensee.   | Transfer all records to new owner/successor. Successor must obtain own Federal Firearm License.   |
| f.   | "In-house (Agency) change of business control or manager   | All records remain with new manager. Notify regional regulatory administrator (ATF) of change of control.   |
| g.   | Discontinued firearms or ammunition businesses.  | Transfer all records within 30 days after business is discontinued to the regional regulatory Administrator (ATF) Region in which the business was operated. (See note) |

NOTE: Where state law or local ordinance require the delivery of records to other responsible authority, the regional administrator (ATF) may arrange for delivery of the records to such authority.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

AUTOMATIC DATA PROCESSING RECORDS

- |   |   |
|---|---|
| 112. <u>Planning and ADP Equipment Acquisitions</u>   |   |
| a. Feasibility studies for any technology or equipment associated with information management systems such as word processing, copiers, micrographics and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically inactive a consideration of the alternatives to the proposed system and a cost benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system. | DESTROY when the completed study is 5 years old.                                  |
| b. Documents relating to planning and preparing for acquisition of automatic data processing equipment, auxiliary equipment and attachments for existing equipment; system specifications, manufacturer's proposals and evaluations thereof; documents relating to installation of equipment reports of readiness reviews.  | DESTROY 2 years after equipment is released.                                      |
| 113. <u>Equipment Performance Evaluation Reports</u>  | DESTROY 2 years after performance evaluation.                                     |
| 114. <u>Benchmark Reports</u>   | DESTROY 2 years after installation of system.                                     |
| 115. <u>ADP Standards</u>   |   |
| a. Documentation relating to National, Federal, DOT and Coast Guard ADP standards.  | DESTROY when superseded or obsolete   |
| b. Documentation relating to establishment, review and approval of DOT CG standard data elements and representations.   | DESTROY 2 years after cutoff or publication of data elements and representations. |
| 116. - 126. RESERVED.   |   |

ENCL: (1) to COMDTINST M5212.12, CH-2

SECTION 5 - EQUAL EMPLOYMENT OPPORTUNITY RECORDS

These records reflect civil rights activities in the Coast Guard covering implementation and evaluation of programs reflecting to the civil rights of civilian and military personnel and equal opportunity compliance as require by Title VI of Civil Rights Act of 1964 and Executive Order 11246, as amended.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
127. <u>Contract and Title VI Compliance Records</u> Records pertaining to contract and Title VI Compliance including mediation material case files and related material.	DESTROY 7 years after subject contractor is no longer active. Transfer to FRC 5 years after inactive.
128. <u>Receipt and Processing Records</u> Official Discrimination Complaint Files. Originating agency file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222	
a. Civilian Employees Official Equal Opportunity Case File resolved within the agency, by EEOC, or by a U.S. Court.	DESTROY 4 years after resolution of case.
b. Military members case files and all background documents pertaining to the case.	DESTROY 4 years after resolution of case.
129. <u>Records of Appeals and Descisions Discrimination Complaint Cases</u>	DESTROY 4 years after resolution of case.
130. <u>Periodic Reports on Program Review and Miniority Group Employment, etc.</u>	DESTROY when 5 years old.
131. <u>Seminar Reports</u>	DESTROY when 3 years old.

ENCL: (1) to COMDTINST M5212.12, CH-2

SECTION 6 - SAFETY PROGRAMS RECORDS

These records relate to the development, implementation and administration of a safety program to provide maximum practical degree of safety for personnel, equipment, and other resources for which the Coast Guard is responsible, embracing the fields of general safety, flight safety, surface vessel safety, fire safety, driver safety, and industrial safety.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
132. <u>Accident Reports and Other Correspondence Relating to Safety Matters</u>	DESTROY when 5 years old.
133. <u>Sound Level Survey.</u> Includes sound level data collected which identifies specific noises, source of noise, hazardous areas, names of civilian and military personnel exposed to the noise in the area.	DESTROY when 20 years old. Transfer to FRC when 5 years old.
134 - 144. RESERVED.	

SECTION 7 - MEDICAL AND DENTAL RECORDS

The records described in this section relate to the development and administration of a medical care program for Coast Guard personnel, their dependents, and the administration of a health service program for civilian employees.

<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
145. <u>Medical and Dental</u> <u>Appointments (Daily)</u>	DESTROY when six months old.
146. <u>Physical Examination Records</u> Physical Examination Records (Medical Board Report Cover Sheet such as NAVMED 6100/1; Reports of Medical Examinations and Reports of Medical Histories such as SF88 and SF-93).	Forward original to Headquarters for inclusion in Headquarters medical record. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6).
147. <u>Laboratory Tests and Logs</u>   All laboratory records and   logs except as noted below:     a. Immunoematology tests   and logs.     b. Pathology tests and   logs.	Transcribe information to SF-600 and place in Health Record. DESTROY when two years old. DESTROY when five years old.  DESTROY when fifteen years old.
148. <u>Prescription Records</u> Prescription files containing general alcohol, narcotic, and barbiturate prescriptions required by Coast Guard personnel and their dependents.	DESTROY when three years old.
149. <u>International Certificate of</u> <u>Vaccination (PHS Form 731)</u>	Upon final separation from Coast Guard deliver certificate to member.
150. <u>Alcohol Prescription,</u> <u>Narcotic and Controlled Drug</u> <u>Logs</u>	DESTROY when five years old.

Enclosure (1) to COMDTINST M5212.12,

CH-5

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

151. Personnel Records

Personnel records of Public Health Service officers detailed to Coast Guard.

Upon completion of Coast Guard assignment, transfer records to: Commission Personnel Operations Division, Parklawn Building, Rm. 4A10, 5600 Fisher Lane, Rockville, MD. 20852 (PHS Disposal Schedules apply).

152. Physical Evaluation Board Record

a. General correspondence files relating to administration of Board.

DESTROY when two years old.

b. Case files of Board's proceedings (copies).

DESTROY one year after final action is directed by the Commandant.

c. Index cards of Board's cases.

DESTROY when five years old.

153. Health and Medical Records

a. Official Military Health and Dental Records of Active and Reserve Personnel. The Official Military Health Record is part of the Official Military Personnel file and should be forwarded with that file for active duty and reserve personnel.

Handle in accordance with Chapter 4 of Medical Manual. Forward to Commandant (G-MPC) or (G-R) as appropriate, following separation. Headquarters dispose IAW Headquarters Records Control Manual (HQINST M5212.6).

b. Medical X-rays (70mm X-ray film).

Forward to Headquarters for inclusion in individual's Headquarters medical jacket.

c. RESERVED.

Headquarters dispose IAW Headquarters Records Control Manual (M5212.6).

d. Medical X-rays, X-ray logs or their index records other than 70mm X-ray film and entrance and separation X-rays covered above, relating to military personnel and their dependents. (These X-rays consist of photographic negatives made with the aid of X-rays which are used in medical diagnosis to locate fractures, malformations and pathological conditions of tissue).

DESTROY when five years old by salvaging.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Health and Medical Records (cont'd)

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|------|---|--|
| e.   | Photofluorographic logs such as NAVMED 1161.  | DESTROY 10 years from date of latest entry. Transfer to FRC when 5 years old.  |
|      | f.  | DESTROY 3 years after last entry.  |
|      | Reports, logs, forms and index cards not otherwise provided for and used for the administration of medical activities and in the treatment of patients.   |  |
|      |   |  |
|      |   |  |
|      |   |  |
|      |   |  |
| 154. | <u>Clinical Health Records.</u><br>These records include documents pertaining to Coast Guard active duty military, reservist, military dependents, retirees, humanitarian and foreign nationals cases. Included are clinical folders for each individual containing medical and dental forms and related documents of outpatient/inpatient treatment. |  |
| a.   | Military personnel clinical records (active duty, reservist and retired personnel).   |  |
| 1.   | Outpatient  | TRANSFER to NPRC(MPR) 9700 Page Boulevard, St. Louis, MO 63132, 4 years after last activity. DESTROY 50 years from the date of the latest document in record.  |
| 2.   | Inpatient   | TRANSFER to NPRC(MPR) 9700 Page Boulevard, St. Louis, MO 63132, 4 years after last activity. DESTROY 50 years from the date of the latest document in record.  |
| b.   | Military dependent clinical records, and humanitarian cases.  |  |
| 1.   | Outpatient  | TRANSFER to NPRC(CPR) III Winnebago Street, St. Louis, MO 63118, 4 years after last activity. DESTROY 25 years from the date of the latest document in record. |



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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

2. Inpatient	Transfer to NPRC(CPR) III Winnebago Street, St. Louis, MO 63118, 4 years after last activity. DESTROY 25 years from the date of the latest document in record.
c. Foreign Nationals and their dependents, Clinical records. Includes individuals who use Coast Guard facilities for training	Provide a copy of the records to Head of the Household or to the government of the individual. Transfer to NPRC (CPR) III Winnebago Street, St. Louis MO 63118, 1 year after last activity. DESTROY 25 years from the date of the latest document in record.
155. <u>Medical Equipment and Supply Records</u> Precious metal issue records and statement, and inventory.	DESTROY when 2 years old.
156. <u>Civilian Employees Health Services Records.</u> SEE GENERAL RECORDS SCHEDULE NO. 1	
157. - 167. RESERVED.	

SECTION 8 - LEGAL RECORDS

The records in this section relate to the Coast Guard legislative program, military justice claims and litigation, enforcement of federal maritime laws and other laws affecting the Coast Guard and its personnel.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
168. <u>Courts-Martial Files</u> Copies of legal documents and related records pertaining to summary, special and general courts-martial proceedings.	DESTROY when 3 years old or when no longer needed for reference purposes, whichever is later.
169. <u>Civil Penalty Appeals Case Files.</u>	DESTROY 10 years after case is closed. Transfer to FRC 5 years after case is closed.
170. <u>Navigable Waters Determinations and research materials provided by District Staffs.</u>	DESTROY when 3 years old or when no longer needed for reference purposes, whichever is later.
171. <u>Copies of Formal Boards of Investigation.</u> Includes significant (substantial loss or destruction of property or personal injury) Line of Duty Investigations-Boards of Survey, and Casualty Investigations resulting from motor vehicle, aircraft and vessel accidents.	DESTROY when 3 years old or when no longer needed for reference purposes, whichever is later.
172. Record relating to claims for and against the United States incident to operation of the Coast Guard.	
a. Official Record.	DESTROY 8 years after close of case. Transfer to FRC 1 year after close of case.
b. All other copies	DESTROY when 3 years old or when no longer needed for reference purposes, whichever is later.
173. Records relating to all litigations by and against the United States in which the Coast Guard has an interest.	
a. Official record.	DESTROY 8 years after close of case. Transfer to FRC 1 year after close of case.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

173. b. All other copies.

174. - 184. RESERVED.

AUTHORIZED DISPOSITION

DESTROY when 3 years old or when  
no longer needed for reference pur-  
poses, whichever is later.

Enclosure (1) to COMDTINST M5212.12, CH-2

SECTION 9 - COMMERCIAL VESSEL SAFETY RECORDS

These records relate to the administration and operation of the Commercial Vessel Safety Program which includes the inspection of vessels; documentation of vessels, the investigation of marine casualties and accidents; the licensing, certificating, shipment and discharge of seamen; the enforcement of vessel inspection, navigation, seamens's laws in general; port safety and security and marine environmental protection.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>District (m) Offices</u>	
185. General correspondence files.	DESTROY when 2 years old.
186. Administrative penalty case files.	DESTROY 3 years after case is closed.
187. Copies of reports of investigations to include Forms CG-924E (Report of Personal Injury) or Loss of Life; and CG-2692 (Report of Marine Casualty or Accident), Letters of transmittal.	a. DESTROY upon completion of district action. All records created after 1982. DOT NOT RETIRE TO FRC. (NC1-26-83-2, item 187a)
	b. All records retired to FRC before 1983, DESTROY when 5 years old. (N01-26-83-2, item 187b)
188. Copies of Marine Boards of Investigations.	
a. Copies that refer to the district where a Marine Board of Investigations was convened.	DESTROY when 5 years old.
b. Copies of Marine Board of Investigation sent to other districts.	DESTROY when 2 years old.
c. Copies of correspondence and related material pertaining to the conduct, physical or mental incompetency of merchant seamen.	DESTROY when 1 year old.
189. Copies of Commandant's decisions or appeals under RS 4450.	Retain in Document Inspection Facility for public inspection (See Part 7, CFR 49). (Non-record).
190. Administrative Law Judges' Opinions and Orders.	DESTROY when 2 years old.
191. National Transportation Safety Board Decisions and Orders.	Retain in Document Inspection Facility for public inspection (See Part 7, CFR 29). (Non-record).

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

District (m) Offices (cont'd)

192. Law Bulletins.

DESTROY after opinions and decisions no longer constitute binding authority.

Merchant Marine Technical Branch (mmt)

| 193. Commercial Vessel Case Files consist-  
| ing of general arrangement drawings,  
| trim and stability booklets or  
| stability calculations if no booklets  
| are available; loading and operating  
| manuals, automation test procedures,  
| file control plan and stability  
| letters and other related Commercial  
| Vessel material.

| a. General arrangement drawings,  
| trim and stability booklets or  
| stability calculations if no  
| booklets are available, loading  
| and operating manuals, automa-  
| tion test procedures, fire control  
| plan and stability letters.

Transfer to COMDT (G-MP-4) 1 year after work on a particular vessel is completed as evidence by issue of certificate, stability letter of compliance or official report. Headquarters dispose IAW Headquarters Records Control Manual (HQINST M5212.6, item 410).

| b. Remainder of the case file.

DESTROY when no longer needed for reference or when 1 year old, whichever is sooner.

194. Plans, parts lists, etc., which have been specifically furnished to aid vessel systems installations review.

DESTROY on receipt of superseding issues (i.e., fire extinguishing system typical installation plans, parts lists, etc.).

195. Correspondence related to item 194 above.

DESTROY when superseded or obsolete.

196. Workload reports compiled for Headquarters use.

DESTROY when superseded or obsolete.

197. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

DESTROY when 2 years old.

Office-in-Charge, Marine Inspection

198. Copies of Summary Overtime Services Performed (CG-829), original Application for and Certificate of Overtime Services (CG-830), and memorandum type individual record of overtime performed.

DESTROY 6 years after statue of limitations to bar further claim or DESTROY 3 years after clearance by audit.

199. Copy of Collection Voucher-Overtime Services (CG-832c).

DESTROY 2 years after date of document.

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Inspection Department

200. Equipment Approvals.
- a. Plans. DESTROY when equipment approval is terminated.
  - b. Related correspondence. DESTROY when equipment approval is terminated.
  - c. 5" x 8" cards
    - (1) White (Equipment-new or renewal). DESTROY upon receipt of white renewal or blue termination card.
    - (2) Blue (Equipment terminations). DESTROY upon receipt of white reinstatement card.
  - d. CGHQ-10030. Advance copy (flimsy). DESTROY upon receipt of 5" x 8" white or blue card.
201. Welding and Nondestructive Examination Procedures. DESTROY superseced procedures material when updated material is received (i.e., catalog changes).
202. Original or initial vessel inspection files (including Subchapter 7 Vessels) containing inspection applications, certificates, and books; application for waivers of navigation laws and waiver order; SOLAS certificates; F.C.C. certificates; construction and equipment data and correspondence pertaining thereto. May also include plans, approval letters, specifications, bills of material and related correspondence similar to item 193 PERMANENT. Transfer to FRC 5 years after the initial inspection. Offer to NARS when 30 years old in 5 year blocks.
203. Vessel inspection files (other than original or initial files), including Subchapter T Vessels containing inspection applications, certificates and books, application for waivers or navigation laws and waiver order, navigation laws and waiver order, SOLAS certificates; F.C.C. certificates; construction and equipment data and correspondence pertaining there to. DESTROY 10 years after completion of inspection. Transfer to FRC 5 years after completion of inspection.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |  |   |
|--|---|
| 204. General arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manuals, automation test procedures, fire control plan and stability letters. |   |
| a. If review and approval action was accomplished at MIO.  | Transfer to COMDT (G-MP-4) 1 year after work is completed as evidenced by a certificate, amendment, stability letter, letter of compliance or official report. Headquarters dispose IAW Headquarters Records Control Manual, HQINST M5212.6, item 410). |
| b. Reviews and approval accomplished by COMDT (G-MTH) or a Merchant Marine field technical branch.   | DESTROY when work is completed.   |
| c. Other related Technical Material.   | DESTROY when no longer needed for reference or when 1 year old, whichever is sooner.  |
| 205. Monthly reports of inspection activities.   | DESTROY when 2 years old.   |
| 206. Original or initial Certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification and Pollution Letters of Certification/Non-Certification.                      | DESTROY immediately after notification that vessel is lost, scrapped, destroyed or abandoned.   |
| 207. Subsequent Certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification.  | DESTROY when 10 years old. Transfer to FRC 5 years after completion of inspection.  |

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Inspection Department (cont'd)

208. Plans, specifications for construction of boilers and components.
- a. Plans approved by BMIN personnel prior to March 1942. (Record copy.)
- b. Copies of plans approved subsequent to March 1942. (Originals at Headquarters).
209. Manufacturer's Data Report Form CG-2936.
210. X-rays of welded boiler plates.
211. X-rays of spot welding on vessels undergoing inspection.
212. X-rays of spot welding on defective castings.
213. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).

Forward to COMDT (G-MP-4). Headquarters dispose IAW Headquarter's Records Control Manual (HQINST M5212.6. item 413h).

DESTROY when 2 years old.

TRANSFER to COMDT (G-MP-4) 5 years after equipment is installed. Headquarters dispose IAW Headquarters Records Control Manual (HOINST M5212.6 item 413c).

DESTROY after acceptance of completed work.

DESTROY after acceptance of completed work.

DESTROY after acceptance of completed work.

DESTROY when 2 years old.

Pressure Vessel Plans (Miscellaneous)

214. Plans for miscellaneous pressure vessels, when not assigned to ship's case file.

- a. For those pressure vessel plans approved by Commandant (G-MMT) and copies of plans sent to cognizant OCMI and district (mmt).

DESTROY plans held by OCMI and district (mmt) after work is completed.



ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Pressure/Vessel Plans (Miscellaneous (Cont'd))

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|---|--|
| b. For those pressure vessel plans approved by district (mmt) and copies of approved plans sent to Commandant (G-MMT) and cognizant OCMI. | DESTROY plans held by district (mmt) and OCMI after work is completed.   |
| c. For those pressure vessel plans approved by district (mmt) and plans sent only to cognizant OCMI.                                      | DESTROY plans held by OCMI when work is completed. The district (mmt) shall transfer the approved plans to Commandant (G-MP-4) when they are no longer needed. Headquarters dispose IAW Headquarters Records Control Manual (HQINST M5212.6, item 413i). |
| d. For those pressure vessel plans approved by an OCMI.   | Transfer plans to Commandant (G-MP-4) when work is completed and plans are no longer needed. Headquarters dispose IAW Headquarters Records Control Manual (HQINST M5212.6, item 413i).   |

Port Operations Department

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| 215. Ship's file containing requests to load explosives, copies of permits, stowage plans, lighter permits, and related correspondence pertaining to particular vessels. | DESTROY when 1 year old.              |
| 216. Annual applications for mooring permits in Federal anchorage  | DESTROY after issuance of new permit. |
| 217. Anchorage check list of vessels in Federal anchorage.   | DESTROY when 1 year old.              |
| 218. Incoming ship's lists received from Collector of Customs giving names of vessels entering port.   | DESTROY when 1 year old.              |
| 219. Port Safety and Security/Marine Environmental Protection Activities Report (Quarterly) (G-WPE).   | DESTROY when 2 years old.             |

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Port Operations Department (cont'd)

220.	<u>RESERVED.</u>	
221.	General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities.	DESTROY when 3 years old.
222.	Correspondence files of a routine administrative or housekeeping nature.	DESTROY when 1 year old.
223.	Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels.	DESTROY when 2 years old.
224.	Message reports of vessel movement.	DESTROY when 3 months old.
225.	Reports of pollution and action taken. (Case file).	DESTROY 10 years after case is closed. Transfer to FRC 3 years after case is closed.
226.	Copies of Reports of International Marine Pollution Prevention Convention Violations.	DESTROY when 1 year old.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Investigation Department

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| 227. Copies of marine casualty case files including the record of proceedings and the investigative reports of Marine Boards of investigation, investigations of casualties involving death, investigations of vessel casualties and investigations of cases involving injuries. | DESTROY when 5 years old.                                  |
| 228. Personnel case files (misconduct negligence, incompetence, etc.) except those cases taken to a hearing.   | DESTROY 5 years after case is closed.                      |
| 229. Hearing records and associated unit case files.   | DESTROY 5 years after final administrative action.         |
| 230. Law and regulation violation cases (Forms CG-2636, Report of Violation, CG-3629, (Water Pollution; CG-1408, Loadline Inspection Report) and associated documents.   | DESTROY 3 years after report is forwarded to district (m). |
| 231. <u>RESERVED.</u>  |  |
| 232. Miscellaneous records (routine administrative records of temporary value not provided for elsewhere).   | DESTROY when 2 years old.                                  |
| 233. Law enforcement case files, including cases referred to other agencies or departments for action consisting of investigation reports, violation reports, correspondence, and related documents.   | DESTROY 1 year after final disposition of the case.        |

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Investigation Department (cont'd)

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|--|-----------------------------------|
| 234. 3 x 5 Card File, showing vessel, owner, violation, etc.                       | DESTROY 3 years after last entry. |
| 235. Copies of permits issued to barges and ships for loading of explosive papers. | DESTROY when 1 year old.          |
| 236. Oil Record Book (CG-4601).  | DESTROY after edit.               |

Document and License Department

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|---|--|
| 237. Official log book (Merchant Marine). | PERMANENT. Transfer to FRC 6 months after last transaction. Offer to NARS when 30 years old. |
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| 238. Correspondence, reports and directives relating to shipment and discharge activities. | DESTROY when 3 years old. |
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| 239. Mutual release books containing seamen's masters' releases from claims. <u>1/</u> |   |
| a. Books dated through 1937.   | DESTROY when 50 years old. (NCI-26-83-2, item 293a) |

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|----------------------------|----------------------|
| b. Books dated after 1937. | DESTROY immediately. |
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| 240. Shipping articles between masters and seamen. <u>1/</u> |  |
| a. Yellow (sign on) copies.                                  | DESTROY 6 months after last transaction. |
| b. Blue (sign off) copies including mutual releases.         | DESTROY 6 months after last transaction. |

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|---|--|
| 241. Accounts of wages and effects of deceased and deserting seamen containing receipted copies of forms used for transmittal to and receipt from the District Court. <u>1/</u> |  |
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1/ This item shall no longer be used. Established files shall be disposed of accordingly.

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Document and License Department (cont'd)

242. Correspondence with heirs of seamen   deceased and deserting. <u>1/</u>	DESTROY when 5 years old.
243. Copies of seamen's allotment   notices. <u>1/</u>	DESTROY 1 year after discharge.
244. Copies of Certificates of Discharge.	DESTROY 1 year after discharge.
245. Ship's file containing general   correspondence of routine nature   pertaining to the movement of vessels,   shipments, discharges of seamen,   allotment difficulties, and related   documents pertaining thereto. <u>1/</u>	DESTROY when 3 years old.
246. Merchant Marine License Officers files (Deck, Engineer) containing applications, physicals, cancelled licenses, examination questions and answers and cover sheet.	
a. Examination question, answer and cover sheet.	(1) OCMI return to CG Institute (mvp) immediately following the examination.  (2) CG Institute (mvp) DESTROY answer sheets 1 year after receipt from OCMI.  (3) CG Institute (mvp) DESTROY examination questions and cover sheets immediately.
b. Remainder of the file contains the applications, physicals, cancelled licenses.	DESTROY when 50 years old. Transfer to FRC when 7 years old.
247. Certificate of Registry of Staff Officer.	DESTROY when 50 years old. Transfer to FRC when 7 years old.
248. Radio Officer License file.	DESTROY when 50 years old. Transfer to FRC when 6 years old.
249. License book stub.	DESTROY when 7 years old.
250. Records of license issued and related card files.	DESTROY when 7 years old.

1/ This item shall no longer be used. Established files shall be disposed of accordingly.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Document and License Department (cont'd)

251. <u>Merchant seamen's case files,</u>   including converted temporary   MMD, application for seamen's   documents and ratings, endorse-   ment cards, investigation   records and related correspon-   dence.	DESTROY when 7 years old.
252. Reports of monies received from the sale of duplicate documents.	DESTROY when 1 year old.
253. Approved applications for origi- nal seamen's documents and vali- dated documents if applicant has not returned for issuance of docu- ment.	DESTROY bottom half (CG Form 719B) when 2 years old and forward upper half to COMDT (G-MVP-1). Headquarters dispose IAW Headquarters Records Control Manual (HQINST M5212.6, item 425).
254. Evidence of death.	DESTROY all records regardless of whether in possession of MIO or FRC, except licenses, documents or other papers of possible historical value which are to be transferred to Comman- dant (G-MVP) for inclusion in the sea- man's permanent record. Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M5212.6, item 425).
255. Miscellaneous records (routine administrative records of tem- porary value not provided for elsewhere).	DESTROY when 2 years old.
256. Monthly Reports.	DESTROY when 2 years old.
257. - 258. RESERVED	

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Document and License Department (cont'd)

- |  |   |
|--|---|
| 259. License applications evaluated by Commandant. (License refused by OCMI, District (m) allowed by Commandant. Application never returned or made appeal). | Maintain in CFA. DESTROY when 50 years old. Transfer to FRC when 5 years old. |
| 260. THRU 264. RESERVED.   |   |

Deepwater Ports

- |   |   |
|---|---|
| 265. Report of deepwater port oil throughput.                       | DESTROY when 3 years old.                         |
| 266. Report of deepwater port casualty or accident                  | DESTROY when 5 years old.                         |
| 267. Report of sabotage or subversive activity at a deepwater port. | DESTROY when 5 years old                          |
| 268. Letters of personnel qualifications for deepwater ports.       | DESTROY 3 years after termination of employment.  |
| 269. Deepwater port operations manual.                              | DESTROY 3 years after port license is terminated. |

Admeasurement (District (m) or OCMI)

- |  |  |
|--|--|
| 270. Admeasurement Case Files consists of application forms, plans, sketches, tennage calculation sheets (CG-1410 or equivalent); copies of tonnage certificates; Headquarters decision; approval letters; plans indicating unusual framing systems or other means of tonnage reduction; lines plans, capacity plans or curve plans for vessels of 79 feet and larger that have not been issued an International Tonnage Certificate and other related material. |  |
| a. Upon request from Headquarters.   | Transfer to COMDT (G-MVI-5) 1 year after certificate of admeasurement has been issued and vessel official number is logged. Headquarters dispose IAW Headquarters Records Control Manual, (HQINST M5212.6, item 410h). |

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Admeasurement (District (m) or OCMI) (cont'd)

270. (cont'd)	
b. Records not requested by	DESTROY when no longer needed for
headquarters.	reference or when 1 year old.
	whichever is sooner.
271. Miscellaneous records (routine	DESTROY when no longer needed for
administrative records of	reference or when 1 year old,
temporary value not provided for	whichever is sooner.
elsewhere).	
272. RESERVED.	
273. Optional Simplified Admeasurement	DESTROY 1 year after documentation.
Method: -6 CFR 29.17 and 69.19)	
for Pleasure Vessels and Commercial	
Vessels.	

Documentation District (m) or OCMI

274. Vessel folders. (Vessel folder	PERMANENT. Transfer to FRC 2
consists of individual documents	years after a vessel change of
maintained at the vessel's home	home port or 2 years after removal
port and contains the following:	from documentation. Offer to
Master Carpenter's certificates	NARS when 20 years old in 5 year
or evidence relating to waiver to	blocks.
production of such certificate,	
non-recordable instruments and	
others evidence relating to	
waiver to claims of title, designa-	
tions of home port, award of	
official number, oaths on registry,	
oaths for renewal, oaths for new	
or lost documents and declaration	
of new or alternate master,	
admeasurement certificate, and	
all correspondence relating to the	
specific vessel).	
275. General correspondence files, other	DESTROY 2 years after close of
than of a precedent nature per-	correspondence.
taining to undocumented vessels	
and miscellaneous letters.	
276. General Index of Abstract of Title.	PERMANENT. Transfer to FRC when
	inactive. Offer to NARS when 30
	years old in 5 year blocks.



Enclosure (1) to COMDINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Documentation District (m) or OCMI (cont'd)

- |  |   |
|--|---|
| 277. Recorded instruments. (Abstract of Title, mortgages, bills of sales, and other conveyances and encumbrances). | PERMANENT. Transfer to FRC when 25 years old. Offer to NARS when 30 years old in 5 year blocks. |
| 278. Index of Marine Documents (Form CG-1241) and Records of Vessels (Form CG-2112).                               | PERMANENT. Transfer to FRC when inactive. Offer to NARS when 30 years old in 5 year blocks.     |
| 279. Copies of Reports of monthly vessel transactions.   | DESTROY when superseded or obsolete.  |
| 280. Miscellaneous records. (Routine administrative records of temporary value not provided for elsewhere.)        | DESTROY when 2 years old.   |
| 281 - 291. RESERVED.   |   |

ENCL: (1) to COMDTINST M5212.12, CH-2  
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SECTION 10 - OPERATIONS AND HEADINESS RECORDS

These records are accumulated at district offices, Headquarters units and district shore and floating units in the administration and operation of programs relating to communications, intelligence, law enforcement, military readiness, search and rescue, and marine sciences.

<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
292. <u>Original Forecasts Files</u> Area Commander's aerological maps, reports and forms with related papers pertaining to original forecasts by the Coast Guard.	DESTROY when 18 months old.
293. <u>Aircraft Accidents and Incidents</u> Aircraft accident and incident reports submitted in accordance with the Coast Guard Safety Manual. COMDTINST M5100.29.	DESTROY when 3 years old.
294. <u>Communications Records</u>	
a. Communications file of message logs. (communications center, station message file, ship radio room file, etc.).	DESTROY in accordance with Commandant Instruction M2000.3A.
b. Reports, forms, and correspondence relating to CSPM PUBLICATIONS.	DESTROY in accordance with effective editions of CSPM.
c. Communications Summary.	DESTROY when 2 years old.
295. <u>Intelligence Records</u>	
a. District Intelligence and Security Investigative Case System Records (DOT/CG-611).	
(1) Coast Guard Military and Civilian Employees. Applies to Public Health Service medical personnel assigned to the Coast Guard.	Retain until member/employee is transferred out of district or separated. See Note (1).

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Intelligence Records (Cont'd)

295a.	(2) All others.	DESTROY 2 years following date of last action in file.
	(3) Index Cards.	DESTROY 4 years after the intelligence jackets to which they refer have been destroyed.
b.	Referred Report (R/R's).	Retain R/R's in the referred district 6 months subsequent to the date the R/R was submitted to the control district, then destroy.
c.	Report of Investigation (ROI).	
	(1) Personnel Security investigations.	DESTROY 6 months after submission of original ROI to central file.
	(2) Non-Peronnel Security Investigations	
	(a) Deserters	DESTROY 2 years from the date the investigation is closed. See Note (1).
	(b) Criminal (Known Subject)	Retain until member/employee is transferred out of district or separate, then destroy. See Note (1).
	(c) Intelligence	DESTROY when obsolete or when 5 years old, whichever is sooner. See Note (1).
	(d) Unknown Subject.	DESTROY 5 years after investigation is closed. See Note (1).
d.	ROI's or other types of intelligence or investigative material received by Coast Guard Intelligence from outside sources, such as other Federal agencies (FBI, DIA, CIA, etc.) and local law enforcement agencies.	DESTROY when obsolete or when 5 years old, whichever is sooner.
e.	Case files involving seizures, arrests or assessment of civil penalties.	DESTROY when 5 years old.

NOTE: (1) Screened material not held in central files. Original copies are for inclusion in central files, remaining material shall be destroyed. Forward to Headquarters within 30 days upon separation or transfer of member/employee. Headquarters file and dispose IAW Headquarters Records Control Manual (HQINST M5212.6).

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

296. Search and Rescue Records

a. Unit Logs

Operations Division

(1) Transcripts of logs of lightships, light stations and vessels maintained at Operations Division. DESTROY when 1 year old.

(2) Transcripts of logs for vessels and shore units DESTROY when 1 year old.

Large Shore Units

Units found in this section include: Air Stations and Detachments, SAR Groups, Section Offices, Bases, Group Offices, Supply Depots, Port Security Units, and Captain of Port Offices.

(3) Original Log containing a daily record of the units activities and a daily record of local weather information. DESTROY when 3 years old.

(4) Master Flight Logs containing statistical entries of all flights regardless of purpose. DESTROY when 7 years old.

Small Shore Units

Units found in this section include: Electronic Repair Shops, Fog Signal Stations, Lifeboat Stations, Light Stations, Light Attendance Stations, Loran Transmitting Stations, Moorings, Organized Reserves Training Units (Port Security) (Vessel Augmentation), Radio Stations, Recruiting Stations, and others.

(5) Original Logs (including Journal of Light Stations containing a daily record of the units activities and a daily record of local weather information.

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

296a. Search and Rescue Records (cont'd)

| Small Shore Units (cont'd)

| (a) Journal of Light Sta- PERMANENT: Offer to the National  
| tions and Lifeboat Archives immediately, no more  
| Stations. records are being created under  
| this description.

| (b) All other logs created DESTROY when 3 years old.  
| by small shore units.

| (6) Loran recording charts. DESTROY when 3 years old.

| Coast Guard Vessels

| (7) Original Ship Logs contain-  
| ing a daily record of the  
| ships activities and a daily  
| record of weather infor-  
| mation.

| (a) Logs for Group I type PERMANENT: Offer to NARS when  
| units described under 20 years old in 5 year blocks.  
| COMDTINST 3123.12 Series Transfer to FRC when 1 cubic foot  
| as follows: WHEC, WLI, has accumulated.  
| SYTL, WTR, WMEC, WLR,  
| WYTM, WAGO, WAGB, WLIC,  
| WLB, WPB, WIX, WAGW.

| (b) Log for Group II type PERMANENT: Offer to NARS when  
| units described under 20 years old in 5 year blocks.  
| COMDTINST 3123.12 Series Transfer to FRC when 1 cubic foot  
| as follows: WLV. has accumulated. (See items  
| 296f for vessels under 65 feet in  
| length).

| (8) Quarters Bridge Books. DESTROY when 3 years old.

| Headquarters Units

| Units found in this section  
| include: Academy, Aircraft  
| Repair and Supply Base,  
| Institute, Receiving Centers,  
| Supply Centers, Training  
| Station Yard.

| (9) Original Log containing DESTROY when 3 years old.  
| daily record of units  
| activities and a daily record  
| of local weather information.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Search and Rescue Records (cont'd)

- |   |  |
|---|--|
| b. Coast Guard Boat Records containing a description of boats and machinery, a record of boat transfers, and remarks concerning boat history.   | Transfer with boat. Upon disposal of boat transfer to Headquarters (G-OSR) for review and final disposition IAW HQINST M522312.6, items 484 and 486. |
| c. Aircraft Records and Reports   |  |
| (1) Aircraft disposal document and attached history card.   | DESTROY when 7 years old.  |
| (2) Aircraft Flight Record (CG-377, Part II).   | DESTROY when 7 years old.  |
| d. Equipment Records  |  |
| (1) Machinery logs containing an operating record of installed equipment.   | DESTROY when 3 years old.  |
| (2) Copies of allowance lists reflecting allocation of equipment to units.  | DESTROY when superseded or obsolete.   |
| e. SAR Case Studies and SAR Case Narratives prepared in accordance with USCG Addendum to COMDTINST M16130.2.  | DESTROY when 10 years old.   |
| f. Copies of records, reports, and related material pertaining to boats under 65 feet in length, other than records contained in item 296 b.  | DESTROY 1 year after transfer or disposal of boat.   |
| g. Case files established for each SAR case conducted consisting of all significant information necessary to document the case from inception of the case to final closing of the case. |  |

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Search and Rescue Records (cont'd)

296.g.	(1) Historically significant cases: Cases identified as having historical significance due to the scope or nature of the case or cases involving prominent persons.	FORWARD to Headquarters (G-TFP). Headquarters dispose of IAW Headquarters Records Control Manual (HQINST M15212.6, item 474).
	(2) All other case files not selected as having historical significance.	DESTROY 10 years after final closing of the case. Transfer to FRC 3 years after final closing of the case.
h.	SAR Assistance Reports CG Form 5151.	DESTROY when 10 years old. Transfer to FRC 1 year after information is entered and validated on the ADP system.
i.	Vehicle Records	
	(1) Vehicle case files containing records of assignment and disposition.	DESTROY 1 year after transfer or disposal of vehicle.
	(2) Residual motor vehicle and boat operations and maintenance records containing schedules, reports, and routing repair data and related correspondence.	DESTROY after transfer or disposal of boat or vehicle.
297.	<u>Readiness Records</u>	
a.	Copies of requisition invoices pertaining to Ordnance and ASW.	DESTROY when 2 years old.
b.	Copies of Ordnance and ASW reports pertaining to pyrotechnics, ammunition and torpedoes.	DESTROY when 2 years old.
c.	General correspondence pertaining to Ordnance and ASW property, supply, engineering, explosive loading and operational matters with related papers.	DESTROY when 2 years old.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

298. Operations Plans and Orders  
Issued by the Area or District  
Commander

- a. Record copies (Originator's case file).
- b. All other copies.

DESTROY when 20 years old. Transfer to FRC when 5 years old.

DESTROY when superseded, or obsolete, or no longer needed for reference purposes.

299. Distress Case Files  
Area Commander's distress case files with indexes relating to distress cases where the Coast Guard renders assistance.

DESTROY when 5 years old.

300. Abstract and Copies of computer print-out of operations for aircraft, boats and cutters. Individual and summary reports of aircraft, boats and cutters. Include operating hours by employment category, and scheduled and unscheduled maintenance hours. Also, includes records of worksheets submitted by field units Headquarters to produce the abstract of operations.

DESTROY when 3 years old.

| 301. International Ice Patrol (IIP)

- a. IIP Facsimile Charts. These charts are produced during the Ice Patrol Season and are broadcast daily at 1600Z to the North Atlantic Mariner. The charts are used to predict iceberg locations on the Grand Banks and provide estimated limits of all knowledge.

DESTROY when 10 years old. Transfer to FRC when 3 years old.



