

Records Management
Files Maintenance and Records Disposition

Foreword

This manual provides guidance for preserving records of the Federal Emergency Management Agency (FEMA), whether in textual or electronic form. This manual also provides guidance on ways to best establish and maintain uniform, economical, and efficient practices for records maintenance and disposition. It provides detailed procedures not only for planning, arranging, and maintaining files, but also for the disposition of records either by destruction or preservation for future use by historians.

This records management system, as approved by the Archivist of the United States, is the only authorized system for FEMA records. Moreover, the system prescribed eliminates unnecessary records and reduces handling expenses in terms of personnel time and the quantity of supplies, equipment, and office space. It also results in uniformity in recordkeeping, which is essential to ensure retrievability and accessibility of the records regardless of personnel or organizational changes. Whether the office maintains a few or a large volume of records, they must be maintained efficiently in order to effectively retrieve them.

This manual supersedes FEMA Manual 5400.2, Records Management - Files Maintenance and Disposition, dated December 16, 1991; FEMA Manual 5400.4, Records Management Records Disposition Schedules and Files Plan, dated August 1, 1989; FEMA Manual 5450.1, and Records Management Electronic Recordkeeping, dated October 11, 1990. This manual updates records management guidance and record schedules that have been authorized by the Archivist of the United States.

The preservation of official records, whether in textual or electronic form, is extremely important in order to allow future researchers and historians access to the history of FEMA. These records must be complete, well-documented, easily accessible, protected, and arranged to best serve present and future needs.

/s/

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Chapter 1: Official Records and Personal Papers

1-1. General. This chapter defines official records and provides guidance for identifying records. Executive Branch officials and personnel are responsible for safeguarding official records of the Federal Government. These records are of critical importance in ensuring the Government continues to function properly. Unlike many private corporations, the Federal Government has explicit rules and regulations for information management.

1-2. Official Records Defined. The Federal Records Act of 1950 defines records as ". . . all books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under 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 in them." 5 USC 552(f)(2) clarifies that the term "agency record" includes information stored on computer as well as traditional paper documents.

a. Administrative Value. Records containing the basic evidence of the Agency's origin, development, and achievements have administrative value and consist of the following:

- (1) Documents that establish policies, procedures, standards, and requirements;
- (2) Records of studies and research; and
- (3) Records of recommendations submitted to higher authorities.

b. Legal Value. Records have legal value if they contain evidence of legally enforceable rights or Agency obligations.

Among those obligations are the legal rights of persons making claims against the Government. The following records have legal value:

- (1) Legal documents and opinions;
- (2) Documents involving legal agreements such as leases, titles, and contracts; and
- (3) Evidence of actions on particular cases such as claims papers and legal dockets.

c. Scientific and Technological Value. Records having scientific and technological value consist of large quantities of technical data gathered as a result of pure and applied research.

d. Historical Value or Having Continuing General or Public Interest Value. Records, including most of the records described in 1-4a through 1-4c, and historical account documents, such as diaries and unit histories, have historical value and continuing general or public interest value.

e. General Information Value. Some collections of documents, which would otherwise be disposable, may be unique because they cover a particular subject or cannot be found elsewhere in as complete and usable form have general information value. This uniqueness may justify their retention.

f. Problem Areas. The National Archives and Records Administration (NARA) has found that documentation practices are often weakest in the areas of policy and decision making, particularly oral decisions and commitments; board, committee, and important staff meetings; drafts and working papers or files; electronic information systems; and contractor records. The value of these types of files dictates the need for special attention in those areas.

(1) **Documentation of Policy and Decision Making.** All information supporting agency policy and/or decision making, regardless of form, is considered to be part of the records of that decision or policy. Record materials include documentation of phone conversations, facsimile copies, electronic mail printouts, meeting minutes, and textual records, and should all be kept along with the final record copy of any policy or decision making document.

(2) **Documentation of Formal Meetings.** Meetings of formal bodies such as boards, commissions, advisory groups, committees, and task forces, as well as high-level staff meetings should be properly documented. At a minimum, documentation should include the names and organizational titles of participants, agenda, list of materials distributed to participants, a summary of discussion of significant policy or procedural matters, decisions reached and actions decided upon, actions to be taken following adjournment, and assignments of responsibility. If the meeting is taped and transcription subsequently made and filed, all speakers should be identified on the transcript.

(3) **Drafts and Working Files.** Support documents such as drafts and working files for reports, special studies, memorandums, and correspondence that support major program policy development may be needed to fully understand the alternatives and options considered for high-level program initiatives and the basis for deciding on a course of action. Some drafts contain unique information in substantive annotations or comments added during circulation for comment or approval. These drafts and working files should be retained with the final document. For further evaluation or guidance of these requirements, offices should contact the Records Management Branch for review of the materials.

(4) **Electronic Information Systems.** Documentary materials in electronic form are subject to the same criteria for determination of record status. See Section 1-10, Electronic

Records Management, for further guidelines.

(5) **Contractor Records.** Contractors performing agency functions create records essential for effective management and for accurate and complete documentation of these functions. Unless contract provisions explicitly define the documentation to be provided to FEMA, contractors are likely to treat needed documentation as private property. Contract provision should require the submission of program and administrative documentation, including background and technical documentation, to the FEMA program office. The contracts should also specify which records need to be kept by the contractor for audit or other administrative purposes and the length of time they are to be maintained.

1-3. Records Retention. Records, including information stored in any automated storage media, include those documents which the Agency creates or receives, and covers records which have permanent or temporary files. The destruction or other disposition of Government records is prohibited by law unless authorized by the Archivist of the United States. FEMA's records disposal authority is contained in Chapter 6 of this manual.

a. Permanent Records. Permanent records are records appraised as being worthy of preservation in the National Archives of the United States. These records have value for historical or other research purposes, and document the organization, functions, policies, decisions, procedures, operations, or other Agency activities, or contain information with which the Agency conducts its business. Approximately 5 to 10 percent of FEMA's records are permanent and are generally categorized as having value.

b. Temporary Records. Temporary (or more commonly called housekeeping) records are official records that do not have continuing value. Temporary records are records that will not, at the end of specified time period, have sufficient administrative, legal, financial, historical, or other value to

warrant further preservations by the US Government. Disposition of records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, research and development, and other common housekeeping functions (textual and nontextual records) is mandatory under PL 95-440, Authorization, Appropriations-General Records Schedules-Documents. In addition to housekeeping records, certain Agency records having short-term value can be destroyed after approval from the Archivist of the United States. Ninety to ninety-five percent of FEMA's records are temporary.

c. Nonrecord Material. Nonrecord material includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. This material is useful in daily operations and may appear to acquire record character because it is involved in daily activities, but it does not serve to document Agency procedures, practices, or operations.

1-7. Unlawful Removal or Destruction of Records. All information received, created, or compiled by Federal Government officials and employees for the use of the Government is the property of the US Government. No Federal official or employee has, by virtue of their position, any personal or property right to official records even though they may have helped develop or compile them. The unlawful destruction, alteration, removal from files, and concealment of official records is prohibited by The Records Disposal Act of 1950. The unlawful disclosure of certain information pertaining to national security and confidential business information is prohibited by The US Criminal Code.

1-8. Unsettled Accounts. The Records Disposal Act of 1943, as amended, provides in part as follows:

"Records pertaining to claims and demands by or against the Government of the United States, or to

accounts in which the Government of the United States is concerned, either as debtor or creditor, may not be disposed of by the head of an agency under any authorizations granted under sections 3306-3308, of this title, until the claims, demands, and accounts have been settled and adjusted in the General Accounting Office, except upon the written approval of the Comptroller General of the United States."

1-9. Personal Papers. Personal papers are documentary materials or nonrecords belonging to an individual that are not used to conduct agency business. They are related solely to an individual's own affairs or used exclusively for that individual's convenience. They must be clearly designated as such and kept separate from the agency's records. Senior-level officials departing FEMA must do the following:

a. Prepare an inventory of personal papers and nonrecords material proposed for removal using FEMA Form 50-48, Authorization for the Removal of Personal Papers and Non-Record Materials, sections I and II. The inventory must provide a description of the category of documents (e.g. resources, copies of speeches, etc.)

b. Contact the FEMA Records Officer and request a review of the materials proposed for removal.

c. The FEMA Records Officer examines the materials to ensure the removal will not diminish FEMA's official records, violate national security, privacy, or other restrictions on disclosure, or exceed normal administrative costs.

d. The FEMA Records Officer completes FEMA Form 50-48, Section III, authorizing removal of materials. A copy of the original FEMA Form 50-48 and any attachments is given to the departing official. The original FEMA Form 50-48 and any additional sheets are retained by the FEMA Records Officer.

1-10. Electronic Records Management. Records management requirements for the creation, maintenance, use, and disposition of electronic records are the same as for records in paper form; however, additional measures to ensure creation and maintenance of accurate and complete documentation are needed for records created or received through office automation applications. Like paper records, electronic records can be lost, erased, changed, or otherwise disposed of prematurely or retained for longer than authorized. These types of situations must be avoided because of the legal ramifications. Also, it is possible that the electronic record contains more information than its hardcopy, such as electronic mail. Electronic mail maintains as part of the "record" information such as who read the message, when it was read, comments made regarding the message, and who made the comments, and when the comments were made. Therefore, electronic records such as these must be safeguarded even more closely.

a. Use of Electronic Records. Properly created and maintained electronic records pose greater legal problems than paper or micrographic records. The Federal Rules of Evidence (Rule 803(8)) provide that official records may be admitted as evidence in lieu of the personal appearance of the official responsible for the activity. Because printouts of electronic records may not contain necessary transmission and receipt information, recent court appeals held that to comply with the Federal Records Act, certain transmission and receipt information must also be preserved (such is the case with e-mail messages). Electronic records are accepted by the courts. The key to admissibility of evidence depends on the trustworthiness of the information. When proper procedures are followed and meticulously documented, the courts feel comfortable accepting this technology. If these procedures are not used, even microfilm, which otherwise would be admissible under existing laws, can be excluded as evidence. The standard for trustworthiness of computer records includes:

- (1) Records that were created in the course of normal business;
- (2) Equipment was operational the day the computer record was prepared;
- (3) The integrity of data entry is enhanced by having procedures for verifying data entry;
- (4) Methods used to prevent data loss are provided;
- (5) The reliability of computer programs;
- (6) The time, method, and completeness of preparing printouts.

b. Disposition. The disposition of electronic records does not vary greatly from hardcopy records. If an electronic record is a duplicate only of hardcopy records, the record can be treated as a nonrecord duplicate copy. However, it must be stressed that the custodian of electronic records is responsible for ensuring that the electronic record form does not contain more accurate or more complete information than the hardcopy record before its destruction. In that case, the electronic record would be the official record copy and the hardcopy would be the duplicate nonrecord copy. To ensure reliability of electronic records disposition, the following guidelines should be used:

- (1) Permanent electronic records must be transferred to NARA in an acceptable medium, such as magnetic tape, paper, microfilm, or other medium approved by the Archivist of the United States.
- (2) Records authorized for destruction must be destroyed promptly when they become eligible for destruction. Prompt destruction is important because the provisions of the Freedom of Information Act (FOIA) apply to ALL records still in existence, regardless of physical form or eligibility for

destruction. A FOIA request for records maintained beyond their authorized destruction date would bar the disposal of such records.

(3) To effectively destroy electronic records, the tapes or disks must be erased. FEMA elements must protect themselves against unauthorized access to records which have been approved for destruction using total erasure or a program that completely overwrites the data.

c. Labeling and Indexing. When an electronic record is initially created, the indexing and filing of that record must be in a format accessible to other users.

(1) Labeling. Each magnetic tape, disk, or diskette must include sufficient information to ensure the records can be retrieved by persons other than the creator.

(a) Disk and diskette labels must include the file code, date (if appropriate), software dependency, and disposition instructions.

(b) Tape labels must include the originating organization, file codes, appropriate dates, recording density, type of internal labels, number of tracks and track assignments, software/hardware dependency, record length, block size (fixed, variable, or mixed), disposition instructions, and reel sequence (if the reel is part of a set).

