

AN ACT

To amend the Federal Property and Administrative Services Act of 1949, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the parenthetical expression appearing in clause (1) of the final sentence of subsection (a) of section 109 of the Federal Property and Administrative Services Act of 1949 (Public Law 152, Eighty-first Congress) is amended to read as follows:

"(including the purchase from or through the Public Printer, for warehouse issue, of standard forms, blankbook work, standard specifications, and other printed material in common use by Federal agencies not available through the Superintendent of Documents)."

SEC. 2. (a) Clause (2) of the final sentence of subsection (a) of section 109 of the Federal Property and Administrative Services Act of 1949, as hereinbefore amended, is amended to read as follows: "(2) for paying the purchase price, transportation to first storage point of supplies and services, and the cost of personal services employed directly in the repair, rehabilitation, and conversion of personal property."

(b) The third sentence of subsection (b) of section 109 of such Act is amended to read as follows: "On and after such date, such prices shall be fixed at levels so as to recover so far as practicable the applicable purchase price, the transportation cost to first storage point, inventory losses, the cost of personal services employed directly in the repair, rehabilitation, and conversion of personal property, and the cost of amortization and repair of equipment utilized for lease or rent to executive agencies."

(c) The amendments made by this section shall be effective on the date, not earlier than July 1, 1950, on which the Administrator of General Services shall determine that appropriated funds adequate to effectuate the purposes of such amendments have been made available.

SEC. 3. (a) The final sentence of subsection (b) of section 109 of the Federal Property and Administrative Services Act of 1949 is amended to read as follows: "Where an advance of funds is not made, the General Services Administration shall be reimbursed promptly out of funds of the requisitioning agency in accordance with accounting procedures approved by the Comptroller General: *Provided*, That in any case where payment shall not have been made by the requisitioning agency within forty-five days after the date of billing by the Administrator or the date on which an actual liability for supplies or services is incurred by the Administrator, whichever is the later, reimbursement may be obtained by the Administrator by

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the issuance of transfer and counterwarrants, or other lawful transfer documents, supported by itemized invoices."

(b) Section 109 of the Federal Property and Administrative Services Act of 1949 is amended by adding at the end thereof the following new subsection:

"(g) Whenever any producer or vendor shall tender any article or commodity for sale to the General Services Administration or to any procurement authority acting under the direction and control of the Administrator pursuant to this Act, the Administrator is authorized in his discretion, with the consent of such producer or vendor, to cause to be conducted, in such manner as the Administrator shall specify, such tests as he shall prescribe to determine whether such article or commodity conforms to prescribed specifications and standards. When the Administrator determines that the making of such tests will serve predominantly the interest of such producer or vendor, he shall charge such producer or vendor a fee which shall be fixed by the Administrator in such amount as will recover the cost of conducting such tests, including all components of such cost, determined in accordance with accepted accounting principles. When the Administrator determines that the making of such tests will not serve predominantly the interest of such producer or vendor, he shall charge such producer or vendor such fee as he shall determine to be reasonable for the furnishing of such testing service. All such fees collected by the Administrator may be deposited in the General Supply Fund to be used for any purpose authorized by subsection 109 (a) of this Act."

SEC. 4. Paragraphs (1) and (2) of section 203 (j) of the Federal Property and Administrative Services Act of 1949 are amended to read as follows:

"(1) Under such regulations as he may prescribe, the Administrator is authorized in his discretion to donate for educational purposes or public health purposes, including research, in the States, Territories, and possessions without cost (except for costs of care and handling) such equipment, materials, books, or other supplies under the control of any executive agency as shall have been determined to be surplus property and which shall have been determined under paragraph (2) or paragraph (3) of this subsection to be usable and necessary for educational purposes or public health purposes, including research.

"(2) Determination whether such surplus property (except surplus property donated in conformity with paragraph (3) of this subsection) is usable and necessary for educational purposes or public health purposes, including research, shall be made by the Federal Security Administrator, who shall allocate such property on the basis of needs and utilization for transfer by the Administrator of General Services to tax-supported medical institutions, hospitals, clinics, health centers, school systems, schools, colleges, and universities, and to other non-profit medical institutions, hospitals, clinics, health centers, schools, colleges, and universities which have been held exempt from taxation under section 101 (6) of the Internal Revenue Code, or to State departments of education or health for distribution to such tax-supported and non-profit medical institutions, hospitals, clinics, health centers, school systems, schools, colleges, and universities; except that

in any State where another agency is designated by State law for such purpose such transfer shall be made to said agency for such distribution within the State."

SEC. 5. The Federal Property and Administrative Services Act of 1949 is amended by—

(a) redesignating section 210 thereof as section 212, and whenever such section number appears in such Act as originally enacted, it is amended to conform to the redesignation prescribed by this subsection;

(b) inserting in the table of contents appearing in the first section of such Act, immediately after the line in which "Sec. 209." appears, the following:

"Sec. 210. Operation of buildings and related activities.

"Sec. 211. Motor vehicle identification."

(c) inserting, immediately after section 209 thereof, the following new sections:

"OPERATION OF BUILDINGS AND RELATED ACTIVITIES

"SEC. 210. (a) Whenever and to the extent that the Administrator has been or hereafter may be authorized by any provision of law other than this subsection to maintain, operate, and protect any building, property, or grounds situated in or outside the District of Columbia, including the construction, repair, preservation, demolition, furnishing, and equipment thereof, he is authorized in the discharge of the duties so conferred upon him—

"(1) to purchase, repair, and clean uniforms for civilian employees of the General Services Administration who are required by law or regulation to wear uniform clothing;

"(2) to furnish arms and ammunition for the protection force maintained by the General Services Administration;

"(3) to pay ground rent for buildings owned by the United States or occupied by Federal agencies, and to pay such rent in advance when required by law or when the Administrator shall determine such action to be in the public interest;

"(4) to employ and pay personnel employed in connection with the functions of operation, maintenance, and protection of property at such per diem rates as may be approved by the Administrator, not exceeding rates currently paid by private industry for similar services in the place where such services are performed;

"(5) without regard to the provisions of section 322 of the Act of June 30, 1932 (47 Stat. 412), as amended, to pay rental, and to make repairs, alterations, and improvements under the terms of any lease entered into by, or transferred to, the General Services Administration for the housing of any Federal agency which on June 30, 1950, was specifically exempted by law from the requirements of said section;

"(6) to obtain payments, through advances or otherwise, for services, space, quarters, maintenance, repair, or other facilities furnished, on a reimbursable basis, to any other Federal agency, or any mixed-ownership corporation (as defined in the Government Corporation Control Act), or the District of Columbia, and to credit such payments to the applicable appropriation of the General Services Administration;

"(7) to make changes in, maintain, and repair the pneumatic tube system connecting buildings owned by the United States or occupied by Federal agencies in New York City installed under franchise of the city of New York, approved June 29, 1909, and June 11, 1928, and to make payments of any obligations arising thereunder in accordance with the provisions of the Acts approved August 5, 1909 (36 Stat. 120), and May 15, 1928 (45 Stat. 533) ;

"(8) to repair, alter, and improve rented premises, without regard to the 25 per centum limitation of section 322 of the Act of June 30, 1932 (47 Stat. 412), as amended, upon a determination by the Administrator that by reason of circumstances set forth in such determination the execution of such work, without reference to such limitation, is advantageous to the Government in terms of economy, efficiency, or national security: *Provided*, That such determination shall show that the total cost (rentals, repairs, alterations, and improvements) to the Government for the expected life of the lease shall be less than the cost of alternative space which needs no such repairs, alterations, or improvements. A copy of every such determination so made shall be furnished to the General Accounting Office;

"(9) to pay sums in lieu of taxes on real property declared surplus by Government corporations, pursuant to the Surplus Property Act of 1944, where legal title to such property remains in any such Government corporation;

"(10) to furnish utilities and other services where such utilities and other services are not provided from other sources to persons, firms, or corporations occupying or utilizing plants or portions of plants which constitute (A) a part of the National Industrial Reserve pursuant to the National Industrial Reserve Act of 1948, or (B) surplus real property, and to credit the amounts received therefrom to the applicable appropriation of the General Services Administration;

"(11) at the direction of the Secretary of Defense, to use proceeds received from insurance against damage to properties of the National Industrial Reserve for repair or restoration of the damaged properties; and

"(12) to acquire, by purchase, condemnation, or otherwise, real estate and interests therein.

"(b) At the request of any Federal agency or any mixed-ownership corporation (as defined in the Government Corporation Control Act), or the District of Columbia, the Administrator is hereby authorized to operate, maintain, and protect any building owned by the United States (or, in the case of any wholly owned or mixed-ownership Government corporation, by such corporation) and occupied by the agency or instrumentality making such request.

"(c) At the request of any Federal agency or any mixed-ownership corporation (as defined in the Government Corporation Control Act), or the District of Columbia, the Administrator is hereby authorized (1) to acquire land for buildings and projects authorized by the Congress; (2) to make or cause to be made, under contract or otherwise, surveys and test borings and to prepare plans and specifications for such buildings and projects prior to the approval by the Attorney General of the title to the sites thereof; and (3) to contract for, and

to supervise, the construction and development and the equipping of such buildings or projects. Any sum available to any such Federal agency or instrumentality for any such building or project may be transferred by such agency to the General Services Administration in advance for such purposes as the Administrator shall determine to be necessary, including the payment of salaries and expenses of personnel engaged in the preparation of plans and specifications or in field supervision, and for general office expenses to be incurred in the rendition of any such service.

"(d) Whenever the Director of the Bureau of the Budget shall determine such action to be in the interest of economy or efficiency, he shall transfer to the Administrator all functions then vested in any other Federal agency with respect to the operation, maintenance, and custody of any office building owned by the United States or any wholly owned Government corporation, or any office building or part thereof occupied by any Federal agency under any lease, except that no transfer shall be made under this subsection—

"(1) of any post-office building unless the Director shall first determine that such building is not used predominantly for post-office purposes, and functions which are transferred hereunder to the Administrator with respect to any post-office building may be delegated by him only to another officer or employee of the General Services Administration or to the Postmaster General;

"(2) of any building located in any foreign country;

"(3) of any building located on the grounds of any fort, camp, post, arsenal, navy yard, naval training station, airfield, proving ground, military supply depot, or school, or of any similar facility of the Department of Defense, unless and to such extent as a permit for its use by another agency or agencies shall have been issued by the Secretary of Defense or his duly authorized representative;

"(4) of any building which the Director of the Bureau of the Budget finds to be a part of a group of buildings which are (A) located in the same vicinity, (B) utilized wholly or predominantly for the special purposes of the agency having custody thereof, and (C) not generally suitable for the use of other agencies; or

"(5) of the Treasury Building, the Bureau of Engraving and Printing Building, the buildings occupied by the National Bureau of Standards, and the buildings under the jurisdiction of the regents of the Smithsonian Institution.

"(e) Notwithstanding any other provision of law, the Administrator is authorized, in accordance with policies and directives prescribed by the President under section 205 (a) and after consultation with the heads of the executive agencies affected, to assign and reassign space of all executive agencies in Government-owned and leased buildings in and outside the District of Columbia upon a determination by the Administrator that such assignment or reassignment is advantageous to the Government in terms of economy, efficiency, or national security.

"MOTOR VEHICLE IDENTIFICATION

- "SEC. 211. Under regulations prescribed by the Administrator, every motor vehicle acquired and used for official purposes within the United States, its Territories, or possessions, by any Federal agency

or the District of Columbia shall be conspicuously identified by showing thereon either (a) the full name of the department, establishment, corporation, or agency by which it is used and the service in which it is used, or (b) a title descriptive of the service in which it is used if such title readily identifies the department, establishment, corporation, or agency concerned, and the legend 'For official use only': *Provided*, That the regulations issued pursuant to this section may provide for exemptions from the requirement of this section when conspicuous identification would interfere with the purpose for which a vehicle is acquired and used."

Sec. 6. The Federal Property and Administrative Services Act of 1949 is amended by—

(a) redesignating "title V" of such Act as "title VI" thereof, and "title V", wherever it appears therein, is amended to read "title VI";

(b) redesignating sections 501–505, inclusive, of such Act, respectively, as sections 601–605, inclusive, thereof, and wherever any such section number appears in such Act as originally enacted, it is amended to conform in numbering to the redesignation prescribed by this subsection;

(c) inserting at the proper place in the table of contents to such Act the following:

"TITLE V—FEDERAL RECORDS

"Sec. 501. Short title.

"Sec. 502. Custody and control of property.

"Sec. 503. National Historical Publications Commission.

"Sec. 504. Federal Records Council.

"Sec. 505. Records management; the Administrator.

"Sec. 506. Records management; agency heads.

"Sec. 507. Archival administration.

"Sec. 508. Reports.

"Sec. 509. Legal status of reproductions.

"Sec. 510. Limitation on liability.

"Sec. 511. Definitions."

(d) inserting, immediately following title IV thereof, the following new title:

"TITLE V—FEDERAL RECORDS

"SHORT TITLE

"Sec. 501. This title may be cited as the 'Federal Records Act of 1950'.

"CUSTODY AND CONTROL OF PROPERTY

"Sec. 502. The Administrator shall have immediate custody and control of the National Archives Building and its contents, and shall have authority to design, construct, purchase, lease, maintain, operate, protect, and improve buildings used by him for the storage of records of Federal agencies in the District of Columbia and elsewhere.

"NATIONAL HISTORICAL PUBLICATIONS COMMISSION

"Sec. 503. (a) There is hereby created a National Historical Publications Commission consisting of the Archivist (or an alternate design-

nated by him), who shall be Chairman; the Librarian of Congress (or an alternate designated by him); one Member of the United States Senate to be appointed, for a term of four years, by the President of the Senate; one Member of the House of Representatives to be appointed, for a term of two years, by the Speaker of the House of Representatives; one representative of the judicial branch of the Government to be appointed, for a term of four years, by the Chief Justice of the United States; one representative of the Department of State to be appointed, for a term of four years, by the Secretary of State; one representative of the Department of Defense to be appointed, for a term of four years, by the Secretary of Defense; two members of the American Historical Association to be appointed by the council of the said association, one of whom shall serve an initial term of two years and the other an initial term of three years, but their successors shall be appointed for terms of four years; and two other members outstanding in the fields of the social or physical sciences to be appointed by the President of the United States, one of whom shall serve an initial term of one year and the other an initial term of three years, but their successors shall be appointed for terms of four years. The Commission shall meet annually and on call of the Chairman.

"(b) Any person appointed to fill a vacancy in the membership of the Commission shall be appointed only for the unexpired term of the member whom he shall succeed, and his appointment shall be made in the same manner in which the appointment of his predecessor was made.

"(c) The Commission is authorized to appoint, without reference to the Classification Act of 1949 (Public Law 429, 81st Congress, approved October 28, 1949), an executive director and such editorial and clerical staff as the Commission may determine to be necessary. Members of the Commission who represent any branch or agency of the Government shall serve as members of the Commission without additional compensation. All members of the Commission shall be reimbursed for transportation expenses incurred in attending meetings of the Commission, and all such members other than those who represent any branch or agency of the Government of the United States shall receive in lieu of subsistence en route to or from or at the place of such service, for each day actually spent in connection with the performance of their duties as members of such Commission, such sum, not to exceed \$25, as the Commission shall prescribe.

"(d) The Commission shall make plans, estimates, and recommendations for such historical works and collections of sources as it deems appropriate for printing or otherwise recording at the public expense. The Commission shall also cooperate with and encourage appropriate Federal, State, and local agencies and nongovernmental institutions, societies, and individuals in collecting and preserving and, when it deems such action to be desirable, in editing and publishing the papers of outstanding citizens of the United States and such other documents as may be important for an understanding and appreciation of the history of the United States. The Chairman of the Commission shall transmit to the Administrator from time to time, and at least once annually, such plans, estimates, and recommendations as have been approved by the Commission.