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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |  |   |
|--|---|
| 301. <u>International Ice Patrol (IIP) (cont'd)</u>  |   |
| b. IIP Reconnaissance Detachment (ICERECDET) Sightings Logs. These logs are prepared for each single flight flown by a deployed reconnaissance detachment and consist of flight track, visibility limits along a flight track. Included also are Side Looking Airborne Radar (SLAR) on/off points, position/size/time of sightings for all icebergs, and other methods of detection. | DESTROY when 25 years old.<br>Transfer to FRC when 3 years old. |
| c. SLAR Films. These films are produced during SLAR reconnaissance flights during the Ice Patrol Season and are utilized for post-flight analysis of the search area for iceberg detection. All radar contacts are evaluated and iceberg sightings are recorded in the Sightings Logs.   | DESTROY when 3 years old.                                       |

302. - 309. RESERVED.

SECTION 11 - NAVIGATION RECORDS

These records relate to the development and administration of programs relating to Coast Guard Operations involving aids to navigation and bridge administration.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSTION

310. Bridge Operations

a. Permits for bridges across navigable waters (case file).

DESTROY 2 years after bridge is removed from waterway.

b. Draw bridge operations regulations (case file).

DESTROY 2 years after bridge is removed from waterway.

311. Aids to Navigation

Aids to Navigation case files pertaining to the development of, and case files pertaining to the operation, damage and repair of light-vessels, light stations and buoys. Contains copies of authorizations to establish aids, charts indicating locations of aids, records relating to discontinuance of aids, message Traffic, SANDS Reports and Letters pertaining to the aid.

a. Minor Aids

(1) Case files which have been microfilmed in accordance with procedures contained in Federal Property Management Regulations, Subchapter B, applying quality control and storage standards for nonpermanent records to be held for 10 years or more. (FPMR 101-11.507 (c) (1)).

DESTROY paper document after case file is microfilmed and quality content edit of microfilm is completed.

DESTROY microfilm 3 years after aid is disestablished.

DESCRIPTION OR RECORDS

AUTHORIZED DISPOSITION

Aids to Navigation (Cont'd)

(2) Case files which have not been microfilmed.	DESTROY 3 years after aid is disestablished.
b. Major Aids	
(1) Case files which have been microfilmed in accordance with procedures contained in Federal Property Management Regulations Sub-Chapter B applying quality control and storage standards for non-permanent records to be held for 10 years or more. (FPMR 101.11.507 (c) (1)).	PERMANENT. DESTROY paper copy after microfilm quality control edit is completed. Offer silver and diazo copy to NARS 3 years after aid is disestablished.
(2) Case files which have not been microfilmed.	PERMANENT. Offer to NARS 3 years after aid is disestablished.
312. <u>Private Aids to Navigation Case Files</u> containing applications for proposed establishment of private aids which include navigation lights and fog sounding devices on bridges, rigs, or other stationary objects; also, periodic inspection reports, correspondence, plans, specifications and pending proposals, operative and discontinued.	DESTROY 3 years after discontinuance of aid or rejection of application for aid.
313. <u>Case Files Pertaining to the Establishment of Aids to Navigation Marking Wrecks</u> containing copies of authorizations to establish aids, charts indicating positions of aids and wrecks, and records of authority for discontinuing the aids.	DESTROY 3 years after discontinuance of aid or removal of the wreck.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |   |  |
|---|--|
| 314. <u>EAM Cards Used in Aids to Navigation accounting.</u>  |  |
| a. Cards Number 1 through 4.  | DESTROY as soon as cards are updated.                        |
| b. Number 5 cards.  | DESTROY annually after desired reports are prepared.         |
| 315. <u>Standardized Aids to Navigation Data System (SANDS) Assignment List.</u>                                | DESTROY when superseded or obsolete.                         |
| 316. <u>SANDS Aids to Navigation Quarterly Work Schedule.</u>   | DESTROY 1 year from date of issue.                           |
| 317. <u>Logs.</u>   |  |
| a. Transcripts of logs of lightships, light stations and cutters.   | DESTROY when 1 year old.                                     |
| b. Loran Transmitting Station and/or Monitor Log, Form CG-3912.   | DESTROY when 1 year old.                                     |
| 318. <u>Reports of Aids to Navigation.</u>  |  |
| a. Report of Loran Station Operation and Electronics Engineering (CG-2899).                                     | DESTROY when 3 years old.                                    |
| b. Aids to Navigation Work Report, Form CG-4429A  |  |
| (1) District Copy   | DESTROY 3 years after discontinuance of air                  |
| (2) Unit Copy   | DESTROY 8 years after work is completed.                     |
| c. Copies of monthly summaries of reports of fog signal operations.   | DESTROY when 2 years old.                                    |
| 319. <u>Notices to Mariners.</u>  |  |
| a. Weekly   | DESTROY when 2 years old.                                    |
| b. Local  | DESTROY when 20 years old. Transfer to FRC when 3 years old. |
| 320. Light List of aids to navigation, loose-leaf master light list with sources of information for correction. | DESTROY when 5 years old.                                    |

Enclosure (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |   |   |
|---|---|
| 321. <u>Aids to Navigation Photo-</u><br><u>graphs.</u><br>Copies of photographs of<br>aids to navigation within<br>the district. | DESTROY 3 years after<br>disestablishment of aid. |
| 322. <u>Loran Recording Charts.</u>   | DESTROY when 1 year old.                          |
| 323. - 334. RESERVED (Former items transferred to Section 16 -<br>Marine Environment and Systems Records)                         |   |

Enclosure (1) to COMDTINST M5212.12, CH-2

SECTION 12 - MILITARY PERSONNEL RECORDS (INCLUDES RESERVES)

These records relate to the supervisor and administration of military personnel and military personnel affairs including records of Coast Guard training centers and the Coast Guard Institute.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

335. Individual Personnel Records

- |   |  |
|---|--|
| a. Personnel Folders containing official service records (Regular and Reserve Personnel)              | TRANSFER with personnel or to Headquarters after separation. Headquarters dispose IAW Headquarters Records Control Manual. (HQINST M5212.6, item 547). |
| b. Residual personnel records and cards remaining in the files after personnel have been transferred. | DESTROY 1 year after separation or transfer.   |

336. Unit Personnel Records

| Personnel Roster showing  
| location and status of  
| personnel at Coast Guard  
| Units.  
|

- |  |  |
|--|--|
| a. PMIS source documents<br>  and roster diaries.<br>  created subsequent to<br>  1 October 1974.                          | TRANSFER to FRC 1 year<br>after run date. DESTROY<br>5 years after run date.<br>(NO1-26-76-2, item 548a) |
| b. Unit Attendance Records<br>for all Organized Reserve<br>Training Units and Inter-<br>service Units.                     | DESTROY when 5 years old.  |
| c. Data listing file - Reserve<br>personnel for reservist who<br>have been transferred from<br>the district or discharged. | DESTROY 1 year after trans-<br>fer or discharge.   |
| d. Roster card file giving<br>names, Social Security Num-<br>bers, rates and expiration<br>dates of enlistments.           | DESTROY after separation or<br>transfer from district.   |
| e. Payroll and point listings.   | DESTROY when 2 years old.  |

| NOTE: Roster (diaries) created prior to 1 October 1974 are stored at the  
| Washington National Records Center, Suitland, MD and are destroyed when 51  
| years old.

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Personnel Recruitment Records

337. Individual Personnel Applicant Records

- |   |   |
|---|---|
| a. Recruiting office jackets of successful and unsuccessful applicants for enlistment in the Coast Guard containing copies of the following:<br>Applicant physical and mental tests, character references, police and school reports, consent papers, enlistment contracts, pay order assignments, designations of beneficiary, and related correspondence. | DESTROY 1 year after enlistment or rejection. |
| b. OCS and direct commission applicant files containing copies of applications for appointment in the Coast Guard Reserve, interview reports, medical examination reports, findings of examining boards and related papers.   | DESTROY when 1 year old.                      |

338. Training and Education Records

- |  |                                  |
|--|----------------------------------|
| a. Rosters reflecting grade attained and related data for reservists during a two week tour of active duty.  | DESTROY when 1 year old.         |
| b. Recruit training record card.   | DESTROY when 1 year old.         |
| c. Trainee index cards containing name, rate, service number, date training started, date training ended, class number, class standing, grades, and final average.                             | DESTROY when 5 years old.        |
| d. Class folders containing information of student's personal and service history, name, number, rate, class marks, class standing upon graduation, district to which transferred and conduct. | DESTROY 1 year after class ends. |

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Training and Education Records (cont'd)

- |   |   |
|---|---|
| e. Muster card file containing a history of an individual's service while assigned to the training activity.  | DESTROY 1 year after transfer or discharge.   |
| f. Training procedures file for wartime radio school containing information and prototype material necessary to establish a radio training program for war periods.   | DESTROY when superseded or obsolete.  |
| g. Copies of the following held at training centers: Proceedings of Physical Evaluation Boards, Formal Informal Boards of Investigation, Recruit Evaluation Boards, etc.  | DESTROY when 3 years old.   |
| h. Coast Guard Institute Master Enrollment Card, containing a record of courses taken, grades received, and related information.  | DESTROY 5 years after inactivity.   |
| i. Coast Guard Institute student record for a particular course.  | DESTROY 3 years after disenrollment or 6 months after satisfactory completion when the master has been updated. |
| j. Test Answer Sheets   |   |
| (1) Completed Coast Guard Selection Test (CGST), including Short Basic Test Battery (SBTB) answer sheets sent to Coast Guard Institute by Recruiting Offices, Training Centers and other Special Testing Units. | DESTROY when 2 years old.   |
| (2) Basic Testing Battery (BTB) answer sheets completed by personnel in the Coast Guard or by individuals applying for enlistment into the Coast Guard.   | DESTROY when 2  |



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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |   |   |
|---|---|
| 339. <u>Morale Fund Records</u><br>Records of the Coast Guard<br>Morale Fund.   | DESTROY 2 years after audit.  |
| 340. <u>Housing Records</u><br>Copies of all inspection and<br>inventory records applicable<br>to Coast Guard housing<br>(leased or owned).                     | DESTROY when 3 years old.   |
| <u>Inactive Duty Reserve Program</u>  |   |
| 341. RESERVED.  |   |
| 340. <u>Station Personnel Requirements<br/>and Ceilings</u>   |   |
| a. Card summaries of station<br>requirements reflecting name<br>of station, personnel strength,<br>and ceiling requirements.                                    | Maintain at district office as an<br>active working file.   |
| b. Personnel Action Transmittal<br>File (Unit copy of PMIS Trans-<br>mittal Set.  | DESTROY when 2 months old, or for<br>vessels on extended cruises DESTROY<br>3 months after return to home port. |
| 343. <u>Personnel Rosters</u><br>Copies of monthly machine<br>prepared listings of<br>personnel reflecting the<br>name, grade or rating, and<br>pertinent data. | DESTROY when 1 year old.  |
| 344. - 354. RESERVED.   |   |

ENCL: (1) to COMDTINST M5212.12, CH-2  
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SECTION 13 - COAST GUARD ACADEMY RECORDS

These records relate to the administration and operation of the U.S. Coast Guard Academy.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
355. <u>Administrative Issuances</u>	
a. Record copy of case file relating to the development and control of Academy material having precedential significance which shows basic procedures for the Academy.	PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 30 years old in 5 year blocks.
b. Academy instructional issuances having short-term effect and value.	DESTROY 5 years after superseded or obsolete.
c. Notices, indexes, table of contents and similar material not part of an issuance case file.	DESTROY 2 years after superseded or obsolete.
356. <u>Directives and Publications</u>	
a. Directives. Record copy of case files relating to the development and control of the Academy. Administrative directives and other written policy and background material having precedential significance concerned with formal policy formulation, organization, procedures and operation. Includes revision to instructions or historical material relating to interpretations, and clarification of instructions.	PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 30 years old in 5 year blocks.
b. Academy instructional directives having short-term effect and value.	DESTROY 5 years after superseded or obsolete.
c. Checklists, announcements, indexes and other material not made part of a directive case file.	DESTROY 2 years after superseded or obsolete

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTIONS OF RECORDS

AUTHORIZED DISPOSITION

Directives and Publications (cont'd)

- |   |   |
|---|---|
| d. Substantive publications describing the history, overall administrative and general policy and major Academy programs.   | PERMANENT. Transfer to FRC when 10 years old. Offer to NARS when 30 years old in 5 year blocks.                 |
| e. All other publications including those relating to routine operational procedures, brochures, public information and similar publications.   | DESTROY when superseded or obsolete.  |
| 357. <u>General Correspondence Files</u><br>Administrative correspondence for routine administrative management or housekeeping purposes.<br>(Close files annually and bring policy and procedure material forwarded to new file) | DESTROY when 3 years old.   |
| 358. <u>Congressional Board of Visitors</u><br>Congressional Board of Visitors file containing the agenda, names of visiting party, assignment, general correspondence and related papers.  | PERMANENT. Offer to NARS when 30 years old in 5 year blocks.  |
| 359. <u>Cadet Personnel Folders</u><br>Cadet personnel folders containing grades, letter of appointment, and other papers relating to the Academy.  | PERMANENT. Transfer to FRC 5 years after separation of cadet. Offer to NARS when 30 years old in 5 year blocks. |
| 360. <u>Cadet Conduct Records</u>   |   |
| a. Conduct report books containing minor cadet offenses and demerits.   | DESTROY 1 year after book is filled.  |
| b. Daily IBM conduct report cards containing data taken from conduct report book.   | DESTROY when 5 years old.   |
| c. Daily delinquency report from IBM conduct report card.   | DESTROY when 3 years old.   |

ENCL: (1) to COMDTINST M5212.12, CH-2

DESCRIPTIONS OF RECORDS

AUTHORIZED DISPOSITION

Cadet Conduct Records (cont'd)

- |   |                             |
|---|-----------------------------|
| d. Monthly delinquency report run from IBM conduct report card. | DESTROY when 18 months old. |
| e. Annual delinquency report run from IMB conduct report card.  | DESTROY when 2 years old.   |
| f. Daily delinquency slips.                                     | DESTROY when 1 month old.   |

361. Cadet Entrance Records

- |  |  |
|--|--|
| a. Cadet entrance examinations.  |  |
| (1) For eligibles.   | DESTROY when 30 years old.                           |
| (2) For non-eligibles.   | DESTROY when 2 years old.                            |
| b. Tabulating cards containing data taken from completed examination.                        | DESTROY when 5 years old.                            |
| c. Copies of tabulating list of "eligibles" and "ineligibles" for entrance into the Academy. | DESTROY when 10 years old.                           |
| d. Educational questionnaire completed by applicants for appointment in the Academy.         | DESTROY 6 months after date of entrance examination. |

362. Cadet Training Records

- |  |  |
|--|--|
| a. Cadet summer training plan file containing correspondence, reports, and related material concerning the planning and execution of the summer training program.  | DESTROY when 6 years old.                                    |
| b. Cadet practice cruise case file containing correspondence, reports, and related material pertaining to arrangements for the cruise and the events occurring during the cruise with letters from foreign countries | PERMANENT. Offer to NARS when 30 years old in 5 year blocks. |

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

363. <u>Reports of Class Standing of Cadets.</u>	PERMANENT. Offer to NARS when 30 years old in 5 year blocks.
364. <u>Committee and Board Meeting Records</u>	
a. Executive Board proceedings and related papers.	DESTROY when 5 years old.
b. Advisory Committee file containing summaries of meetings, minutes, recommendations, attendance, and related papers.	PERMANENT. Offer to NARS when 30 years old in 5 year blocks.
c. All other copies.	DESTROY when Academy historical research or educational values are exhausted or when no longer needed for historical, educational or administrative purposes.
d. Records of Academic Board meetings containing testimony evidence, convening orders, correspondence, and related papers.	DESTROY when 5 years old.
365. <u>Cadet Card Index File</u>	DESTROY 10 years after Cadet leaves the Academy.
366. <u>Cadet Clearance Slips</u>	DESTROY 1 year after Cadet leaves the Academy.
367. <u>Regulations of the Corps of Cadets</u>	PERMANENT. Offer to NARS when 30 years old in 5 years blocks.
368. RESERVED.	
369. <u>Cadet Adaptability Records</u> Cadet adaptability tabulation cards and reports not including cards placed in cadet personnel folder.	DESTROY 1 year after class graduates.

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

370. Cadet Grades  
EAM printed tabulation of grades  
(monthly, term, reexam, etc.)

DESTROY after posting to "Abstract  
of Grades" form which is filed in  
Cadet Personnel Folder. (If posting  
not required DESTROY 1 year after  
class graduates.)

371. - 381. RESERVED.

ENCL: (1) to COMDTINST M5212.12, CH-2

SECTION 14 - COAST GUARD AIRCRAFT REPAIR AND SUPPLY CENTER

These records relate to the administration and operation of the U. S. Coast Guard Aircraft Repair and Supply Center.

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DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

382. <u>Aircraft Plans, Specifications, Production and Related Modification, Overhaul and Repair Records</u>	
a. Routine production records pertaining to the repairing, fabricating, or manufacturing of aircraft, electronic equipment, and related items.	DESTROY 6 months after aircraft or last of group of aircraft is disposed of from Coast Guard.
b. Records consisting of correspondence, plans, and specifications pertaining to the overhaul, modification, and repair of individual aircraft, groups of aircraft, electrical systems, electronic equipment and related items.	DESTROY after aircraft or last of group of aircraft is disposed of from Coast Guard.
c. Planning and accomplishment records on overhaul and modification programs with estimated and actual production data.	DESTROY when 10 years old, or 1 year after disposal of such aircraft from Coast Guard.
d. Correspondence, plans, specifications and related materials pertaining to aircraft or modifications thereto developed by the Coast Guard.	PERMANENT. Offer to ?ARS 20 years after retirement to FRC. Transfer to FRC 5 years after completion of modification.
e. Stock Records	
(1) Stock record card	DESTROY 1 year after discontinuance of item or 1 year after stock balance is transferred to a new card.
(2) Computer stock record files.	Delete from computer record 1 year after discontinuance of stocking of item.

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

383. Training and Examination Records

- a. Test marks and results of examinations of individual trainees.
- b. Individual training test papers.
- c. Master file of examination material.
- d. Training manuscripts originated at school (one copy).

DESTROY when 2 years old.

DESTROY 1 month after grading.

DESTROY when revised or when superseded or obsolete.

DESTROY 5 years after discontinuance of course.

384. - 394. RESERVED



ENCL: (1) to COMDTINST M5212.12, CH-2  
12 FEB 1985

SECTION 15 - COAST GUARD YARD

These records relate to the administration and operation of the Coast Guard Yard.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
395. <u>Ships Files</u>	
a. Ship's file containing work list, correspondence, job orders, reports and related material pertaining to planning and completion of work on a ship undergoing availability at the Yard.	DESTROY 1 year after disposal of cutter.
b. Ship's file containing correspondence, job orders, reports, specifications and related material pertaining to construction of a ship at the Yard.	DESTROY 1 year after disposal of cutter.
396. <u>Small Boat Construction Repair and Alterations Records</u>	
a. Small boat repairs and alteration file containing correspondence, job orders, requisitions and related papers.	DESTROY 3 years after repair or alteration is completed.
b. Small boat construction file containing correspondence,	DESTROY 10 years after construction is completed.
397. <u>Cost Transaction Records of Jobs Performed at the Yard</u>	
a. Daily detailed cost transactions of construction, repair and manufacturing jobs performed at the Yard.	DESTROY when 1 year old.