(2) Indexing. Index electronic records in the same manner as paper records--subjectively and easily retrievable by other members of the organization. The same subject/numeric system used for textual records should be applied to electronic records. Storage media, such as hard disks, should have subdirectories to file electronic documents in the same manner as a five-drawer file cabinet would be structured to file textual records. Two types of off-the-shelf software that can electronically assist in indexing, retrieving, and modifying electronic information are:

- (a) Data Base Management System (data-oriented)
- and
- (b) Full Text Retrieval System (text-oriented).

If off-the-shelf software does not meet the system needs, a custom package will have to be developed.

d. Maintenance of Magnetic Tape. If users are creating or maintaining records on magnetic tape, the user(s) is responsible for ensuring the following standards are met:

(1) Tapes used to store permanent or unscheduled records will be:

(a) Maintained at a constant 62E- 68E Fahrenheit and 35-45 percent relative humidity;

(b) Rewound under controlled tension every 32 years;

(c) Copied to new verified and tested tapes before 9 years; and

(d) Stored or tested in areas free of smoke and food or drink consumption.

(2) Tapes will be sampled annually to identify and correct any data loss as follows:

(a) In tape libraries with 1,800 or fewer reels: 50 reels or 20 percent of the library; and

(b) In tape libraries with more than 1,800 reels: 384 tapes.

e. Maintaining Long-Term Electronic Records. Records requiring long-term retention, such as permanent records or records which are kept for more than 5 years, should not be retained on floppy disks. These records should be converted to another storage medium, such as magnetic tape, to ensure their continued use and readability.

f. Backup Procedures. When the electronic record is the official record copy, care must be taken to ensure official information is not lost, erased, or deleted. Supervisors of electronic recordkeeping systems--both mainframe and PC--including local area networks, should determine file backup procedures. In developing a regular backup schedule, the frequency of backups, number of backups, and off-site storage should be considered. Off-site storage is required to provide a fall-back point for system start-up for critical data.

g. Electronic Mail (E-Mail). Recordkeeping requirements for electronic mail have been the subject of recent major litigation against the National Archives and Records Administration (NARA). For this reason, a new item has been added to each of the file series that are common to most government agencies (items indicating disposition authority under the General Records Schedule (GRS)) along with the changes issued to the Electronic Data Processing file schedule of this manual. If offices have questions about implementation of these guidelines, they should contact the FEMA Records Officer.

h. Emergency Procedures. System administrators must develop procedures to protect official information in the event of an emergency. It is impossible to develop procedures for each type of emergency; however, procedures should be geared to the types of emergencies most likely to occur. Further guidance for emergency procedures can be found in FEMA Manual 5400.3, Records Management - Vital Records.

i. Privacy Act. The Privacy Act of 1974 requires Federal agencies to prevent the misuse of data about individuals and

ensures a person's right to know the use and purpose of information assembled regarding such person. In order to implement the provisions of the Privacy Act pertaining to electronic records, system designers and administrators must ensure:

(1) Information provided to the public by FEMA can be easily stored, maintained, and retrieved when requested;

(2) Access to personal data is properly screened;

(3) Protection is provided against intentional or accidental disclosure, modification, or destruction of electronic records; and

(4) Magnetic media, such as disks and tapes, that contain sensitive or Privacy Act data are not discarded in regular waste containers. They should be cleared by degaussing and revising or made useless by shredding or burning.

1-11. Access to Classified Materials. No FEMA employee, including the most senior officials, may remove classified information, including copies of classified documents. An official may request the declassification of specified documents, but the documents must not be removed until they have been declassified and their removal as nonrecord copies is authorized. Senior officials appointed by the President and confirmed by the Senate who wish after their departure to have access to classified documents they originated, reviewed, or signed only while serving as a Presidential appointee, may apply for access in accordance with Title 22 CFR part 171.25. Former Presidential appointees must submit in writing a request providing a general description of the records and the time period covered by the request. FEMA may grant access to a former Presidential appointee under the following conditions:

a. Access to material is consistent with the interest of

national security.

b. The former Presidential appointee agrees in writing to safeguard the information from unauthorized disclosure.

c. The former Presidential appointee submits a statement authorizing FEMA to review any notes or manuscripts to ensure they do not contain classified information.

d. The former Presidential appointee agrees in writing not to further disseminate the information without FEMA's written

consent.

e. If the former Presidential appointee plans to use a research assistant, the research assistant must meet the same requirements as the former Presidential appointee.

f. Fees for requested materials may be charged pursuant to Title 5 of the Independent Offices Appropriations Act, 65 Statute 290, 13 USC 4836 (1976). The requestor must be notified in advance of the fees imposed.

Chapter 2: Planning and Arranging Official Files

2-1. General. This chapter provides guidance for planning and arranging official files. Records are created in performing and documenting the performance of functions, processes, and transactions. The FEMA files maintenance and disposition program was devised on the premise that these functions, processes, and transactions can best serve as the basis for identifying, arranging, and disposing of files.

2-2. Official File Stations. The principal method agency records are maintained and preserved until eligible for retirement or destruction is the establishment of an OFFICIAL FILE STATION. The FEMA Records Officers and Records Liaison Officers are responsible for proper placement and efficient management of file stations. Keep file stations to a minimum consistent with operational needs.

2-3. Planning Files Location. Planning the proper file location and arranging files to facilitate use and disposition are the first steps in effective file planning and maintenance.

a. Location. Files must be properly located to provide maximum utilization with a minimum of duplication and to ensure the preservation of permanent records and the disposal of temporary records.

b. Access. Locate records in an area that provides convenient access and is close to users. Individuals should not maintain separate records collections at their work stations.

c. Centralization and Decentralization.

(1) All organizational unit records are maintained at one location to be completely centralized. To have completely decentralized files, all records are kept in organization units immediately responsible for the function to which the records are related.

(2) Central files include general policy and overall administrative records used jointly by several offices. Decentralized or office files include material used almost exclusively by one office and are not duplicate material maintained centrally.

(3) Records are placed in a centralized file if more than one work unit needs the same record, units are located near the central file for prompt service, or security for classified material can be better provided by central files.

(4) Records are placed in a decentralized file if the records are of interest to only one work unit, if the centralized filing is too distant for prompt service, the information must be immediately available, if constant reference is made to the records by a particular organizational unit.

d. File Space. File space includes all floor space occupied by files equipment and personnel involved in maintaining and servicing files.

(1) Maintain only current records to keep space requirements to a minimum. Retire or destroy inactive records in accordance with disposition schedules contained in this manual.

(2) Transfer inactive files (files not referred to more than once a month) to the nearest FRC for economical and secure storage. Headquarters records are sent to the FEMA RHA or the Washington National Records Center (WNRC).

(3) Maintain only officially approved files in FEMA filing equipment because of the expense and shortage of office space.

(4) Select space suitable for file operation

requirements. The following rules are applicable to file equipment maintained in individual offices as well as files located in formal file rooms:

(a) Ventilation and heating should be comparable to that utilized in space where other administrative operations are performed.

(b) Lighting must be sufficient to allow file operations to be performed without excessive eyestrain. The standard for file room lighting is 25 foot-candles on a horizontal surface at desk height.

(c) File room furniture is arranged to utilize as much daylight as possible. Place desks near windows. Place cabinets at right angles to the windows where practicable.

(d) Aisles between cabinets, placed face-to-face, should be at least 36 inches; 60 inches is preferable for active files. Desks should have at least 36 inches between the back of one and the front of another when facing the same direction.

(e) Floor load must be considered for the safe support of files and equipment.

(f) Work flow should follow straight lines through the receiving, processing, and filing operations with a minimum of travel and backtracking.

(g) Sensitive and classified files and containers are placed in secure locations away from windows and doors to prevent illegal or unauthorized access to stored information.

e. Access to Files.

(1) Ensure an efficient filing system by limiting access to files to regularly assigned files personnel. Do not permit other individuals to extract or refile material as this could

cause misfiled documents.

(2) Segregate classified records from unclassified records to facilitate access control. Control over access to records bearing security classifications is mandatory. The exception to this rule in some cases is if there is a high proportion of classified to unclassified records. Interfiling and protection of all records at the level required for the highest classification filed may be the most economical approach.

2-4. Files Cutoff Standards. Files cutoff is the segregation of active and inactive files that effectively control record accumulations and facilitate economical disposition in convenient blocks. Recordkeepers will cut off their files based on the following criteria for the various types of records:

a. Chronological Sequence Files such as accounting records are filed by period of account (fiscal year) and lend themselves to cutoff procedures. These records can be readily cut off and retired in convenient blocks.

b. Subject Files are cut off at planned intervals. These files have no natural cutoff point and are usually maintained on a fiscal year basis.

c. Case or Project Files are often cut off upon the termination of a transaction or expiration of an event (i.e., final contract payment, project completion, separation of personnel, etc.) Mark the date of closing and place in an inactive file apart from active files; inactive files can be retired or destroyed in fiscal year blocks. Files continuing over a long span of years can be cut off by setting up new folders each year and retiring the prior year's folders which have little reference activity.

d. Technical Reference Materials have no established cutoff and are destroyed when superseded, obsolete, or no longer needed. Review these files annually to determine if they are current and still useful.

2-8. Files Maintenance and Disposition Plan, FEMA Form 52-2. File custodians prepare a FEMA Form 52-2 covering their records. This plan identifies and outlines each file an organizational element maintains and brings order and continuity to every file station. Figure 2-1 illustrates a typical files plan and may be used as guidance. Use the following guidelines for completing FEMA Form 52-2:

a. Preparation. Prepare the form in triplicate.

(1) Blocks 1-5: Self explanatory.

(2) Column 6A: Use the subject-numeric code from the appropriate disposition category (Chapter 6 of this manual) or a similar three character code that must be coordinated with the FEMA Records Officer or Records Liaison Officer.

(3) Column 6B: Enter a brief, precise description of each series of records using the title of the applicable standard from Chapter 6 of this manual when appropriate. Ensure the filing arrangement of each series is included in the description. When records are maintained apart from the majority of files of an official file station, enter their location in the series description.

(4) Column 6C: Enter specific disposition standards from Chapter 6 of this manual including cutoff, destruction, and retention criteria for each series. If a standard covering disposition cannot be determined, enter NONE in this column and advise the FEMA Records Officer.

b. Distribution. Forward the original and two copies of the files plan to the Records Management Branch for review and approval.

c. Review and Approval. The FEMA Records Officer reviews the plan for accuracy, completeness, evidence of maintenance of unnecessary duplicate files, etc., and signs for approval. After signature, the FEMA Records Officer will retain one copy, send one copy to the appropriate Records Liaison Officer, and return the original to the records custodian.

d. Updating the Files Plan. Review FEMA Form 52-2 annually and amend, if necessary, to ensure all files are accounted for and that cited disposition authorities are appropriate. Prepare a new plan when the old one is substantially changed or further correction or additions cannot be made. Prepare revised plans in the same manner as the original files plan.

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Figure 2-1

FEDERAL EMERGENCY MANAGEMENT AGENCY FILES MAINTENANCE AND DISPOSITION PLAN		1. DATE PREPARED January 15, 1998
		2. PREPARED BY Tammy Schartel
3. OFFICE OF RECORD (Organisation and location) OS-PS-RM Room 316, FEMA HQ		4. NAME AND POSITION OF RECORDS CUSTODIAN Sherina Greene
		5. RECORDS LIAISON OFFICER'S SIGNATURE & TELEPHONE NUMBER Tammy Schartel
6. FILES PLAN		
ITEM NO. (a)	DESCRIPTION OR TITLE OF RECORDS (b)	DISPOSITION (c)
ADM-1	Office Admin Files. Office copies of travel, training, and supply requests.	Destroy when 2 years old.
ADM-5-2	Chron Files. Organized by months.	Cutoff at end of fiscal years. Destroy when 2 years old.
ADM-7-3	Weekly Activity Reports. Organized by quarters.	Destroy when 1 year old.
PER-37	Time and Attendance Source Records. Organized by employee name.	Retire previous year after audits have been completed. Files to be destroyed when 6 years old.
REM-9	Records Management Files. Correspondence relating to records management.	Destroy when 6 years old.