"FEDERAL RECORDS COUNCIL

"SEC. 504. The Administrator shall establish a Federal Records Council, and shall advise and consult with the Council with a view to obtaining its advice and assistance in carrying out the purposes of this title. The Council shall include representatives of the legislative, judicial, and executive branches of the Government in such number as the Administrator shall determine, but such Council shall include at least four representatives of the legislative branch, at least two representatives of the judicial branch, and at least six representatives of the executive branch. Members of the Council representing the legislative branch shall be designated, in equal number, by the President of the Senate and the Speaker of the House of Representatives, respectively. Members of the Council representing the judicial branch shall be designated by the Chief Justice of the United States. The Administrator is authorized to designate from persons named by the head of any executive agency concerned, not more than one representative from such agency to serve as a member of the Council. Members of the Council shall serve without compensation, but shall be reimbursed for all necessary expenses actually incurred in the performance of their duties as members of the Council. The Council shall elect a chairman from among its own membership, and shall meet at least once annually.

"RECORDS MANAGEMENT; THE ADMINISTRATOR

"SEC. 505. (a) The Administrator shall make provisions for the economical and efficient management of records of Federal agencies (1) by analyzing, developing, promoting, and coordinating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value, and (2) by promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating, maintaining, storing, and servicing records.

"(b) The Administrator shall establish standards for the selective retention of records of continuing value, and assist Federal agencies in applying such standards to records in their custody; and he shall notify the head of any Federal agency of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of such agency that shall come to his attention, and assist the head of such agency in initiating action through the Attorney General for the recovery of such records as shall have been unlawfully removed and for such other redress as may be provided by law.

"(c) The Administrator is authorized to inspect or survey personally or by deputy the records of any Federal agency, as well as to make surveys of records management and records disposal practices in such agencies, and shall be given the full cooperation of officials and employees of agencies in such inspections and surveys: *Provided*, That records, the use of which is restricted by or pursuant to law or for reasons of national security or the public interest, shall be inspected or surveyed in accordance with regulations promulgated by the Administrator, subject to the approval of the head of the custodial agency.

"(d) The Administrator is authorized to establish, maintain, and operate records centers for the storage, processing, and servicing of

records for Federal agencies pending their deposit with the National Archives of the United States or their disposition in any other manner authorized by law; and to establish, maintain, and operate centralized microfilming services for Federal agencies.

"(e) Subject to applicable provisions of law, the Administrator shall promulgate regulations governing the transfer of records from the custody of one executive agency to that of another.

"(f) The Administrator may empower any Federal agency, upon the submission of evidence of need therefor, to retain records for a longer period than that specified in disposal schedules approved by Congress, and, in accordance with regulations promulgated by him, may withdraw disposal authorizations covering records listed in disposal schedules approved by Congress.

"RECORDS MANAGEMENT; AGENCY HEADS

"SEC. 506. (a) The head of each Federal agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

"(b) The head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such program shall, among other things, provide for (1) effective controls over the creation, maintenance, and use of records in the conduct of current business; (2) cooperation with the Administrator in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with the provisions of this title and the regulations issued thereunder.

"(c) Whenever the head of a Federal agency determines that substantial economies or increased operating efficiency can be effected thereby, he shall provide for the storage, processing, and servicing of records that are appropriate therefor in a records center maintained and operated by the Administrator or, when approved by the Administrator, in such a center maintained and operated by the head of such Federal agency.

"(d) Any official of the Government who is authorized to certify to facts on the basis of records in his custody, is hereby authorized to certify to facts on the basis of records that have been transferred by him or his predecessors to the Administrator.

"(e) The head of each Federal agency shall establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator. Such safeguards shall include making it known to all officials and employees of the agency (1) that no records in the custody of the agency are to be alienated or destroyed except in accordance with the provisions of the Act approved July 7, 1943 (57 Stat. 380-383), as amended July 6, 1945 (59 Stat. 434), and (2) the penalties

provided by law for the unlawful removal or destruction of records.

"(f) The head of each Federal agency shall notify the Administrator of any actual, impending, or threatened unlawful removal, defacing, alteration, or destruction of records in the custody of the agency of which he is the head that shall come to his attention, and with the assistance of the Administrator shall initiate action through the Attorney General for the recovery of records he knows or has reason to believe have been unlawfully removed from his agency, or from any other Federal agency whose records have been transferred to his legal custody.

"(g) Nothing in this title shall be construed as limiting the authority of the Comptroller General of the United States with respect to prescribing accounting systems, forms, and procedures, or lessening the responsibility of collecting and disbursing officers for rendition of their accounts for settlement by the General Accounting Office.

"ARCHIVAL ADMINISTRATION

"SEC. 507. (a) The Administrator, whenever it appears to him to be in the public interest, is hereby authorized—

"(1) to accept for deposit with the National Archives of the United States the records of any Federal agency or of the Congress of the United States that are determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government;

"(2) to direct and effect, with the approval of the head of the originating agency (or if the existence of such agency shall have been terminated, then with the approval of his successor in function, if any), the transfer of records deposited (or approved for deposit) with the National Archives of the United States to public or educational institutions or associations: *Provided*, That the title to such records shall remain vested in the United States unless otherwise authorized by Congress; and

"(3) to direct and effect the transfer of materials from private sources authorized to be received by the Administrator by the provisions of subsection (e) of this section.

"(b) The Administrator shall be responsible for the custody, use, and withdrawal of records transferred to him: *Provided*, That whenever any records the use of which is subject to statutory limitations and restrictions are so transferred, permissive and restrictive statutory provisions with respect to the examination and use of such records applicable to the head of the agency from which the records were transferred or to employees of that agency shall thereafter likewise be applicable to the Administrator, the Archivist, and to the employees of the General Services Administration, respectively: *Provided further*, That whenever the head of any agency shall specify in writing restrictions that appear to him to be necessary or desirable in the public interest, on the use or examination of records being considered for transfer from his custody to the Administrator, the Administrator shall impose such restrictions on the records so transferred, and shall not remove or relax such restrictions without the concurrence in writing of the head of the agency from which the material shall have been transferred (or if the existence of such agency shall have been terminated, then he shall not remove or relax such restrictions without

the concurrence of the successor in function, if any, of such agency head): *Provided, however*, That statutory and other restrictions referred to in the provisos of this subsection shall not remain in force or effect after the records have been in existence for fifty years unless the Administrator by order shall determine with respect to specific bodies of records that such restrictions shall remain in force and effect for a longer period: *And provided further*, That restrictions on the use or examination of records deposited with the National Archives of the United States heretofore imposed and now in force and effect under the terms of section 3 of the National Archives Act, approved June 19, 1934, shall continue in force and effect regardless of the expiration of the tenure of office of the official who imposed them but may be removed or relaxed by the Administrator with the concurrence in writing of the head of the agency from which material has been transferred (or if the existence of such agency shall have been terminated, then with the concurrence in writing of his successor in function, if any).

"(c) The Administrator shall make provisions for the preservation, arrangement, repair and rehabilitation, duplication and reproduction (including microcopy publications), description, and exhibition of records transferred to him as may be needful or appropriate, including the preparation and publication of inventories, indexes, catalogs, and other finding aids or guides facilitating their use; and, when approved by the National Historical Publications Commission, he may also publish such historical works and collections of sources as seem appropriate for printing or otherwise recording at the public expense.

"(d) The Administrator shall make such provisions and maintain such facilities as he deems necessary or desirable for servicing records in his custody that are not exempt from examination by statutory provisions or other restrictions.

"(e) The Administrator may accept for deposit—

"(1) the personal papers and other personal historical documentary materials of the present President of the United States, his successors, heads of executive departments, and such other officials of the Government as the President may designate, offered for deposit under restrictions respecting their use specified in writing by the prospective depositors: *Provided*, That restrictions so specified on such materials, or any portions thereof, accepted by the Administrator for such deposit shall have force and effect during the lifetime of the depositor or for a period not to exceed twenty-five years, whichever is longer, unless sooner terminated in writing by the depositor or his legal heirs: *And provided further*, That the Archivist determines that the materials accepted for such deposit will have continuing historical or other values;

"(2) motion-picture films, still pictures, and sound recordings from private sources that are appropriate for preservation by the Government as evidence of its organization, functions, policies, decisions, procedures, and transactions.

Title to materials so deposited under this subsection shall pass to and vest in the United States.

"(f) The Administrator is hereby authorized to make and preserve motion-picture films, still pictures, and sound recordings pertaining to and illustrative of the historical development of the United States Government and its activities, and to make provisions for preparing, editing, titling, scoring, processing, duplicating, reproducing, exhibiting, and releasing for nonprofit educational purposes, motion-picture films, still pictures, and sound recordings in his custody.

"REPORTS

"SEC. 508. (a) The Administrator is hereby authorized, whenever he deems it necessary, to obtain reports from Federal agencies on their activities under the provisions of this title and the Act approved July 7, 1943 (57 Stat. 380-383), as amended July 6, 1945 (59 Stat. 434).

"(b) The Administrator shall, whenever he finds that any provisions of this title have been or are being violated, inform in writing the head of the agency concerned of such violations and make recommendations regarding means of correcting them. Unless corrective measures satisfactory to the Administrator are inaugurated within a reasonable time, the Administrator shall submit a written report thereon to the President and the Congress.

"LEGAL STATUS OF REPRODUCTIONS

"SEC. 509. (a) Whenever any records that are required by statute to be retained indefinitely have been reproduced by photographic, microphotographic, or other processes, in accordance with standards established by the Administrator, the indefinite retention of such photographic, microphotographic, or other reproductions will be deemed to constitute compliance with the statutory requirement for the indefinite retention of such original records. Such reproductions, as well as reproductions made in compliance with regulations promulgated to carry out this title, shall have the same legal status as the originals thereof.

"(b) There shall be an official seal for the National Archives of the United States which shall be judicially noticed. When any copy or reproduction, furnished under the terms hereof, is authenticated by such official seal and certified by the Administrator, such copy or reproduction shall be admitted in evidence equally with the original from which it was made.

"(c) The Administrator may charge a fee not in excess of 10 per centum above the costs or expenses for making or authenticating copies or reproductions of materials transferred to his custody. All such fees shall be paid into, administered, and expended as a part of the National Archives Trust Fund provided for in section 5 of the Act approved July 9, 1941. There shall be no charge for making or authenticating copies or reproductions of such materials for official use by the United States Government: *Provided*, That reimbursement may be accepted to cover the cost of furnishing such copies or reproductions that could not otherwise be furnished.

"LIMITATION ON LIABILITY

"SEC. 510. With respect to letters and other intellectual productions (exclusive of material copyrighted or patented) after they come into

the custody or possession of the Administrator, neither the United States nor its agents shall be liable for any infringement of literary property rights or analogous rights arising thereafter out of use of such materials for display, inspection, research, reproduction, or other purposes.

"DEFINITIONS

"SEC. 511. When used in this title—

"(a) The term 'records' shall have the meaning given to such term by section 1 of the Act entitled 'An Act to provide for the disposal of certain records of the United States Government', approved July 7, 1943 (57 Stat. 380, as amended; 44 U. S. C. 366);

"(b) The term 'records center' means an establishment maintained by the Administrator or by a Federal agency primarily for the storage, servicing, security, and processing of records that must be preserved for varying periods of time and need not be retained in office equipment and space;

"(c) The term 'servicing' means making available for use information in records and other materials in the custody of the Administrator—

"(1) by furnishing such records or other materials, or information from such records or other materials, or copies or reproductions thereof to agencies of the Government for official use and to the public; and

"(2) by making and furnishing authenticated or unauthenticated copies or reproductions of such records and other materials;

"(d) The term 'National Archives of the United States' means those official records that have been determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government, and have been accepted by the Administrator for deposit in his custody;

"(e) The term 'unauthenticated copies' means exact copies or reproductions of records or other materials that are not certified as such under seal and that need not be legally accepted as evidence; and

"(f) The term 'Archivist' means the Archivist of the United States."

SEC. 7. The Federal Property and Administrative Services Act of 1949 is further amended by—

(a) striking out the word "and" preceding "(2)" in subsection (d) of section 3 thereof; substituting a semicolon for the period at the end of said subsection; and adding at the end of such subsection the following: "and (3) records of the Federal Government.";

(b) striking out, in section 208 (a) thereof, the expression "and V", and inserting in lieu thereof the expression "V, and VI";

(c) striking out, in section 208 (b) thereof, the expression "and V", and inserting in lieu thereof the expression "V, and VI";

(d) striking out the word "and" at the end of paragraph (30) of section 602 (a); striking out the period at the end of paragraph (31) of section 602 (a) and inserting in lieu thereof a semicolon; and adding at the end of section 602 (a) the following new paragraphs:

"(32) the Act entitled 'An Act to establish a National Archives of the United States Government, and for other purposes', approved June 19, 1934 (48 Stat. 1122-1124, as amended; 44 U. S. C. 300, 300a, 300c-k); and

"(33) section 4 of the Act of February 3, 1905 (33 Stat. 687, as amended; 5 U. S. C. 77)."

(e) amending subsection 602 (b) and (c) thereof to read as follows:

"(b) There are hereby superseded—

"(1) the provisions of the first, third, and fifth paragraphs of section 1 of Executive Order Numbered 6166 of June 10, 1933, insofar as they relate to any function now administered by the Bureau of Federal Supply except functions with respect to standard contract forms; and

"(2) sections 2 and 4 of the Act entitled 'An Act to provide for the disposal of certain records of the United States Government', approved July 7, 1943 (57 Stat. 381, as amended; 44 U. S. C. 367 and 369), to the extent that the provisions thereof are inconsistent with the provisions of title V of this Act.

"(c) The authority conferred by this Act shall be in addition and paramount to any authority conferred by any other law and shall not be subject to the provisions of any law inconsistent herewith, except that sections 205 (b) and 206 (c) of this Act shall not be applicable to any Government corporation or agency which is subject to the Government Corporation Control Act (59 Stat. 597; 31 U. S. C. 841)."

(f) amending paragraphs (17), (18), and (19) of section 602 (d) thereof to read as follows:

"(17) the Central Intelligence Agency;

"(18) the Joint Committee on Printing, under the Act entitled 'An Act providing for the public printing and binding and the distribution of public documents' approved January 12, 1895 (28 Stat. 601), as amended or any other Act; or

"(19) for such period of time as the President may specify, any other authority of any executive agency which the President determines within one year after the effective date of this Act should, in the public interest, stand unimpaired by this Act."

(g) striking out the period at the end of section 603 (a) thereof and inserting in lieu thereof a comma and the following: "including payment in advance, when authorized by the Administrator, for library memberships in societies whose publications are available to members only, or to members at a price lower than that charged to the general public."

SEC. 8. (a) Subsection 3 (b) of the Federal Property and Administrative Services Act of 1949 is amended to read as follows:

"(b) The term 'Federal agency' means any executive agency or any establishment in the legislative or judicial branch of the Government (except the Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction)."

(b) Section 201 (b) of the Federal Property and Administrative Services Act of 1949 is amended by striking out the expression "or the Senate, or the House of Representatives."