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1986

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Cost Transaction Records of Jobs  
Performed at the Yard (cont'd)

- |      |  |   |
|------|--|---|
| b.   | Weekly cost summaries of construction repair and manufacturing jobs performed at the Yard.                             | DESTROY when 3 years old.   |
| c.   | Final cost compilations taken from the weekly summaries.   | DESTROY when 4 years old.   |
| d.   | Production cost reports and records maintained on all projects.  | DESTROY 1 year after project is completed.  |
| e.   | Estimators' control sheets used for determining how much work can be accomplished within the allocated funds.          | DESTROY at close of year in which work is completed.  |
| f.   | Teletype job orders from which EAM cards are prepared showing estimates under each allotment.                          | DESTROY 3 months after job is completed.  |
| 398. | <u>Yard Construction, Maintenance and Work Activity Records</u>  |   |
| a.   | Correspondence, reports and related material pertaining to the overall maintenance and minor Yard work activities.     | DESTROY when 4 years old.   |
| b.   | Correspondence, plans, reports and related papers pertaining to Yard building construction and equipment installation. | DESTROY 1 year after disposal of building or equipment.   |
| 399. | <u>Stock-Items</u>   |   |
| a.   | Stock Records  |   |
| (1)  | Stock records cards.   | DESTROY 1 year after discontinuance of item or 1 year after stock balance is transferred to a new card. |
| (2)  | Computer stock records files.  | Delete from computer record 1 year after discontinuance of stocking item.                               |

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Stock Item Records (cont'd)

b. Correspondence, job orders and related papers pertaining to items manufactured for Yard stock.	DESTROY 3 years after job is completed.
c. Controlled materials file containing the allocations of material to the various activities and projects.	DESTROY when 2 years old.
400. <u>Plans and Construction Records for Floating Units Built at Yard</u>	
a. Working copies of ship boat and other plans.	DESTROY when superseded or obsolete.
b. Master file of ship plans and index cards for same.	DESTROY 1 year after disposal of cutter.
c. Construction progress photographs of cutters built at Yard.	DESTROY 1 year after disposal of cutter.
d. Technical manuals and publications pertaining to cutters constructed at Yard.	DESTROY 1 year after disposal of cutter.
401. <u>Repair and Alteration Records</u>	
a. Photographs of repair and alteration jobs performed at Yard.	DESTROY when superseded or obsolete.
b. ShipAlt and BoatAlt files showing authorized and mandatory alterations.	DESTROY after last cutter or boat of class is disposed of.
c. Ordnance and Electronics alterations files containing standardized operating procedures for authorized and mandatory alterations.	DESTROY when superseded or obsolete.

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

- |   |  |
|---|--|
| 402. <u>Manufacturers Files on Buoys, Arctic Buildings, Rescue Apparatus, etc.</u><br>Miscellaneous manufacturing files containing correspondence, job orders, specifications, and related material for the construction of buoys, arctic buildings, rescue apparatus, etc. | DESTROY 5 years after project is completed.                |
| 403. <u>Special Class Ships Records</u><br>Allowance lists pertaining to the allowance of equipment, spare parts, and supplies to ships of specified classes.   | DESTROY when superseded or obsolete or disposal of cutter. |
| 404. - 429. RESERVED.   |  |

Enclosure (1) to COMDTINST M5212.12, CH-2

SECTION 16 - MARINE ENVIRONMENT AND SYSTEMS RECORDS

These records relate to the management and coordination of marine environmental protection, port safety and law enforcement activities.

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<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
430. <u>Port Security Card Issued</u> (Form CG-3177).	DESTROY 10 years after issuance of the last card shown thereon.
431. <u>Port Security Record Card</u> (Form CG-3170).	DESTROY 2 years after card expires.
432. <u>Port Security Card Application</u> <u>Files</u> consisting of fingerprint card (FD-285), Application (Form CG-2685), Questionnaire (Form CG-3885) and other re- lated correspondence.	DESTROY 2 years after card expires. Transfer to FRC when 3 years old.
<u>Vessel Traffic Service (If not established as a separate VTS Sub-unit, see Port Operations Department)</u>	
433. <u>General Correspondence per-</u> <u>taining to Vessel Traffic System</u> <u>Activities.</u>	DESTROY when 3 years old.
434. <u>Transit Logs/Merchant Ships.</u>	DESTROY when 10 years old. Transfer to FRC when 5 years old.
435. <u>Individual Transit/Voyage</u> <u>Data Cards.</u>	DESTROY after 30 days. See note (1)
436. <u>Audio Tape Recordings.</u>	DESTROY after 30 days. See note (1)
437. <u>Video Tape Recordings.</u>	DESTROY after 24 hours. See note (1)
438. <u>File Recordings.</u>	DESTROY after 1 year. See note (1)

ENCL: (1) to COMDTINST M5212.12, CH-2  
1 FEB 1985

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Vessel Traffic Service (If not established as a separate VTS Sub-unit, see  
Port Operations Department (cont'd)

- |   |                                     |
|---|-------------------------------------|
| 439. <u>Computer Tapes.</u>                               | DESTROY after 30 days. See note (1) |
| 440. <u>Computer Printouts/Statistical<br/>Summaries.</u> | DESTROY after 1 year. See note (1)  |

NOTE (1): Material relating to a marine casualty which is not incorporated into an investigation which will be preserved may be disposed of only after approval of District Legal Officer.

441. - RESERVED.

Enclosure (1) to COMDTINST M5212.12, CH-5  
SECTION 17 - ENVIRONMENTAL RECORDS

These records include any documents/databases, in both paper and electronic media, related to environmental protection, management and/or clean-up.

DESCRIPTION OF RECORDS  
All Other CG Environmental  
Records

AUTHORIZED DISPOSITION

442. All records construed to be "environmental." Include, but are not limited to: hazardous waste management; pollution incidents/cleanup; environmental planning; spill response; and asbestos and/or any other chemicals/materials.

Retain indefinitely until further notice.

ENCL: (2) to COMDTINST M5212.12

FPMR 101-11.4

**GENERAL  
RECORDS  
SCHEDULES**

**GSA**  
GENERAL  
SERVICES  
ADMINISTRATION

NATIONAL  
ARCHIVES  
AND RECORDS  
SERVICE



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## INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Administrator, General Services Administration, to provide disposition standards for records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, research and development, and other common or housekeeping functions; and certain non-textual records. These records comprise an estimated one third of the total volume of records created by Federal agencies.

This edition includes two indexes, an index of commonly used Standard and Optional Forms and an alphabetical Subject Index. The forms index includes only the forms most often used by the various government agencies.

General Records Schedules are intended to cover only record copies. When it is difficult to decide whether files are record or non-record materials, the records officer should treat them as records. Records officers may consult with NARS to determine the record or non-record status of a particular file.

If copies of documents covered by these schedules are part of subject or case file which documents activities different from those covered by these schedules, they should be treated in the same manner as the files of which they are a part. The disposition instructions in the General Records Schedules are implemented without further clearance from the National Archives and Records Service, GSA, with the exception that most records created before January 1, 1921, must be first offered to NARS for possible permanent retention. GRS 3, 11, 16, 17, and 21 have other delimiting dates. Some items in the various schedules have no authorized disposition instruction. These are records which are common to many agencies, but due to agency needs and organizational structure will have differing retention periods. They may be permanent, but are not necessarily so. For these records, agencies are required to submit an SF 115, Request for Records Disposition Authority. This will allow an individual evaluation of the pertinent records in the context of office of origin, agency requirements, and possible archival value. Since disposition is not specified, such records should be included in the agency's comprehensive schedule.

In 1978 use of the GRS was made legally mandatory. The disposition authorizations must be used by an agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. Agency records officers are urged to make maximum use of the schedules either as an appendix to a printed agency schedule or tailored to their agency's own particular needs and incorporated into agency schedules. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer of that agency must submit an SF 115, Request for Records Disposition Authority, providing justification for the deviation.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel which cannot be reconciled within the agency may be referred to the Director, Records Disposition

Division. NARS, from headquarters offices in the Washington, DC area, or the Director of the nearest Federal Records Center from field offices.

Some records series covered by General Records Schedules are eligible for transfer to Federal Archives and Records Centers (FARC). Records should be retired from agency space to an FARC only if transfer costs do not exceed the expenses of retaining them in agency space. Federal Records Centers will not accept records immediately eligible for disposal. Records retired to the Centers should have a remaining retention period of three years or more before they will be accepted. Where special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate Records Center Director. Records designated for permanent retention should be retired when sufficient volume and decreased activity warrant. Procedures for transfer of records to Federal Archives and Records Centers are detailed in the GSA Handbook, Federal Archives and Records Centers.

## GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal Civilian Employees. This schedule covers the disposition of all official personnel folders of civilian employees and all other records relating to civilian personnel, wherever located in the agency. Specifically excluded are programs of the Office of Personnel Management, the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration for possible permanent retention before these disposition instructions may be applied. The most important types of records, the Official Personnel Folders and Service Record Cards, are maintained according to Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for Federal personnel.

Item

<u>No.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Official Personnel Folders.</u> Records filed on the right side of the Official Personnel Folder (OPF). (See GRS 1, Item 10, for disposal of papers on the left or "temporary" side of the OPF.)	
	a. Folders covering periods of employment terminated prior to January 1, 1921.	Submit SF 258, Request for Transfer of Records.
	b. Folders covering periods of employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention.	
	(1) Transferred employees.	See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.
	(2) Separated employees.	Transfer folder to National Personnel Records Center (CPR), St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after the date of the earliest document in the folder if the date of birth cannot

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
		be ascertained) or 5 years after latest separation, whichever is later.
2.	<u>Service Record Cards.</u> Service Record Card (Standard Form 7 or its equivalent).	
	a. Cards for employees separated or transferred on or before December 31, 1947.	Transfer to NPRC (CPR), St. Louis, Missouri. Destroy 60 years after earliest personnel action date.
	b. Cards for employees separated or transferred on or after January 1, 1948.	Destroy 3 years after separation or transfer of employee.
3.	<u>Personnel Correspondence Files.</u> Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.	Destroy when 3 years old.
4.	<u>Offers of Employment Files.</u> Correspondence, letters, and telegrams offering appointments to potential employees.	
	a. Accepted offers	Destroy immediately.
	b. Declined offers:	
	(1) When name is received from certificate of eligibles.	Return to OPM with reply and application.
	(2) Temporary or excepted appointment.	File inside application (see item 15 of this schedule).
	(3) All others.	Destroy immediately.
5.	<u>Certificate of Eligibles files.</u> Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6.	<u>Employee Record Cards.</u> Employee record cards used for informational purposes outside personnel offices (such as SF 7-B).	Destroy on separation or transfer of employee.
7.	<u>Position Classification Files.</u>	
	a. Position Classification Standards Files.	
	(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate position within the agency.	Destroy when superseded or obsolete.
	(2) Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.	
	(a) Case File.	Destroy 5 years after position is abolished or description is superseded.
	(b) Review File.	Destroy when 2 years old.
	b. Position Descriptions. Files describing established positions including information on title, series, grade, duties and responsibilities.	
	(1) Record copy.	Destroy 5 years after position is abolished or description superseded.
	(2) All other copies.	Destroy when position is abolished or description superseded.
	c. Survey Files.	
	(1) Classification Survey positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or whichever is sooner.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Inspection, Audit and Survey File. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when obsolete or superseded.
	d. Appeals Files. Case files relating to classification appeals.	Destroy 3 years after case is closed.
8.	<u>Interview Records.</u> Correspondence, reports and other records relating to interviews with employees.	Destroy 6 months after transfer or separation of employee.
9.	<u>Performance Rating Board Case Files.</u> Copies of case files forwarded to OPM relating to performance rating board reviews.	Destroy 1 year after case is closed.
10.	<u>Temporary Individual Employee Records.</u> All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.
11.	<u>Position Identification Strips.</u> Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Destroy when position is cancelled or new strip is prepared.
12.	<u>Employee Awards Files.</u>	
	a. General awards records.	
	(1) Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to	Destroy 2 years after approval or disapproval.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	
	(2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Destroy when 2 years old.
	b. Length of Service and Sick Leave Awards Files. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	Destroy when 1 year old.
	c. Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.	Destroy when 2 years old.
	d. Lists or Indexes to Agency Award Nominations. Lists of nominees and winners, and indexes of nominations.	Destroy when superseded or obsolete.
	e. Departmental Level Awards Files. Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential, etc.)	Submit SF 115, Request for Records Disposition Authority.
13.	<u>Incentive Awards Program Reports.</u> Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.



GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14.	<u>Notifications of Personnel Actions.</u> Standard Form 50 documenting initial employment, promotions, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.	
	a. Chronological file copies, including fact sheets, maintained in personnel offices.	Destroy when 2 years old.
	b. All other copies maintained in personnel offices.	Destroy when 1 year old.
15.	<u>Employment Applications.</u> Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule).	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.
16.	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the operating personnel office and subordinate units relating to personnel.	Destroy when 2 years old.
17.	<u>Correspondence and Forms Files.</u> Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.	
	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is completed.
	b. Retention Registers.	
	(1) Registers from which reduction-in-force actions have been taken.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Registers from which no reduction-in-force actions have been taken.	Destroy when superseded or obsolete.
	c. All other correspondence and forms.	Destroy when 6 months old.
18.	<u>Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.</u>	
	a. Supervisor's Personnel Files. Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of personnel position descriptions; requests for action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.
	b. Duplicate Documentation. Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	Destroy when 6 months old.
19.	<u>Individual Health Record Files.</u> Cards which contain such information as date of employee's visit, diagnosis and treatment.	Destroy 6 years after date of last entry.
20.	<u>Health Unit Control Files.</u> Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units.	
	a. If information is summarized on statistical report.	Destroy 3 months after last entry.
	b. If information is not summarized.	Destroy 2 years after last entry.

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
21.	<u>Employee Medical Folder (EMF)</u>	
	a. Long-term medical records as defined in the Federal Personnel Manual (FPM) Chap 293.	
	(1) Transferred employees.	See FPM for instructions.
	(2) Separated employees.	Transfer to National Personnel Records Center (NPRC), St. Louis, Mo. 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.
	b. Temporary or short-term records as defined in the FPM.	Destroy 1 year after separation or transfer of employee.
	c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.	Destroy 60 years after retirement from FRC.
22.	<u>Statistical Summaries.</u> Copies of statistical summaries reports with related papers pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date if summary report
23.	<u>Employee Performance File System Records.</u>	
	a. Non-SES appointees (as defined in 5 USC 430(2)).	
	(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.
	(2) Performance records superseded through an administrative, judicial procedure.	Destroy upon supersession.
	(3) Performance-related records pertaining to a former employee.	Destroy when 3 years old or when no longer needed which ever is sooner.

Enclosure (2) to COMDTINST M5212.12, CH-2  
1 FEB 1985

December 22, 1982

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GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(4) All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.	Destroy 3 years after date of appraisal.
	(5) Supporting documents.	Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner.
b.	SES appointees (as defined in 5 USC 3132a(2)).	
	(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession.
	(2) Performance-related records pertaining to a former SES appointee.	Disposition pending.
	(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.	Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee.
	(4) Supporting documents.	Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.
c.	Presidential appointees.	Disposition pending.
24.	<u>Motor Vehicle Operation Files.</u>	See GRS 10, Item 7.
25.	<u>Financial Disclosure Reports.</u>	
a.	Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).	

April 12, 1984

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(1) Records including SF 278A for individuals filing according to Section 2016 of the Act, and not subsequently confirmed by the U.S. Senate.	Destroy 1 year after nominee ceases to be under consideration for appointment; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.
	(2) All other records including SF 278.	Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.
	b. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 years old; EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.
	26. <u>Equal Employment Opportunity Records.</u>	
	a. Official Discrimination Complaint Case Files. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.	Destroy 4 years after resolution of case.
	b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.	Destroy 1 year after resolution of case.
	c. Background Files.	

GENERAL RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	Background records not filed in the Official Discrimination Complaint Case Files.	Destroy 2 years after final resolution of case.
d.	Compliance Records.	
	(1) Compliance Review Files. Reviews, background papers and correspondence relating to contractor employment practices.	Destroy when 7 years old.
	(2) EEO Compliance Reports.	Destroy when 3 years old.
e.	Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.
f.	Employment Statistics Files. Employment statistics relating to race and sex.	Destroy when 5 years old.
g.	EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and agency EEO Committee meeting records including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
h.	EEO Affirmative Action Plans (AAP).	
	(1) Agency copy of consolidated AAP(s).	Destroy 5 years from date of plan.
	(2) Agency feeder plan to consolidated AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

GENERAL RECORDS SCHEDULE 1

ITEM	<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(3)	Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.
	(4)	Agency copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report.
27.	<u>Personnel Counseling Records</u>		
	a.	Counseling Files. Reports of interviews, analyses and related records.	Destroy 3 years after termination of counseling.
	b.	Alcohol and Drug Abuse Program. Records created in planning, coordinating and directing an alcohol and drug abuse program.	Destroy when 3 years old.
28.	<u>Standards of Conduct Files.</u>	Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded.
29.	<u>Labor Management Relations Records.</u>		
	a.	Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups:	
	(1)	Office negotiating agreement.	Destroy when 5 years old.
	(2)	Other offices.	Destroy when superseded or obsolete.
	b.	Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.

Enclosure (2) to COMDTINST M5212.12, CH-4  
20 JAN 1988

GENERAL RECORDS SCHEDULE 1

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
30.	<u>Training Records.</u>	
	a. Training Aids.	
	(1) One copy of each manual, syllabus, textbook, and other training aid developed by the agency.	Submit SF 115, Request for Records Disposition Authority.
	(2) Training aids from other agencies or private institutions.	Destroy when obsolete or superseded.
	b. General file of agency-sponsored training.	
	(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program.
	(2) Background and workpapers.	Destroy when 3 years old.
	c. Employee training. Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
	d. Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.	Destroy when superseded or obsolete.



GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
31.	<u>Grievance, Disciplinary and Adverse Action Files.</u>	
a.	Grievance, Appeals Files (5 CFR 771). Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Destroy 3 years after case is closed.
b.	Adverse Action Files (5 CFR 752). Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.	Destroy 4 years after case is closed.
32.	<u>Personal Injury Files.</u> Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

## GENERAL RECORDS SCHEDULE 1

ITEM	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
33.	<u>Merit Promotion Case Files.</u> Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING, any records that duplicate information in the promotion plan, in the Official Personnel Folders, or in any other personnel records.	Destroy 2 years after the personnel action of after the action has been audited by OPM, whichever is sooner.
34.	<u>Examining and Certification Records.</u> Records created under delegated agreements under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.	
	a. Correspondence Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.	Break annually. Destroy 1 year after break.
	b. Test material stock control Stock control records of examination test material including running inventory of test material in stock.	Destroy when test is superseded or obsolete.
	c. Application Record Card (OPM Form 5000A, or equivalent).	Break after examination. Destroy no later than 90 days after break.

## GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
d.	Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcement issued (exclusive of correspondence, and other records concerning qualification standards, job specifications and their development).	Destroy 5 years after termination of related register
e.	Register of eligibles (OPM Form 5001-C, or equivalent document that records eligibility for an individual for Federal jobs).	Break records on individuals with terminated eligibility annually. Destroy 5 years after break.  When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM area office or 90 days after final action is taken on the certificate whichever is sooner.)
f.	Letters to applicants denying transfer of eligibility (OPM Form 4896, or equivalent).	Break annually. Destroy 1 year after break.
g.	Cancelled and ineligible applications. The application, supplemental forms, and attachments.	Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and cancelled applications 90 days after date of action or when register is terminated, whichever is sooner.
h.	Test Answer Sheets Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Destroy when 6 months old.