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Chapter 3: Files Equipment and Supplies

3-1. General. This chapter provides guidelines for the proper selection and standardization of file equipment and supplies. An important factor in the utility and efficiency of filing records is the file equipment and supplies used. When file equipment and supplies are ordered or requested, they must be effective, economically justifiable, and result in file efficiency. Therefore, all file equipment requests must be reviewed and approved by the FEMA Records Officer (RO) or the regional Records Liaison Officer (RLO). Review ensures file equipment meets standard requirements and file equipment already located in the area is being used properly.

3-2. Standards. The majority of papers and other documents required to be filed in FEMA organizational elements are letter-size. Letter-size equipment and supplies are the FEMA standard. Legal-size equipment and supplies are 10 percent more costly than letter-size and require 20 percent more floor space. A 5-drawer cabinet provides a greater ratio of file capacity per square foot of space occupied and will be used in lieu of 2-, 3-, and 4-drawer cabinets. Standardization promotes efficiency, simplifies files operations, and has the advantages of interchangeability, lower cost, simplified purchasing and stocking, and uniform appearance.

3-3. File Equipment Utilization Standards. Records maintained in FEMA files shall be limited to CURRENT OFFICIAL RECORDS. Remove inactive files (those having fewer than two references per file drawer per month) from filing cabinets. Transfer noncurrent records to an FRC or destroy in accordance with approved records disposition schedules contained in this manual. Do not keep unofficial records in active file space or equipment.

a. New file equipment is not provided by the Records Management Branch because old equipment fails to meet the

office's decor. If offices choose to purchase new equipment, that purchase will still need to be approved by the RO or RLO.

b. Existing stock of file supplies is used until depleted. Reuse folders, especially the pressboard type, by affixing labels, as these folders are costly.

c. FEMA's policy is not to issue filing cabinets for individual use. Cabinets are issued to an office where files can be accumulated in one central location and accessible to all office staff. Working papers, etc., can be filed in desk drawers, destroyed, or sent to storage once the material is finalized and published.

d. Filing cabinets are not to be used for large stocks of supplies, blank forms, or publications. If more than half a cabinet is required, it is usually more economical to house the material in supply cabinets.

e. Safety practices must be observed when loading an empty cabinet. Commence with the middle drawer, open only one drawer at a time as cabinets will tip over if two top drawers are opened at the same time. Prevent injury to personnel and damage to filing equipment by closing all file drawers when not in use.

f. The FEMA Records Officer (HQ) or the Regional Records Liaison Officer (RLO) must approve all file equipment (including safes and bookcases) requests concerning records (and special types of folders) creation, disposition, and maintenance. Approvals are based on floor load stress, availability, collection of material to be housed, and applications of the records disposition standards. This, in many instances, obviates the need for new or additional equipment.

- g. Bookcases are used to house sets of publications and other reference materials, not official files.
- h. Records pertaining to the Privacy Act are placed in an unlocked room in a lockable cabinet.
- i. Adequate space in filing equipment is reserved for the normal growth of files until time for cutoff or disposition.
- j. Legal-size papers (if less than 20 percent of material to be filed) are folded and filed in the standard letter-size cabinets and files. Convert large size documents by reducing to the standard 8 1/2 by 11 inches.

3-4. Standard Items of File Supplies. The logical framework of any files system should be such that the files organizational arrangement be visually clear and obvious. This requires proper use of such APPROVED file supplies as guide cards, folders, drawer and shelf labels, and forms in files maintenance and referencing operations. The following approved materials and associated Federal Stock Numbers (FSN's) are available through regular supply channels:

- a. *Manila Folders* are recommended for forwarding documents for coordination, convenience files, and recordkeeping of short duration.

Letter Size: FSN 7530-00-291-0096
Legal Size: FSN 7530-00-282-2508

- b. *Kraft Folders* meet the majority of filing requirements because most records are current for a relatively short period of time before they are retired or destroyed. The standard kraft folder is 11 point, vertical, flat type, bottom-scored for 3/4 inch expansion, reinforced top, and square cut. A greater weight folder may be necessary for very active files or those receiving heavy usage. For shelf files, use kraft folders with side tabs.

Letter Size: FSN 7530-00-663-0031
Legal Size: FSN 7530-00-200-4308
Side Tab (Letter Size Only) 7530-00-881-2957

c. *Pressboard Folders* are authorized only for case and project files or when kraft folders will not withstand the added volume or use. Standard pressboard folders are flat-cut, vertical, 1-inch expansion, with self tabs and square cut.

Letter Size: FSN 7530-00-286-6923
Legal Size: FSN 7530-00-286-6924

d. *Wallet Filing Jackets* are used for filing oversize or bulky records.

Letter Size: FSN 7530-00-285-2917
Legal Size: FSN 7530-00-285-2916

e. *Suspense or Tickler Files* are used as work organizers for transitory type material for later follow-up.

1-31 Days: FSN 7520-00-286-1723
Alpha: FSN 7520-00-286-1722

f. *Hanging Folders* which are suspended on rods or metal brackets are approved for use only in rare and special cases. Offices using these folders should phase them out after a period of time as they cannot be sent to the storage facility, use 25 percent more space than regular files, and are costly.

g. *Folder Labels* are used to place captions on the folder tab in a neat, uniform, and legible manner. Standard pressure-sensitive folder labels are packed in a continuous strip (roll or four-folder). Place the labels on the far left side of straight-cut folders rather than zigged-zagged across the drawer.

h. *Drawer Labels* must be used on all drawers. Indicate first and last folder designations and period covered.

3-5. Shelf Files. Consider shelf file equipment for use with record collections totalling 20 or more cubic feet of active files.

Material filed on a shelf file is always in view and accessible. Proper folders, guides, and dividers greatly enhance the appearance and utility of a file collection maintained on shelf file equipment. Open shelf filing is economical and efficient for housing active records. Open shelf filing is less expensive to purchase, has more space available for filing material than drawer-type cabinets, and can accommodate letter- or legal-size files. Side tab folders and guides are required for shelf files.

3-6. Security Containers. The standard FEMA container is the Class 6, three-way combination with casters (NSN 7110-01-0156-6100). FEMA Manual 1230.1 specifies the guidelines for providing protection required for classified material. Requisitions must be routed to the Office of Security for review and approval before further evaluation can be initiated.

3-7. Specialized Files Equipment. Many kinds of specialized housings have been designed for the storage of various types of odd-sized records. To ensure selection of equipment best suited to office needs, obtain assistance from the Records Management Branch when considering procurement of specialized file equipment. Requests for specialized equipment must include a feasibility study containing the following information:

a. A copy of the manufacturer's brochure, including a photograph or sketch of the equipment and model number; number of shelves and filing inches; dimensions, including file width and depth, and the height of the unit; and weight, crated weight and weight when loaded with records.

b. Power requirements including volts, cycle, single phase, or amperes; and determination of special play requirements and equipment that should be permanently wired to a power line.

c. Drawing of proposed file room or area showing location of power file, desk, chairs, etc., and windows, doors, and size of room.

d. Cost savings on space and equipment released to surplus.

e. A certified floor safety report by a structural engineer of Public Buildings Service (PBS), General Services Administration, in federally-owned buildings, and from private industry in leased buildings. This report determines if the space where the power file is to be placed is strong enough to hold it. If extra steel supports are required, they must be in place before the equipment may be installed and GSA has designated the area as special space (for which there is a higher rental charge). The certified floor safety report should include a description of the type of tests made.

f. FEMA must have approval in writing to place power or other mechanized equipment from the building owner on leased space or PBS on federally-owned space.

g. Arrangements must be made in writing with the building owner or manager to determine if the elevator can be used to transport the equipment when it is received. If it is determined that the elevator is not large enough or the equipment is too heavy, a crane service must be used.

3-8. Non-Standard Filing Equipment. Nonstandard filing equipment consists of 2- or 3-drawer legal- or letter-size filing cabinets and any filing equipment not listed in the GSA stock catalog. New nonstandard filing cabinets will not be procured for internal use.

3-9. Processing Requests for Equipment and Supplies. Requisitions for file equipment are submitted only after the following procedures have been followed and have not produced the needed file space:

a. Use file equipment for files and records only.

b. Dispose of all records authorized for disposal according to disposition standards prescribed in this manual.

c. Transfer inactive records not needed in daily business but not eligible for disposal to the FRCs or the FEMA RHA. Dispose of nonrecord material by destruction, not storage.

d. Store office supplies in supply cabinets; store publications in bookcases.

e. Periodically screen nonrecord and reference material and dispose of that no longer needed.

f. Consolidate contents of file drawers less than half full, the usual standard capacity for a drawer is 3/4 full.

g. Approval of FEMA Form 60-1, Requisition for Supplies, Equipment, and/or Services, for headquarters staff, is contingent upon a site review by the Records Management Branch for utilization of equipment on hand, and records and maintenance disposition practices, as well as space limitations and load stress.

h. Evaluations are based on cost and budgeting considerations and availability of equipment on hand, in addition to factors covered previously. See Figure 3-1 for a comparison of filing equipment types.

i. Do not maintain more filing equipment than needed for current use. Report equipment in excess of current needs to the Records Management Branch.

3-10. Files Space. Files space includes all floor space in individual offices occupied by filing equipment. Conserve space by transferring or destroying unnecessary records in accordance with approved schedules. Submit requests for

additional files space to the Records Management Branch for

evaluation and recommendation prior to final action.

Figure 3-1
Files Equipment Comparison

The following table compares features of four filing cabinets most commonly ordered. When considering the acquisition of new equipment, ensure that current cabinets are being used properly. Keep the following questions in mind: Have the inactive records been transferred to the FEMA Records Holding area or a Federal Records Center? Have eligible records been destroyed? Have supplies and stocks of publications been removed to less costly storage cabinets?

EQUIPMENT FACTOR	LATERAL FILES	STANDARD UPRIGHT FILES	SHELF FILES	COMPUTER MEDIA FILES
1. Cabinet description	Roll out drawers or shelves. "Conserv-a-files."	Traditional filing cabinet.	Stationary shelves.	Stationary or rollout shelves.
2. Recommended size.	4 drawers with rollout top shelf. Retractable doors.	5 drawers.	5 or 6 shelves.	4 shelves.
3. Best uses.	Correspondence and any similar size material.	Correspondence and any similar size material.	Correspondence and any similar size material.	Printouts, tapes, and mixed media.
4. Capacity for the recommended use.	10 cubic feet.	7-8 cubic feet.	13.5 cubic feet.	17 cubic feet (for printouts and tapes).
5. Relative cost.	Moderate cost if GSA cabinets, otherwise highest cost cabinets.	Lowest absolute cost, good cubic foot cost.	Moderate absolute cost, good cubic foot cost.	Moderate absolute cost, best cubic foot cost for mixed media.
6. Special features or requirements.	Hanging folders will not be approved except in rare special cases.		Uses side tab folders, not transferable to or from other cabinets.	Uses special binders for printouts and tapes.

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Chapter 4: Records Retirement, Storage, Transfer, and Emergency Destruction Procedures

4-1. General. This chapter establishes guidelines and procedures for the systematic retirement of records to a NARA Federal Records Center (FRC). NARA is chartered by the Federal Records Act of 1950 to establish, maintain, and operate records centers for storing and servicing Federal Government noncurrent records. Retiring inactive or noncurrent records is essential to release high-cost space and equipment for the maintenance of current files. FRCs save space and money; five times as many records can be stored per square foot in records center space as in equivalent Agency office space.

4-2. Records Retirement. Retired records are subject to recall and reuse. Effective controls must be maintained over records regardless of whether or not they are retired to an FRC. Records will not be sent to an FRC in lieu of disposal in accordance with approved records disposal schedules. Records must have at least 1 year remaining before destruction eligibility in order to be retired to an FRC. Some FRC's, because of space restrictions, extended this restriction to records having at least 3 years remaining. Nonrecords will NOT be sent to an FRC. The frequency of references generally provide a good measure for the timing of transfers or the establishment of retirement periods. Retire records when reference diminishes sufficiently to permit removal without impairing current operations. Small amounts of records (less than 1 cubic foot) are not retired as a sole transfer action. Wait until at least two boxes are ready for transfer. Retire records at annual intervals except when the volume involved warrants more frequent transfers.