(c) Section 602 of the Federal Property and Administrative Services Act of 1949 is amended by redesignating subsection (e) thereof

as subsection (f), and inserting, immediately after subsection (d) thereof, the following new subsection:

"(e) No provision of this Act, as amended, shall apply to the Senate or the House of Representatives (including the Architect of the Capitol and any building, activity, or function under his direction), but any of the services and facilities authorized by this Act to be rendered or furnished shall, as far as practicable, be made available to the Senate, the House of Representatives, or the Architect of the Capitol, upon their request, and, if payment would be required for the rendition or furnishing of a similar service or facility to an executive agency, payment therefor shall be made by the recipient thereof, upon presentation of proper vouchers, in advance or by reimbursement (as may be agreed upon by the Administrator and the officer or body making such request). Such payment may be credited to the applicable appropriation of the executive agency receiving such payment."

SEC. 9. The Federal Property and Administrative Services Act of 1949, section 205 (h), is hereby amended by striking out the last word of the sentence "title" and inserting in lieu thereof the word "Act".

SEC. 10. (a) Whenever any contract made on behalf of the Government by the head of any Federal Agency, or by officers authorized by him so to do, includes a provision for liquidated damages for delay, the Comptroller General upon recommendation of such head is authorized and empowered to remit the whole or any part of such damages as in his discretion may be just and equitable.

(b) Section 306 of the Federal Property and Administrative Services Act of 1949, is hereby repealed, and this section shall be effective as of July 1, 1949.

SEC. 11. All laws or parts of laws in conflict with the provisions of this Act or with any amendment made thereby are, to the extent of such conflict, hereby repealed.

Approved September 5, 1950.

RECORDS MANAGEMENT HANDBOOK

Managing noncurrent files

FEDERAL RECORDS CENTERS

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE
RECORDS MANAGEMENT DIVISION

RECORDS MANAGEMENT HANDBOOKS are developed
by the National Archives and Records Service as technical
guides to reducing and simplifying Government paperwork.

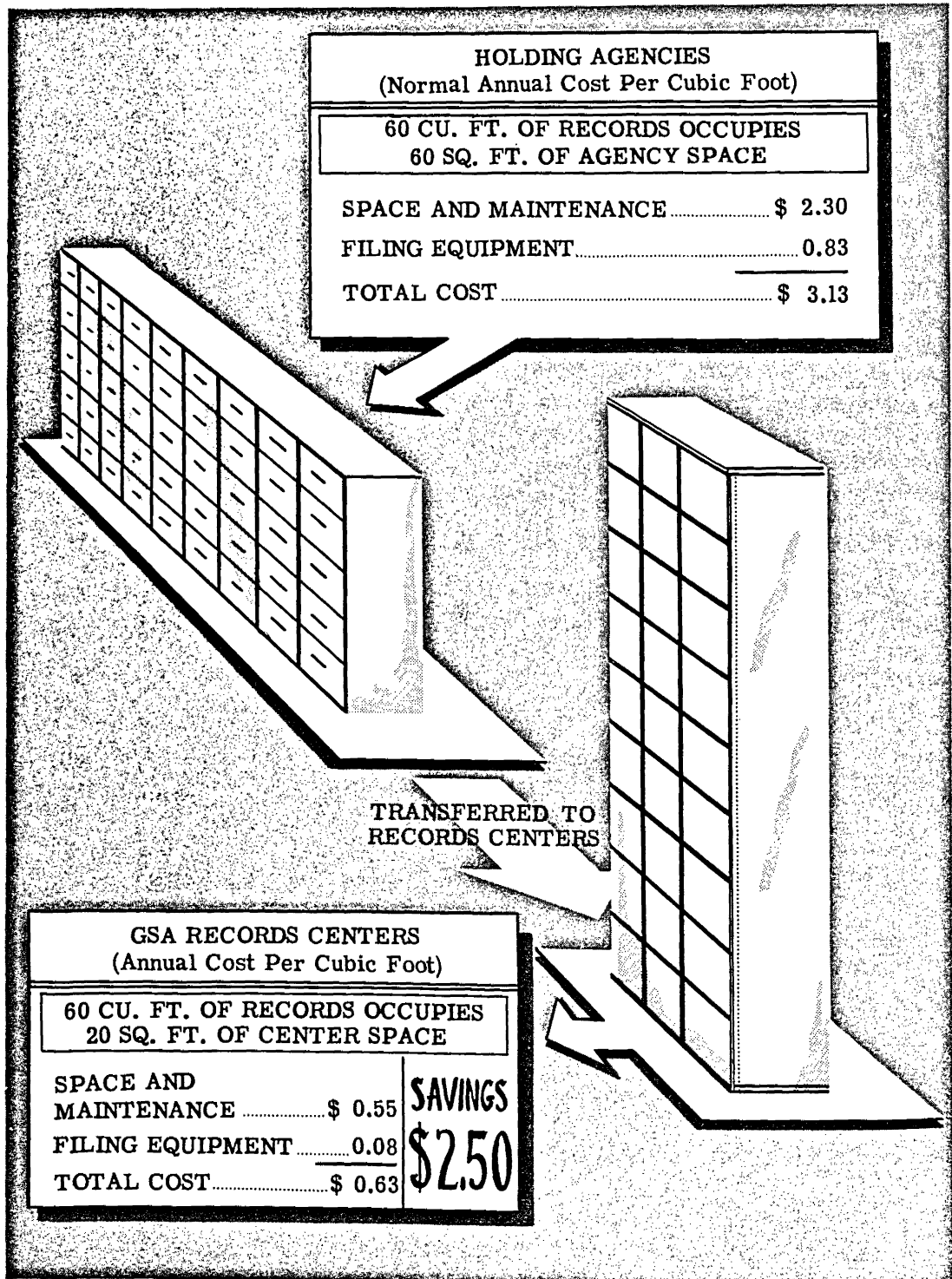
RECORDS MANAGEMENT HANDBOOKS:

Managing correspondence: *Form Letters* 1954...33 p.
Managing noncurrent files: *Federal Records Centers*.....1954...25 p.

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FIGURE 1
HOW CENTERS SAVE MONEY



I. WHY THE GOVERNMENT HAS RECORDS CENTERS

The Federal Government is producing records at the rate of 2.9 million cubic feet annually - enough to fill 9,000 four-drawer file cabinets every week in the year.

To handle this accumulation of files economically and efficiently Federal agencies are now required by law to establish and maintain effective records management programs.* Such programs include setting up controls over the creation, organization, maintenance, use, and disposition of records.

One of the major objectives of an agency's records management program is to keep noncurrent records moving out of high-cost space and filing equipment into low-cost records centers as rapidly as possible. Experience in a growing number of agencies proves that at least *one-half* of an agency's records can be moved from high-cost to low-cost space under a continuing and effective records transfer program. An agency can reach this goal, with the resultant benefits in annual savings, by transferring an average of 10 percent of its records to a Center each year.

As the chart on the opposite page shows, files can be kept in low-cost records centers at a saving to the Government of \$2.50 a cubic foot of records. This saving is possible because:

Center storage space costs less. (Compare: \$2.30 a cubic foot average for agency space with 55 cents a cubic foot for center space.)

Center storage equipment costs less. (Compare: \$50 for an agency filing cabinet with 77 cents for 7 cardboard containers plus \$3.90 for shelving.)

Center space is better utilized. (Compare: 3 cubic feet of records in each square foot of space at the center with 1 square foot for each cubic foot in the agency.)

Ten low-cost records centers, a specialized center for personnel records, and several annexes are now being operated by the General Services Administration. Federal agencies are legally authorized to transfer their noncurrent records to these facilities. This handbook tells how your agency can save money, protect its records, and get quick and valuable reference service by using the Federal Records Centers. The steps in transferring records, from initiating the request for transfer to making the final arrangements for shipping, are explained and illustrated on the following pages.

*Federal Records Act of 1950 (41 U. S. C. Supp. 280-290).

II. SELECTING FILES FOR TRANSFER

If the records of an agency are completely covered by General Records Schedules and comprehensive agency schedules, there is no problem in deciding what files to transfer to a Center. Comprehensive records control schedules specify *what* files to transfer and *when* to transfer them.

In an agency which has no specific instructions on transferring, the selection of files for transfer to Federal Records Centers normally is based on three considerations:

1. How often agency personnel actually need to refer to the file;
2. How much longer the files must be kept before they can be destroyed; and
3. How much it will cost to transport the records to the Center.

A criterion has been developed indicating that files which are referred to not more than once a month per file drawer should be transferred to a Center, provided transportation cost does not wipe out space savings.

Files meeting the above criterion usually should be transferred to a Center:

1. Regardless of how few records are involved;
2. Regardless of how urgent the need for the infrequent references; and
3. Regardless of how important or how highly security-classified the records or how extensive the restrictions on their use.

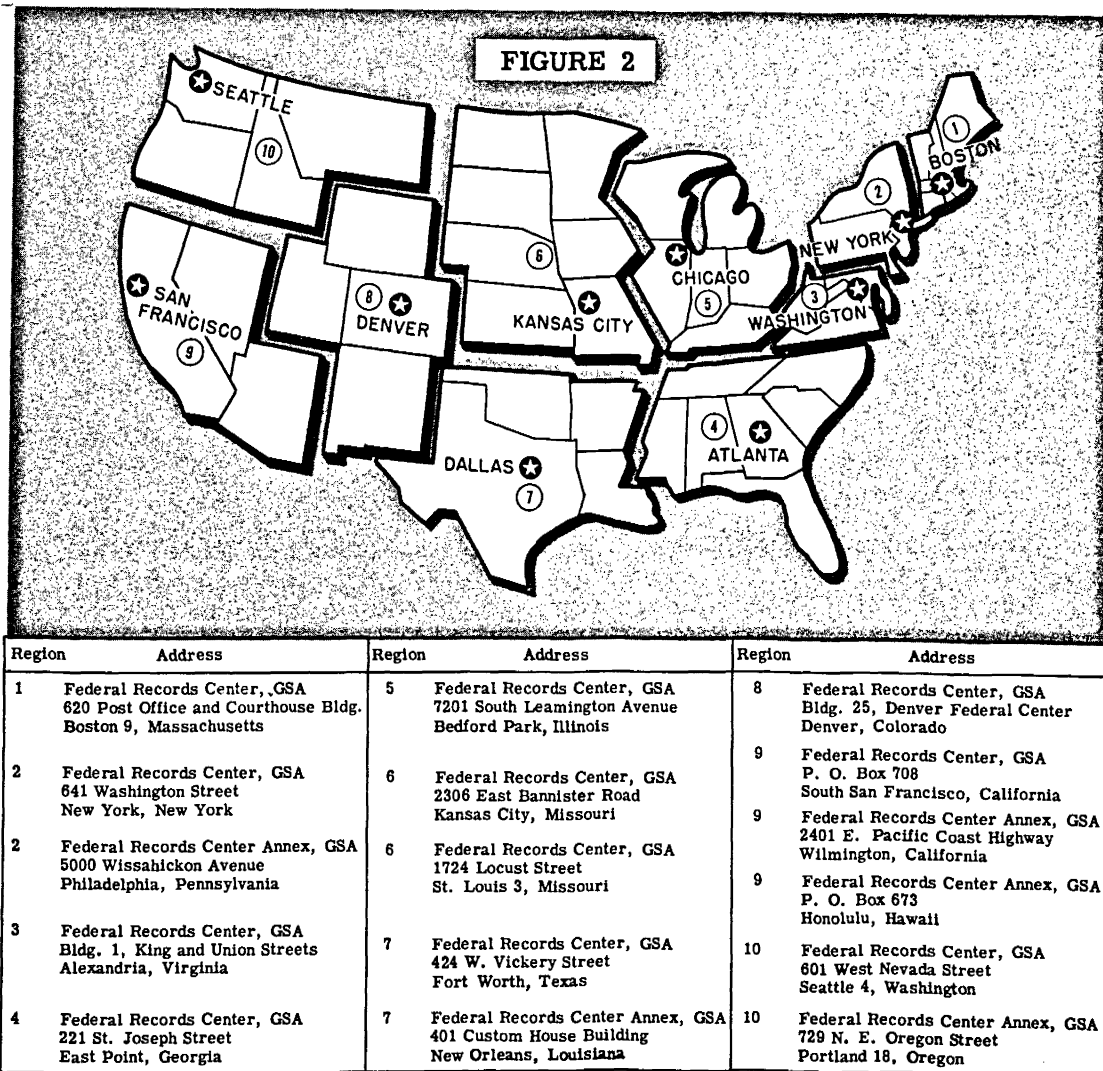
Most records over 4 years old will be referred to less than once a month per file drawer. To distinguish their age, correspondence files should be maintained in blocks, according to calendar or fiscal year. This technique is called "breaking" the files, and simply means that on a given date a new set of files will be established for material dated after that time. Files can be "broken" every year, every two years, or every three years, depending on the rate with which the material gathers. Different colored labels can be used on folder tabs to distinguish one time period from another.

Closed out case files are seldom, if ever, referred to more than once a month per file drawer. Case files are usually closed out when a given event occurs - an employee separates from the Government, a claim is settled, a purchase order is paid, and so on.

Each agency has records officers who are available to inspect files and make recommendations as to transfers. Such recommendations may also be requested from GSA by the agency.

III. INITIATING THE TRANSFER REQUEST

To initiate a transfer of files to a Federal Records Center all an agency official needs to do is inform his records management officer. Under the usual procedure, the records management officer begins the transfer arrangements by telephoning or writing the Chief in charge of the nearest Federal Records Center or Annex. Figure 2 shows the 10 regions in which the General Services Administration operates Federal Records Centers. The mailing addresses of the Centers and Annexes are shown below.



If on the other hand an agency wishes to transfer records from its central office and from its field offices on a nationwide basis, its records management officer deals with the Records Management Division, National Archives and Records Service, General Services Administration, Washington 25, D. C.

IV. GETTING FILES READY FOR SHIPMENT

Federal Records Center standard cardboard containers are available for use in shipping files to the Records Centers. Unless an agency is being liquidated or urgently requires immediate removal of its records, it should ship records in these standard containers rather than in filing cabinets or similar equipment.

A standard cardboard container has inside dimensions of 15 by 12 by 10 inches and holds 1 cubic foot of records. Thus for each cubic foot of records to be transferred you will need 1 cardboard container.

A good rule to follow in estimating the total cubic feet of records is this:

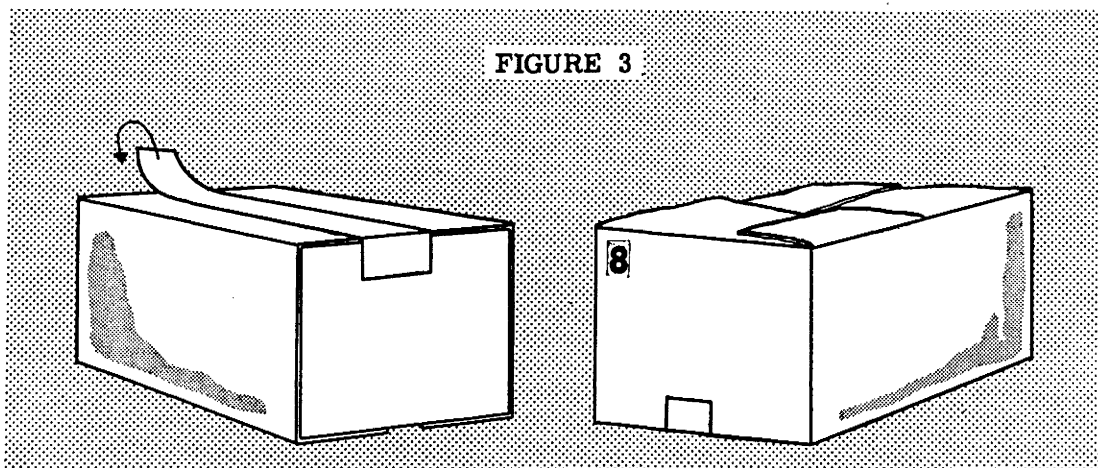
*Count each full letter-size file drawer as 1½ cubic feet of records;
count each full legal-size file drawer as 2 cubic feet of records.*

Standard containers may be obtained either from a Federal Records Center or from the Federal Supply Service (Stock No. 53-B-24992-128). The boxes cost about 11 cents apiece, but the Center usually supplies them without charge to an agency. Requests for boxes should be made far enough in advance to be sure they are on hand when packing is scheduled to begin.