GENERAL RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION
i.	Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required.	Break files annually. Destroy 5 years after break.
j.	Eligible applications.	
	(1) On active register.	Destroy upon termination of the register (except applications that may be brought forward to new register, if any).
	(2) On inactive register.	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.
k.	Request for prior approval of personnel actions take by agencies on such matters as promotion, transfer, reinstatement, change in status, etc., submitted by SF 59, OPM 648, or equivalent forms.	Break annually. Destroy 1 year after break.
l.	Certificate Files. SF 39, SF 39A, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Break annually. Destroy 5 years after break.

GENERAL RECORDS SCHEDULE 1

ITEM	DESCRIPTION OF RECORDS	DISPOSITION
m.	Certification request control index	Break annually. Destroy 1 year after break.
n.	Displaced Employee Program (DEP) application and registration sheet.	Destroy upon expiration of employee's DEP eligibility.
o.	DEP control cards, if maintained.	Break annually. Destroy 2 years after break.
p.	Reports of audits of delegated examining operations.	Destroy 3 years after date of the report.

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Form 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management; (b) files maintained in agency space for audit by the General Accounting Office under section 117(b) of the Budget and Accounting Procedures Act of 1950; (c) records relating to tax withholding, savings bonds, or fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs, and (d) Office of Management and Budget files reflecting agency personnel needs and problems. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Papers required by the Comptroller General to be maintained for site audit or to be physically transferred to the General Accounting Office for centralized audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by 82 Stat. 1301 (44 U.S.C. 3309). Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6-Pay, Leave, and Allowances and incorporated in the GAO Manual for Guidance of federal agencies.

In the payrolling process different types of records are accumulated. In many cases the records will be a machine readable form, as the payrolling process has been almost universally converted to electronic data processing throughout the Federal government. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

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

Other records incidental to the payrolling process are withholding tax and savings bond records, reports made to Treasury Department units and the Office of Personnel Management on income tax and retirement transactions, and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

GENERAL RECORDS SCHEDULE 2

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Individual Accounts Files.</u> Individual earning and service cards, such as Optional Form 1127 or equivalent.	Transfere National Personnel Recordsr (NRPC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjace or in individual pay folder adjacent to the OPF, destroy with the OPF. (See GRS 1, Item 1.) (b) If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.
2.	<u>Payroll Correspondence Files.</u> General correspondence files main- trained by payroll units pertaining to payroll preparation and processing.	Destroy when 2 years old.
3.	<u>Time and Attendance Reports Files.</u>	
	a. Form such as Optional Form 1130 or equivalent.	
	(1) Payroll preparation and processing copies.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	(2) All other copies.	Destroy 6 months after the end of the pay period.
	b. Flexitime Attendance Records. Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.	Destroy after GAO audit or when 3 years old, whichever is sooner.
4.	<u>Individual Authorized Allotments Files.</u>	
	a. U.S. Savings Bond Authorization. Standard Form 1192 or equivalent, and authorization for individual allotment to the Combined Federal Campaigns.	

## GENERAL RECORDS SCHEDULE 2

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	(1) If record is maintained on earning record card.	Destroy when superseded or after separation of employee. If employee transfers within an agency or between agencies, these authorizations must also be transferred. See Treasury Fiscal Requirements Manual, para. 6030.10 for instructions relating to savings bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions relating to CFC authorizations.
	(2) If record is not maintained elsewhere.	Destroy 3 years after supersession or 3 years after separation of employee. See (1) above for transfer instructions.
b.	All other authorizations, including union dues and savings.	
	(1) If record is maintained on earning record card.	Destroy when superseded or after transfer or separation of employee.
	(2) If record is not maintained elsewhere.	Destroy 3 years after supersession or 3 years after transfer or separation of employee.
5.	<u>Bond Registration Files.</u> Issuing agent's copies of bond registration studs.	Destroy when 2 years old.
6.	<u>Bond Receipt and Transmittal Files.</u> Receipts for and transmittals of U.S. Savings Bonds and checks.	Destroy 3 months after date of receipt.
7.	<u>Bond Purchase Files.</u> Forms and reports with related papers pertaining to deposits and purchases of bonds.	Destroy when 3 years old.
8.	<u>Leave Application Files.</u> Application for Leave, SF 71, or equivalent, and supporting papers relating to requests for and approval of taking leave.	



December 22, 1982

GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. If the timecard has been initialed by the employee	Destroy at the end of the applicable pay period.
	b. If the timecard has not been initialed by the employee	Destroy after GAO audit or when 3 years old, whichever is sooner.
9.	Leave record cards such as OF 1137 or equivalent maintained separately from pay and earnings records, and OF 1130 when used as a leave record.	
	a. Pay or fiscal copies.	Destroy when 3 years old.
	b. Other copies.	Destroy 3 months after the end of the period covered.
10.	<u>Leave Data Files.</u> Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3.	
	a. Original copy of SF 1150.	File on right side of official personnel folder. See GRS 1, item 1.
	b. Agency copy.	Destroy when 3 years old.
11.	<u>Notification of Personnel Action Files.</u> Copies of SF 50 or equivalent, not filed in the Official Personnel Folder.	
	a. Pay or fiscal copy.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.
	b. All other copies.	See GRS 1, item 14.
2.	<u>Budget Authorization Reference Files.</u> Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.	Destroy when superseded.

GENERAL RECORDS SCHEDULE 2

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
13.	<u>Payroll Files.</u> Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.	
	a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.	Destroy when Federal Records Center receives second subsequent payroll or checklist covering the same payroll unit.
	b. All other copies.	
	(1) If earning record card is maintained.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	(2) If earning record card is not maintained.	Transfer to NPRC, St. Louis, Missouri, when 3 years old. Destroy when 10 years old.
14.	<u>Payroll Control Files.</u>	
15.	<u>Payroll Change Files.</u> Payroll control registers.	Destroy after GAO audit or when 3 years old, whichever is sooner.
	Payroll change slips, exclusive of those of the OPF, such as SF 1126.	
	a. Copy used in GAO audit.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.
	b. Disbursing officer copy used in preparing checks.	Destroy after preparation of check.
	c. All other copies.	Destroy 1 month after the end of the pay period.
16.	<u>Fiscal Schedules Files.</u> Memorandum copies of fiscal schedules used in the payroll process.	
	a. in GAO audit.	Destroy after GAO audit or when 3 years old, whichever is sooner.

GENERAL RECORDS SCHEDULE 2

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All other copies.	Destroy 1 month after the end of the pay period.
17.	<u>Administrative Payroll Report Files.</u> Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.	
	a. Reports and data used for workload and personnel management purposes.	Destroy when 2 years old.
	b. All other reports and data.	Destroy when 3 years old.
18.	<u>Tax Files.</u>	
	a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	Destroy 4 years after form is superseded or obsolete.
	b. Returns on income taxes such as IRS Form W-2.	Destroy when 4 years old.
	c. Reports of withheld Federal taxes. such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	Destroy when 4 years old.
19.	<u>Income Tax Return Files.</u>	See Item 18b of this schedule.
20.	<u>Tax Report Files.</u>	See Item 18c of this schedule.
21.	<u>Retirement Files.</u>	
	a. Reports and registers. Reports, registers or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.	Destroy when 3 years old.
	b. Assistance files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 2

ITEM	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<u>NO.</u>	survivors claim insurance or retirement benefits.	
22.	<u>Insurance Deduction Files.</u> Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.	Destroy when 3 years old.
23.	<u>Levy and Garnishment Files.</u> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.	Destroy when 3 years old.
24.	<u>Wage Survey Files.</u> Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Destroy after completion of second succeeding wage survey.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Service for possible permanent retention before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C.3309.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

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

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released conditionally or with recapture

GENERAL RECORDS SCHEDULE 3

clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule has been revised to include the most frequently found agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to procurement and supply records.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Unique Procurement Files.</u> Procurement files (as in Item 4, below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs, other than those covered by Item 13.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Real Property Files.</u> Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).	
a.	Papers for property acquired prior to January 1, 1921.	Submit SF 115, Request for Records Disposition Authority.
b.	Papers for property acquired since January 1, 1921, other than abstract or certificate of title.	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.
c.	Abstract or certificate of title.	Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

## ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>General Correspondence Files.</u> Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Routine Procurement Files.</u> Contract, requisition, purchase order, lease, and bond and surety records. including correspondence and related papers pertaining to award, administration, receipt, inspection and payment and other records described in the Federal Acquisition Regulation: 48 CFR 4.805.	
	a. Procurement or purchase organization copy, and related papers.	
	(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.	Destroy 6 years and 3 months after final payment.
	(2) Transactions of \$25,000 or less and construction contracts under \$2,000.	Destroy 3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)
	b. Obligation copy.	Destroy when funds are obligated.
	c. Other copies of records described above used by component elements of a procurement office for administrative purposes.	Destroy upon termination or completion.
5.	<u>Supply Management Files.</u> Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other	

GENERAL RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).	
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	Destroy when 2 years old.
	b. Copies in other reporting units, and related work papers.	Destroy when 1 year old.
6.	<u>Solicited and Unsolicited Bids and Proposals Files.</u>	
	a. Successful bids and proposals.	Destroy with related contract case files (see item 4 of this schedule).
	b. Solicited and unsolicited unsuccessful bids and proposals.	
	(1) Relating to small purchases as defined in the Federal Acquisition Regulation: 48 CFR. Part 13.	Destroy 1 year after date of award or final payment, which ever is later.
	(2) Relating to transactions above the small purchase limitations in 48 CFR, Part 13.	
	(a) When filed separately from the contract file.	Destroy when related contract is complete.
	(b) When filed with contract case file.	Destroy with relate contract case file (see item 4 of this schedule.)
	c. Cancelled Solicitations Files.	
	(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation.	Destroy 5 years after date of cancellation.
	(2) Unopened Bids.	Return to bidder.



GENERAL RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
d.	Lists or Card Files of Acceptable Bidders.	Destroy when superseded or obsolete.
7.	<u>Public Printer Files.</u> Records relating to requisitions on the Printer, and all supporting papers.	
a.	Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Destroy 3 years after completion or cancellation of requisition.
b.	Accounting copy of requisition.	Destroy 3 years after period covered by related account.
8.	<u>Nonpersonal Requisition File.</u> Requisitions for nonpersonal ser- vices, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	Destroy when 1 year old.
9.	<u>Inventory Requisition File.</u> Requisitions for supplies and equipment for current inventory.	
a.	Stockroom copy.	Destroy 2 years after completion or cancellation of requisition.
b.	All other copies.	Destroy when 6 months old.
10.	<u>Inventory Files.</u>	
a.	Inventory lists.	Destroy 2 years from date of list.
b.	Inventory cards.	Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.

GENERAL RECORDS SCHEDULE 3

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
C.	Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.	Destroy 2 years after date of survey action date of posting medium.
11.	<u>Telephone Records.</u> Telephone statements and toll slips.	Destroy 3 years after period covered by related account.
12.	<u>Contractors' Payroll Files.</u> Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
13.	<u>Tax Exemption Files.</u> Tax exemption certificates and related papers.	Destroy 3 years after period covered by related account.
14.	<u>Grant Application Files.</u> Applications, memoranda, correspondence and other records relating to the decision to accept or reject grant proposals.	<p data-bbox="829 1062 1295 1110">a. Unsuccessful (rejected or withdrawn) applications. Destroy 3 years after rejection or withdrawal.</p> <p data-bbox="829 1142 1295 1215">b. Accepted applications. Dispose of with related grant case file (see item 15 of this schedule).</p>
15.	<u>Grant Case Files.</u> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
16.	<u>Grant Control Files.</u> Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects, applications and grants.	Destroy when superseded or obsolete.
17.	<u>Grant Correspondence and Subject Files.</u>	
	a. Correspondence and/or subject files including memoranda, studies, reports, forms, and other records relating to the legal establishment of the grant program, its policies and basic procedures, and the management and evaluation of grants.	Submit SF 115, Request for Records Disposition Authority.
	b. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.	Destroy when 2 years old.
18.	<u>Final Product Files.</u> Published reports, books, studies, audiovisual materials, or any other final grant product and related records in textual or machine-readable form.	Submit SF 115, Request for Records Disposition Authority.
19.	<u>Contract Appeals Case Files.</u> Contract appeals case files consisting of notices of appeal and acknowledgements thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.	Destroy 10 years after final action or decision.

GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
20.	<u>Contractor's Statement of Contingent or Other Fees.</u> Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	Destroy when superseded, obsolete, or no longer needed, whichever is sooner.

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Service for possible permanent retention before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form 114, Sale of Government Property, Invitation, and Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, and other notices of sale, invoices, and sales slips.

b. Standard Forms 120, Report of Excess Personal Property, and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional General Services Administration Offices, which initiate screening action. The quarterly reports are submitted to the Administration, which consolidates the data.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Surplus Property Precedential Case Files.</u> Case files on sales of surplus personal property (as described in Item 6 below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	Submit SF 115, Request for Records Disposition Authority.
2.	<u>Property Disposal Case Files.</u> Case files on disposal of surplus real and related personal property.	Submit SF 115, Request for Records Disposition Authority.

GENERAL RECORDS SCHEDULE 4

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
3.	<u>Excess Real Property Reports.</u>	Submit SF 115, Request for Records Disposition Authority.
4.	<u>Property Disposal Correspondence Files.</u> Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 years old.
5.	<u>Excess Personal Property Reports.</u>	Destroy when 3 years old.
6.	<u>Surplus Property Case Files.</u> Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).	
	a. Transactions after July 25, 1974, of more than \$10,000; and transactions before July 26, 1974, of more than \$2,500.	Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)
	b. Transactions after July 25, 1974, of \$10,000 or less; and transactions before July 26, 1974, of \$2,500 or less.	Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy except that files on which actions are pending will be brought forward to the next fiscal year's files for disposal therewith.)
7.	<u>Real Property Files.</u> Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. (Also see GRS 22, Design and Construction Drawings and Related Records.)

GENERAL RECORDS SCHEDULE 4

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' account (Schedule 6).

This schedule applies to records of budget preparation, presentation and apportionment in all agencies, except that it does not apply to records of the OMB and the Treasury Department reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying the disposition instructions. Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.



GENERAL RECORDS SCHEDULE 5

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
1.	<u>Budget Policy Files.</u> Correspondence or subject files in Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget adminis- tration, and reflecting policy decisions affecting expenditures for agency programs.	Submit SF 115, Request Submit SF 115, Request for Records Disposition Authority.
2.	<u>Budget Estimates and Justifications Files.</u>	
	a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data.	Submit SF 115, Request for Records Disposition Authority.
	b. Working papers and background materials.	See Item 4 of this schedule.
3.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Budget Background Records.</u> Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 2; and originating offices' copies of reports submitted to budget offices.	Destroy 1 year after the close of the fiscal year covered by the budget.

GENERAL RECORDS SCHEDULE 5

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Budget Reports Files.</u> Periodic reports on the status of appropriation accounts and apportionment.	
a.	Annual report (end of fiscal year).	Destroy when 5 years old.
b.	All other reports.	Destroy 3 years after the end of the fiscal year.
6.	<u>Budget Apportionment Files.</u> Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Destroy 2 years after the close of the fiscal year.

Enclosure (2) to COMDTINST M5212.12, CH-2

December 22, 1984

FP MR 101-11.4

October 1982

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives the Federal Government and ensures that it is credited to the proper account: the disbursing officer who is responsible for providing documentation to GAO accomplishes the actual payment of public monies to proper Federal creditors and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules with the detailed vouchers transferred to GAO from the agency or held in agency audit was involved. This procedure was extended and confirmed by GAO General Regulations No. 115, issued January 29, 1952, which promulgated a standard form and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule has been revised to include records held for on-site described in Item 1a below. Under on-site audit, vouchers, contracts schedules, statements of transactions and accountability and other related supporting retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognized GAO has given general authority to the agencies, if the records are no longer requires for administrative purposes, to transfer all audited records and any unaudited records more than one full fiscal year old to Federal Record Centers. However, to transfer accountable officers' accounts less than one year old, permission must be obtained from the Director, Office of Administrative Services, GAO. Because the records heretofore transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in Item 1b of this schedule.

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

Enclosure (2) to COMDTINST M5212.12, CH-2

1 FEB 1985

FPMR-101-11.4

April 12, 1984

GSA Bulletin B-124 Supp. 2

GENERAL RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION	AUTHORIZED DISPOSITION
1.	<u>Accountable Officers' Files.</u>	
	<p>a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operation of the agency. All copies <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule. Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.</p>	<p>Destroy 6 years and 3 months after period covered by account.</p>
	<p>SF 215, Deposit Ticket            SF 224, Statement of Transactions            SF 1034, Public Voucher for Purchases and Services Other Than Personal            SF 1036, Statement of Certificate and Award            SF 1047, Public Voucher for Refunds            SF 1069, Voucher for Allowance at Foreign Posts of Duty            SF 1080, Voucher for Transfer Between Appropriations and/or Funds</p>	

February 27, 1985

FPMR 101-11.4  
GSA Bulletin FPMR B-124 Supp. 4

GENERAL RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	SF 1081, Voucher and Schedule of Withdrawals and Credits	
	SF 1096, Schedule of Voucher Deductions	
	SF 1097, Voucher and Schedule to Effect Correction of Errors	
	SF 1098, Schedule of Cancelled Checks	
	SF 1113, Public Voucher for Transportation Charges	
	OF 1114, Bill of Collection	
	OF 1114A, Official Receipt	
	OF 1114B, Collection Voucher	
	SF 1129, Reimbursement Voucher	
	SF 1143, Advertising Order	
	SF 1145, Voucher for Payment Under Federal Tort Claims Act	
	SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	
	SF 1156, Public Voucher for Fees and Mileage	
	SF 1166, Voucher and Schedule of Payments	
	SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies	
	SF 1218, Statement of Accountability (Foreign Service Account)	
	SF 1219, Statement of Accountability	
	SF 1220, Statement of Transactions According to Appropriation, Funds and Receipt Accounts	
	SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)	
	(1) Accounts and supporting documents pertaining to American Indians.	Disposition not authorized.
	(2) All other records described under 1.a. above	Destroy 6 years and 3 months after period covered by account.
b.	Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules,	Destroy 3 years after the period of the account.

GENERAL RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	and related papers not covered elsewhere in this schedule, and excluding freight records covered by Schedule 9 and payroll records covered by Schedule 2.	
2.	<u>GAO Exceptions Files.</u> General Accounting Office notices of exceptions, such as Standard Forum 1100, formal or informal, and related correspondence.	Destroy 1 year after exceptoin has been reported as cleared by GAO.
3.	<u>Certificates Settlement Files</u> Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.	
	a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Destroy 2 years after date of settlement.
	b. Certificates covering period settlements.	Destroy when subsequent certificates of settlement is received.
4.	<u>General Fund Files.</u> Records relating to avaibability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.	Destroy when 3 years old.
5.	<u>Accounting Administrative Files.</u> Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	
	a. Files used for workload and personnel management purposes.	Destroy when 2 years old.

## GENERAL RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	b. All other files.	Destroy when 3 years old.
6.	<u>Federal Personnel Surety Bond Files.</u>	
	a. Official copies of the bond and attached powers of attorney.	
	(1) Bonds purchased before January 1, 1956.	Destroy 15 years after bond becomes inactive.
	(2) Bonds purchased after December 31, 1955	Destroy 15 years after the end of the bond premium period.
	b. Other bond files, including copies of bonds and related papers.	Destroy when bond becomes inactive or after the end of the bond premium period.
7.	<u>Gasoline Sales Tickets.</u>	
	Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.
8.	<u>Telephone Toll Tickets.</u>	
	Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.
9.	<u>Telegrams.</u>	
	Originals and copies of telegrams filed in support of telegraph bills.	Destroy after GAO audit or when 3 years old, whichever is sooner.