4-3. Retirement Deviations. The FEMA Records Officer is authorized to approve specific deviations from retirement procedures on an individual basis. Deviations apply only to record retirements. No records will be destroyed sooner than authorized by approved disposal standards unless the standards are officially changed. The FEMA Records Officer

must approve in writing exceptions to retirement procedures. Information copies are furnished to the applicable Records Liaison Officer and Records Custodian.

4-4. Records Retirement and Destruction Determinations. Organizational elements must retain, as current records, only the minimum volume of records necessary for efficient operations. The disposition schedules include specific retirement and destruction instructions. General criteria for retirement includes the following:

- a. Destroy official records ONLY according to the disposition schedules in this manual.
- b. Retire inactive records that must be retained more than 3 years to the appropriate FRC.
- c. Do not retire records if they are to be destroyed within 3 years of transfer.
- d. Do not retire less than 1 cubic foot of records as sole transfer actions.
- e. Destroy nonrecord material when its purpose has been served.

4-5. Timing of Transfers. Retire records at annual intervals except when office retention requires additional filing equipment, file volume warrants more frequent transfers, OR the cutoff period covers more than 1 year of accumulated records, as in the case of a small or general correspondence file with a long retention period.

4-6. Retirement of Records to an FRC. The National Archives and Records Administration (NARA) provides maintenance and operates records centers for the storage and reference of noncurrent Federal Government records. Federal Records

Centers (FRCs) are located throughout the US on a regional area basis (see Figure 4-2). The National Personnel Records Center in St. Louis, Missouri, provides storage for official personnel files (OPFs) and payroll records. Records transferred to FRCs remain under the ownership of, and are subject to access restrictions imposed by, the depositing agency. Regions and field establishments will retire eligible records to the nearest center.

a. Initiating Retirement. When records become eligible for retirement to an FRC, the custodian of the records will, in:

(1) Headquarters. Contact the FEMA Records Officer with information on the nature and quantity of the records proposed for retirement. The FEMA Records Officer provides the necessary forms, boxes, and advice on transfer operations. The transferring office indexes the records on the form provided. The FEMA Records Officer arranges the transfer to the WNRC.

(2) Regions and Field Establishments. The Regional RLO will contact the FRC Manager in the NARA region in which the records are to be retired. This notice may be either in writing or oral. Thereafter, submit the necessary SF 135, Records Transmittal Receipt, and, if needed, SF 135A, Records Transmittal and Receipt-Continuation Sheet, for records review and acceptance.

b. Review Prior to Transfer. Prior to boxing records for shipment, screen them and remove and destroy documents or folders from file series no longer needed and having no value. Remove blank or duplicate pages, pins, pencils, paper clips, and other nonfile material as these can damage the paper. Review general transfer to eliminate duplicate or other nonrecords material, limit reviews to complete folders, binders or entire subject classification. Do not undertake document-by-document reviews as it is impractical and uneconomical.

c. Uniformity. Do not pack records of different file series designations or widely varying retention periods in the same

box or transfer case. If a box contains records of different retention periods, the longest expiration date will be used to determine the disposition date. For example, records with slightly different periods, such as 5 and 6 years, may be packed in one container. In this instance, the container and all the contents are held until the expiration of the 6-year period.

d. Packing Records.

(1) Containers. Each box accommodates 15 linear inches of letter-size or 12 inches of legal size files (1 cubic foot capacity). In headquarters, after records transfer approval, the Records Management Branch furnishes record center boxes to the requesting office. In regions and field establishments, the Records Liaison Officer provides records center boxes to the requesting office.

(2) Packing boxes. When packing records in boxes, retain the normal filing arrangement in which the records were maintained within the transferring organization.

(a) Pack records firmly in the box without disturbing the existing file arrangement. Do not pack so tightly as to hinder withdrawal for future references.

(b) Face all folders in the same direction. Do not pack file guide cards. Place letter-size files facing the end of the box and legal-size facing the side of the box.

(c) Fill each box completely, but do not overpack boxes to cause bulging.

(d) Pack the remaining space of partially filled boxes with wadded paper.

(e) Wrap oversize and undersize records, such as ledgers, equivalent to less than one-half box, separately in heavy wrapping paper. Tie or tape the package securely and label and number each package as if it were a box.

(3) Numbering Boxes. Number boxes beginning with number in the space provided on the box.

e. Shipping Records.

(1) Transferring records to a records center should be accomplished as soon as possible after the Agency has received the annotated copies of the SF 135 from the center. A shipping delay of more than 30 days results in the return of the SF 135, requiring resubmission of the paperwork.

(2) The most economical means available is used to ship files to the records center. If records are to be moved only a short distance, records center trucks may be available to pick them up. Otherwise, records may be transferred by regular US mail for small shipments (under 70 pounds) or by commercial motor or rail freight for larger shipments. Enter the following description on bills of lading or other shipping documents to obtain the lowest freight rate: Records, Office, Old, "The agreed or declared value of the property is hereby specifically stated by the shipper not to exceed 32 cents per pound."

(3) Shipping regulations require boxes to be sealed and addressed. Properly packed containers weigh approximately 25 to 30 pounds each.

(4) Headquarters transfers are handled by the FEMA Records Officer.

4-7. Instructions for Completion of SF 135 and 135-A.

Records eligible for retirement to an FRC require the completion of an SF 135. If needed, an SF 135-A is used. These forms serve to record the transfer of files to an FRC providing an inventory sufficiently detailed to assist in the reference, retrieval, and ultimate disposition of FEMA records.

Both of these forms will be typewritten, prepared in an original and four copies, and identify the records being transferred, the office transferring the records, the volume, and disposal authority. These forms can be obtained through the Printing, Publications, and Graphics Branch, Program

Services Division, Operations Support Directorate (see Figure 4-1).

a. Block 1, **To**. Enter the FRC Mailing address in the GSA region in which the records are located and to be stored (see Figure 4-2 for a list of FRCs and the areas they serve).

b. Block 2, **Agency Transfer Authorization**. Leave blank. The FEMA Records Officer or Records Liaison Officer signs and dates this block.

c. Block 3, **Agency Contact**. The transferring office enters the name, office, and telephone number of the official familiar with the records to be transferred.

d. Block 4, **Records Center Receipt**. Leave blank.

e. Block 5, **From**. Headquarters organizational elements leave blank; regional offices and field establishments follow the instructions outlined in this particular block and forward a copy of the completed SF 135 to the FEMA Records Officer.

f. Block 6, **Records Data**. Information entered in this block is based upon individual accessions and their assigned numbers. An accession consists of records being retired that have one disposal authority and one disposal date. When the authority or disposal date changes, the accession number changes. The FRCs will not accept accessions with mixed records in them. Do not mix records with varying disposal dates in the same container. Headquarters organizational elements obtain accession numbers from the FEMA Records Officer. Regional offices are notified of their accession numbers by the appropriate FRC after transmitting the SF 135.

(1) Block A, **RG**. Enter **311**.

(2) Block B, **FY**. Leave blank.

(3) Block C, **Number**. Leave blank.

(4) Block D, **Volume**. Enter the total number of boxes for this shipment.

(5) Block E, **Agency Box Numbers**. The office transferring records enters the individual block numbers, beginning with box number 1 for each series.

(6) Block F, **Series Description**. The transferring office first enters its organizational code, then gives a complete description for each box of records to be shipped and the year the records were created (or cut off if the records are case files). Describe the contents of each box in sufficient detail to enable the FRC to retrieve the box for a reference request and verify the use of the appropriate disposal authority. Identify any special status the records may have, such as the Privacy Act.

(7) Block G, **Restrictions**. The transferring office enters the appropriate code for any restrictions for access to the records. Codes are listed on the back of the SF 135.

(8) Block H, **Disposal Authority**. Enter the appropriate retention schedule authorization contained in this manual in the record schedules in the "NARA ITEM" column.

(9) Block I, **Disposal Date**. If the preparer has taken the Files Improvement and Records Disposition course, this item is explained during that course. Otherwise, contact the Records Management Branch for the correct entry for this item.

(10) Blocks J, K, L, and M. Leave blank. These items will be completed by the FRC.

4-8. Distribution of the SF 135.

a. Headquarters. After the SF 135 has been fully completed and signed in block 3 by the appropriate official, forward the original and three copies to the FEMA Records Officer for review and approval. The FEMA Records Officer forwards the original and two copies to the FRC and retains one copy. A copy is returned to the transferring office upon completion of records transfer.

b. Regions and Field Establishments. The Regional RLO will forward the original and two copies to the local FRC, send one copy to the FEMA Records Officer, and retain one copy.

4-9. Transfer Requiring a Record Group (RG) Number. Records transferred to an FRC or the National Archives require an RG number. The FEMA RG number is 311. Predecessor Agency records consist of records dated prior to April 1, 1979. The following are Predecessor Agency RG numbers:

<u>Agency</u>	<u>RG</u>
Office of Emergency Preparedness	396
Defense Civil Preparedness Agency/ Office of Civil Defense	397
Office of Civil Mobilization	304
Department of Housing and Urban Development 207	
National Fire Prevention Control Administration 437	

4-11. Reference Services.

a. Requesting offices supply the accession, box, and shelf number as sufficient description to permit ready identification of the desired box. Reference service requests are handled as expeditiously as possible and, as a general rule, 1-day service is provided. Servicing is for entire boxes, not individual folders. Once received, requesting offices will maintain boxes of records withdrawn from the FRC separate from the active office files. When returned, the records will be returned to the

FRC in the same boxes and in the same order as originally stored. An OF 11, Reference Request-Federal Records Center is used when requesting reference service in writing. Also available is on-line reference service via the Central Information Processing System (CIPS) at the FRCs. Regional and Field Records Liaison Officers can contact the local FRC to gain access to this system. At headquarters, this service is available from the FEMA Records Officer.

b. Offices wishing to permanently withdraw records from the FRC will notify the FEMA Records Officer in writing, giving the accession, location, and box numbers, and, as appropriate, folder titles of particular records to be withdrawn.

4-11. Transfer of Records Other Than to FRCs. While most records are subject to retirement to an FRC, a lesser amount may also be moved or assigned to another organization outside FEMA.

a. Transfers Within FEMA. Records are transferred within FEMA only when authorized by official directives prescribing changes in organization or reassignment of functions. When this occurs, the FEMA Records Officer must receive notification by memorandum of the volume and description of records.

b. Transfers to Other Federal Agencies. FEMA records may be transferred to another agency when it is in the best interest of the Federal Government. Such transfers, however, are subject to the prior written approval of NARA. Offices desiring to transfer records to other agencies (except FRCs and the National Archives) must submit their proposals in writing to the FEMA Records Officer for coordination and decision. Include the following information in the proposals:

(1) A concise description of the records to be transferred, including the volume in cubic feet;

(2) A statement of the restrictions imposed on the use of the records;

(3) A statement of the number of reference requests per month made on the records, with information as to the agencies and persons using the records and the purpose of such use;

(4) A statement of the number of persons, if any, assigned to the administration of the records;

(5) A statement of the proposed physical and organizational locations of the records;

(6) Information as to why the proposed transfer is in the best interests of the government; and

(7) A justification for the transfer of records more than 5 years old.