Assembling the boxes. When an agency and a Records Center are located in the same general metropolitan area, the boxes may be delivered already assembled. Otherwise, they are delivered "knocked-down."

To assemble a "knocked-down" box, the bottom must be secured either by gummed kraft tape at least 2 inches wide or by machine-applied heavy-duty stitching. The tape should be placed longitudinally on the outside, after the flaps on both ends of the carton have been folded inside. (See Figure 3.) The tape should extend at least 2 inches up each end of the box for extra strength.

FIGURE 3



Screening. Before putting files in boxes, it is advisable to screen out all unnecessary nonrecord material and all record material clearly authorized for disposal. This screening usually results in a cost savings and should be omitted only:

1. If the need for the agency space occupied by the records is urgent;
2. If the agency office is being liquidated immediately; or
3. If the labor costs of screening or other cost factors outweigh the savings in transportation and storage costs.

In addition to screening before packing, an agency should downgrade security-classified records whenever such downgrading is warranted by changed circumstances, lapse of time, or other conditions affecting the classification.

Packing the records. Without disturbing the existing filing arrangement, pack the records firmly in the box. Do not force them. To make future reference easier, fairly active files should be packed less tightly than files which are expected to be inactive. Place the file folders in an upright position, with letter-size folders the 12-inch way, and legal-size folders the 15-inch way. The folder labels may then be read while facing either the 12-inch or 15-inch side. Regardless of how the records are packed, the unstitched 12-inch side of the container is considered the front.

Insofar as is practical, records with widely different retention periods should not be placed in the same carton. And records from more than one bureau or office should never be packed in the same carton.

Numbering the boxes. Boxes should be numbered consecutively in heavy black crayon or its equivalent, starting with No. 1 for each transfer. Write the number on the box in the upper left corner of the front or unstitched side. Each transfer will be assigned a separate accession number by Center personnel after the records are received at the Center.

(Container labels showing the contents of each box are optional with the agency. They are not required, because Federal Records Centers use a permanent location number system. Labels are extremely useful at a Center, however, if the files are arranged in name or numerical sequence.)

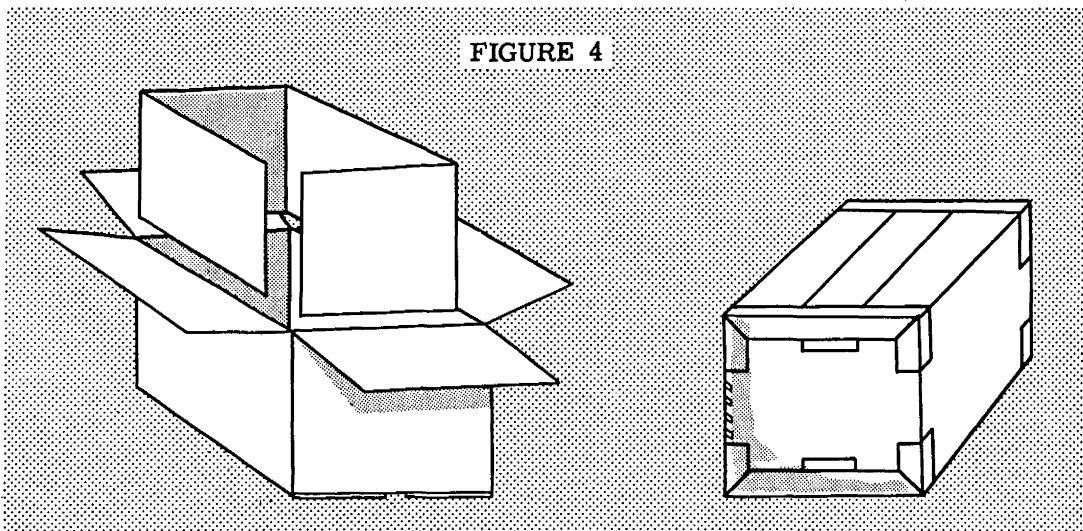
Finding aids. The records should be accompanied, where possible, by any relevant finding aids, such as indexes. The Center should be notified of any finding aids retained by the agency.

Closing the boxes. To close the box, simply tuck the flaps alternately over and under each other. (See Figure 3.)

Reinforcing the cartons. If the boxes are to be shipped to the Records Center by freight, express, or parcel post, it may be desirable to reinforce them. As a general rule, boxes should be reinforced if they will be handled more than four times during shipment, as may happen in freight shipments of less than carload lots.

Two methods of reinforcement are equally satisfactory. The easier method is to place a cardboard liner inside the box before it is packed. By this method the sides of the box may be lined and the bottom and top padded with cardboard. Liners cost about 3 cents each; pads about a penny apiece. (Federal Supply Service Stock Nos. 53-L-2942-975 and 53-P-385 respectively.)

The second reinforcement method is to tape all corners and edges of the boxes, top and bottom, thoroughly and skillfully. In this way it is possible to secure all points where the box may come apart if mishandled during shipment.



Oversized records. Oversized records, such as ledgers and similar volumes, which will not fit into standard containers, should be tied in bundles with sturdy identification tags attached. Each bundle should be handled just as another box in the numbering sequence. The number should be written on the tag, along with any other necessary descriptive data. Just as in the case of cartons, bundles shipped out of the area should be prepared with extra care to protect them against rough handling.

Undersized records. Small records, such as cards or papers 3 by 5 inches, 5 by 8 inches, and 3 by 11 inches, may be shipped in standard cartons, but they should be arranged in small to medium length lots and bound with heavy rubber bands. Arrange them in as many rows as possible, using cardboard pads between layers.

Filing cabinets. As indicated in Part IV, records should be transferred to Centers in filing cabinets in exceptional cases only. In preparing records for shipment in filing cases, press the compressing devices inside each drawer tightly against the records. Then secure the drawers by ropes or metal bands regardless of whether they have locking devices. Finally number the cabinets in consecutive order.

V. PREPARING THE TRANSFER FORMS

The transfer of records to a Federal Records Center requires preparation of two simple forms. These forms serve:

1. To record the transfer of custody of the files to the Federal Records Center subject to any legally binding restrictions on use which an agency may impose; and
2. To provide an accession inventory sufficiently detailed to enable the Center to give an agency any reference service it may need.

The forms, known as Standard Form 134 and Standard Form 135, may be obtained from a Federal Records Center, or from the source that normally supplies your agency with standard forms.

Standard Form 135, Transmittal of Government Records (Figure 5), is the basic transfer document. It should be filled out carefully and in detail. An original and one copy are forwarded to the Center to which the records are being transferred. (Note: When transferring records to the Center in Washington, D. C., the agency should forward an original and two copies.) The Center returns one copy to the agency, signed by a Center official. This copy is the agency's receipt for the transfer.

When records that have been site-audited by the General Accounting Office are being transferred, an additional copy of Standard Form 135 should be prepared and forwarded to the Examination and Settlement Branch, Division of Audits, General Accounting Office, Washington 25, D. C.

Standard Form 134, Records Shelf List (Figure 6), is an accession or box-by-box inventory which enables the Center to provide reference service on the records. It should be prepared with the same number of copies and forwarded in the same manner as Standard Form 135. One copy will be returned to the appropriate agency official with his copy of Standard Form 135.

Standard Form 134 is not necessary when Standard Form 135 can be made to serve as an accession inventory. Standard Form 135 can serve as an accession inventory:

1. When the total volume involved is no more than 10 cubic feet; or
2. When the records are considered so inactive that no further reference demands are anticipated.

When the volume is small, a box-by-box inventory, if necessary, can be included on Standard Form 135 as part of the description of records. When need for reference service is not anticipated, a box-by-box inventory is unnecessary and only the inclusive box numbers for each type of record need be given on Standard Form 135.

STANDARD FORM 135
APRIL 1953
PRESCRIBED BY GENERAL
SERVICES ADMINISTRATION
REG. 3-IV-342

TRANSMITTAL OF GOVERNMENT RECORDS

DO NOT USE THIS BOX

ACCESSION NO.

RECORD GROUP NO.

INSTRUCTIONS.—Submit this form to your area GSA regional office. When submitting to GSA region 3 office, Washington, D. C., submit an original and two copies. When submitting to other GSA regional offices, submit an original and one copy only.

1. FROM (Name and address of agency transferring the records)

Bureau of Special Revenue
Special Revenue Bldg.
Washington 25, D. C.

2. AGENCY WHICH CREATED RECORDS (If different than transferring agency)

3. AGENCY OFFICIAL AUTHORIZING TRANSFER (Signature)

J. S. Smithson

TITLE

Administrative Officer

DATE

1-8-53

4. CUSTODIAN OF RECORDS IN TRANSFERRING AGENCY (Name, address, and telephone number)

James Smith, Rm. 1163, Special Revenue Bldg., Code 165 - 87654

5. DESCRIPTION OF RECORDS (With inclusive dates. Use reverse if additional space is required)

Ruling Files and related records of the former Sales Tax Division (1918-Aug. 15, 1952) and former Miscellaneous Tax Division (1941-Aug. 15, 1952).

These two divisions were abolished in the bureau reorganization of Aug. 15, 1952. The functions of the divisions were transferred in part to the field offices and in part to a new Excise Tax Ruling Branch. The records document the work of the divisions in issuing interpretative rulings and opinions to the public and to bureau field offices regarding tax regulations and laws.

No. 7 -(continued). Sales Tax Claims for Credit (Boxes 503-619) covered by BSR Sched. No. 27, Dec. 15, 1949 - 12 yr. retention.

6. RESTRICTIONS ON USE OF RECORDS (If no restrictions, write "none")

No access to be given other than to Bureau of Special Revenue officials concerned without prior approval of branch officials concerned or their superior officers, for a period of 15 years.

7. ARE THESE RECORDS COVERED BY AN AUTHORIZED DISPOSAL SCHEDULE?

☒ YES (If "yes," identify schedule) Only in small part.
☐ NO (continued under 5 above)

8. CUBIC FEET OF RECORDS TRANSFERRED

1607

9. CUBIC FEET OF RECORDS DISPOSED OF IN AGENCY

None

10. SQUARE FEET OF SPACE RELEASED

Office

300

Storage

510

LOCATION

11. FILING EQUIPMENT (Enter, where applicable, quantity of each type):

	FILING CABINETS		TRANSFER CASES		OTHER (Specify)
	STEEL	WOOD	STEEL	WOOD	
EMPTIED AND RETAINED AT AGENCY	300				
RECORDS SHIPPED IN					1607 FRC con-
TO BE RETURNED					tainers
CUBIC FEET OF SHELVING EMPTIED AT AGENCY					

DO NOT WRITE BELOW THIS LINE

THE ABOVE-DESCRIBED RECORDS WERE RECEIVED
SHORTAGES, DAMAGED CONTAINERS, ETC.

.19

SIGNATURE

TITLE

FEDERAL RECORDS CENTER ADDRESS

U. S. GOVERNMENT PRINTING OFFICE 16-55454-1

FIGURE 5

Although transfer documentation may be prepared by Center personnel, usually it is better for agency officials to prepare it by use of these standard forms. The documentation may be as varied as common sense dictates. In preparing the descriptions of the records, use any special terminology or information which may make the transfer documents more meaningful for serving your future reference needs.

Most of the entries on Standard Forms 135 and 134 are self-explanatory, but a few require some explanation.

The accession number and the record group number, which distinguish the records of one agency or bureau from all others, are filled in by the Center on both forms.

STANDARD FORM 135, TRANSMITTAL OF GOVERNMENT RECORDS

Description of Records. The description of your records should provide enough information -

1. To clearly identify them;
2. To enable the Center to give reference service on them; and
3. To enable the Center to prepare schedules covering any records not covered by agency or general records control schedules. Such schedules specify which records are of continuing value and how long the other records need to be retained.

Normally, the description given on Standard Form 135 will be general, serving to identify and describe the total group of records being transferred. (Exception: Description should be broken down by individual records series if Standard Form 134 is not used.) The general description should include such information about the records as:

1. Their administrative origins, including past organizational changes when significant and relevant;
2. Their inclusive dates;
3. The purpose for which they were created, their relationship to the program activities of the organization creating or using them, and any other significant purpose or function they may or do serve;
4. Their general content; and
5. Their significant relationships with other records, including duplication.

The order of the information does not matter as long as the description is adequate. Figure 5 illustrates a sample general description.

STANDARD FORM 134
APRIL 1953
PRESCRIBED BY GENERAL
SERVICES ADMINISTRATION
REG. 3-IV-302

RECORDS SHELF LIST

FROM (Name of agency)

Bureau of Special Revenue

ADDRESS OF AGENCY

Special Revenue Bldg.,
Washington 25, D. C.

AGENCY WHICH CREATED RECORDS

Bureau of Special Revenue

TOTAL NO. OF CONTAINERS

1607

FRC ACCESSION NO.

RECORD GROUP NO.

DATE

1/8/53

AGENCY CONTAINER NO.	FRC CONTAINER NO.	DESCRIPTION AND DATE
		<u>Sales Tax Ruling File. 1918-Aug. 15, 1952.</u>
		File of former Sales Tax Division, Excise Tax Unit, containing rulings, advisory opinions, memoranda, correspondence on routine sales tax collection matters with the public, reports of delinquency and collections. Rulings concern not only general policy but also decisions in individual cases. Includes case files on routine tax investigations.
		Not scheduled
1.		A - Aceb
2.		Acec - Acez
3.		Acf - Ado
.....		
		<u>Sales Tax Ruling File, Collectors File 1918-Aug. 15, 1952.</u>
		Not scheduled
407.		A - Bu
408.		Bu - Co
.....		
		<u>Sales Tax Claims for Credit. 1918-Aug. 15, 1952.</u>
503-619		Closed claims by taxpayers for credits against future tax obligations. Claims develop as a result of rulings favorable to the taxpayer. Arranged alphabetically by name. BSR Sched. 27, Item 3
.....		
1607		<u>Miscellaneous Tax Ruling File. 1941-Aug. 15, 1952.</u>
		Not scheduled

U. S. GOVERNMENT PRINTING OFFICE 16-58453-1

FIGURE 6

If records are security-classified, the description must include the degree of classification. If the classified materials are not specifically named or described, or if no security-classified information is revealed, the standard forms documenting the transfer do not need to be classified. Whenever actual security-classified information is revealed, however, the agency should stamp the transfer document involved with the highest security classification borne by the information.

Restrictions on Use of Records. Particular attention should be given to this item. The specific restrictions an agency imposes on the use of transferred records should rest on legal considerations or considerations of the public interest. All restrictions dealing with access to the records will be rigidly enforced by the Center.

Coverage of Records by Disposal Schedules. To enable the Center to make proper and economical disposition of transferred records, you should specifically indicate what records are scheduled for disposal and the approved agency or general schedules which cover them. Even though such schedules authorize the disposal of your records after a specified date or the meeting of certain conditions, the Center will always secure your approval before it disposes of the records.

STANDARD FORM 134, RECORDS SHELF LIST

Description of Records. The description on this form should be broken down by individual records series. For each series the title and the inclusive dates should be given. If the title is not self-explanatory additional information must be included. Immediately following the title line or the explanatory paragraph, cite the disposition authority by schedule and item numbers.