GENERAL RECORDS SCHEDULE 6

10. Administrative Claims Files.

- |  |     |   |                                     |
|--|-----|---|-------------------------------------|
|  | a.  | Claims against the United States. Records relating to claims against the United States for moneys which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c below.  | Destroy when 6 years, 3 months old. |
|  | b.  | Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c) (1). Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c below. |                                     |
|  | (1) | Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.  | Destroy when 6 years, 3 months old. |
|  | (2) | Claims for which collection action has been terminated under 4 CFR Part 104.  |                                     |

Enclosure (2) to COMDTINST M5212.12, CH-4  
20 JAN 1988

GENERAL RECORDS SCHEDULE 6

	(a)	Claims for which	Destroy 10 years, 3 months
		the Government's	after the year in which the
		right to collect	Government's right to collect
		was not extended.	first accrued.
	(b)	Claims for which	Destroy 3 months after the
		the Government is	end of the extended period.
		entitled (per 28	
		U.S.C. 2415) to	
		additional time to	
		initiate legal	
		action.	
	(3)	Claims which the agency	Destroy when 6 years, 3
		administratively	months old.
		determines are not owed	
		to the United States	
		after collection action	
		was initiated.	
	c.	Claims files that are	Destroy when the court order
		affected by a court order or	is lifted, litigation is
		that are subject to	concluded, or when 6 years, 3
		litigation proceedings.	months old, whichever is
			later.

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and papers further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against over expenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders which authorize exact and specific expenditure.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Treasury Department, and over-all reports of agency fiscal condition which may be required by the General Accounting Officer (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting Office auditors to be indicative of the suitability of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Treasury Department and the OMB, or to those formerly maintained by the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

April 12, 1984

GENERAL RECORDS SCHEDULE 7

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 372).

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Expenditures Accounting General Correspondence and Subject Files.</u> Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old.
2.	<u>General Accounting Ledgers.</u>   General accounts ledgers, showing   debit and credit entries, and re-   flecting expenditures in summary.	Destroy 6 years and 3 months after the close of the fiscal year involved.
3.	<u>Appropriation Allotment Files.</u>   Allotment records showing status   of obligations and allotments under   each authorized appropriations	Destroy 6 years and 3 months after the close of the fiscal year involved.
4.	<u>Expenditure Accounting Posting and Control Files.</u> Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.	
	a. Original records.	Destroy when 3 years old.
	b. Copies.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which essentially reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data reflected in stock inventory records, but are not procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

- a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials. Custody is established by accomplished copies of material movement documents, and stores accounting information data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters where the information is used for procurement planning, budget, and other investment purposes. These records do not include papers reflecting the physical of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.
- b. Plant Accounting. These records consist primarily of cards recording the principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also available in pertinent general ledger accounts.
- c. Cost Accounting. These records are designed to accumulate and show data on the costs of agency operation, the direct and indirect costs of production, administration, and the performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately posted to the accounts in the agency general ledgers concerned with operating and program costs. Material costs information is collected by posting requisitions for material or procurement documents to intermediate records, and labor costs information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are utilized in evaluating economy of agency operation and in preparing budget estimates.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Plant Accounting Files.</u> Plant account cards and ledgers pertaining to structures.	Submit SF II5. Request for Records Disposition Authority.
2.	<u>Plant, Cost and Stores General Correspondence Files.</u> Correspondence files of units responsible for plant, cost, and stores accounting operations.	Destroy when 3 years old.

GENERAL RECORDS SCHEDULE 8

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes.	Destroy when 3 years old.
4.	<u>Stores Accounting Files.</u> Stores accounting returns and reports.	Destroy when 3 years old.
5.	<u>Stores Accounting Work Papers.</u> Work papers used in accumulating stores accounting data.	Destroy when 2 years old.
6.	<u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those described in item b.	Destroy 3 years after item is withdrawn from plant account.
7.	<u>Cost Accounting Reports.</u>	
	a. Copies in units receiving reports.	Destroy when 3 years old.
	b. Copies in reporting units and related work papers.	Destroy when 3 years old.
8.	<u>Cost Report Data Files.</u> Ledgers, forms, and machine-records used to accumulate data for use in cost reports.	
	a. Ledgers and forms.	Destroy when 3 years old.
	(1) Detail cards.	Destroy when 6 months old.
	(2) Summary cards.	Destroy when 6 months old.
	(3) Tabulations.	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records pertaining to the movement of goods and persons under Government orders. The recordkeeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments become part of the accountable officers' accounts, or are accounting posting media. Their disposition may be covered by General Records Schedule 6, Item 1; General Records Schedule 7, Item 4; or Items 1 and 3 of this schedule.

- a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The papers related to and normally filed with the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data which document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents.
- b. Movement of persons. The movement of persons is documented essentially by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Freight Files</u> . Records relating to freight consisting of export certificates, transit certificates, demurrage card record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.	
a.	Issuing office memorandum copies other than those identified in 1d.	Destroy 3 years after the period of the account.
b.	All other copies	Destroy when 1 year old.
c.	Registers and control records other than those identified in 1d.	Destroy when 3 years old.

GENERAL RECORD SCHEDULE 9

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	Records, including registers and control records, on international shipments of household goods moved by freight forwarders.	Destroy 6 years after the period of the account.
2.	<u>Lost or Damaged Shipments Files.</u> Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government losses in Shipment Act.	Destroy when 3 years old.
3.	<u>Passenger Transportation Files.</u> Memorandum copies of vouchers (SF III3A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.	
a.	Issuing office memorandum copy.	Destroy when 3 years old.
b.	Obligation copy.	Destroy when funds are obligated.
c.	Unused ticket redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use.
4.	<u>Passenger Reimbursement Files.</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.	
a.	Travel administrative office files.	Destroy when 3 years old.
b.	Obligation copies.	Destroy when funds are obligated
5.	<u>General Travel and Transportation Files.</u> Correspondence, forms, and related records pertaining to agency travel and transpor-	Destroy when 2 years old.



GENERAL RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	tation functions, not covered elsewhere in this schedule.	
b.	Accountability records.	Destroy 1 year after all entries are cleared.

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

Personal Property Management Regulation No. 24 prescribes policies and procedures. Standard Form 82, which is an annual motor vehicle report required by the Federal Supply Service, General Services Administration is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Supply Service (Standard Form 82, Annual Motor Vehicle Report); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance check-off sheets, cost ledgers, and claims correspondence and forms.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Motor Vehicle Correspondence Files.</u> Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.
2.	<u>Motor Vehicle Operating and Maintenance Files.</u>	
	a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old.
	b. Maintenance records, including those relating to service and repair.	Destroy when 1 year old.
3.	<u>Motor Vehicle Cost Files.</u> Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet.
4.	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles (other than accident, operating and maintenance reports).	Destroy 3 years after date of report.

GENERAL RECORDS SCHEDULE 10

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Motor Vehicle Accident Files-</u> Records relating to motor vehicle accidents, maintained by transportation offices.	Destroy 6 years after case is closed.
6.	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation or exchange of vehicle	Destroy 4 years after vehicle leaves agency custody.
7.	<u>Motor Vehicle Operation Files.</u> Records relating to individual employment operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (or equivalent agency with similar Government-wide responsibilities) as directed by law and by regulation (60 Stat. 257 and GSA Real Property Management Regulation No. 3); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records which reflect Government-wide programs (such as the records held by the Public Buildings Service of the General Services Administration). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Service before applying these disposition instructions.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Space and Maintenance General Correspondence Files.</u> Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Destroy when 2 years old.
2.	<u>Agency Space Files.</u> Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.	
a.	Building plan files and related agency records utilized in space planning, assignment, and adjustment.	Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
b.	Correspondence with and reports to staff agencies relating to agency space holdings and requirements.	

GENERAL RECORDS SCHEDULE 11

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
(1)	Agency reports to the General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers.	Destroy when 2 years old.
(2)	Copies in subordinate reporting units and related work papers.	Destroy when 1 year old.
3.	<u>Directory Service Files.</u> Correspondence, forms, and other records relating to the compilation of directory service listings.	Destroy 2 months after issuance of listing.
4.	<u>Credentials Files.</u> Identification of credentials and related papers.	
a.	Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.	Destroy credentials 3 months after return to issuing office.
b.	Receipts, indices, listings, and accountable records.	Destroy after all listed credentials are accounted for.
5.	<u>Building and Equipment Service Files.</u> Requests for building and equipment maintenance services, excluding fiscal copies.	Destroy 3 months after work performed or requisition cancelled.

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; summary of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supplementing and related papers; agency copies of penalty mail reports; and records relating to private delivery services (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency, but does not cover records which reflect Government-wide programs, such as records held by the U.S. Postal Service and the Automated Data and Telecommunications Service of the General Services Administration, rather than administrative management functions. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Messenger Service Files.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old.
2.	<u>Communication Correspondence, Reports, and Reference Files.</u>	
a.	Correspondence and related records pertaining to internal administration and operation.	Destroy when 2 years old.
b.	Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	Destroy when 3 years old.
c.	Telecommunications statistical reports including cost and volume data.	Destroy when 1 year old.
d.	Telecommunications reference voucher files.	
(1)	Reference copies of vouchers, bills, invoices, and related records.	Destroy when 1 fiscal year old.

GENERAL RECORDS SCHEDULE 12

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner.
	e. Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement.
3.	<u>Telecommunications Operational Files.</u>	
	a. Message registers, logs, performance reports, daily load reports, and related and similar records.	Destroy when 6 months old.
	b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.	Destroy when 2 months old.
	c. Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
4.	<u>Telephone Summaries.</u>	
	Summaries of long distance telephone report used to indicate authorized use of telephone service as well as to audit expense vouchers.	Destroy after the close of the fiscal year in which audited.
5.	<u>Postal Records.</u>	
	Post Office forms and supporting papers, exclusive of records held by the United States Postal Service.	
	a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts.	Destroy when 1 year old.
	b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.	Destroy when 1 year old.
	c. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.	Destroy when 1 year old.

GENERAL RECORDS SCHEDULE 12

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6.	<u>Mail and Delivery Service Control Files.</u>	
	a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item 5 and those used as indexes to correspondence files.	Destroy when 1 year old.
	b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old.
	c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers.	Destroy when 6 months old.
	d. Statistical reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.
	e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.	Destroy when 1 year old.
	f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	Destroy when 6 months old.
	g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
	h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.
7.	<u>Penalty Mail Report Files.</u> Official penalty mail reports and all related papers.	Destroy when 6 years old.



GENERAL RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8.	<u>Postal Irregularities File.</u> Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Destroy 3 years after completion of investigation.

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the retention or disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplicating, and distribution, except as indicated in the several items. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions, and to record the production, distribution and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

This schedule does not cover (a) records retained by agencies for on-site audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (b) records which reflect agency programs such as those of the Government Printing Office and the Bureau of Engraving and Printing rather than administrative management functions.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Publications Files.</u>	
a.	Record copy if maintained in duplicating or distribution unit, of each publication, poster, chart, regulation, booklet, and similar material. For the disposition of directives, see GRS 16, Item 1; for forms, see GRS 16, Item 4: and for speeches and news releases, see GRS 14, Item 1. (This item does not cover copies and related material retained in originating office.)	Submit SF 115. Request for Records Disposition Authority.
b.	All other copies.	Destroy when superseded, obsolete, or no longer needed.
2.	<u>Administrative Correspondence Files.</u> Correspondence files pertaining to the administration and operation of the unit responsible for printing binding, duplication and distribution matters, and related papers.	Destroy when 2 years old.

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1 FEB 1985  
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GENERAL RECORDS SCHEDULE 13

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>Project Files.</u> Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.</p>	<p>Destroy 1 year after completion of job.</p>
a.	<p>Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of</p> <p>(1) requisitions on the Public Printer and related records; and</p> <p>(2) records relating to services obtained outside the agency.</p>	<p>Destroy 1 year after completion of job.</p>
b.	<p>Files pertaining to planning and other technical matters.</p>	<p>Destroy when 3 years old.</p>
4.	<p><u>Control Files.</u> Control registers pertaining to requisition and work orders.</p>	<p>Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.</p>
5.	<p><u>Mailing Lists.</u></p>	<p>Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.</p>
a.	<p>Correspondence, request forms, and other records relating to changes in mailing lists.</p>	<p>Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.</p>
b.	<p>Card lists.</p>	<p>Destroy individual cards when cancelled or revised.</p>
c.	<p>Plate or stencil mailing lists.</p>	<p>Destroy plates or stencils when cancelled or revised.</p>
6.	<p><u>JCP Reports Files.</u> Reports to Congress and related records.</p>	<p>Destroy when 3 years old.</p>
a.	<p>Agency report to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.</p>	<p>Destroy when 3 years old.</p>

GENERAL RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Copies in subordinate reporting units and related work papers.	Destroy 1 year after date of report.
7.	<u>Internal Management Files.</u> Records relating to internal management and operation of the unit.	Destroy when 2 year old.

GENERAL RECORDS SCHEDULE 14

Informational Service Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day to day affairs and in their relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Items 2 and 6 apply only to files maintained in the office responsible for the operation of the informational activities of the agency or subdivision thereof. Items 16 through 20 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 25 through 30 describe the files created in administering the provisions of the Privacy Act.

These records consist of inquires, replies, and related correspondence; and in the case of FOIA and Privacy Act files, reports and appeal case files; and administrative background material for formal informational releases. Closely related records such as certain records relating to budget presentation, and printing, duplicating, and distribution are covered by other general records schedules. Any records created prior to January 1, 1921, must be offered to the national Archives and Records Service before applying these disposition instructions.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. Public Relations Files.

- |  |   |
|--|---|
| a. Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies of their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. The format selected may be paper, audio or video tape or motion picture film. | Permanent. (1) Offer textual records to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995). (2) Offer audiovisual records to NARS in accordance with GRS 2L                  |
| b. News releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old shifts in policy, and changes in  | Permanent. (1) Offer textual records to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995). (2) Offer audiovisual records to NARS in accordance with GRS 21. programs, major |

GENERAL RECORDS SCHEDULE 14

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	senior agency personnel and may be a textual record such as a formal press release or non-textual record, such as film and video or sound recordings.	
2.	<u>Information Subject Files.</u> Subject files of formally designated informational offices, not covered elsewhere in this schedule.	Submit SF 115, Request for Records Disposition Authority.
3.	<u>Information Requests Files.</u> Requests for information and copies of replies thereof, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other informational literature.	Destroy when 3 months old or when no longer needed. whichever is sooner.
4.	<u>Acknowledgement Files.</u> Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgement and referral.
5.	<u>Press Service Files.</u> Press service teletype news and similar materials.	Destroy when 3 months old.
6.	<u>Information Project Files.</u> Informational service project case files maintained in formally designated informational offices.	Destroy 1 year after close of file or 1 year after completion of project.
7.	<u>Commendation/Complaint Correspondence Files.</u> Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or	Destroy when 3 months old.

GENERAL RECORDS SCHEDULE 14

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	administrative action taken and those incorporated into individual personnel records.	
8.	<u>Indexes and Check Lists.</u> Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to the public relations files described in Item 1.	Destroy when superseded or obsolete.
9.	Through 15. <u>Reserved.</u>	
16.	<u>Freedom of Information Act (FOIA) Requests Files.</u>	
	Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.	
	a. Correspondence and supporting documents ( <u>EXCLUDING</u> the official file copy of the records requested if filed herein).	
	(1) Granting access to all the requested records.	Destroy 2 years after date of reply.
	(2) Responding to requests for nonexisting records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.	
	(a) Request <u>not</u> appealed.	Destroy 2 years after date of reply.
	(b) Request appealed.	Destroy as authorized under Item 17.



GENERAL RECORDS SCHEDULE 14

ITEM NO.	DESCRIPTION OR RECORDS	AUTHORIZED DISPOSITION
	(3) Denying access to all or part of the records requested.	
	(a) Request <u>not</u> appealed.	Destroy 6 years after date of reply.
	(b) Request appealed.	Destroy as authorized under Item 17.
	b. Official file copy of requested records.	Dispose of in accordance with approved agency disposition instruction for the related records, or with the related FOIA requests, whichever is later.
17.	<u>FOIA Appeals Files.</u> Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
	a. Correspondence and supporting documents ( <u>EXCLUDING</u> the file copy of the records under appeal if filed herein).	Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.
	b. Official file copy of records under appeal.	Dispose of in accordance with approved agency disposition instructions for the related record, or with the related FOIA requests, whichever is later.
18.	<u>FOIA Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.	

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1 FEB 1985  
April 12, 1984

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GENERAL RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Register or listing.	Destroy 6 years after date of last entry.
	b. Other files.	Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.
19.	<u>FOIA Reports Files.</u> Recurring reports and one-time information requirements releasing to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.	
	a. Annual reports at departmental or agency level.	Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.
	b. Other reports.	Destroy when 2 years old or sooner if no longer needed for administrative use.
20.	<u>FOIA Administrative Files.</u> Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old or sooner if no longer needed for administrative use.
21.	through 24, <u>Reserved</u>	
25.	<u>Privacy Act Requests Files.</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file	

December 22, 1982

GENERAL RECORDS SCHEDULE 14

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	copy of records requested or copy thereof.	
a.	Correspondence and supporting documents ( <u>EXCLUDING</u> the official file copy of the records requested if filed herein).	
(1)	Granting access to all the requested records.	Destroy 2 years after date of reply.
(2)	Responding the requests for nonexistent records: to requesters who provide descriptions; and to those who fail to pay agency reproduction fees.	
(a)	Requests <u>not</u> appealed	Destroy 2 years after date of reply.
(b)	Requests appealed.	Destroy as authorized under Item 2c.
(3)	Denying access to all or part of the records requested.	
(a)	Requests <u>not</u> appealed.	Destroy 5 years after date of reply.
(b)	Requests appealed.	Destroy as authorized under Item 26.
b.	Official file copy of requested records.	Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.
26.	<u>Privacy Act Amendment Case Files.</u> Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. ? a(d) ( ); to the individual's request for a review of an egency's refusal of the	

GENERAL RECORDS SCHEDULE 14

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	individual's request to amend a record as provided for under 552a(d) (3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).	
	a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto. and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.
	b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts. whichever is later.
	c. Appealed requests to amend. includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.	Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.
27.	<u>Privacy Act Accounting of Disclosure Files.</u> Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

GENERAL RECORDS SCHEDULE 14

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
28.	<p><u>Privacy Act Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor.</p>	<p>a. Registers or listings. Destroy 5 years date of last entry.</p> <p>b. Other files. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.</p>
29.	<p><u>Privacy Act Reports Files.</u> Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.</p>	<p>a. Annual reports at departmental or agency level. Permanent. Offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.</p> <p>b. Other reports. Destroy when 2 years old.</p>
30.	<p><u>Privacy Act General Administrative Files.</u> Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.</p>	<p>Destroy when 2 years old or sooner if no longer needed for administrative use.</p>

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations, or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters of staff office files of the supervising agency, or the files of the HUD, the Department of Health and Human Services, or the Veterans Administration pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts. Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Housing General Correspondence Files.</u> Correspondence files pertaining to the maintenance and management of housing projects.	Destroy when 2 years old.
2.	<u>Housing Maintenance and Repair Files.</u> Maintenance and repair records for individual units.	
a.	Summary card or ledger record.	Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.
b.	Work orders, requisitions, and related papers involved in repair and maintenance work.	Destroy 3 fiscal years following close of fiscal year in which work is done.