4-12. Transferring or Offering Records to the National Archives for Permanent Retention. The NARA is authorized to accept those records that the Archivist of the United States determines have sufficient historical or other value to warrant permanent retention. Permanent records may include audiovisual records such as motion pictures, still photographs, sound recordings, magnetic tape master files, and cartographic records such as maps.

a. Request to Transfer to the National Archives. To transfer records to the National Archives, an SF 258, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States, must be prepared. This form is used to transfer permanent records of FEMA to the National Archives in accordance with approval FEMA records disposition schedules. The SF 258 can also be used to make a direct offer to the National Archives. Unscheduled older records or possibly valuable records no longer being created can be offered directly to the National Archives without going

through the records scheduling process. This form can be initiated by either the FRC or FEMA's Records Officer, depending on the location of the records to be transferred or offered to the Archives.

b. Records Over 30 Years Old. Agency records over 30 years old can be transferred to the National Archives by action of the Archivist of the United States unless the Director, FEMA, notifies the Archivist in writing that the records are still needed for current business.

c. Legal Title to Transferred Records. When records are transferred by using an SF 258 to the National Archives, legal title to the records passes from FEMA to the Archivist of the US.

d. Transfers to the Presidential Library. Near the end of a President's term, a White House representative or the National Archives may request copies of records generated by the Director, FEMA, and other high officials for inclusion in a Presidential Library. These requests must be coordinated with the FEMA Records Officer.

4-13. Transfer of OPFs and Payroll Records. OPFs and related payroll records are retired to the National Personnel Records Center (NPRC) (see Figure 5-3).

a. Official Personnel Files (OPFs).

(1) The OPFs of employees who are separated from FEMA are placed in an inactive file upon their separation. Thereafter, once each month, these inactive folders are transferred to the National Personnel Records Center.

(2) Loose papers to be included in OPFs previously sent to the NPRC using SF 127, Request for Official Personnel Folder (separated employee), are forwarded, providing the papers to be added to the individual's folder. Use a separate SF 127 to transmit the papers for each individual. Complete

blocks 2, 4, 5 (insert the employee's separation date in this block), and 6c.

(3) Every effort must be made to locate all documents required to be in the folder and to file them before the folder must be thoroughly screened of all temporary material, as defined in the Federal Personnel Manual (FPM). Retire only those papers that the FPM specifically designates to be permanently included in the folder in the OPF. Each document to be interfiled must show the current name of the employee, the name under which the employee was formerly employed if different from the current name, date of birth, social security number (SSN), and date of separation.

(4) After termination of employment, remove the employee's OPF from the active files and check carefully for completeness. Remove and destroy the temporary material on the left side of the folder. Retain only those medical records specified for inclusion by the FPM and final leave statement (SF 1150, Records of Leave Data, or equivalent). Record the employee's date of birth and SSN on the folder tab.

(5) The center will not acknowledge receipt of OPFs.

b. Payroll Records. Because of their value as auxiliary personnel records, center payroll records (such as individual earning and service cards, final leave records cards, and, in

some situations, memorandum copies of payrolls) are transferred to the center. Where practical, transfer these records in the standard boxes used by the FRCs. Forward SF 135s and 135-As in duplicate to the center.

4-14. Emergency Destruction of Records. Records may be destroyed, in certain situations, regardless of schedule provisions or other authority. Emergency conditions involve the following:

a. Records whose physical condition makes them a menace to human life and property. They may be infested with vermin or housed under such adverse conditions that they cannot be used or repaired. Prior approval of NARA must be obtained in accordance with National Archives records disposition regulations.

b. Still or motion picture film with a nitrocellulose base that has deteriorated to the extent that it is a threat to human life and property. NARA must be notified within 30 days after destruction.

c. Records that may fall into the hands of a potential or actual enemy when a state of war exists. These may be disposed of immediately. Records of temporary value occupying space urgently needed for military purposes may also be destroyed immediately.

Figure 4-1

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE	OF			
1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)				5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)				1	1			
Federal Records Center 4205 Suitland Road Washington, DC 20409				Rick Beach Federal Emergency Management Agency 500 C Street, SW, Rm 316 Washington, DC 20472								
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title) <i>Muriel B. Anderson</i> Muriel B. Anderson, Records Officer Federal Emergency Management Agency		DATE								
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Rebecca Perfect, FM-FP Rick Beach, Records Management, 202-646-2632		DATE								
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title) <i>Dick A. Wagner</i> Dick A. Wagner		DATE		12/27/99						
6. RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)							LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO. DISP. (m)
311	00	0006	1	1 of 1	Time and attendance source records, CUTOFF 1/2/99	XX W	FEMA Manual 5400.1 (old 5400.4), item GRS 2, 7	200504	13/99-20-6	3		
				START HERE INDEXING BOX #1								

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135-107

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36 CFR 1228.152

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Figure 4-2
Federal Archives and Records Centers

REGION	AREAS SERVED	LOCATION
	Designated records of the Military Departments and the U.S. Coast Guard	National Personnel Records Center Military Personnel Records, GSA 9700 Page Avenue St. Louis, MO 63132-5100
	Entire Federal Government (for personnel and pay records of separated civilian employees or other designated records)	National Personnel Records Center Civilian Personnel Records, GSA 111 Winnebago Street St. Louis, MO 63118-4199
1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	NARA Records Center 380 Trapelo Road Waltham, MA 02154-6399
2	New York, New Jersey, Puerto Rico, and the Virgin Islands	NARA Records Center 2312 East Bannister Road Kansas City, MO 64131-3011
3	Delaware and Pennsylvania	NARA Records Center 14700 Townsend Road Philadelphia, PA 19154-1025
	District of Columbia, Maryland, Virginia, and West Virginia	Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001
4	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee	NARA Records Center 1557 St. Joseph Avenue East Point, GA 30344-2593

Figure 4-2
Federal Archives and Records Centers

REGION	AREAS SERVED	LOCATION
5	Illinois, Minnesota, and Wisconsin	NARA Records Center 7358 South Pulaski Road Chicago, IL 60629-5898
	Indiana, Michigan, and Ohio	NARA Records Center 3150 Springboro Road Dayton, OH 45439-1883
6	Texas, Oklahoma, Arkansas, and Louisiana	NARA Records Center 501 West Felix St., Bldg 1 P.O. Box 6216 Fort Worth, TX 76115-3405
7	Kansas, Iowa, Nebraska, and Missouri	NARA Records Center 2312 East Bannister Road Kansas City, MO 64131-3011
8	Colorado, Wyoming, Utah, Montana, North Dakota, South Dakota, and New Mexico	NARA Records Center Bldg 48, Denver Federal Center P.O. Box 25307 Denver, CO 80225-0307
9	Nevada except Clark County, Northern California, Hawaii, and American Samoa	NARA Records Center 1000 Commodore Drive San Bruno, CA 94066-2350
	Arizona; Clark County, Nevada; and southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, and San Diego)	NARA Records Center 24000 Avila Road Laguna Niguel, CA 92677-3497
10	Washington, Oregon, Idaho, Alaska, and Pacific Ocean area (except American Samoa and Hawaii)	NARA Records Center 6125 Sand Point Way Seattle, WA 98115-7999

Chapter 5: Records Disposition Schedules

5-1. Accounting (ACC).

a. This schedule includes the following records:

(1) Accountable officer returns and related records, including records under the cognizance of GAO. These include record copies of all records concerned with the accounting for, availability, and status of public funds.

(2) Expenditure accounting records which include ledgers and related documents maintained to show in summary how FEMA funds (appropriated and nonappropriated) are spent after allotment by OMB and the sources and nature of any receipts.

(3) Specialized stores, plant and cost accounting records which reflect the net monetary worth of FEMA (and are periodically reconciled with supply data). They do not include procurement records.

b. When a claim is filed by or against the Government, records related to or associated with the claim must be retained until said claim is resolved.

NOTE: This schedule does not apply to records involving budgets or the budgeting process. See paragraph 6-5, Budget Records Schedules.

(ACC schedules begin on the next page)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-1	<u>Accountable Officers' Files.</u>		
ACC-1-1	Original or ribbon copy of accountable officers' accounts maintained by FEMA for site audit by GAO auditors consisting of statements of transactions and accountability, collection schedules, collection vouchers, disbursement schedules and vouchers, and all other schedules and vouchers or documents used as schedules or vouchers exclusive of freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. Site audit records include, but are not limited to, Standard and Optional forms and equivalent FEMA forms which document the basic financial transaction described above.	Destroy 6 years and 3 months after period covered by account.	GRS 6, 1a
NOTE: Accounts and supporting documents pertaining to <u>American Indians</u> : Disposition not authorized - retain in office until further notice.			
ACC-1-2	Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records and payroll records.	Destroy when 1 year old.	GRS 6, 1b
ACC-2	<u>GAO Exceptions Files.</u> General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.	Destroy 1 year after exception has been reported as cleared by GAO.	GRS 6, 2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-3	<u>Certificates Settlement Files.</u> Copies of certificates and settlements of accounts for accountable officers, statements of differences, and related records.		
ACC-3-1	Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Destroy 2 years after date of settlement.	GRS 6, 3a
ACC-3-2	Certificates covering period statements.	Destroy when subsequent certificate of settlement is received.	GRS 6, 3b
ACC-4	<u>General Fund Files.</u> Records relating to availability, collections, custody and deposit of funds, including appropriation warrants and certificates of deposit other than those records covered by ACC-1 of this schedule.	Destroy when 3 years old.	GRS 6, 4
ACC-5	<u>Accounting Administrative Files.</u> Correspondence, reports and data relating to vouchers preparation, administrative audit, and other accounting and disbursing operations.		
ACC-5-1	Files used for workload and personnel management purposes.	Destroy when 2 years old.	GRS 6, 5a
ACC-5-2	All other files.	Destroy when 3 years old.	GRS 6, 5b
ACC-6	<u>Federal Personnel Surety Bond Files.</u> Official copies of bond and attached powers of attorney.		
ACC-6-1	Bonds purchased after December 31, 1956.	Destroy 15 years after end of bond premium period.	GRS 6, 6a(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-6-2	Other bond files including other copies of bond and related documents.	Destroy when bond becomes inactive or after the end of the bond premium period.	GRS 6, 6b
ACC-7	<u>Gasoline Sales Tickets.</u> Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6, 7
ACC-8	<u>Telephone Toll Tickets.</u> Originals and copies of toll ticket files in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6, 8
ACC-9	<u>Telegrams.</u> Originals and copies of telegram files in support of telegraph bills.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6, 9
ACC-10	<u>Administrative Claims Files.</u>		
ACC-10-1	Claims against the United States. Records related to claims against the United States for moneys which have been administratively: (1) disallowed in full, or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by ACC-10-2-2-3.	Destroy when 6 years, 3 months old.	GRS 6, 10a
ACC-10-2	Claims by the United States subject to the Federal Claims Collection Standards and 28 USC 2415 or 31 USC 3716(c)(1). Records related to claims for money or property when were administratively determined to be due and owed to the United States, and which are subject to the Federal Claims Collections Standards (4 CFR Chapter II), EXCLUDING claims covered under ACC-10-2-3.		
ACC-10-2-1	Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.	Destroy when 6 years, 3 months old.	GRS 6, 10b(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-10-2-2	Claims for which collection action has been terminated under 4 CFR Part 104.		
ACC-10-2-2-1	Claims for which the Government's right to collection were not extended.	Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.	GRS 6, 10b(2)(a)
ACC-10-2-2-2	Claims for which the Government is entitled (per 28 USC 2415) to additional time to initiate legal action.	Destroy 3 months after the end of the extended period.	GRS 6, 10b(2)(b)
ACC-10-2-3	Claims which FEMA administratively determines are not owed to the United States after collection action was initiated.	Destroy when 6 years, 3 months old.	GRS 6, 10b(3)
ACC-10-3	Claims files that are affected by a court order or subject to litigation proceedings.	Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.	GRS 6, 10c
ACC-11	<u>Waiver of Claims Files.</u> Records relating to waiver of claims of the United States against a person, arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of FEMA, including bills of collection, requests for waiver of claims, investigative reports, decisions by FEMA and/or GAO approving or denying the waiver, and related records.		
ACC-11-1	Approved waivers. FEMA may approve amounts not aggregating to more than \$500 or GAO may approve any amount.	Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.	GRS 6, 11a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-11-2	Denied waivers.	Destroy with related claims files in accordance with ACC-10-2 and ACC-10-3 of this schedule.	GRS 6, 11b
<i>EXPENDITURE ACCOUNTING RECORDS</i>			
ACC-12	<u>Expenditures Accounting General Correspondence and Subject Files.</u> Correspondence or subject files maintained by organizational elements responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old.	GRS 7, 1
ACC-13	<u>General Accounting Ledgers.</u> General accounting ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 6 years, 3 months after the close of the fiscal year involved.	GRS 7, 2
ACC-14	<u>Appropriation Allotment Files.</u> Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 6 years, 3 months after the close of the fiscal year involved.	GRS 7, 3
ACC-15	<u>Expenditure Accounting Posting and Control Files.</u> Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.		
ACC-15-1	Original records.	Destroy when 3 years old.	GRS 7, 4a
ACC-15-2	Copies.	Destroy when 2 years old.	GRS 7, 4b
<i>STORES, PLANT, AND COST ACCOUNTING RECORDS</i>			