A records series consists of documents, volumes, or folders that are arranged under a single filing system or are kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form. A series may consist of a single folder or of hundreds of feet of files; volume is not a factor. As a practical matter, single folders and similar small volumes of records may at times be lumped together into an artificially created series with a title indicating the general nature of the records, but such descriptions are much less useful for servicing records.

Each records series needs to be described only once. If a series fills several boxes, a breakdown of the chronological, numerical, or alphabetical coverage of each box should be given whenever necessary to facilitate future reference service on the records. In such breakdowns, the file designations (filing symbol, name, number, or date) of the first and last folders or documents within each box are usually sufficient. Any evident gaps in the series should be indicated.

The description of each series should include much the same kind of information that is included in the generalized description for the total transfer on Standard Form 135. In addition, information should be included on (a) the physical type and form, for example, sound recordings, maps, tabulating cards, correspondence, directives, estimates, reports, inquiries, instructions, memoranda, orders, summaries, or vouchers, and (b) internal organization or arrangement, for example, alphabetical, numerical, chronological, or classified system such as Dewey-decimal. Figure 6 shows a sample description of a series.

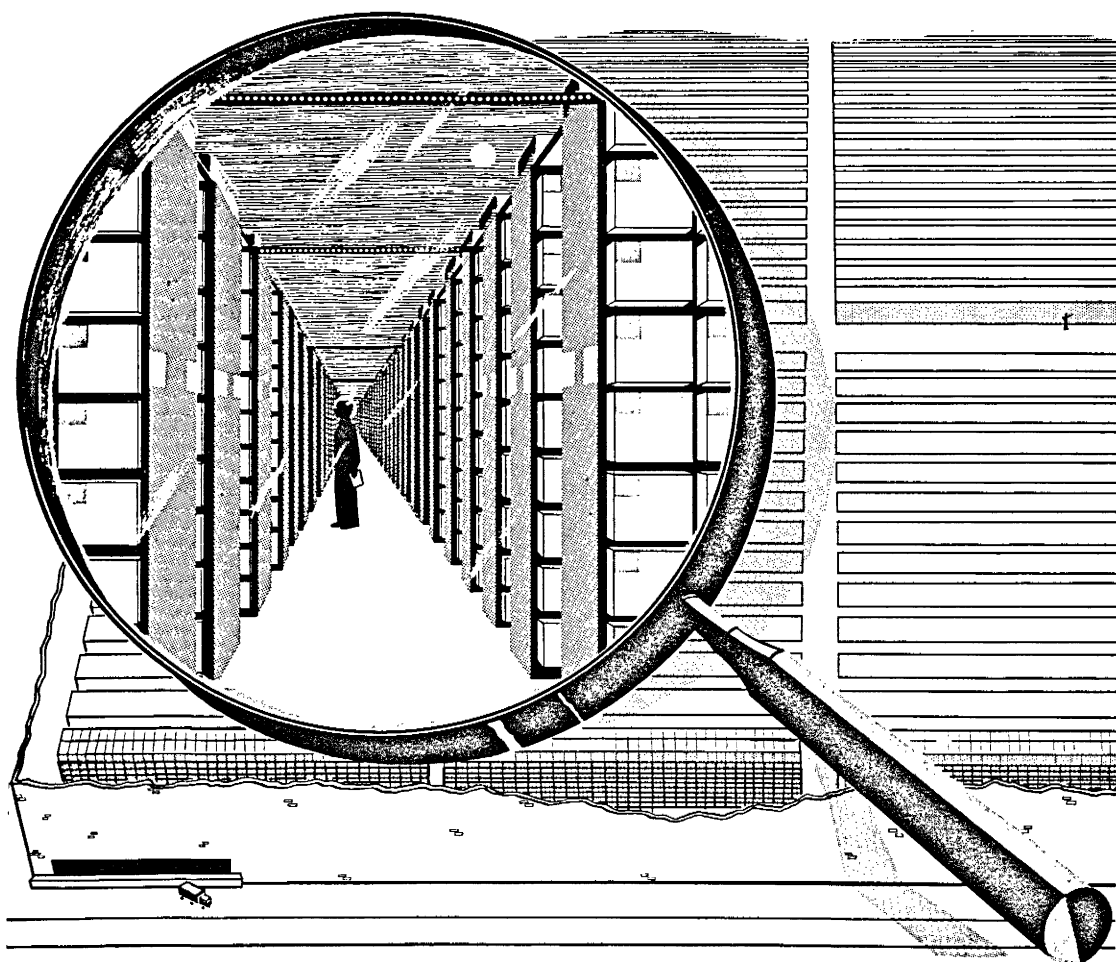
An index or other finding aid is itself a series and should be carefully described.

If the records are security-classified, the degree of classification must be given on Standard Form 134. The same principles of classification apply to this form as to Standard Form 135 (see above).

Agency Container Number. As has been indicated, boxes should be numbered consecutively. If a series description applies to the records in several boxes and there is no further box-by-box breakdown, the inclusive box numbers should be entered; for example, 29-41. If by chance a box number is skipped during packing, the agency should still enter that number on the Records Shelf List, with the statement "No box." It is essential that the container numbers on Standard Form 134 be accurate and correspond exactly with the numbers on the boxes.

FRC Container Number. This column on Standard Form 134 should be left blank. The Center will assign and fill in Center storage location space numbers. These numbers will be noted on the copy of the form the Center returns to an agency.

INTERIOR VIEW OF A TYPICAL RECORDS CENTER



VI. HOW TO SHIP THE RECORDS

Obviously, the most economical means available should be used to move files to Records Centers. If they are to be moved only a short distance, trucks owned by the Center will usually pick them up. In any case, if the agency so requests, the Center will assist in making the necessary transportation arrangements.

When Center trucks are not used, shipment may be made by parcel post, freight, or express.

Shipments by parcel post should be sent registered mail.

To get special tariff rates for Government records, shippers using commercial carriers should put the following statement on bills of lading and shipping orders:

"The agreed or declared value of the property is hereby specifically stated by the shipper to be not exceeding 3-1/2 cents per pound."

This statement entitles the shipper to special tariff rates for Government records.

When records are shipped by rail and there is sufficient weight for a carload, they should be loaded as heavily as possible. Railroads have two weight minimums: a 30,000-pound minimum for which 4th-class rates prevail, and a 40,000-pound minimum for which 5th-class rates prevail. Commercial trucks have a minimum weight of 20,000 pounds for special rates.

The following yardsticks may be useful in planning the movement of records:

One Center box holds 1 cubic foot of records and weighs 30 pounds.

One ton of records equals 70 cubic feet.

One empty filing cabinet weighs 150 pounds if steel; 105 pounds if wood.

One 40-foot tractor-trailer will transport 1,600 cubic feet of records.

One cubic foot equals 3,000 letter-size sheets of paper.

One cubic foot equals 10,000 tabulating punch cards.

If records are forwarded in file cabinets or transfer cases the agency must indicate in item 11 of Standard Form 135, Transmittal of Government Records, how many cabinets or cases, if any, it wants returned. The Center packs records received in file equipment in regular Center boxes and either returns the equipment to the transferring agency or turns it over to the Federal Supply Service, whichever the transferring agency desires. If the agency does not want the file equipment returned, it should prepare Standard Form 120, Report of Excess Personal Property, so that the Center can dispose of the equipment.

GENERAL SERVICES ADMINISTRATION RECORDS MANAGEMENT SERVICE REQUEST FOR SERVICE				RETURN TO FEDERAL RECORDS CENTER	
TYPE OF SERVICE REQUESTED (Check one) ☐ INFORMATION ☐ DOCUMENT ☐ RESEARCH					
AGENCY			ADDRESS		
INDIVIDUAL		ROOM NUMBER		EXTENSION	
				RECORD GROUP NUMBER	
DATE		SEARCHER'S INITIALS		NO RECORD	
				MISSING FROM	
				TO	
				CHARGED TO	
				BUILDING AND ROOM NUMBER	
				DATE	
DESCRIPTION					
REQUEST RECEIVED BY				DATE	

52-3383

GPO—O—GSA 303

GSA FORM 257a
October 1951

FIGURE 7

VII. HOW TO GET REFERENCE SERVICE

Agency officials can get quick and reliable reference service on records transferred to a Federal Records Center by requesting the service in whatever way is most convenient—by telephone, in writing (as by a letter or form), by messenger, or by personal call.

The requester may ask for information from the records, for photographs of them, for authenticated copies, or for the loan or return of the records themselves. No reference service will be honored, however, if it conflicts with restrictions established by the transferring agency. And no telephone information may be given on records with a security classification of confidential or higher.

In making a reference request specify:

1. The name of the agency and the name and location of the person for whom the request is being made;
2. The accession number of the particular transfer in which the records were included, as shown on the agency copy of Standard Form 135, Transmittal of Government Records;
3. A description of the information and/or records desired; and
4. The number of the Records Center box in which the records will probably be found, if it is possible to determine it from the copy of Standard Form 134, Records Shelf List, that was returned by the Center when the records were transferred.

By giving the Center the accession number and the Federal Records Center container number, the agency greatly facilitates the Center's search for the records.

When requests for service are received in writing or by telephone, the Center normally supplies the requested service within 24 hours.

No special form is needed to make written requests for Center reference service, although agencies wishing to do so may obtain and use GSA Form 257a, Request for Service. The Center will be glad to supply copies of this form, which is shown in Figure 7. The form is primarily designed for Center use; therefore an agency using it should ignore the irrelevant items.

Some agencies find it desirable to require all telephone or written requests to be made by, or channeled through, one or two persons in the agency. The names of such persons should be given to the Center.

The Center delivers requested records to "out-of-town customers" by regular United States mail, observing all necessary security requirements in doing so. If an office is in the same metropolitan area as the Center, however, the Center can deliver requested records or information by regular mail, by regular daily Center-operated "Archival Messenger Service," or by Center special delivery service. The last is used only if the need is urgent.

An agency should make general arrangements with the Center as to the normal type of delivery service to be provided. As a rule of thumb, when time is not important, it is more economical for the Center to send small amounts of records by regular mail. When deliveries are to be made by Archival Messenger Service, it is desirable for the agency to designate a single agency delivery point, such as the agency mail room, and to inform the Center of such delivery point.

Messengers sent to a Center to pick up requested records or information or agency officials who make personal visits to a Center for reference service purposes must always provide:

1. Clear identification;
2. Evidence of security clearance, if needed; and
3. Authorization to refer to records if their use is restricted.

Records may be requested for loan or permanent withdrawal. If on loan, the records may be retained as long as an agency desires. The Center exercises a limited follow-up control only if the agency requests such service, or if the records are of permanent value.

If information is sought rather than the records themselves, it is important to remember that Centers can only report findings of fact as stated in the records. Centers cannot provide interpretations and should not be requested to do so. If interpretations are needed, whenever practicable the relevant documents or copies of them will be furnished to permit the interpretation to be made by the requesting individual or agency.

Photo-reproductions of records can be furnished only if such reproduction is not contrary to agency restrictions, security requirements, or statutory restrictions. For example, there is a legal prohibition against the reproduction of naturalization papers. Centers will do microfilming only on a reimbursable basis. Charges also will be made for photo-reproductions involving an excessive expenditure of Center resources or unusual technical problems. A request involving more than 10 pages of photo-reproductions may be considered excessive if the agency concerned has its own reproduction facilities.

VIII. DISPOSAL OF RECORDS IN THE CENTERS

The transfer of records to Federal Records Centers is not a substitute for disposal. Rather it goes hand in hand with disposal. Experience has shown that Centers speed up disposal of records.

Disposition activities at Federal Records Centers have three major objectives:

1. To assist the National Archives and Records Service in identifying the records of enduring value of departmental and field activities of the Federal Government;
2. To assist Federal agencies in establishing retention periods for records that do not have enduring value; and
3. To remove from Federal Records Centers all disposable records promptly, always with agency concurrence, regardless of whether record or nonrecord material is involved.

If these three objectives are maintained, there will be few records in any Center marked "Disposal date not established," or "Retain indefinitely."

In accordance with GSA Regulations 3-IV-302.06, no record material can be disposed of without the agency's written concurrence, even though Congress has authorized the disposal. Such concurrence is received from the records-creating agency, the records-transferring agency, or any responsible successor agency, whichever is applicable.

If the records-creating or records-transferring agency is discontinued after the records are received in the Center and no agency succeeds to its functions or is entrusted with its liquidation, approval for the disposal of the records is obtained from the Records Management Division, National Archives and Records Service.

The Center likewise obtains agency approval for the disposal of nonrecord material in order that there will be no misunderstanding as to the record or non-record nature of particular files.

Before disposing of any records, the Center fills out and sends the agency concerned GSA Form 439, Report of Disposition of Records (See Figure 8). The agency then determines whether the authorization for disposal is still in effect, and whether the records are active enough to warrant keeping them longer. The relation between the volume of the records, shown in item 4 of Form 439, and the number of current requests for reference service has a direct bearing on the decision as to whether they should be kept. For example, 6 requests for service in 1 year on 6,000 cubic feet of records, would provide little justification for keeping them longer.

If the agency approves the disposition, it signs Form 439 and returns it to the center as authority for disposal action.

1(a) RECORDS OF		2. SCHEDULED DISPOSITION		3. RECORD GROUP NO.	4. VOLUME (Cw. Ft.)
1(b) MAJOR SUBDIVISION				5. ACCESSION NO.	6. DISPOSITION JOB NO.
1(c) MINOR SUBDIVISION				7. FRC CONTAINER NOS.	
8. INCLUSIVE DATES		9. CURRENT REFERENCE REQUEST?			
		☐ NO ☐ YES (Explain on reverse)			
10. BRIEF DESCRIPTION OF RECORDS					
11. AUTHORIZATION FOR DISPOSITION				12. METHOD OF DISPOSITION	
				☐ BURNING ☐ TRANSFERRED TO _____ ☐ SALE AS WASTEPAPER ☐ OTHER (Explain on reverse)	
13. DISPOSITION APPROVED BY (Agency)		DATE	14. DISPOSITION ACCOMPLISHED BY (Center)		DATE
GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE GSA-WASH DC 54-3074			REPORT OF DISPOSITION OF RECORDS		
			GSA FORM 459 September 1953		

FIGURE 8

If a field office authorizes disposal of records under existing schedules, but does not know whether necessary clearance with the General Accounting Office has been obtained, the Center, before disposing of the records, requests clearance from the Records Management Division, National Archives and Records Service.

IX. THE ST. LOUIS FEDERAL RECORDS CENTER

The General Services Administration maintains at 1724 Locust Street, St. Louis 3, Missouri, a Federal Records Center for all personnel and pay records of former civilian employees of the Federal Government. Because of the specialized nature of this Center, transferring records to it and getting reference service from it require some special procedures.

Each Federal agency should transfer the following three types of records to the Center at St. Louis:

1. Official Personnel Folders of separated employees and comparable files accumulated before Official Personnel Folders were established;
2. Service Record Cards (Standard Form 7 or its equivalent) of separated or transferred employees; and
3. Individual Earnings and Service Cards (such as Standard Form 1127 or its equivalent) or Comprehensive Payrolls or Individual Pay Folders.

Personnel Folders. Civil Service Commission Regulations (Title 5, Administrative Personnel, Part 28, Code of Federal Regulations) require that Official Personnel Folders of persons who have been separated from the Federal service for 1 year be transferred to the Federal Records Center, St. Louis. Military agencies are required, however, to transfer similar records within 30 days after the separation of their civilian employees.

When an employee is separated from an agency, the agency should take these steps in regard to his Official Personnel Folder:

1. Remove it from the active file.
2. Examine all the documents in it to ensure that all the permanent ones are on the right-hand side.
3. Remove and destroy the temporary material on the left-hand side.
4. Record the date of separation in pencil on the face of the tab of the folder, for example: S-9/30/54.
5. File the folder alphabetically in an inactive file.
6. Once a month, in civil agencies, screen the file and remove, for transmittal to the St. Louis Center, the folders of employees who have been separated for a year.