GENERAL RECORDS SCHEDULE 15

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>Housing Management Files</u> Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.	Destroy when 2 years old.
4.	<u>Housing Lease Files.</u> Copies of leases, renewals, termination notices, and related papers.	Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.
5.	<u>Housing Assignment and Vacancy Card Files.</u>	
	a. Individual tenant cards.	Destroy when tenant vacates unit.
	b. Individual housing unit cards.	Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.
6.	<u>Housing Inventory Files.</u> Furnishing inventory files, pertaining to items included in furnished units.	Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.
7.	<u>Housing Application Files</u> (other than copies in lease files).	
	a. Rejected application files.	Destroy 1 year from date of rejection.
	b. All others.	Destroy when 2 years old.

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the retention or disposal of certain records relating to administrative management activities in Federal agencies. These activities involve the direction and control of those staff and management improvement programs not under line personnel directing and controlling substantive operations and programs. They exclude records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules, but include records of related specialized procedural and management staffs. Included within the scope of the schedule are the most frequently found files which are created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Service before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level: subordinate components are successively division branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with at least division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule. Because of the nature of the activities documented by administrative management records, a relatively large proportion of them are of continuing value. Files pertaining to a management program in a well defined area, such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist largely of project files, which are established for each separate problem assigned for investigation; the resulting case file is usually of continuing value in documenting the history of how the agency conducted its business. In either event there is a residue of operational materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary work sheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.



GENERAL RECORDS SCHEDULE 16

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<p><u>Formal Directives, Procedural and Operating Manuals.</u>            Formal directives distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally these are issued by authority of the head of the agency. Extensive procedures are frequently detailed in lengthy operating manuals.</p>	<p>Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).</p> <p>Submit SF 115, Request for Records Disposition Authority.</p> <p>Destroy when superseded or obsolete.</p> <p>Destroy when issuance is destroyed.</p>
a.	<p>Issuances related to agency program functions.</p>	<p>Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).</p>
b.	<p>Case files related to (a) above which document important aspects of the development of the issuance.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
c.	<p>Issuances related to routine administrative functions (e.g., payroll, procurement, personnel).</p>	<p>Destroy when superseded or obsolete.</p>
d.	<p>Case files related to (c) above which document aspects of the development of the issuance.</p>	<p>Destroy when issuance is destroyed.</p>
2.	<p><u>Publications.</u>            Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects.</p>	

Enclosure (2) to COMDTINST 5212.12, CH-2  
1 FEB 1985  
April 12, 1984

FPMR 101-11.4  
GSA Bulletin FPMR B-124, Supp.2

GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Record copy with the supporting papers which document the inception, scope, and purpose of the project.	Submit SF 115, Request for Records Disposition Authority.
	b. Working papers and background materials.	See Item 10.
3.	<u>Records Disposition Files.</u> Descriptive inventories, disposal authorizations, schedules, and reports.	
	a. Basic documentation of records description and disposition programs, including SF 115. Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.	Destroy when related records are destroyed, or transferred to the National Archives. or when no longer needed for administrative or reference purposes.
	b. Extra copies and routine correspondence and memoranda.	Destroy when no longer needed for reference.
	c. Working papers and background material.	See Item 10 of this schedule.
4.	<u>Forms Files.</u>	
	a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Destroy 5 years after related form is discontinued, superseded, or cancelled.
	b. Working papers, background materials, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or cancelled.

Abril 12, 1984

GENERAL RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5.	<u>Management Improvement Reports.</u> Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.	Submit SF 115, Request for Records Disposition Authority.
6.	<u>Records Holdings Files.</u>  Statistical reports of agency holdings (including SF 136) required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	
	a. Records held by offices which prepare reports on agency-wide records holdings for submission to the General Services Administration.	Destroy when 3 years old.
	b. Records held by other offices.	Destroy when 1 year old.
7.	<u>Project Control Files.</u> Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Destroy 1 year after the year in which the project is closed.
8.	<u>Reports Control Files.</u> Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	Destroy 2 years after the report is discontinued.

GENERAL RECORDS SCHEDULE 16

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
9.	Superseded by Item 4b of this schedule.	
10.	<u>Working Papers.</u> Project background records, such as studies, analyses, notes, drafts, and interim reports.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
11.	<u>Records Management Files.</u> Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms. ADP systems, and word processing; records management surveys; vital records programs: and all other aspects of records management not covered elsewhere in this schedule.	Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.
12.	<u>Committee and Conference Files.</u>	
	a. Records relating to establishment, organization, membership, and policy.	
	(1) Interagency, advisory, or international committees.	Submit SF 115, Request for Records Disposition Authority.
	(2) Internal committees.	Destroy 2 years after termination of committee.
	b. Records created by committees.	
	(1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees.	
	(a) Records of the sponsor or Secretariat.	Submit SF 115, Request for Records Disposition Authority.

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GENERAL RECORDS SCHEDULE 16

ITEM NO	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	(b) All other copies.	Destroy when 3 years old of when no longer needed for reference, whichever is sooner.
	(2) All other committee records.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.
13.	<u>Organizational Files.</u>	
a.	Organizational charts and reorganization studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.	Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).
b.	Functional statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of an agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.	Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).

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GENERAL RECORDS SCHEDULE 16

<u>ITEM NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Agency histories and selected background materials. Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	Permanent. Offer to NARS in 5 year blocks when 20 years old (e.g., offer 1970-74 block in 1995).
14.	<u>Feasibility Studies.</u> Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Destroy when the completed study is 5 years old.

GENERAL RECORDS SCHEDULE 17

Cartographic, Remote Sensing Imagery, and Related Records

This schedule covers cartographic, remote sensing imagery, and related records that have been created by or for agencies of the Federal Government and those acquired by Federal agencies in the course of business. Records created prior to January 1, 1950, must be offered to the National Archives and Records Service before applying disposition instructions set forth in this schedule.

Cartographic records are graphic representations at reduced scale of selected cultural and physical features of the surface of the earth and other planetary bodies. They include maps, charts (hydrographic, nautical, weather, and aeronautical), photomaps, atlases cartograms, globes, and relief models. Related records are those records that form an integral part of the map-making process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids. Records of the map-making process in automated storage and retrieval system are covered by General Records Schedule 20.

Remote sensing imagery covers aerial photographs and other forms of visual images of the surface of the earth or other planetary bodies taken from airborne or spaceborne vehicles for the purpose of evaluation, measuring, or mapping the cultural and/or physical features of the landscape, and related tabular and graphic indexes necessary for the proper identification and retrieval of these records.

Conventional aerial photographs taken from aircraft produce direct film images from cameras; other forms or imagery such as those from orbiting satellites sometimes require a conversion or alteration of sensor data for digital electronic, or computerized forms to photographic or videographic images before they can be considered imagery. This schedule is limited to visual imagery. Digitized or computerized data are covered by General Records Schedule 20.

Cartographic and remote sensing imagery records that may have continuing legal, administrative, and research value are generally those that have been created or acquired in conjunction with the transaction of agency business or result from agency program responsibilities which constitute evidence of the organization, functions, decisions, and operations of the Federal Government. Additional descriptive information applicable to the disposition instructions for selected items is included in explanatory notes at the end of this schedule.

The General Records Schedule for cartographic, remote sensing imagery, and related records is broad in scope and meant to complement approved agency records schedules and other General Records Schedules. If an item in this schedule is at variance or is inconsistent with an approved agency records schedule, such discrepancies should be brought to the attention of the National Archives and Records Service (NARS). In such cases, disposition should be made in accordance with specific instructions provided by NARS.

GENERAL RECORDS SCHEDULE 17

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<p><u>Manuscript and Annotated Maps.</u> Hand-drawn maps (generally in pencil, ink, or colors on paper or tracing cloth), maps made with stickup and similar adhesives, and maps that bear significant manuscript annotations, changes, or additions. Included are maps compiled in the office for administrative use, for research, or for exhibits and wall displays; map enclosures to reports or correspondence: original topographic planetable sheets, terrain sketches, and nautical depth-sounding sheets derived from field observations and surveys; final manuscript "smooth sheets" and "fair sheets" showing the results of surveys: maps or aerial photographic prints annotated with field survey information, initial hand-drawn photogrammetric stereoplottings from aerial photographs; and proof sheets or overlays that bear annotations resulting from field checking or verification of survey data or that are annotated to show source of information used on the map.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
2.	<p><u>Cartographic Records Prepared During Intermediate Stages of Publication</u> Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.</p>	<p>Destroy 1 year after publication of resultant map or 1 year after no longer needed for revision.</p>



GENERAL RECORDS SCHEDULE 17

ITEM NO	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
3.	<p><u>Published Maps.</u> One copy of each published map, atlas, portfolio, and photomap produced by an agency, including edition and variant, and all related indexes (in map or other form).</p>	<p>Permanent. Break file at regular intervals (1 to 5 years) and offer to NARS.</p>
4.	<p><u>Map History Case Files and Source Material.</u> Map history and chart history case files documenting the chronological events in planning, surveying, field work, and production and revision of specific maps, and files containing or describing the sources of information for specific maps, including map specifications, location diagrams, notes kept by the cartographers when making maps, maps or photographs from which information was abstracted, correspondence, reports, bibliographies, lists of sources, and papers showing information about the origin and spelling of place names.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
5.	<p><u>Maps on Microfilm.</u></p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
a.	<p>If both original hardcopy maps and microfilm copies exist.</p>	<p>Submit SF 115, Request for Records Disposition Authority.</p>
b.	<p>If only the microfilm copies exist.</p>	<p>Dispose of in accordance with instructions for related hardcopy records.</p>
6.	<p><u>Computer Related Maps.</u></p>	<p>Submit SF 258, Request for Transfer of Records.</p>
a.	<p>One copy of each published, manuscript, or computer produced map produced by the agency that shows such administrative information as the general geographic coverage of a computer system or the geographic location of all input stations used in the system.</p>	<p>Submit SF 258, Request for Transfer of Records.</p>

GENERAL RECORDS SCHEDULE 17

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Hardcopy maps acquired as sources of data for a computer system.	Submit SF 115, Request for Records Disposition Authority.
c.	Computer-plotted maps (hardcopy printouts or microfilm output).	Submit SF 115, Request for Records Disposition Authority.
7.	<u>Globes, Terrain Models, and Raised Relief Maps.</u> Three-dimensional terrain models and raised relief maps (made of plaster, wood, plastic, or other material).	
a.	One representative sample of each type.	Permanent. Offer to NARS within one year of production or when no longer needed.
b.	Remaining items.	Dispose of when no longer needed for agency use.
8.	<u>Finding Aids.</u> Graphic or written indexes and other finding aids relating to maps.	Dispose of in accordance with instructions for related maps.
9.	<u>Survey Field Notes, Geodetic Controls, and Computations</u> (hardcopy or Microfilm). Field notes from surveys, observations, and explorations, consisting of a running account of the terrain, geological notes, a record of water depths, a daily log or journal, often in the form of pocket-size notebooks carried by the observer in the field, triangulation diagrams, aerial photographs annotated with geodetic control data, and survey computations.	Submit SF 258, Request for Transfer of Records.
10.	- 15. <u>Reserved.</u>	

GENERAL RECORDS SCHEDULE 17

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
16.	<u>Vertical and Oblique Aerial Film, Conventional Aircraft.</u> Vertical and oblique film in black and white, color, or "false color," including photo indexes (controlled or uncontrolled mosaics), flight line indexes or coordinate grid systems used as finding aids.	
	a. Original or master negative.	Submit SF 115, Request for Records Disposition Authority.
	b. Copy negatives, internegatives, rectified negatives, and glass plate negatives.	
	(1) Annotated.	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated.	Destroy when no longer needed for agency use.
	c. Prints.	
	(1) Annotated.	Submit SF 115, Request for Records Disposition Authority.
	(2) Unannotated.	Destroy when no longer needed for agency use.
17.	<u>Infrared, Ultraviolet, Multispectral (Multi-Band), Video, Imagery Radar, and Related Data Tapes, Converted to a Film Base.</u>	
	a. Original or master negative.	Submit SF 115, Request for Records Disposition Authority.
	b. Prints.	

GENERAL RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
(1)	Annotated.	Submit SF 115, Request for Records Disposition Authority.
(2)	Unannotated.	Destroy when no longer needed for agency use.
18.	<u>Finding Aids.</u> Photo mosaics flight line indexes, coded grids, coordinate grids, and other finding aids relating to remote sensing imagery.	Dispose of in accordance with instructions for related remote sensing imagery records.

EXPLANATORY NOTES

Items 1 through 9

The term "map" is used as a generic term for maps, charts, cartograms, and atlases. The word "published" as used in this schedule means maps or charts reproduced by printing, photograph, or similar processes in multiple copies, whether for limited or general distribution. These may be in single sheet or bound format. If the agency has systematically filed hand-corrected editions with other published maps in a central or master files, it is not desirable to break up the file by the removal of hand-corrected copies; the file should be maintained in its original order.

Item 6b

These are published or manuscript maps acquired, from whatever source, by an agency for the purpose of abstracting geographic information for input into a computer system. They may be of enduring value because they explain the unique information used in the system and they may be necessary to verify the original source of information. They also may contain unique geographic information, beyond what has been abstracted for computer use, not available elsewhere. If the maps are arranged numerically or alphabetically, retain the original and complete order. Finding aids should be retained in conjunction with the maps.

Item 6c

These maps must be evaluated by NARS on a agency-by-agency basis. The evaluation of the maps must take into account the reproducibility, repetitive nature, access, and legibility of the maps.

Item 7

Globes are often unique and valuable items of cartographic expression and as such they may have enduring value (except multiple copies). One sample of each globe produced or accumulated by an agency in the course of its official business should be preserved permanently.

GENERAL RECORDS SCHEDULE 17

Item 8

Graphic indexes are maps containing lines, symbols, or colors designed to show the geographic coverage, limits of state, or completion of each item in a series or multiple set of map records. Other finding aids may include written map lists, box lists, card file indexes, or magnetic tape or other machine-readable finding aids.

Item 9

Survey notes in the form of automated data may be permanently valuable in machine-readable form. Guidelines for the disposition of automated records are found in General Records Schedule 20.

Item 16

Vertical aerial film consists of film images that are exposed with the optical axis of the camera approximately perpendicular to the earth's surface and with the film image as nearly horizontal as practicable. Oblique aerial film consists of film images that are made with the camera axis directed between the horizontal and the vertical. Oblique photography is generally used for reconnaissance purposes. Because oblique reconnaissance photography may be repetitive, it is often possible to select representative sample coverage rather than retaining full coverage of particular conditions, events or phenomena. Representative samples may be selected by agreement with NARS.

Item 17

These sensor systems provide photographic imagery, sometimes after conversion or transferral of information from raw data. The film is considered to be the primary record. The raw data, if machine-readable, is covered by General Records Schedule 28. (Nonphotographic sensor records such as microwave, radiometer, thermal infrared, thermal ultraviolet, and nonimagery radar are not covered by this schedule.)

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately-owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are files of offices having Government-wide or agency-wide responsibilities for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agency-wide security and protective services planning and programming, reflecting basic overall policies and determinations (Item 1), are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Service before applying these disposition instructions.

Security and Protective Services Program Records

Records accumulated by organizational elements having Government-wide or agency-wide responsibilities for administration of security and protective services programs.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Security Policy Files</u> Manuals, directives, plans, reports and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs relating to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.	Submit SF 115, Request for Records Disposition Authority.

Classified Information Accounting and Control Records

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive Orders and statutory or regulatory requirements.

GENERAL RECORDS SCHEDULE 18

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2.	<u>Classified Documents Administrative Correspondence Files.</u> Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered in Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
3.	<u>Document Receipt Files.</u> Classified documents destruction certificates relating to the receipt and issue of classified documents.	Destroy when 2 years old.
4.	<u>Destruction Certificates Files.</u> Certificates relating to the destruction of classified documents.	Destroy when 2 years old.
5.	<u>Classified Document Inventory Files.</u> Forms, ledgers or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	Destroy when 2 years old.
6.	<u>Top Secret Accounting and Control Files.</u>	
	a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.
	b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	Destroy when related document is downgraded, transferred, or destroyed.

GENERAL RECORDS SCHEDULE 18

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
7.	<u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files.	Destroy 2 years after authorization expires,
8.	<u>Classified Document Container Security Files.</u> Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	Destroy when superseded by a new form or list, or upon turn-in of containers.

Facilities Security and Protective Services Records

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

9.	<u>Security and Protective Services Administrative Correspondence Files.</u> Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
10.	<u>Survey and Inspection Files.</u> (Government-owned facilities) Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.	Destroy when 3 years old, or upon discontinuance of facility, whichever is sonner.
11.	<u>Survey and Inspection Files.</u> (privately owned facilities)	



GENERAL RECORD SCHEDULE 18

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers.	Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.
12.	<u>Investigative Files.</u> Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	Destroy when 2 years old.
13.	<u>Property Pass Files.</u> Property pass files, authorizing removal of property or materials,	Destroy 3 months after expiration or revocation.
14.	<u>Guard Assignment Files.</u> Files relating to guard assignments and strength.	
a.	Ledger records.	Destroy 3 years after final entry.
b.	Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	Destroy when 2 years old.
15.	<u>Police Functions Files.</u> Files relating to exercise of police functions.	
a.	Ledger records of arrest, cars ticketed, and outside police contacts.	Destroy 3 years after final entry.

GENERAL RECORDS SCHEDULE 18

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.	Destroy when 2 years old.
	c. Reports on contact of outside police with building occupants.	Destroy when 1 year old.
16.	<u>Personal Property Accountability Files.</u> Files relating to accountability for personal property lost or stolen.	
	a. Ledger files.	Destroy 3 years after final entry.
	b. Reports, loss statements, receipts and other papers relating to lost and found articles.	Destroy when 1 year old.
17.	<u>Key Accountability Files.</u> Files relating to accountability for keys issued.	
	a. For areas under maximum security.	Destroy 3 years after turn-in of key.
	b. For other areas.	Destroy 6 months after turn-in of key.
18.	<u>Visitor Control Files.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	
	a. For areas under maximum security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate.
	b. For other areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate.

GENERAL RECORDS SCHEDULE 18

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
19.	<u>Facilities Checks Files.</u> Files relating to periodic guard force facility checks.	
	a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by Item 25 of this schedule).	Destroy when 1 year old.
	b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 25 of this schedule.	Destroy when 1 month old.
20.	<u>Guard Service Control Files.</u>	
	a. Control center key or code records, emergency call cards. and building record and employee identification cards.	Destroy when superseded or obsolete.
	b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.	Destroy when 1 year old.
	c. Automatic machine patrol charts and registers of patrol and alarm services.	Destroy when 1 year old.
	d. Arms distribution sheets, charge records, and receipts.	Destroy 3 months after return of arms.
21.	<u>Logs and Registers.</u> Guard logs and registers not covered elsewhere in this schedule.	
	a. Central guard office master logs.	Destroy 2 years after final entry.
	b. Individual guard post logs of occurrences entered in master logs.	Destroy 1 year after final entry.