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-16	<u>Plant, Cost, and Stores General Correspondence Files.</u> Correspondence files of organizational elements responsible for plant, cost, and stores accounting operations.	Destroy when 3 years old.	GRS 8, 1
ACC-17	<u>Stores Invoice Files.</u> Invoices or equivalent papers used for stores accounting purposes.	Destroy when 3 years old.	GRS 8, 2
ACC-18	<u>Stores Accounting Files.</u> Stores accounting returns and reports.	Destroy when 3 years old.	GRS 8, 3
ACC-19	<u>Stores Accounting Background Files.</u> Working files used in accumulating stores accounting data.	Destroy when 2 years old.	GRS 8, 4
ACC-20	<u>Plant Accounting Files.</u> Plant account cards and ledgers, other than those pertaining to structures.	Destroy 3 years after item is withdrawn from plant account.	GRS 8, 5
ACC-21	<u>Cost Accounting Reports.</u>		
ACC-21-1	Copies in units receiving report.	Destroy when 3 years old.	GRS 8, 6a
ACC-21-2	Copies in reporting units, and related work papers.	Destroy when 3 years old.	GRS 8, 6b
ACC-22	<u>Cost Report Data Files.</u> Ledgers, forms, and electronic records used to accumulate data for use in cost reports.		
ACC-22-1	Ledgers and forms.	Destroy when 3 years old.	GRS 8, 7a
ACC-22-2	Automated records.		
ACC-22-2-1	Detail Cards.	Destroy when 6 months old.	GRS 8, 7b(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-22-2-2	Summary Cards.	Destroy when 6 months old.	GRS 8, 7b(2)
ACC-22-2-3	Tabulations.	Destroy when 1 year old.	GRS 8, 7b(3)
ACC-23	<p><u>Electronic Mail and Word Processing System Copies of Accounting Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>		
ACC-23-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>	<p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p>	<p>GRS 6, 12a for items covered under GRS 6; GRS 7, 5a for items covered under GRS 7; GRS 8, 8a for items covered under GRS 8</p>

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ACC-23-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 6, 12b for items covered under GRS 6; GRS 7, 5b for items covered under GRS 7; GRS 8, 8b for items covered under GRS 8

5-2. Administration (ADM).

This schedule covers records related to administrative functions of FEMA. Included in this schedule are the following:

- a. Records common to most office in FEMA that relate to the routine internal administration and housekeeping activities. They are often copies of documents submitted to other offices for action, such as purchase orders and training requests;
- b. Records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. These records are usually held at division levels or above;
- c. Housing management and maintenance records maintained by the housing managers are the Special Facility and National Emergency Training Center;
- d. Postal records and records related to private delivery service, such as United Parcel Service, Federal Express, and Airborne Express; and

- e. Motor vehicle maintenance and operations records.

NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing and procedures of the office.

(ADM schedules begin on the next page)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-1	<p><u>Office Administrative Files.</u> Records, accumulated by individual offices, that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel, including training and travel; supplies, office services, and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other material that do not serve as unique documentation of the programs of the office.</p>	<p>Destroy when 2 years old, or when no longer needed, whichever is sooner.</p>	GRS 23, 1
<p>NOTE: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which are scheduled and found in the Agency Historical Files section of this series.</p>			
ADM-2	<p>CATEGORY WITHDRAWN. RESERVED FOR FUTURE USE. SEE ADM-47.</p>		
ADM-3	<p><u>Official Correspondence Files.</u> All outgoing correspondence prepared by the Director, Deputy Director, and heads of all directorates and offices reporting to the Director, with attachments. Arrange chronologically.</p>	<p>PERMANENT. Cut off at end of fiscal year. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.</p>	N1-311-86-1 1G1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-4	<u>General Subject Correspondence Files.</u> Letters, memoranda, messages, studies, reports, forms, staff position papers, and other records documenting and/or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to FEMA program and staff activities.		
ADM-4-1	Program correspondence files maintained at the office level and above. These files document policy-making decisions of significant FEMA program management functions and are filed in large central collections in each office or directorate.	PERMANENT. Cut off at close of fiscal year. Retire to FRC 2 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1K1a
ADM-4-2	Program correspondence files maintained at the headquarters division level or below and in regional offices.	Cut off at close of fiscal year. Retire to FRC 2 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 1K1b
ADM-4-3	Routine program correspondence files maintained at all organizational levels. Files documenting program transactions of a routine or recurring nature the record content of which is summarized in ADM-4-1 and ADM-4-2 above.	Destroy when 2 years old or sooner, if purpose has been served.	N1-311-86-1 1K1c
ADM-5	<u>Reading or Chronological Files.</u>		
ADM-5-1	Files maintained in the offices of the Director, Deputy Director, Regional Directors, Associate Directors, and Administrators. Arrange chronologically.	PERMANENT. Cut off at end of fiscal year. Retire to FRC 2 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff. Files not accepted by National Archives at time of transfer are disposable without further agency concurrence.	N1-311-86-1 1K2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-5-2	Files maintained at other organizational levels. Arrange chronologically.	Destroy when 2 years old.	GRS 23, 1
ADM-6	<u>Administrative Announcement Files.</u> Material such as infograms, Chief Financial Officer Infograms, and similar announcements concerning routine or temporary administrative matters distributed for informational purposes to employees, exclusive of announcements covering policies, authorizations, plans, or procedures.	Destroy when superseded, obsolete, or no longer needed for reference.	N1-311-86-1 1K3
ADM-7	<u>Weekly Activities Report.</u> Narratives containing items of internal agency interest or activities submitted by staff to higher levels of management.		
ADM-7-1	Reports held by the Office of the Director containing items of significant interest that have unique value.	PERMANENT. Cut off at end of calendar year and retire to FRC. Transfer to National Archives in 5-year blocks when oldest records are 20 years old.	N1-311-92-1 1
ADM-7-2	Copies maintained by the Regional Directors, when maintained separately from the regional directors' office chronological files covered by ADM-5 of the schedule.	PERMANENT. Cut off files annually. Transfer to the FRC in 5-year blocks when oldest records are 6 years old. Transfer to the National Archives when oldest records are 20 years old.	N1-311-92-1 2
ADM-7-3	Copies of Weekly Activity Reports maintained in offices other than those of the Director and Regional Directors.	Destroy when 1 year old.	N1-311-99-5
ADM-8	<u>Annual Report Input Files.</u> Feeder reports generated by offices as input into the annual report.	Destroy when 2 years old.	N1-311-86-1 1K7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-9	<u>Feeder or Preliminary Reports.</u> Information other than activity or status reports, usually concerning a single function or subject, prepared periodically, occasionally, or on a one-time basis and directed to higher or equal levels of organizations for summarization or total inclusion in final reports.	Destroy when 1 year old.	N1-311-86-1 1K8a
ADM-9-1	Weekly and monthly reports.	Destroy when 3 years old.	N1-311-86-1 1K8b
ADM-9-2	Quarterly, semiannual, annual, occasional, and one-time reports.	Destroy when change has been made and verified.	N1-311-86-1 1K13
ADM-10	<u>Directory Files.</u> Correspondence and other material on updating office telephone directories and other listing on agency organization and similar matters.	PERMANENT. Cut off at end of project. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1K12a
ADM-11	<u>Project Files.</u> Records relating to approved projects or task forces having precedential significance, such as those mandated by Congress on continuity of government and firefighter safety.	Cut off at end of project. Destroy 5 years after cutoff.	N1-311-86-1 1K12b
ADM-11-1	Final project reports arranged alphabetically by project name.	Destroy when 5 years old, if no further action is taken.	N1-311-86-1 1K12c
ADM-11-2	All other project records.		
ADM-11-3	Files on proposed projects.		

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-11-4	Working papers and draft reports on projects.	Destroy when 3 years old.	N1-311-86-1 1K12d
ADM-12	<u>Schedules of Daily Activities.</u> Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by FEMA employees while serving in an official capacity, created and maintained in hard copy or electronic form, EXCLUDING materials determined to be personal.		
ADM-12-1	Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of the Director, Deputy Director, and heads of all offices reporting to the Director.	Destroy or delete when 2 years old.	GRS 23, 5a
ADM-12-2	Records documenting routine activities containing substantive information the substance of which has been incorporated into organized files.	Destroy when no longer needed.	GRS 23, 5b
ADM-12-3	Records containing substantive information relating to the official activities of the Director, Deputy Director, and heads of directorates and offices reporting to the Director.	PERMANENT. Cut off at end of calendar year. Retire to the FRC at cutoff. Transfer to National Archives in 5-year blocks when 20 years old.	N1-311-92-4
ADM-13	<u>Suspense Files.</u> Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.		
ADM-13-1	A note or other reminder to take action.	Destroy after action is taken.	GRS 23, 6a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-13-2	The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.	Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If the suspense copy is the file copy, incorporate it into the official files.	GRS 23, 6b
ADM-14	<p><u>Transitory Files.</u> Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are:</p> <p>! Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research or reply.</p> <p>! Originating office copies of letters or transmittal that do not add any information to that contained in the transmitted material, and receiving office copy, if filed separately from transmitted material.</p> <p>! Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.</p>	Destroy when 3 months old, or when no longer needed, whichever is sooner.	GRS 23, 7
ADM-15	<p><u>Tracking and Control Records.</u> Logs, registers, and other records (in hard copy or electronic form) used to control or document the status of correspondence, reports, or other records that are authorized for destruction elsewhere in this manual.</p>	Destroy or delete when no longer needed.	GRS 23, 8

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-16	<u>Finding Aides (or Indexes)</u> . Indexes, lists, registers, and other finding aids (in hard copy or electronic forms) used only to provide access to records authorized for destruction, elsewhere in this manual EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Destroy or delete with the related records, or sooner, if no longer needed.	GRS 23, 9
ADM-17	<u>Campaign Records</u> . Records relating to charitable, civic, and other campaigns, such as the Combined Federal Campaign, March of Dimes, etc.	Destroy when 3 years old.	N1-311-86-1 1K16
<i>ADMINISTRATIVE MANAGEMENT RECORDS</i>			
ADM-18	<u>Project Control Files</u> . Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Destroy 1 year after the year in which the project is closed.	GRS 16, 5
ADM-19	<u>Feasibility Studies</u> . Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Destroy 5 years after completion or cancellation of study.	GRS 16, 9