To make the screening easier, metal signal tabs, marked with the name of the month, may be placed on the folder tab to indicate the month the folder should be transferred to the Federal Records Center. Each office may determine whether the use of the signal tabs is warranted—perhaps using a criterion of whether it has 50 or more inactive folders. After the folders have been pulled, the tabs may be removed and used again.

In the military agencies, the entire inactive file is transferred at the end of each month.

Unless the quantity of folders is too great, they may be placed in a penalty envelope for mailing to the St. Louis Center. Parcel post is recommended for larger quantities.

A transmittal memorandum similar to Figure 9 should be forwarded to the St. Louis Center with the records. The folders do not need to be listed by name, since their transfer is noted on the corresponding Service Record Cards. To avoid an unwarranted drain on its manpower the Center does not acknowledge receipt of records sent it.

Federal Records Center
1724 Locust Street
St. Louis 3, Missouri

Transmitted herewith are _____ official personnel
(No.)
folders of former Federal employees who separated from the
Agency during _____, _____ .
(Month) (Year)

Signed _____

Title _____

Agency _____

Address _____

Encl:

FIGURE 9

Before sending the folders to the Center, the agency should make every effort to find and place in the folders any pertinent papers that are held elsewhere in its offices. If stray documents are found later, they should be sent to the Center with a separate copy of Standard Form 127, Request for Official Personnel Folder, for each individual involved. (See Figure 10.) When this form is used for transmitting loose papers, blocks 2, 4, 5, and 6c should be filled out. The date of the person's separation must be entered in block 5.

The personnel office can be of material assistance to medical offices holding industrial health records by informing them of a transfer of personnel records. The information, including the names of the individuals whose folders are being transferred, should be given to a medical office at least a week before shipment.

To request a folder from the St. Louis Center, use Standard Form 127, mentioned above. A separate form, in duplicate, should be completed for each individual whose personnel folder is desired. A memorandum in lieu of Standard Form 127 should be used to request *information* from the folders.

Service Record Cards. Standards governing the transfer of Service Record Cards, or their equivalent, are proposed in General Records Schedule No. 1, item 2.

Upon transfer or separation of an employee, an agency will remove his Service Record Card from the Service Control File, prescribed in the United States Civil Service Commission's Handbook S-812, and place it alphabetically in a vertical inactive file. This inactive file should be broken every 5 years, and by the time the second file is to be closed and a third one established, the first can be sent to the Federal Records Center, St. Louis. In this way Service Record Cards will be retained from 5 to 10 years after separation of an employee, and cards sent to the St. Louis Center in 5-year blocks.

The St. Louis Center will not lend Service Record Cards in its custody except to the transferring agency. Photocopies will be provided upon request, however.

Fiscal records relating to pay. The St. Louis Center will accept IER cards, comprehensive payrolls, or individual fiscal folders as outlined in General Records Schedule No. 2. Such records should be transferred 1 year after completion of the audit. They are used to provide service record data when the Official Personnel Folder is missing or incomplete.

Shipment should be made in standard Federal Records Center cardboard cartons, described in Part IV, obtainable from the nearest Center or Annex. Standard Forms 134 and 135 (see Part V) should be used to transmit fiscal records and to inventory them.

Fiscal records sent to the St. Louis Center will not be merged with the Official Personnel Folder nor transferred to another agency. Photocopies will be provided as needed, however.

STANDARD FORM 127
APRIL 1952
PRESCRIBED BY GENERAL
SERVICES ADMINISTRATION
REG. 2-IV-302

REQUEST FOR OFFICIAL PERSONNEL FOLDER
(SEPARATED EMPLOYEE)

1. DATE OF REQUEST

Submit in duplicate to the Federal Records Center, St. Louis, Mo.

SECTION I—TO BE COMPLETED BY REQUESTING OFFICE

General Services Administration
Records Management Service, Region 6
Federal Records Center
1724 Locust Street
St. Louis 3, Mo.

2. NAME (Last, first, middle)

3. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY
(If other than item 2)

4. DATE OF BIRTH

5. FORMER FEDERAL EMPLOYING OFFICE (Agency, bureau or equivalent, address, and dates of employment)

(If formerly employed by agencies in addition to above, list under item 7)

6. PERSONNEL FOLDER ACTION (Check appropriate box)

☐ a. CURRENTLY EMPLOYED. REQUEST TRANSMISSION OF
FOLDER COVERING PREVIOUS FEDERAL EMPLOYMENT
FOR PERMANENT RETENTION

☐ b. REQUEST TRANSMISSION
OF FOLDER FOR TEMPO-
RARY USE

☐ c. CONSOLIDATE ATTACHED PAPERS
WITH OFFICIAL PERSONNEL FOLD-
ER PREVIOUSLY FORWARDED

7. REMARKS

SECTION II—FOR USE BY FEDERAL RECORDS CENTER, ST. LOUIS, MO.

☐ a. CONSOLIDATE ATTACHED PAPERS WITH FOLDER PREVIOUSLY
FORWARDED

☐ d. FLAGGED, FOLDER TO BE FORWARDED WHEN LOCATED

☐ b. FOLDER ENCLOSED

☐ e. FOLDER PREVIOUSLY REQUESTED IS ENCLOSED

☐ c. FOLDER NOT LOCATED

☐ f. FOLDER FORWARDED ON A LOAN BASIS IN LIEU OF INFORMATION
REQUESTED. IF EMPLOYEE IS REHIRED, FOLDER SHOULD BE RE-
TAINED BY YOUR AGENCY

9. REMARKS

NOTE.—Original will be used as charge-out by Federal Records Center. Duplicate will be returned as transmittal sheet
when appropriate.

TO:
ADDRESS:

Requesting agency will type name and address
of office submitting request in address box.
To be used to mail folder or reply.

ATTN:

FIGURE 10

CHECK LIST

The questions are so worded that check marks in the "NO" column indicate the need for corrective action.

	YES	NO
1. Has your agency designated a records management liaison office with the General Services Administration in accordance with GSA Regulations, Title 3, Section 102.06?	☐	☐
2. Are all of the records of your agency covered by records disposition instructions?	☐	☐
3. Do the records disposition instructions of your agency indicate what records should be transferred to Federal Records Centers, and when?	☐	☐
4. Does your agency make certain that "record copies" of all issuances and publications are made a part of the official files before the files are transferred to a Federal Records Center?	☐	☐
5. Are "desk drawer files" or "personal collections" scrutinized for record material to be incorporated in official files before the files are transferred to a Federal Records Center?	☐	☐
6. Does your agency utilize the knowledge and experience of staff members of the Federal Records Centers in making transfers of records to those Centers?	☐	☐
7. If your agency undergoes on-site audit by the General Accounting Office, does it follow General Regulations 115 of the Comptroller General insofar as using a Federal Records Center is concerned?	☐	☐
8. Does your agency screen records before packing them?	☐	☐
9. Does your agency include finding aids in transfers of records?	☐	☐
10. Does your agency document all transfers to Federal Records Centers by Standard Form 135, Transmittal of Government Records?	☐	☐
11. Does your agency also prepare Standard Form 134, Records Shelf List?	☐	☐
12. When your agency requests reference service, does it give the Center box number and accession number?	☐	☐
13. Does your agency transfer to the Federal Records Center, St. Louis, Official Personnel Folders of separated employees <i>monthly</i> 1 year after separation?	☐	☐
14. Does your agency use Standard Form 127, Request for Official Personnel Folder, to request service from the St. Louis Center?	☐	☐
15. Does your agency send appropriate fiscal records to the St. Louis Center each year?	☐	☐
16. Has your agency also transferred its older Service Record Cards to the St. Louis Center?	☐	☐



Washington: 1954

**GENERAL SERVICES ADMINISTRATION
THE NATIONAL ARCHIVES**

DISPOSITION OF FEDERAL RECORDS

**How to develop an EFFECTIVE PROGRAM
for the preservation and the disposal of
FEDERAL RECORDS**

Washington, D. C. • 1949

WHAT ARE RECORDS?

Legal definition

RECORDS. The word "records," as defined in the Records Disposal Act of July 7, 1943, as amended, includes—

all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein.

NONRECORD MATERIALS. The Disposal Act also states:

Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this act.

Interpretation of legal definition

RECORDS. The definition of "records" in the Disposal Act indicates the elements that are or are not essential in materials to make them public "records." It is to be observed that physical form is *not* one of these essential elements. Records may have various forms. They may be books, papers, maps, photographs, or other documentary materials. It is also to be noted that the elements that *are essential* in determining whether materials are or are not "records" are stated in two alternatives. The first pertains to the production or acquisition of the materials, while the second pertains to their preservation or their appropriateness for preservation. The materials—

- ★ may be *either* made *or* received by an agency of the Government *either* in pursuance of Federal law *or* in connection with the transaction of public business, and
- ★ may be *either* preserved *or* be appropriate for preservation *either* for evidentiary purposes *or* for their informational values.

To constitute "records" the materials need not have all these elements, but they must have one of each of the alternative elements.

The elements pertaining to the preservation of records or to their appropriateness for preservation are deserving of further explanation. The *evidence* contained in the materials is stated to be an element that determines their "record" character. This evidence, according to the definition in the law, may pertain to the "organization, functions, policies, decisions, procedures, operations, or other activities" of a Government agency. Evidence on these matters would encompass practically all materials produced by an agency. Decisions therefore must be made as to which materials contain evidence that shall be preserved or is appropriate for preservation. The *informational* value of materials is also an element that determines their "record" character. The data in them may have an informational value for a variety of purposes, such as for researches and for the protection of the civic, legal, and property rights of citizens. Decisions again must be made as to which materials have informational values that make them appropriate for preservation. To help make these decisions a chapter on What Values Do Records Have? is included in this manual.

NONRECORD MATERIALS. This is a designation for materials that are not included within the definition of the word "records" contained in the Disposal Act. Certain specific types of nonrecord materials are identified in the act. These all serve purposes other than "record" purposes. They may include:

1. Materials preserved solely for purposes of reference or exhibition in libraries or museums;
2. Extra copies of documents preserved only for convenience of reference, such as
 - a. "Reading file" copies of correspondence,
 - b. "Tickler," "follow-up," or "suspense" copies of correspondence,
 - c. Identical duplicate copies of all documents maintained in the same file, and
 - d. Extra copies of printed or processed materials of which official copies have been retained for purposes of record; and
3. Stocks of publications and processed documents preserved for supply purposes.

There are also other types of nonrecord materials. They are materials that do not have the elements that make them public "records." They are

- ★ materials neither *made* nor *received* by an agency of the Government neither *in pursuance of Federal law* nor *in connection with the transaction of public business*, and
- ★ materials neither *preserved* nor *appropriate for preservation* because they have neither *evidential* nor *informational values*.

In the following two categories of nonrecord materials these elements are lacking:

1. Private materials that obviously do not fall within the scope of the definition of public "records." These include privately purchased books and other publications and correspondence and other records pertaining to private personal matters that have been kept at an office for convenience. *Records made in connection with the transaction of public business or in pursuance of Federal law are public records, it should be emphasized, and as such they belong to the office, not to the officer; they are the property of the Government and not of the citizen; and they are in no sense personal property. The appropriateness of their preservation by the Government must first be decided by the agency in which they were produced and by the National Archives before they can be legally removed or destroyed.*

2. Materials that are not being preserved or are not appropriate for preservation because they have neither evidentiary nor informational values. They may include materials that, although accumulated in the process of producing records, have themselves never acquired a "record" character. Ordinarily the following may be considered "nonrecord materials," although exceptional circumstances may result in values being attached to them for evidentiary or informational purposes; for example, letters of transmittal may constitute important legal evidence in certain control or regulatory operations of Government agencies:

- a. Preliminary or intermediate drafts of letters, memoranda, reports, or other papers, and preliminary worksheets and informal notes that do not represent significant basic steps in the preparation of record copies of documents;
- b. Letters of transmittal that do not add any information to that contained in the transmitted material;
- c. Memoranda or other papers that do not serve as the basis of official actions, for example, notices of holidays or of Red Cross or Community Chest appeals and notices of activities of Government associations or unions; and
- d. Shorthand notes, including stenographic notebooks and stenotype tapes, that have been transcribed.

WHAT VALUES DO RECORDS HAVE?

Responsibilities for evaluation

Records may be evaluated from two points of view:

AN ARCHIVAL POINT OF VIEW. This is an evaluation of records primarily in terms of their ultimate usefulness to the Government and the people for purposes of (a) documenting an agency's functioning, (b) facilitating research, and (c) protecting the civic, legal, and property rights of private citizens.

AN AGENCY POINT OF VIEW. This is an evaluation of records in terms of their immediate or future usefulness to the producing agency for administrative, legal, and fiscal purposes.

Evaluations from the first point of view should be made by professionally trained archivists, whether they be on the staff of the operating agency or on the staff of the National Archives. For evaluations from the second point of view the recommendations of agency officials are of first importance. In other words, the archivist in a central agency is primarily responsible for appraising the value of records to Government agencies other than the producing agency, to the scholar, and to the private citizen. Agency officials are responsible for appraising the usefulness of records for the current or future operations of the agency, since they are responsible for the conduct of such operations.

Although a clear-cut division of responsibility exists between the National Archives and the operating agency in evaluating records, the latter can assume a large share of responsibility for determining the ultimate archival values of records in its custody. In the normal discharge of its duties an agency records staff develops a knowledge of the organizational structure and functioning of the agency and of the records that result from such functioning. This knowledge is basic to judging the value of records for purposes of functional documentation. The functional evaluations, therefore, can best be made on a cooperative basis by the records staff of an agency and the staff of the National Archives. When the agency records staff includes professionally trained archivists, the responsibility for records evaluation, from both the archival and the agency point of view, can be assumed to a greater extent by the agency.

Standards for evaluation

It has been noted in the foreword to this manual that values are attached to records for a variety of reasons. For purposes of discussion these values can be grouped into four types:

1. Values for administrative, legal, and fiscal uses by the Government,
2. Values for the protection of the civic, legal, property, and other rights of citizens,
3. Values for purposes of functional documentation, and
4. Values for research purposes.

In discussing these four types of values no attempt is made for obvious reasons to formulate precise and categorical standards by which values can be judged. It should be noted, however, that an agency records officer should consider these four types of values progressively in the order in which they are here discussed. He is responsible first for determining the immediate and future administrative, legal, and fiscal usefulness of records to his agency, as distinct from determining their ultimate documentary, research, or other values to the Government generally, the scholar, and the private citizen. Because of his familiarity with the organizational structure and functioning of his agency, the records officer is also in a position to make helpful judgments on the values of records for purposes of functional documentation. Since the needs of research are very broad, however, it is more difficult for the records officer to judge the values of records for research purposes, and the assistance of professionally competent archivists in making such judgments should be obtained.

It should be noted, moreover, that the various types of values constitute four aspects of a single problem and that all must be taken into account in any appraisal. Records may have sufficient value to justify their permanent retention if only one type of value is attached to them. In a word, any value that records may have for the American people, either directly or through their Government, whether for administrative, legal, fiscal, research, scientific, or other purposes, should be carefully considered.