GENERAL RECORDS SCHEDULE 18

Personnel Security Clearance Records

Records accumulating from investigations of personnel conducted under Executive Orders and statutory or regulatory requirements.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
22.	<u>Security Clearance Administrative Subject Files.</u> Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
23.	<u>Personnel Security Clearance Files-</u> Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.	
a.	Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.	Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.
b.	Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.	Destroy in accordance with the investigating agency instructions.

Enclosure (2) to COMDTINST M5212.12, CH-2  
1985  
FPMR 101-11.4  
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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. Index to the Personnel Security Case Files.	Destroy with related case file.
24.	<u>Personnel Security Clearance Status Files.</u> Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete.
25.	<u>Security Violations Files.</u> Case files relating to investigations of alleged violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information.	
	a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determination, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.	Destroy 5 years after close of case.
	b. All other files, exclusive of papers placed in official personnel folders.	Destroy 2 years after completion of final action or when no longer needed, whichever is sooner.
26.	<u>Classified or Classifiable information Nondisclosure Agreements.</u> Copies of nondisclosure agreements, such as SF 189, Classified Information Nondisclosure Agreement, signed by employees with access to information which is classified or classifiable under standards put forth by Executive Order 12356. These forms should be maintained separately from personnel security clearance files.	Destroy when 50 year old.

GENERAL RECORDS SCHEDULE 18

Emergency Planning Records

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSTION</u>
27.	<u>Emergency Planning Administrative Correspondence Files.</u> Correspondence files relating to administration and operation of the emergency planning program. not covered by Item 1 or elsewhere in this schedule.	Destroy when 2 years old.
28.	<u>Emergency Planning Case Files.</u> Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background papers.	
	a. One record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files	Permanent. Cut off when superseded or obsolete. Offer to NARS when 15 years old in 10 year blocks (e.g., offer 1970-79 block in 1995).
	b. Case file copy of plan or directive if agency record copy is maintained in a master directives file and all related background materials.	Destroy 3 years after issuance of a new plan or directive.
29.	<u>Emergency Directives Reference Files.</u> Copies of directives and plans issued by the agency (other than those maintained in case files described in Item 28 above, as well as those issued by FEMA, other Federal agencies, State and local governments, and the private sector.	Destroy when obsolete or superseded.

Enclosure (2) to COMDTINST M5212.12, CH-2  
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30. Emergency Planning Reports.  
Agency reports of operations tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans. Permanent. Cut off when relat plan or directive becomes obsolete or is superseded. Offer to NARS when 15 years old in 10 year blocks (e.g., offer 1970-79 block in 1995).
31. Emergency Operations Tests Files.  
Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports (excluding consolidated and comprehensive reports under Item 30 above). Destroy when 3 years old.

Enclosure (2) to COMDTINST M5212.12, CH-4  
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GENERAL RECORDS SCHEDULE 19

RESERVED



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 ADP 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.

Item	File function/ designation	Consisting of	Which are	Then	GENERAL RECORDS SCHEDULE 20
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.		

GENERAL RECORDS SCHEDULE 20

**Part I - Master Files**

Item	File function/ designation	Consisting of	Which are	Then	GENERAL RECORDS SCHEDULE 20
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.	

GENERAL RECORDS SCHEDULE 20

Part I - Master Files

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.

GENERAL RECORDS SCHEDULE 20

GENERAL RECORDS SCHEDULE 20

**Part I - Master Files**

<b>Item</b>	<b>File function/ designation</b>	<b>Consisting of</b>	<b>Which are</b>	<b>Then</b>	<b>GENERAL RECORDS SCHEDULE 20</b>
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. <sup>1</sup> /	

<sup>1</sup>Schedule subsequent magnetic media under Part I, items 13-17.

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, Request for 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, Request for Records Disposition Authority.
24			created from files authorized for disposal under this General Records Schedule	Dispose of as provided for related data.

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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/
28			not required for GAO site audit but serve as record copy	Dispose of in accordance with instructions applicable to hard copy. 2/
29			not required for GAO site audit and do not serve as record copy	Dispose of as reference material.

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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.

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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.

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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.

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<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.

GENERAL RECORDS SCHEDULE 20

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.

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.

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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.

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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.

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GENERAL RECORDS SCHEDULE 20

Item	File function/ designation	Consisting of	Which are	Then	GENERAL RECORDS SCHEDULE 20			
9	Output specifications	detailed descriptions of products of the system that are to be used outside the computer center	listings of each type of output by title and tag, format specifications, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy conditions, and disposition of output	Retain with related data file.		GENERAL RECORDS SCHEDULE 20		
10	Reports	printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related data	Retain one copy with related file specifications.			GENERAL RECORDS SCHEDULE 20	
11	Information retrieval	series of machine instructions designed to retrieve information from specific data systems	general-purpose programs	Dispose of when no longer needed.				GENERAL RECORDS SCHEDULE 20
12			special-purpose programs for data files for which disposal is authorized	Dispose of with related data file.				
13			special-purpose programs for data files for which disposal is not authorized	Retain with related data file.	GENERAL RECORDS SCHEDULE 20			

GENERAL RECORDS SCHEDULE 20

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 "SubmitSF 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.

ITEM

<u>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 officers; in these cases, elements should be scheduled as distinct series.

**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 bandbills, 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

Records 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 printing 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

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 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

Video Recordings (Cont'd)

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	shot for research and development, fact-finding or other studies.	

Sound Recordings

Record Elements

- (a) Conventional mass-produced, multiple copy disc recordings: the master tape, matrix or stamper, and one disc pressing.
- (b) Magnetic audio tape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation of each recording, and a dubbing, if one exists.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
46.	Recordings of meetings made exclusively for notetaking or transcription.	Destroy immediately after use.
47.	Dictation belts or tapes.	Destroy immediately after use.
48.	Pre-mix sound elements created during the course of a motion picture, television, or radio production.	Destroy immediately after use.
49.	Library sound recordings (e.g., effects, music).	Destroy when no longer needed.
50.	Daily or spot news recordings available to local radio stations on a call-in basis.	Destroy when six months old or when no longer needed.
51.	Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 41 CFR 101-11.411-4.	Destroy when no longer needed.
52.	Agency-sponsored radio programs intended for public broadcast.	Submit SF 115, Request for Records Disposition Authority.
53.	Agency-sponsored radio news releases and information programs.	Submit SF 115.
54.	Agency-sponsored radio public service (or "spot") announcements.	Submit SF 115.

GENERAL RECORDS SCHEDULE 21

Sound Recordings (Cont'd)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
55.	Internal management news or information programs.	Submit SF 115.
56.	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.
57.	Oral history collections.	Submit SF 115.
58.	Recordings or programs produced under grant that are submitted to the agency.	Submit SF 115 (see also GRS 3, Item 18).
59.	Recordings or programs acquired from outside sources that document or are used to carry out agency programs.	Submit SF 115.
60.	Media appearances by top agency officials.	Submit SF 115.
61.	Documentary recordings made for fact-finding or other studies.	Submit SF 115.

Related Documentation

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
62.	Production files or similar files that document origin, development, acquisition, use, and ownership. (May include scripts, contracts, transcripts, releases, etc.)	Dispose of according to instructions covering the related audiovisual records.
63.	Finding aids for identification, retrieval, or use. (May include indexes, catalogs, shelf lists, log books, caption sheets, shotlists, continuities, etc., and may be in text, card, microform, or machine-readable format.)	Dispose of according to instructions covering the related audiovisual records.

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 22

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
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).	Permanent. Offer to NARS when file is inactive (see introduction to this schedule).
	(1) Final Working Drawings.	
	(2) "As Built" Drawings.	
	(3) Shop Drawings.	
	(4) Repair and Alteration Drawings.	
	(5) Standard Drawings.	
	(6) Specifications and related records.	

GENERAL RECORDS SCHEDULE 22

ITEM NO.	<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.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part:  Submit SF 115, Request for Records Disposition Authority.
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 laws.
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  
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

## 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 23

Records Common to Most Offices

This schedule provides for the disposal or retention of certain records common to most offices in all Federal agencies. The records covered by this schedule relate to routine internal administrative and housekeeping activities. The records generally serve facilitative or informational purposes. They are not basic program records and are not part of official program files. They are often extra copies of documents whose record copies must be scheduled by submitting an SF 115, Request for Records Disposition Authority, or are scheduled in the office of primary responsibility by such other General Records Schedules as Schedule 5, Budget Preparation, Presentation, and Appointment Records, and Schedule 16, Administrative Management Records.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Office Administrative Files.</u> Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, those records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administrative of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office. <u>Note:</u> This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the agency. See GRS 16, Item 13.	Destroy when 2 years old or when no longer needed, whichever is sooner.
2.	<u>Schedules of Daily Activities.</u> Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity. Materials determined	

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	to be "personal records" are not covered by this item.	
a.	Records containing substantive information relating to the official activities of high level officials, the substance of which has <u>not</u> been incorporated into memoranda, reports, correspondence, or other records included in the official files. (High level officials include the heads of departments and independent agencies, their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials: staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.)	(1) Submit SF 258, Request for Transfer of Records. (2) If the offer is not accepted, destroy the records when 6 years old.
b.	Records of other than high level Federal employees as defined in "a" above containing substantive information relating to official activities, the substance of which has <u>not</u> been incorporated into official files.	Destroy when 2 years old.
c.	Routine materials containing <u>no</u> substantive information regarding the daily activities of other than high level officials as defined in "a" above; and records of all Federal employees containing substantive information, the substance of which has been incorporated into official files.	Destroy when no longer needed.

GENERAL RECORDS SCHEDULE 23

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<p><u>Suspense Files.</u> Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.</p>	
a.	A note or other reminder to take some other action.	Destroy after action is taken.
b.	The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.	Withdraw papers when reply if received. (1) If suspense copy is an extra copy, destroy immediately. (2) If the suspense copy is the file copy, incorporated it into the official files.
4.	<p><u>Transitory Files.</u> Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.</p>	Destroy when 3 months old or when no longer needed, whichever is sooner.
a.	Requests for information or publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply, such as requests for publications or other printed material.	
b.	Letters of transmittal. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.	



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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	<p>Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.</p>	
5.	<p><u>Routine Control Files.</u> Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records chargeout, and other similar records used solely to control work flow and to record routine and merely facilitative actions taken.</p>	<p>Remove from related records and destroy when work is completed or when no longer needed for operating purposes.</p>
6.	<p><u>Technical Reference Files.</u> Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally. Note: Reference materials relevant to permanent records accessioned by or scheduled to be accessioned by the National Archives should be offered to NARS for appraisal (submit SF 258).</p>	<p>Review annually and destroy material of no further reference value.</p>
7.	<p><u>Finding Aids.</u> Indexes, lists, registers, and other finding aids necessary for the efficient use of other records.</p>	

GENERAL RECORDS SCHEDULE 23

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	Finding aids for series that have been accessioned by the National Archives and those relating to major program case files not previously authorized for disposal.	Submit SF 115, Request for Records Disposition Authority.
b.	All other finding aids.	Follow disposition instructions for the records to which they relate, or destroy when no longer needed for reference.

GENERAL RECORDS SCHEDULE 24

Temporary Commissions, Committees, and Boards Records.

This schedule relates to records that are most often created by a temporary commission, committee, board, conference, task force, or similar organization. These organizations are usually established by an Act of Congress or Executive Order for a period of two years or less to study specific problems and report their findings to Congress and/or the President. Since most of these organizations are attached to other Federal agencies to handle their administrative records, such as those relating to personnel, payroll, and fiscal matters, this schedule relates mainly to the program records of the organizations. Program records are those records created or received and maintained by an agency in the conduct of the substantive functions for which it was created. They include records produced by contractors and consultants for the agency. Program records may consist of textual (manuscript) and/or non-textual (machine-readable and audiovisual) records. Records which are required to be offered to the National Archives are indicated under the disposition authority as "Submit SF 258." This Request for Transfer of Records should be submitted to the National Archives and Records Service at least 60 days prior to the termination of the organization.

For convenience, the term "Commission" is used in this schedule to cover all types of temporary organizations.

ITEM

<u>NO</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Commission Meetings Files.</u> The meetings files of a Commission, including those held in executive session, generally consist of the agenda, minutes of meetings and briefing materials for the Commissioners.	Submit SF 258, Request for Transfer of Records, 60 days prior to the termination date of the Commission.
2.	<u>Public Hearings Files.</u> The public hearings files generally consist of the edited and unedited transcripts of the hearings.	Submit SF 258.
3.	<u>General Correspondence Files.</u> General correspondence files consist of letters received and copies of letters sent concerning the overall mission of the Commission.	Submit SF 258.
4.	<u>Publication Files</u> Publication files consist of one copy of each published report.	Submit SF 258.

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	study, pamphlet, booklet, poster, and other publications produced by or for the Commission.	
5.	<u>News Release Files.</u> News release files consist of one copy of each release issued by the Commission.	Submit SF 258.
6.	<u>Speech Files.</u> Speech files consist of one copy of each speech by Commission executives relating to the mission of the Commission.	Submit SF 258.
7.	<u>Press Conference Files.</u> Press conference files consist of the transcripts of each press conference held by the Commission.	Submit SF 258.
8.	<u>Organizational Files.</u> Organizational files consist of records relating to the overall organization of the Commission and any changes to it. Included are organizational charts, functional statements, budget records, biographical information on Commissioners, directives or memorandums to the staff concerning their responsibilities, and related materials.	Submit SF 258.
9.	<u>Unpublished Studies Files.</u> Unpublished studies files consist of the final version of each unpublished study or report prepared by the Commission staff or by an individual or organization under contract.	Submit SF 258.

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ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10.	<p><u>Project Subject Files.</u> Project subject files consist of all records relating to a specific project from inception to completion. Included are correspondence with other Federal agencies, State and local governments, private companies, organizations, and institutions, and private individuals; questionnaires; memorandums; staff and contractor studies and reports; and related records.</p>	Submit SF 258.
11.	<p><u>Audiovisual Files.</u> Audiovisual files consist of still pictures, motion picture films, sound recordings, video recordings, and related documentation produced by or for the Commission.</p>	<p>Submit SF 258. See General Records Schedule 21, Audiovisual Records, for guidelines.</p>
12.	<p><u>Chronological Files.</u> Chronological or reading files maintained at the Commissioner level or for the entire Commission, excluding files maintained by individual staff members or project offices.</p>	Submit SF 258.
13.	- 15. <u>Reserved.</u>	
16.	<p><u>Machine-Readable Files.</u> Machine-readable files consist of records which require processing and decoding for conversion to human-readable information and are usually stored on media, such as computer tape or random access computer disc, which make them easy to store, modify, and update. The major kinds of machine-readable records may include:</p>	
	a. Mission Oriented Master Files.	

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ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Records constituting the definitive state of a data file in a system at a given time. The principal types of mission oriented master files contain statistical information including economic, social, natural resources, political or judicial data; national security or international relations information; and scientific information including environmental, oceanographic, atmospheric and medical data.	
	1) When created or received by the Commission in pursuance of Federal law or in connection with the transaction of public business.	Submit SF 258.
	2) When created under contract and are in the possession of the contractor.	Submit SF 258.
b.	Machine-Readable Indices (Information Retrieval Files). Records used to facilitate access to textual or non-textual records.	Submit on the SF 258 for the related records.
c.	Housekeeping Master Files. Records documenting the routine administrative processes, such as fiscal accountability, supply management, and payroll administration.	See General Records Schedule 30, Part I, Items 27, 28, 29.
d.	Mission and Housekeeping Processing Files.	

GENERAL RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Records including input, work, and valid transaction files which comprise the life cycle of computerized records prior to the production of a given master file.	See General Records Schedule 20, Part II.
	e. Documentation. Records required for servicing machine-readable records. They include file specifications, user guides, output specifications, codebook, input form, record layouts, editing procedures, and reports.	See General Records Schedule 20, Part III.
17.	- 19. <u>Reserved.</u>	
20.	<u>All Records Not Covered Elsewhere in This Schedule or in the Other General Records Schedules.</u>	Submit SF 258.
21.	<u>Staff Reference Files.</u> Staff reference files include drafts of correspondence, reports and studies; copies of materials retained under other items of this schedule; and publications from other government agencies, or private organizations and institutions.	Destroyer when obsolete, superseded, or on termination.
22.	<u>Mailing Lists.</u> Lists of individuals and organizations that are to receive copies of the Commission reports.	Destroy when obsolete, superseded, or on termination.
23.	<u>General Administrative Files.</u> General administrative files are those pertaining to the internal operation of the Commission, such as personnel, payroll, and fiscal records. The agency to which the Commission is attached for administration maintains the official files.	(a) Transfer to the administrative agency any records needed to complete their files.  (b) Destroy remaining files on termination.

GENERAL RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
24.	<u>Transitory Correspondence.</u> Correspondence requiring no substantive reply, such as requests for publications and general information.	Destroy when request is completed or on termination.
25.	<u>Rejected Offers.</u> Records offered to the National Archives but appraised as lacking sufficient research or other value to warrant permanent retention.	Destroy immediately.



GENERAL RECORDS SCHEDULE 25

Inspector General Records

The Inspectors General monitor agency programs and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected government agencies. Several other agencies have created nonstatutory OIGs. An OIG conducts and supervises audits and investigations; recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. Statutory OIGs must submit semiannual reports to the Congress. This schedule covers investigative, audit, and related records created or maintained by an OIG in performing its duties and responsibilities.

| This schedule (1) does not cover records created or accumulated by Inspectors  
 | General of military agencies (i.e., the Department of Defense and all DOD  
 | components) and the Central Intelligence Agency and (2) may not cover all records  
 | created or accumulated by Inspectors General of other agencies. OIG  
 | records, including machine-readable records, are not authorized for disposal  
 | unless they are covered by this schedule, by another General Records Schedule, or  
 | by an agency schedule approved by the National Archives and Records  
 | Administration. Disposition of such records may be effected only after NARA  
 | approval of an SF 115, Request for Records Disposition Authority.

ITEM

NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<p><u>Policy and Procedures Files.</u>            Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations. Also records on planning and developing OIG policies and procedures. Consist of manuals, handbooks, directives, and working papers.</p>	<p>Permanent. Cut off when superseded or obsolete. Offer to NARA in 10 year blocks when 10 years old.</p>
a.	<p>One record copy of each if not included in the agency's permanent set of master directives files or the record set of publications.</p>	<p>Permanent. Cut off when superseded or obsolete. Offer to NARA in 10 year blocks when 10 years old.</p>
b.	<p>All other copies</p>	<p>Destroy when no longer needed.</p>
c.	<p>Working papers and background materials.</p>	<p>Destroy when no longer needed.</p>

## GENERAL RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
2.	<u>Semiannual Report to the Congress Files.</u> Reports prepared by the statutory OIGs and submitted to the Congress, and working papers. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30. For details on the composition of these reports, see Section 5, Public Law 95-452, as amended by P.L. 97-252.	Permanent. Cut off upon transmission to the Congress. Offer to NARA in 10 year blocks when 10 years old.
a.	Record copy of report.	
b.	Other copies of the report.	Destroy when no longer needed.
c.	Working papers.	Destroy when no longer needed.
3.	<u>Investigative Case Files.</u> Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.	

## GENERAL RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
a.	Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.	Destroy when five years old.
b.	All other investigative case files.	Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.
4.	<u>Audit Case Files.</u> Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consist of audit reports, correspondence, memoranda, and supporting working papers.	Cut off file at end of fiscal year after close of case. Destroy 8 years after cutoff.
5.	<u>Indexes to Case Files.</u> Used as references to investigative and audit case files.	Destroy when superseded or obsolete.

GENERAL RECORDS SCHEDULES

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