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-20	<u>IRM Triennial Review Files.</u> Reports required by GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.	Destroy when 7 years old.	GRS 16, 11
ADM-21	<u>FEMA Advisory Board Administrative Files.</u> Records relating to operating procedures, oversight reports, meeting plans, and current activities of the board.	Cut off at end of calendar year. Destroy 10 years after cutoff.	N1-311-86-1 5A3
ADM-22	<u>Regional Office Correspondence.</u>		
ADM-22-1	Regional Review and Coordination Files. Correspondence, reports, memoranda, and other records sent to FEMA regional offices for action.	Destroy when no longer needed.	N1-311-86-1 1D1
ADM-22-2	Management Studies. Correspondence, reports, analyses, and studies on the ten FEMA regional offices relating to personnel, organizational structure, management, and delegations of authority.	Destroy when superseded or obsolete.	N1-311-86-1 1D2
ADM-22-3	Regional Annual Work Plan Files. Correspondence, reports, studies, analyses, and other records on the overall coordination of an agency-aide comprehensive work plan for delivery of program services through regional offices.		
ADM-22-3-1	Headquarters copies.	Destroy when 5 years old.	N1-311-86-1 1D3a
ADM-22-3-2	Regional office copies.	Destroy when superseded or obsolete.	N1-311-86-1 1D3b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-23	<u>Regional Office General Program Subject Files.</u> Files containing basic statutes, legislative proposals, legal opinions, congressional statements, organizational charts, delegations of authority, policy statements, operating procedures and instructions, minutes of meetings, recommendations and decisions, reports, interagency agreements, memoranda of understanding, and studies.	Review every 3 years. Destroy when superseded or obsolete.	N1-311-86-1 4C5
<i>HOUSING RECORDS</i>			
ADM-24	<u>Housing General Correspondence Files.</u> Correspondence files pertaining to the maintenance and management of housing projects.	Destroy when 2 years old.	GRS 15, 1
ADM-25	<u>Housing Maintenance and Repair Files.</u> Maintenance and repair records for individual units.		
ADM-25-1	Summary card or ledger record.	Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves FEMA control.	GRS 15, 2a
ADM-25-2	Work orders, requisitions, and related papers involved in repair and maintenance work.	Destroy 3 fiscal years following close of fiscal year in which work is done.	GRS 15, 2b
ADM-26	<u>Housing Management Files.</u> Reports pertaining to housing management including expenditure, survey, collection, and other statistical and narrative data.	Destroy when 2 years old.	GRS 15, 3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-27	<u>Housing Lease Files.</u> Copies of leases, renewal termination notices, and related documents.	Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.	GRS 15, 4
ADM-28	<u>Housing Assignment and Vacancy Card Files.</u>		
ADM-28-1	Individual tenant cards.	Destroy when tenant vacates unit.	GRS 15, 5a
ADM-28-2	Individual housing unit cards.	Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves FEMA control.	GRS 15, 5b
ADM-29	<u>Housing Inventory Files.</u> Furnished inventory files, pertaining to items included in furnished units.	Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.	GRS 15, 6
ADM-30	<u>Housing Applications Files (other than copies in lease files).</u>		
ADM-30-1	Rejected application files.	Destroy 1 year from date of rejection.	GRS 15, 7a
ADM-30-2	All others.	Destroy when 2 years old.	GRS 15, 7b
<i>POSTAL RECORDS</i>			

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-31	<u>Post Office and Private Mail Company Records.</u> Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.		
ADM-31-1	Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.	Destroy when 1 year old.	GRS 12, 5a
ADM-31-2	Application for registration and certification of declared value mail.	Destroy when 1 year old.	GRS 12, 5b
ADM-31-3	Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.	Destroy when 1 year old.	GRS 12, 5c
ADM-32	<u>Messenger Service Files.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old.	GRS 12, 1
ADM-33	<u>Mail and Delivery Service Control Files.</u>		
ADM-33-1	Records of receipts and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by ADM-31 and those used as indexes to correspondence files.	Destroy when 1 year old.	GRS 12, 6a
ADM-33-2	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old.	GRS 12, 6b
ADM-33-3	Requisition for stamps exclusive of copies used as supporting documents for payment vouchers.	Destroy when 6 months old.	GRS 12, 6c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-33-4	Statistical reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.	GRS 12, 6d
ADM-33-5	Records relating to checks, cash stamps, money orders, or any other valuables remitted to FEMA by mail.	Destroy when 1 year old.	GRS 12, 6e
ADM-33-6	Records of, and receipts for, mail and packages received through the official mail and messenger services.	Destroy when 6 months old.	GRS 12, 6f
ADM-33-7	General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable.	GRS 12, 6g
ADM-33-8	Locator cards, directories, indexes, and other cords relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.	GRS 12, 6h
ADM-34	<u>Metered Mail Report Files</u> . Official metered mail reports and all related papers.	Destroy when 6 years old.	GRS 12, 7
ADM-35	<u>Postal Irregularities Files</u> . Memoranda, correspondence, reports, and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Destroy 3 years after completion of investigation.	GRS 12, 8
<i>MOTOR VEHICLE RECORDS</i>			
ADM-36	<u>Motor Vehicle Correspondence Files</u> . Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Destroy when 2 years old.	GRS 10, 1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-37	<u>Motor Vehicle Operation and Maintenance Files.</u>		
ADM-37-1	Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old.	GRS 10, 2a
ADM-37-2	Maintenance records, including those relating to service and repair.	Destroy when 1 year old.	GRS 10, 2b
ADM-38	<u>Motor Vehicle Cost Files.</u> Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet.	GRS 10, 3
ADM-39	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles (other than accident, operation, or maintenance reports), including SF 82, Agency Report of Motor Vehicle Data, and SF 82D, Agency Report of Sedan Data.	Destroy 3 years after date of report.	GRS 10, 4
ADM-40	<u>Motor Vehicle Accident Files.</u> Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Operator's Report of Motor Vehicle Accident; SF 91A, Investigation Report of Motor Vehicle Accident; and SF 94, Statement of Witness.	Destroy 6 years after case is closed.	GRS 10, 5
ADM-41	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, Agency Record Copy of U.S. Government Certificate of Release to obtain title to a Motor Vehicle.	Destroy 4 years after vehicle leaves FEMA's custody.	GRS 10, 6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-42	<u>Motor Vehicle Operation Files.</u> Records relating to individual employee operations of Government-owned vehicles, including driver's tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner.	GRS 10, 7
ADM-43	<u>Organizational Files.</u> Organizational charts and studies which provide a detailed description of the arrangement and administrative structure of the Agency. Included are proposals, staff evaluations, final products, maps, and graphs.	PERMANENT. Cut off at end of fiscal year. Retire to FRC 2 years after cut off. Transfer in 5 year blocks when oldest records are 20 years old.	N1-311-92-5 2
ADM-44	<u>History Program Files.</u> Agency histories and selected background materials including oral histories prepared by FEMA officials or contractor personnel.		
ADM-44-1	Finished agency histories. Published and unpublished articles relating to the administration, organization, programs, and mission of the Agency.	PERMANENT. Cut off on completion of the project and place in an inactive file. Cut off the inactive file when 5 years old. Transfer in 5-year blocks to the FRC when the oldest record is 6 years old. Transfer to the national Archives in 5-year blocks when the oldest record is 20 years old.	N1-311-92-5 3
ADM-44-2	Source Materials. Duplicate copies of agency correspondence, organizational charts, reports, newspaper clippings, and other records used in the preparation of agency histories.	Cut off on completion of project. Destroy when 10 years old.	N1-311-92-1 4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-45	<u>Government Performance Results Act (GPRA) Records.</u> Files produced in performance of requirements under PL 103-62.		
ADM-45-1	Records produced by individual program offices for submitting material for inclusion in agency-level strategic plans and performance reports.	Cut off at end of fiscal year. Destroy 3 years after cutoff.	PENDING FROM NARA
ADM-45-2	Final agency-level Strategic Plans developed for establishment of performance goals, final agency level performance reports, and annual performance plans as related to strategic plan goals, which are submitted to OMB and Congress. Annual performance plans state goals, objectives, performance indicators, and strategies for accomplishment.	PERMANENT. Cut off when superseded. Retire to FRC 3 years after cutoff. Transfer to the National Archives in 5-year blocks 20 years after cutoff.	PENDING FROM NARA
ADM-45-3	E-mail and word processing records.	Delete when recordkeeping copy produced.	PENDING FROM NARA
ADM-46	<u>National Performance Review(NPR).</u> Records produced to comply with guidelines and recommendations of the National Performance Review.		
ADM-46-1	Records produced by individual program offices for submitting material to be included in agency-level reports to the Office of the President.	Cut off by fiscal year. Retire to FRC 2 years after cutoff. Destroy 5 years after cutoff.	PENDING FROM NARA
ADM-46-2	Internal agency correspondence to task program offices to submit reports.	Cutoff by fiscal year. Retire to FRC 2 years after cutoff. Destroy 5 years after cutoff.	PENDING FROM NARA
ADM-46-3	Final agency reports submitted to the White House reflecting compliance with guidelines of the NPR and changes implemented in FEMA programs as recommended by the NPR.	PERMANENT. Cutoff at end of fiscal year in which report is produced. Retire to FRC 2 years after cutoff. Transfer to the National Archives in 5-year blocks 20 years after cutoff.	PENDING FROM NARA

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-46-4	E-mail and word processing records.	Delete when recordkeeping copy produced.	PENDING FROM NARA
ADM-47	<p><u>Electronic Mail and Word Processing System Copies of Administration Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination. This item does not apply to any item listed in the Administration file schedule for which NARA Authority is not identified as a GRS item.</p>		
ADM-47-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>	<p>Destroy/delete within 180 days after the recordkeeping copy has been produced.</p>	<p>GRS 10, 8a OR GRS 12, 9a OR GRS 15, 8a OR GRS 16, 15a OR GRS 23, 10a whichever is appropriate</p>

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
ADM-47-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 10, 8b OR GRS 12, 9b OR GRS 15, 8b OR GRS 16, 15b OR GRS 23, 10b whichever is appropriate

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5-3. Audits and Investigations (AUD).

This schedule covers the two major series of investigative, audit, and related records created or maintained by the Office of Inspector General and documents relating to OMB Circular A-123 and other regulations to curb fraud, waste, and abuse.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-1	<u>Investigative Case Files.</u> Case files developed during investigations of known or alleged fraud and abuse, and irregularities and violations of laws and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. Cases related to FEMA personnel and programs and operations administered or financed by FEMA, including contractors and others having a relationship with FEMA. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.		
AUD-1-1	Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations.	Destroy when 5 years old.	N1-311-99-6
AUD-1-2	All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.	Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.	N1-311-99-6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-1-3	Significant investigative case files. Investigative case files that involve allegations made against senior agency officials; attract significant attention in the media, either at local or national level; attract congressional attention; result in substantive changes in agency policies and procedures; or are cited in the OIG's periodic reports to Congress.	PERMANENT. Cut off file when case is closed. Retire to FRC 5 years after cutoff. Transfer to the National Archive 20 years after cutoff.	N1-311-99-6
AUD-1-4	<u>Electronic Mail and Word Processing System Copies of Investigative Case Files.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule item. Also includes electronic copies of records created on electronic mail and work processing systems that are maintained for updating, revision, or dissemination.		
AUD-1-4-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	N1-311-99-6
AUD-1-4-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	N1-311-99-6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-2	<u>Audit Case Files.</u>		
AUD-2-1	Working papers files of internal and external audits of FEMA programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.	Cut off at end of fiscal year in which audit report is issued. Destroy 8 years after cutoff.	N1-311-99-6
AUD-2-2	Final reports of internal and external audits of FEMA programs, operations, and procedures.	PERMANENT. Cut off at the end of fiscal year in which report is issued. Retire to the FRC 2 years after cutoff. Transfer to National Archives 20 years after cutoff.	N1-311-99-6
AUD-2-3	<u>Electronic Mail and Word Processing System Copies of Audit Case Files.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and work processing systems that are maintained for updating, revision, or dissemination.		
AUD-2-3-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping coy has been produced.	N1-311-99-6
AUD-2-3-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy (which is kept under AUD-2-1).	Destroy/delete when dissemination, revision, or updating is completed.	N1-311-99-6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-3	<u>Internal Controls System Files.</u> Records created in accordance with procedures mandated by OMB Circular A-123, Internal Controls Systems, and PL 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.	Cut off at end of calendar year. Destroy 5 years after cutoff or after program office or agency Inspector General completes review, whichever is sooner.	N1-311-86-1 1A3
AUD-3-1	Correspondence, memoranda, reports, analyses, and submissions to OMB in support of OMB Circular A-123, inspections, and other regulations to curb fraud, waste, and abuse.	Destroy when superseded.	GRS 16, 14a
AUD-3-2	Policy, procedure, and guidance files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's office file of internal directives); external directives such as OMB circular A-123; and correspondence outlining policy and procedure for performing management reviews.	Destroy when superseded.	GRS 16, 14b
AUD-3-3	Management Control Plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.	Cut off closed file annually. Destroy after next review cycle.	GRS 16, 14c
AUD-3-4	Risk Analyses. Reports and supporting material used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical action.	Cut off closed files annually. Destroy after next reporting cycle.	GRS 16, 14d
AUD-3-5	Annual reports and assurance statements created by organizational components below the agency's level, and compiled by the agency into a single unified report for direct submission to the President or Congress.		