VALUES FOR ADMINISTRATIVE, LEGAL, AND FISCAL USES BY THE GOVERNMENT. The first duty

of an agency records officer is to serve the needs of his agency. When he appraises any group of records, therefore, he must first determine whether they have further values for his agency. The values are likely to be administrative, legal, or fiscal. These terms may be defined in greater detail, as follows:

Administrative values. Since records are created as administrative tools to accomplish the functions for which an agency was established, they all have administrative values during the period of their current usefulness, and most types of records of permanent and enduring value are likely to be useful beyond this period for occasional administrative purposes. A record has administrative value if it helps the agency perform its current work or if it probably will help it perform future work. The primary administrative use of most records, however, is exhausted when the transactions to which they relate have been completed. These transactions may pertain to long-term fiscal, financial, regulatory, and control operations, so that their administrative value may extend over a long period of time.

Legal values. Records have legal value if they contain evidence of legally enforceable rights or obligations of the Government; and among those obligations are, of course, the legal rights of persons, both employees and nonemployees, to make claims against the Government. Among records having legal values are those showing the bases for action, such as legal decisions and opinions; financial and other documents representing legal agreements, such as leases, titles, and contracts; and records of action in particular cases, such as claims papers and legal dockets.

Fiscal values. Records of fiscal value are those which pertain to the financial transactions of an agency, such as budgets, ledgers, allotments, pay rolls, and vouchers created as tools to administer the financial obligations of an agency. After such records are no longer required as administrative tools they keep their fiscal value and must be retained to protect the agency against court action or to account for the expenditure of funds.

VALUES FOR THE PROTECTION OF THE RIGHTS OF THE PRIVATE CITIZEN. Whenever an operating agency deals directly with private citizens, the records that are valuable for the protection of private rights are to be regarded as its administrative records and should be evaluated first from the point of view of their administrative, legal, and fiscal usefulness to the agency. In certain agencies of the Government, documents are created or incorporated into records series that embody information vital to the welfare of the people. In fact, in some instances the agencies are "offices of record" for documents that establish specific civic, legal, and property rights of the private citizen; in other instances agencies create documents in

the conduct of their current operations that have an incidental value in establishing such rights. Among the records pertaining to the civic and legal rights of citizens are those providing evidence of citizenship, such as the place and date of a person's birth or his immigration and naturalization, and those establishing certain rights acquired as citizens, such as rights to old-age security, or rights resulting from service in the Government civil service or in the armed forces. Among records establishing various property rights are those pertaining to land and property titles, and to financial transactions of the Government involving loans or other financial benefits to farmers, home owners, or businessmen.

If, then, Federal agencies are "offices of record" for documents establishing rights of citizens, as is the case with respect to immigration and naturalization, old-age security, pension, and land records, agency officials are responsible for the preservation of such records for whatever period is necessary to protect these rights. Their further preservation in a central archival agency will depend on what other values they may have.

If, on the other hand, Federal agencies create records in current operations that have merely an incidental value for the protection of private rights, a critical appraisal is necessary. This appraisal should determine whether the information relating to private rights embodied in the records has been or will be exhausted at a determinable period of time, and whether the information is obtainable from other existing documentary sources. Records pertaining to property or financial rights of individuals, for example, may be valuable only for a period of time governed by statutes of limitation, after which the rights cannot be enforced by court action; and office records pertaining to the service status of Government employees may be duplicated in records of a central personnel agency or office. The Federal Government, it should be noted, is not obligated to retain records that might incidentally, or accidentally, contain facts useful only to private litigants in connection with the settlement of disputes in which the Government itself has no interest.

VALUES FOR FUNCTIONAL DOCUMENTATION. For every agency those records should be preserved that contain the basic facts of its organizational structure and functions. Such records are needed as evidence of an agency's stewardship of the responsibilities delegated to it. This evidence should be preserved for the accounting of their work that all public officials owe to the people whom they serve. It is needed by other public officials who may wish to profit by the recorded experiences of an agency in dealing with organizational, procedural, and policy matters, as well as social and economic problems. It is needed to give

consistency and continuity to the actions of the Government.

Records should be preserved that contain adequate and authentic evidence of an agency's "organization, functions, policies, decisions, procedures, operations, or other activities." These records should show an agency's origins, its administrative development, and its present organizational structure. They should show how the agency carried out its "functions," a term used here to include all activities essential to accomplish the purposes for which an agency was established. They should show the policies it followed and the reasons for their adoption, its working methods, and its specific individual transactions, at least in an exemplary form. They should show the general social, economic, or other conditions with which it dealt.

In appraising records for purposes of functional documentation, the agency's records must be viewed in their entirety to determine their relationship and the significance of a given group of records to the entire system of documentation. In chapter 4, *How Should Records Be Analyzed?* will be found suggestions for steps preliminary to the appraisal of records from the functional point of view.

Certain major categories of records should be considered from the point of view of their value for purposes of functional documentation. These categories are not necessarily complete nor are they mutually exclusive.

Policy records. The term "policy" simply indicates that an agency has decided upon a course of action that is to be followed in more than one of its transactions. A policy may govern the transactions of an entire agency, or it may be confined to those of only one part of an agency. It may apply to the substantive or the facilitative functions of an agency. No rigid distinction, moreover, can be made between "policy" and "administration," since supervisory or management activities frequently result in policy formulation, and programs often deviate significantly from policies. Records that document genuinely significant activities of either type may have permanent value. The policies that are deserving of thorough documentation are those relating to the substantive functions and to the more important management or facilitative activities of an agency. The wider the applicability of the policies, the more significant are the related records likely to be. In general, the policy records to be preserved are those relating to the organization, the plans, the methods and techniques, and the rules and procedures which the agency or one of its component parts adopted to carry out its responsibilities and functions. Particularly important among such policy documents are the following types:

Organizational documents. These may include statutes and Executive orders as well as drafts and

supporting material relating to the organization or reorganization of the agency, including the creation, discontinuance, and consolidation of functions of various of its organizational units; budgets and budget-planning records, including justifications and estimates of requirements; interpretations, opinions, and memoranda of law; organizational and functional charts; directories; correspondence and memoranda delegating or defining powers and responsibilities, or showing working relationships with other Federal agencies, State and local governments, or industry or private organizations; staff studies and special reports relating to organizational problems.

Procedural documents. These may include procedural manuals, directives, rules and regulations, circulars, instructions, memoranda, or any regularly recurring issuance that establishes a course of action for the agency or one of its component parts. The sets of issuances should be obtained at the administrative level at which they were created. They should include superseded issuances as well as those currently in effect. The procedural documents may include also any staff studies or special reports relating to methodology, techniques, and operations, or to analyses of workloads and performances. A master set of the forms developed for each of the agency's operations may also be included.

Reports. These may include annual reports, or other periodic progress reports, whether narrative or statistical; special reports of accomplishment; transcripts of hearings; and minutes of meetings and conferences.

Operating records. The bulk of the records of most agencies are not those that record its general management, the determination of its policies, or its internal administration but rather those that record the specific individual transactions that make up its actual operations. These records not only have the greatest bulk but also present the most serious problems of evaluation. Normally most of the significant evidence relative to the operations of an agency is relayed upward through reports of a statistical or narrative nature, through correspondence and memoranda, and other summary records. It would seem, therefore, that the records of individual transactions are seldom basically essential as evidence of policy, organization, function, or procedure. In some agencies, however, the preservation of operating records, or at least samples of them, is necessary to show how policies were implemented, how procedures were executed, and what kinds of problems, not always recorded at the policy level, were encountered. A selection of operating records may be necessary to exemplify the administrative processes at the lower level or to illustrate the variations in such processes.

In regulatory or quasi-judicial agencies, for example, policy is frequently developed through the determination of particular cases. In such agencies a selection might be made of a limited number of outstanding cases designed to illustrate the more interesting points of law or the application of various types of sanctions or regulatory measures. In the case of new agencies of this kind, or of new programs, complete documentation of operations may be desirable for the early period. In agencies having extensive field organizations, it may be desirable to select records of representative offices to show how policies and procedures worked at the "grass-roots" level or to show how governmental activities impinged on the life of the people. The retention of properly selected samples of operating records is usually sufficient to serve the purposes of documentation. Problems relating to the evaluation of operating records from other points of view will be discussed later.

Housekeeping records. A substantial part of the records of any agency represent the everyday personnel, fiscal, procurement, and property-control actions by which its internal operations are carried on. The evaluation of such records is affected by the retention of related records by the Civil Service Commission, the Treasury Department, and the General Accounting Office. Such records ordinarily pertain to activities common to all agencies and therefore, as a rule, contain little evidence essential to an understanding of the functioning of any particular agency. The preservation of selected groups of such records is necessary, however, to reflect the major facilitating operations of an agency and to help in the interpretation of other records representing its substantive functions. These groups will include the basic fiscal and accounting records specified for retention in the National Archives General Schedule No. 5. Less important from a documentary point of view, but not necessarily from the legal or administrative point of view, are the basic personnel records that are to be preserved in accordance with General Schedule No. 1. If an agency carries on internal management activities that are distinctive, that deviate from the normal pattern, or that pertain to problems peculiar to the agency, records on such activities or problems should be preserved.

Informational records. In addition to administrative issuances, such as regulations and other directives and manuals of operation, which should clearly be preserved permanently, considerable quantities of printed and processed materials of an informational character are produced in most Government agencies. The form of such materials is not the determining factor in considering their record character, for books are specifically included among the documentary materials that fall within the scope of the definition of "records"

in the Disposal Act. It is important to note, however, that a distinction should be made between the "record copies" of such materials and the nonrecord distribution copies. The archival agency is concerned only with the disposition of the record copies. The informational records are of two types: The publications produced in the performance of substantive functions and the publicity materials produced in the performance of informational or promotional activities.

As a rule, record copies of publications of the first type should be retained for ultimate preservation in libraries rather than as part of an archival record group. This is the case with respect to bulletins, pamphlets, circulars, and other materials produced by agencies primarily engaged in scientific, statistical, or research activities. There are exceptions to this rule, however. Record copies of administrative publications created by an agency that are basic to an understanding of its functioning or organization and publications accumulated by an agency that are basic to its own policy formulation may be considered suitable for archival preservation. Publications filed with records relating to their creation may also be considered suitable, particularly if the records contain successive original drafts that reflect substantial changes in content. If publications that do not directly relate to the agency's functioning or organization and that are readily separated without loss of significant interrelationships are interfiled with records, they should be removed before their transfer to an archival agency.

Record copies of informational records of the second type, namely the publicity materials relating to promotional activities, should be retained for ultimate preservation in an archival agency, while the nonrecord distribution copies may be selected for inclusion in a library at the discretion of the librarian. They provide the documentation of the programs that some agencies must undertake to interpret their functions to the public. The publicity materials may be in the form of press and radio releases, bulletins, pamphlets, charts, posters and similar materials. They are produced in large quantities but usually disappear almost as rapidly as they are created, for they are often not placed in organized files with other records and so are not preserved. The problem with respect to such materials is that of obtaining master files from which all duplicate copies have been eliminated. The files should be obtained at the administrative level at which they were created. Press clippings should be preserved if they are necessary to record informational activities or substantive functions of an agency on which other documentary materials are inadequate and if they are organized in an accessible manner. The origin of the press clippings must also be taken into account. Press clippings of specialized or small newspapers or journals should be given preference over those taken from

metropolitan newspapers that are readily available at the Library of Congress.

VALUES FOR RESEARCH. If a careful selection is made of the records that are to constitute an agency's documentation, most legitimate demands of both the scholar and the public administrator will be met. Records, however, obviously have other than documentary values. The word "records" was defined in the Disposal Act to include materials that should be preserved "because of the informational value of data contained therein." The information contained in such records, apart from any considerations of functional documentation, has an absolute value. The appraisal therefore must rest upon research values—to the historian, political scientist, geographer, economist, sociologist, statistician, physical scientist, and others. *This judgment on value, in a word, is made solely from the point of view of research.*

This type of appraisal is made piecemeal, for the records are judged on the merits of their informational content, not on their relationships to the documentation of the agency as a whole. The appraisal requires professional knowledge of research methodology and research needs, as distinct from specialized knowledge of the administrative background of the records. The appraiser should use different criteria in evaluating records of different periods. Records of an early period may be valuable for academic researches while similar records of a later date may be valueless because of the existence of other more usable sources.

Three categories of records frequently contain data of informational value, although they have little or no significance for functional documentation. They are operating, statistical, and scientific records.

Operating records. It has already been noted that selected samples of operating records may have significance for the documentation of an agency's functioning. Such records may also have a research interest because of the detailed information they may contain about individuals, organizations, places, or other matters, or because, in the aggregate, they contain facts about social or economic conditions. In regulative or quasi-judicial agencies, for example, operating records may contain economic data submitted by individuals or organizations that could not be obtained elsewhere. This is particularly true if the agency requires the submission of data on business, labor, agriculture, or other operations.

The retention of the entire series of such records may be necessary. Before this determination is made, however, other materials, including non-Federal records and published works, that might contain similar or approximately similar information to that contained in the records in question should be considered. The appraiser should ask himself from what source could the same information be developed if the records did

not exist, or whether the records are of such a unique character that other available materials would not serve the equivalent purpose.

Usually it will be found that the retention of properly selected samples of operating records will serve all research purposes. The selection should take into account the various factors affecting the value of the records, such as the size of the corporation or organization concerned, the volume of its business, and the importance of the transaction recorded or of the individual concerned. The agency officials who worked with the records should be consulted in developing the method of selection. If public-reporting forms are involved, the statisticians of the Bureau of the Budget concerned with the application of the Federal Reports Act of 1942 (56 Stat. 1078) should be consulted.

Statistical records. Many agencies have significant quantities of questionnaires, schedules, and similar papers representing the raw data from which statistical tabulations or analyses have been made. Certain operating records that were originally created for other than statistical purposes but that might be put to statistical uses may also fall within this category. Ordinarily, statistical records should be released to an archival agency only if they have significant information about individual persons, corporations, or the like, or if in the aggregate they have significant information about social or economic conditions, and if their quantity, complexity, or other attributes are not such as to make their further use impracticable. To be significant the information should be of such a character that it could not be obtained elsewhere and that it would be valuable for a diversity of studies. Statistical records that have value for a specialized study only should ordinarily be retained by the Government agency, particularly if this specialized study is to be made by the agency that has custody of the records. With statistical records, as with operating records, a selection of samples should be made whenever feasible. Again the advice of agency officials who worked with the records or of statisticians of the Bureau of the Budget may be of special assistance.

Scientific records. In addition to the records that document the scientific functions of Government agencies, which are clearly suitable for archival preservation, records are created that are of a purely scientific character. They contain data on experiments and investigations. Their value is determined by their importance for the history of science or for the conduct of further scientific researches. The problem of evaluation arises mainly with respect to records needed for further researches, for obviously records pertaining to the history of scientific activities in the Federal Government are valuable. When scientific records

provide the means of carrying on further researches or of verifying the results of past researches, they are clearly suitable for permanent preservation. Frequently, however, scientific records have attributes that make their further use impracticable. They may

have significance only for a particular experiment, or they may be intelligible only to the persons who recorded the data. The agency officials who conducted the scientific activity should be consulted to ascertain the further value of such records.

HOW SHOULD RECORDS BE ANALYZED?

Objectives

An analysis of an agency's records has two purposes:

1. *To identify the records of enduring or permanent value that the Government should undertake to preserve indefinitely, and*
2. *To identify the records that are disposable, now or later.*

These two purposes represent two aspects of the same problem. The selection of records for preservation is the positive aspect of the problem of records disposition; the disposal of records is the negative one. If the records that should be preserved indefinitely are identified, it may be assumed that the value of the remainder of the records, although some of them may need to be kept for a number of years, is only temporary.

The problem then remaining is to determine after what period of time the value of the "temporary" records will disappear or so dwindle that their further preservation is not worth while. In other words, the records officer decides in effect: "These records the Government should keep indefinitely. All the rest should be thrown away—some now, some when they are 5 years old, some when the accounts to which they relate are settled, and others at other times." There are, then, just two questions the records officer should ask himself at this stage:

1. What are the records of this agency that the Government should preserve indefinitely?
2. When may each class of the remainder be thrown away?

Methods

To determine which records are disposable and which should be preserved indefinitely, the records officer should normally take the following steps:

Step 1. Analyze the organizational structure and functioning of the agency.

This analysis should provide general information on the following points:

1. *The status of each office in the administrative hierarchy of the agency,*

2. *The character of the functions performed by each office, and*

3. *The character of the activities performed on a given function by each office.*

The status of an office in the administrative hierarchy of the agency can be most easily determined, and upon this status the value of the records largely depends. A cursory examination of both the national and field organizations of an agency will usually reveal which are the key staff and line offices. Of fundamental importance are the records produced in the administrative and staff offices where the policy, procedural, and organizational decisions by which an agency is governed are made. Attached to such offices are various organizational units engaged in handling legal, budgetary, procedural, and internal administrative activities, or engaged in research or investigations incidental to the formulation of policy or procedures. Less obviously important and more difficult to identify are the valuable records pertaining to supervisory or management functions. Lowest in the administrative scale are the offices concerned with detailed and frequently routine operations, which result in records that are even less likely to have enduring value.

The character of the functions performed by each office is also significant in determining the value of records. Functions may be characterized as substantive and facilitative. Substantive functions are those relating to the technical and professional work of the agency, work that distinguishes the particular agency from all other agencies. These functions deserve thorough documentation. Facilitative functions are those relating to the internal management of the agency, the housekeeping activities that are common to all agencies. Although these activities admittedly are important to efficient operation, they are not distinctive. They are, in fact, merely incidental to the performance of the agency's substantive functions.

In analyzing the functions of his agency the records officer should particularly identify those that have expiration dates, for advance preparation should be made for the orderly disposition of the records pertaining to them. Most obvious among the terminable functions are those relating to emergency programs

arising out of a war or out of economic or social maladjustments, for such programs end when the emergency ceases to exist. Other terminable functions are those relating to projects specially authorized by Congress in addition to the regular functions of an agency or those relating to projects carried out at periodic intervals such as the taking of a census of population. In this category, also, are regular functions of an agency that are terminated by Congressional action or by agency reorganizations.

The character of the activities performed on a given function by each office in the administrative hierarchy is likewise significant in determining the value of records. In the execution of any given function action is usually taken by offices at several administrative levels. These activities normally become progressively less important as the work flows through the various levels to completion, changing from the important to the routine, from the general to the specific. On each function, as a consequence, there is a chain of successive transactions, each link of which represents a preliminary step toward the final action. The value of any particular series of records in this chain is largely determined by its relationship to other series. If these relationships are analyzed, it is possible to determine the relative value of various series in providing evidence on organization and function. It may be found that certain series contain substantially all the evidence needed, or that certain series may be required to provide supplementary evidence. To be adequate this evidence may have to cover the entire range of an agency's activities—at least, in an exemplary form—from the top to the bottom, from the important to the routine.

Step 2. Survey the record materials of the agency.

The surveys can be made most thoroughly by the records officer and his immediate staff. When speed is essential and the volume of records to be covered is large, however, it is necessary to use a questionnaire form that can be filled out by the people who actually have charge of the records. This approach requires careful planning, detailed instruction, and close editing, but it makes participants of operating officials throughout the agency and permits completion of the work far more rapidly than would be possible if one person undertook to do the job.

The survey should ultimately cover all records as well as "nonrecord materials" of the agency, but, unless the agency is very small, it is usually best to survey the records of one bureau or division at a time. The records of large field offices that have substantial autonomy and considerable freedom in the organization of their records should be surveyed just as are those of bureaus or divisions at the headquarters of the agency. Smaller field offices that keep their records in substantial conformity with instructions from

headquarters, however, seldom need to be covered by individual surveys, though a survey of the records of representative offices is desirable. Motion pictures, sound recordings, and photographs can be surveyed by the same general methods as written records, but, since many technical problems are involved, agencies should consult with the National Archives before beginning such a survey.

The forms to be used in the survey should be devised to suit the needs of the particular agency. Ordinarily the forms should provide space for entering the following facts on each records series:

1. *The office that filed or originally kept the series of records,*
2. *The location and present custody of the records,*
3. *The identification of the series,*
4. *The beginning and ending dates of the series,*
5. *The internal arrangement of the files,*
6. *The existence in the agency of other copies of the same papers,*
7. *The existence in the agency of other files that contain the same information,*
8. *The size and kind of containers,*
9. *The quantity of records in the series and the annual rate of accumulation,*
10. *The kind and frequency of use, and*
11. *The opinion of the person or persons in charge of the records as to their value and the periods they will need to be retained.*

The office that filed or originally kept the records should be shown in full, for example:

Statistics Branch, Operations Division.

Historical Section, General Administrative Services, Office of the Quartermaster General.

Budget Section, Fiscal Branch, Office of Price Administration.

This office may be very different from the office that now has charge of the records. For example, the records of Camp X of the Army may now be in the hands of The Adjutant General's Records Administration Center in St. Louis, but they would still be reported as records of Camp X because that camp filed them. When an office is abolished, another office or division sometimes takes over its activities and records and continues to file papers in them. This practice is not to be recommended, for a set of files should be cut off when it is transferred elsewhere and a new set of files should be started. If this practice is followed, however, the records should be reported as records of the last office that actually added to them.

The location and present custody of the series should be shown, as, for example:

Room 211, Walker-Johnson Building, Division of Mail and Records.

The records series described on the form should

be identified clearly, and its nature, content, and purpose should be shown. This information is essential in the evaluation of records, their appraisal by the National Archives, and their subsequent identification at the time of actual disposal. Include form numbers and titles, decimal file headings, and similar data when applicable. For forms and memoranda indicate whether the copies in the series are ribbon or carbon and whether signed or unsigned. Note the following examples of identifications:

Signed ribbon copies of Form 32, Service Order, for all services performed in photographic laboratory.

Requests for copies of publications and copies of replies thereto.

Unsigned carbon copies of Form 1012e, travel vouchers, with accompanying travel authorizations, subvouchers, and memoranda of exceptions.

Project files for all construction projects, including, for each project, signed ribbon copy of project application (Form 817), unsigned carbon copy of review memorandum, unsigned carbon of notice of approval (Form 11), signed carbon of advice of allocation (Form 319), signed ribbon copy of quarterly report of expenditures (Form 82), signed ribbon copy of notice of abandonment or completion (Form 38), signed carbon copy of advice of rescission (Form 17), and memoranda, reports, and correspondence relating to the project.

Dates should be shown as exactly as possible, for example:

April 6, 1941, to date.

June 1919 to May 1942.

A brief statement of the filing scheme or arrangement within the series should be given, for differences between the arrangement of two series may determine which is to be kept and which disposed of. Note that what is wanted is the *internal* arrangement of each records series itself. Arrangement should be noted as follows:

Arranged alphabetically by subject.

Arranged chronologically by date of report.

Arranged numerically by map number.

If the arrangement is broken down within this basic pattern, note as follows:

Arranged chronologically by date of report and alphabetically thereunder by subject.

Arranged alphabetically by name of registrant and chronologically thereunder by date of supporting papers.

The existence of copies of the papers in other files in the agency, if known, should be indicated, thus:

Carbon copies also in Division of Finance and Accounts.

Originals of Form 57 retained by Division of Personnel Management.

If there is any substantial difference between the copies of the documents, it is important to note that fact

because it often determines which copy should be retained and which destroyed, for example:

Signed ribbon copies of these forms with notation of action by Director are in General Files.

Carbon copies without final computation of cost are retained by issuing division.

A brief description of any other records of the agency containing substantially similar information should be given. Statistical results of an analysis, for example, are usually found on questionnaire forms, on tabulation sheets, and in compiled reports. Essential data in requisitions are often carried over into purchase orders and vouchers. Detailed reports of subordinate or field offices are often summarized in reports of offices at higher levels. The duplication is generally only partial in each case. The records officer must know how a given series is related to another and the extent to which their contents duplicate each other.

The size and kind of containers of the records should be shown. Information such as this is valuable in planning transfers and removals to storage:

Four-drawer letter-size file cabinets.

Wooden boxes, 30" x 15" x 10".

Card trays, 12" x 6" x 4".

Bound volumes, averaging 14" x 8" x 3".

The quantity of records and the annual rate of accumulation should be shown. This is easiest given in numbers of volumes or containers, for example:

49 file drawers; annual increase, 11 file drawers.

114 volumes; annual increase, 7 volumes.

The nature and frequency of use is perhaps the most important criterion in determining whether records can be disposed of. This should be shown as precisely as possible, for example:

Used approximately 15 times a week in preparing answers to exceptions taken by General Accounting Office.

Never used.

Used approximately 15 times per month by Review Division in connection with review of current projects.

Used once or twice a year by Legal Division in search of precedent cases.

The recommendation of the official in charge of the records as to their disposition should be given. Employees who handle records currently can give the records officer valuable advice as to how long they should be kept. In giving the records officer their opinions, these persons should keep in mind the fact that once records become noncurrent for administrative purposes they can be kept more economically outside the active files. Temporary storage should not be in working offices. Permanent retention should be in the National Archives. Records of no value should be disposed of promptly. Internal regulations, those of other agencies, or laws that require retention for cer-

tain periods should be cited, wherever possible, in support of the recommendation. If it is thought that records should be kept at hand temporarily, the time for such retention should be stated explicitly in terms of months or years after current action is completed.

Step 3. Analyze the survey reports by organizational units and functions.

This analysis should reveal the following information:

1. *The significance of each records series to the over-all documentation of the agency's organizational structure and functioning,*
2. *The relationship of records series to each other, and*
3. *On the basis of the significance and the relationships of records series, the value of each (a) for archival purposes, and (b) for agency purposes.*

No matter how thoroughly the survey was made, it will be found that supplemental information will be required to formulate dependable disposition recommendations on various records series. It will be helpful to review chapter 3 of this manual while making these disposition determinations.

On the substantive functions of the agency—functions that reflect its professional and technical work—the survey reports should be utilized in the following ways:

Survey reports on the records of offices concerned with major policy, procedural, and organizational matters should be brought together for purposes of analysis. In reviewing these reports the records officer should ask himself the following questions:

1. Which administrative units in the national office have primary responsibility for making the policy, procedural, and organizational decisions of the agency?
2. Which field offices have discretion in the determination of policy?
3. Which administrative units perform activities that are auxiliary to making policy and procedural decisions?
4. Which records series are essential to reflect these decisions?
5. Are these decisions reflected in central correspondence files? If so, can file units within the central files pertaining to housekeeping activities be removed?

Survey reports should also be grouped by major functions of the agency for purposes of analysis. These functions, as has been noted, may be carried out through various administrative levels in the agency, in both its national and its field offices. In reviewing the reports, the records officer should ascertain the

successive transactions of the function performed at each administrative level, should identify the records series that result from each of the transactions, and should analyze the purpose and content of the records series and of any forms embodied in them. After this has been done the significance and the relationships of the records series at different administrative levels can be determined. The records officer should ask himself:

1. Where does the primary responsibility for the supervisory and management activities of the function rest? In which office at headquarters? In which office within the field? Which series of records are essential to reflect the supervisory and managerial activities? To what extent are such records physically duplicated in subordinate offices?
2. Which of the successive transactions performed under the function result in summary records? Are the final summary records adequate for all foreseeable purposes? Are the final records self-explanatory?
3. Which transactions result in preliminary or intermediate records? Which records are merely subsidiary to the creation of other records? To what extent is the content of such records duplicated in other records? Is there reasonable probability that the detail records may be needed to prove or sustain the summary of final records, or that they may be needed for investigative purposes? When do such detail records cease to be useful for administrative, legal, and fiscal purposes? Is their retention governed by statutes of limitation, or by subsequent actions that occur?
4. Which records should be preserved in exemplary form to show the administrative processes at the lower levels?

On the facilitative functions of the agency, the survey reports should be utilized in a slightly different manner. The facilitative functions relate to the internal management of the various Government agencies, the housekeeping activities that are common to all agencies. The administrative processes that are followed in carrying out such functions are similar in all agencies and vary only to the degree that such functions are broken down by administrative specialization. These administrative processes determine

Which forms should be used,
How many copies of each form should be made,
Where each copy should be sent,
Where each copy should be filed, and
How long each copy should be kept.

They are therefore of interest to the records officer, who, accordingly, should become part of the team that is concerned with the internal management of his agency.

In analyzing housekeeping records it is generally advisable to consider separately the records of each of the major facilitative functions for the entire agency. To do this it is not necessary to make an actual physical survey of such records throughout the agency. It is more important to obtain or compile a list of standard and agency forms, with samples if possible, and to obtain information on the offices that prepare each of the forms, the number of copies made, the distribution of the copies, the uses made of each copy, and the relationships of each of the forms to other forms.

The major facilitative functions of an agency can usually be grouped as follows:

- Administrative services,
- Budget,
- Communications,
- Fiscal,
- Legal,
- Personnel, and
- Property, supplies, and equipment.

After assembling the forms by major functions, the records officer can analyze each of them. The major functions, for example, are usually further subdivided into more specific transactions. Under fiscal operations forms are developed for accounting, auditing, and various other transactions. Similarly under personnel operations forms are developed for applications, classification, placement, rating, and other purposes. The extent and nature of the major functions and the transactions performed under them depend upon the size of the agency involved and the degree of administrative specialization.

After determining the transactions performed under the facilitative functions, the records officers should arrange the forms for purposes of analysis in the order in which the work is performed or the steps in transactions are completed. This arrangement will make it easy to determine the specific purpose for which a form was prepared, the relationship of a copy of the form to other copies, and the relationship of the form to other forms. The procurement of property, supplies, and equipment, for example, results in the following kinds of records:

- Requests for purchase requisitions,
- Purchase requisitions,
- Invitations to bid,
- Purchase orders or contracts,
- Expediting records,
- Bills of lading,
- Receiving reports,
- Inspection and testing reports,
- Stores (or stock) ledgers,

- Cash vouchers,
- Paid checks,
- General ledgers, and
- Inventory records.

When the forms have been thus arranged and examined, the records officer should ask himself the following questions:

1. Which series of records are necessary to reflect the major facilitating operations and to help in the interpretation of records of substantive functions?
2. Which series show unique facilitating operations?
3. Which steps in each of the transactions result in forms that are merely subsidiary to the creation of summary or final forms? To what extent is the content of such forms duplicated in summary or final forms? Is there reasonable probability that the detail records may be needed to prove or sustain the summary or final records, or that they may be needed for investigative purposes?
4. Which steps in each of the transactions are preliminary to other actions? Which forms are involved in these steps? When do such forms lose their usefulness? Is their retention period governed by subsequent actions that occur?
5. Which forms are distributed merely for informational purposes?

While the analysis of the value of housekeeping records must be made on a form-by-form basis, the disposition recommendations must take into account how such forms are filed, for the retention periods established for a given file unit must cover all forms within the unit. Practical suggestions on how to prepare schedules, so that the records can be removed and disposed of promptly upon the expiration of the retention periods, are found in chapter 7 of this manual.

Miss Adams

March 25, 1955

Miss Poeppel

Definition of "archives"

Miss Bates

Mr. Holverstott of National Archives called this morning and gave me a definition of "archives". He said that the tentative, not official, definition to be used in a glossary they are now preparing is:

"Permanently valuable records, in whatever form,
that have been created or received by a govern-
mental body for its official documentation;
records so created or received by a corporation,
firm, church or other organization"

He said this glossary should be completed within the next six months. If we do not receive a copy within that time, we should call him and he will see that one reaches us.

CAB