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
<p>NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be individually scheduled for disposition. Contact your FEMA Records Officer or Regional Records Liaison Officer, as appropriate.</p>			
AUD-3-6	<p>Tracking Files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules and evaluations, interim reporting, lists of units required to reports, and correspondence relating to the performance of the reviews.</p>	<p>Destroy 1 year after report is completed.</p>	GRS 16, 14e
AUD-3-7	<p>Review Files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circular A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.</p>	<p>(For disposition instructions, see the subcategories listed on the next page.)</p>	
AUD-3-7-1	<p>Office with responsibility for coordinating Internal Control functions.</p>	<p>Cut off when no further corrective action is necessary. Destroy 5 years after cut off.</p>	GRS 16, 14f(1)
AUD-3-7-2	<p>Copies maintained by other offices as internal reviews.</p>	<p>Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.</p>	GRS 16, 14f(2)
<p>NOTE: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item AUD-3-7-2. This item applies only to copies maintained as internal reviews.</p>			

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-3-8	<u>Electronic Mail and Word Processing System Copies of Internal Control Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 16, 15a
AUD-3-8-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 16, 15a
AUD-3-8-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 16, 15b

5-4. Audiovisual (AVL).

This schedule covers audiovisual and related records created by or for FEMA, as well as those acquired in the course of business. Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes the following:

- a. Production files or other files documenting the creation, justification, ownership, and rights to the records, and
- b. Documentation used to identify or access the records.

The word "DESTROY" is used to authorize the destruction of data or information. Erasable media such as audio tapes should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 45.10, "Recovery of Precious Metals and Strategic Critical Materials."

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-1	<u>Routine Still Photography.</u> Photographs of routine award ceremonies, social events, and activities not related to the mission of FEMA.	Destroy when 1 year old.	GRS 21, 1
AVL-2	<u>Personal Identification or Passport Photographs.</u>	Destroy when 5 years old or when superseded or obsolete, whichever is later.	GRS 21, 2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-3	<u>Official Portrait Photographs.</u>		
AVL-3-1	Portrait photographs of FEMA officials at the Associate Director level and above. Arrange alphabetically by name.	PERMANENT. Transfer captioned photographic print and negative, indexed by name and title of individual and date of photograph, directly to the National Archives 1 year after each Presidential Inauguration (January 20). Transfer all additional information regarding the photograph, e.g., the name of photographer or source and any copyright restrictions, with the records.	N1-311-86-1 1C1a
AVL-3-2	Portrait photographs of FEMA Advisory Board members. Arrange alphabetically by name.	PERMANENT. Transfer captioned photographic print and negative, indexed by name and title of individual and date of photograph, directly to the National Archives 1 year after each Presidential Inauguration (January 20). Transfer all additional information regarding the photograph, e.g., the name of photographer or source and any copyright restrictions, with the records.	N1-311-86-1 5A2a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-4	<u>Mission Activities Photographs.</u> Black and white, and color photographs and slides of FEMA mission activities as they relate to shelters, evacuations, protection from the effects of radioactive fallout, emergency operating centers (EOC's), FRC's, training, and nuclear tests, as well as publicly released photographs on specific selected atmosphere nuclear tests, i.e. Operations Doorstep, Ivy, and Plum, with significant public affairs importance. Arrange alphabetically by subject or emergency management function.	PERMANENT. Cut off every 5 years. Transfer captioned photographic or slide and negative, indexed by subject and date, directly to the National Archives after cutoff. Transfer all additional information regarding the photograph, e.g., the name of photographer or source and any copyright restrictions, with the records.	N1-311-86-1 1C1b
AVL-5	<u>Training Activity Photographs.</u> Internal personnel and administrative training filmstrips and slides of programs that do not reflect the mission of FEMA.	Destroy 1 year after completion of training program.	GRS 21, 3
AVL-6	Category withdrawn by NARA December 1998. Reserved for future use.		
<i>GRAPHIC ARTS</i>			
AVL-7	<u>Viewgraphs.</u>	Destroy 1 year after use.	GRS 21, 5
AVL-8	<u>Routine Artwork.</u> Routine artwork for handbills, flyers, posters, letterhead, and other graphics.	Destroy when no longer needed for publication or reprinting.	GRS 21, 6
AVL-9	<u>Photo-Mechanical Reproduction Material.</u> Line and half-tome negatives, screened paper prints, and offset lithographic plates used for photo-mechanical reproduction.	Destroy when no longer needed for publication or reprinting.	GRS 21, 7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-10	<u>Line Copies.</u> Line copies of graphs and charts.	Destroy when no longer needed for publication or reprinting.	GRS 21, 8
<i>MOTION PICTURES</i>			
AVL-11	<u>Training Films.</u> Films acquired from outside sources for personnel and management training.	Destroy 1 year after completion of training program.	GRS 21, 9
AVL-12	Category withdrawn by NARA December 1998. Reserved for future use.		
AVL-13	<u>Routine Surveillance Footage.</u>	Destroy when 6 months old.	GRS 21, 11
AVL-14	<u>Routine Scientific, Medical, or Engineering Footage.</u>	Destroy when 2 years old.	GRS 21, 12
AVL-15	Category withdrawn by NARA December 1998. Reserved for future use.		
AVL-16	<u>Motion Pictures for Public Distribution.</u> FEMA-sponsored or acquired motion pictures intended for public distribution. These include public awareness safety information titles distributed via the National Audiovisual Center and the Army Training and Support Centers. Arrange chronologically.	PERMANENT. Transfer original preprint (negative, master, and A&B rolls, and soundtrack), and a projection print directly to the National Archives in 5 year blocks when 5 years old.	N1-311-86-1 1C3
<i>VIDEO RECORDINGS</i>			

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-17	<u>Video Productions Intended for Public Distribution.</u> FEMA-sponsored or acquired video productions intended for public distribution. These include public awareness safety information titles distributed via the National Audiovisual Center and the Army Training and Support Centers. Arrange chronologically.	PERMANENT. Transfer original or earliest generation and a dub, if one exists, directly to the National Archives in 5 year blocks when 5 years old.	N1-311-86-1 1C2a
AVL-18	<u>Official Video Recordings of FEMA Officials.</u> Original video recordings of speeches, teleconferences, conferences, and testimony of FEMA officials before Congress and other deliberative bodies. Arrange chronologically.	PERMANENT. Transfer original or earliest generation and a dub, if one exists, directly to the National Archives in 5 year blocks when 5 years old.	N1-311-86-1 1C2b
AVL-19	<u>Training Videotapes.</u> Programs acquired from outside sources for personnel and management training.	Destroy 1 year after completion of training program.	GRS 21, 14
AVL-20	Category withdrawn by NARA December 1998. Reserved for future use.		
AVL-21	<u>Rehearsal or Practice Videotapes.</u>	Destroy immediately.	GRS 21, 16
AVL-22	<u>Internal Training Videotapes.</u> Internal personnel and administrative training programs that do <u>not</u> reflect the mission of the agency (these include role-play sessions, management, and supervisory instruction, etc.)	Destroy 1 year after completion of training program.	GRS 21, 17
AVL-23	<u>Routine Surveillance Video Recordings.</u>	Destroy when 6 months old.	GRS 21, 18
AVL-24	<u>Routine Scientific, Medical, or Engineering Video Recordings.</u>	Destroy when 2 years old or when no longer needed.	GRS 21, 19

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-25	<u>Routine Event Video Recordings</u> . Records that document routine meetings and award presentations.	Destroy when 2 years old.	GRS 21, 20
AVL-26	Category withdrawn by NARA December 1998. Reserved for future use.		
<i>AUDIO RECORDINGS</i>			
AVL-27	<u>Official FEMA Audio Recordings</u> . Audio cassettes of FEMA activities including speeches, press conferences, broadcast spots, and special emergency management feeds to broadcasters. Arrange chronologically.	PERMANENT. Transfer original or earliest generation and a dub, if one exists, directly to National Archives in 5 year blocks when 5 years old.	N1-311-86-1 1C4
AVL-28	<u>Audio Recordings of Meetings</u> . Recordings of meetings made exclusively for note taking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions.	Destroy immediately after use.	GRS 21, 22
AVL-29	<u>Dictation Belts or Tapes</u> .	Destroy immediately after use.	GRS 21, 23
AVL-30	<u>Premix Sound Elements</u> . Premix sound elements created during the course of a motion picture, television, or radio production.	Destroy immediately after use.	GRS 21, 24
AVL-31	Category withdrawn by NARA December 1998. Reserved for future use.		
AVL-32	<u>News Recordings</u> . Daily or spot news recordings available to local radio stations on a call-in basis.	Destroy when 6 months old.	GRS 21, 26

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AVL-33	Category withdrawn by NARA December 1998. Reserved for future use.		
<i>RELATED DOCUMENTATION</i>			
AVL-34	<u>Production Files.</u> Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.	Dispose of according to the instructions covering the related audiovisual records.	GRS 21, 28
AVL-35	<u>Finding Aids.</u> Finding aids for identification, retrieval, or use of temporary audiovisual records.	Dispose of according to the instructions covering the related audiovisual records.	GRS 21, 29

5-5. Budget (BUD).

a. This schedule covers budget and apportionment records and includes the various files accumulated in FEMA in the course of formulating its budget for submission to OMB and to the Congress; in defending its requests for both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time.

b. FEMA budget records are normally created at all levels of the organization. They contain proposals from all operating levels as well as agency-wide coordinating work done by the Financial Planning and Analysis Division, Office of Financial Management (FM-PA).

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
BUD-1	<u>Budget Correspondence Files.</u> Correspondence files in FM-PA pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to FEMA policy and procedure maintained in FM-PA.	Destroy when 2 years old.	GRS 5, 1
BUD-2	<u>Budget Background Records.</u> Cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to the Chief Financial Officer.	Destroy 1 year after the close of the fiscal year covered by the budget.	GRS 5, 2
BUD-3	<u>Budget Reports Files.</u> Periodic reports on the status of appropriation accounts and apportionment.		
BUD-3-1	Annual report (end of fiscal year).	Destroy when 5 years old.	GRS 5, 3a
BUD-3-2	All other reports.	Destroy 3 years after the end of the fiscal year.	GRS 5, 3b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
BUD-4	<u>Budget Apportionment Files.</u> Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Destroy 2 years after the close of the fiscal year.	GRS 5, 4
BUD-5	<u>Budget Policy Files.</u> Correspondence or subject files in FM-PA documenting FEMA policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for FEMA programs.	PERMANENT. Cut off at close of fiscal year. Retire to FRC 2 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	PENDING FROM NARA
BUD-6	<u>Budget Estimates and Justification Files.</u> Copies of budget estimates and justification prepared by the Chief Financial Officer. Included are appropriation language sheets, narrative statements, and related schedules and data.	PERMANENT. Cut off at close of fiscal year. Retire to FRC 2 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	PENDING FROM NARA

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
BUD-7	<p><u>Electronic Mail and Word Processing System Copies of Budget Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 5, 5a for those items covered by GRS 5; disposition PENDING APPROVAL FROM NARA for BUD-5 and BUD-6
BUD-7-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 5, 5a for those items covered by GRS 5; disposition PENDING APPROVAL FROM NARA for BUD-5 and BUD-6
BUD-7-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 5, 5b for those items covered by GRS 5; disposition PENDING APPROVAL FROM NARA for BUD-5 and BUD-6

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5-6. Cartographic, Aerial Photographic, Architectural, and Engineering Records (CAE).

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CAE-1	<u>Cartographic Records Prepared During Intermediate Stages of Publication.</u> Scribed plastic sheets; color separation sheets; composites prepared as a step in the making of color separation sheets; photographic negatives; glass plate negatives; enlargements or reductions; color pulls, proof copies subject to final revision, correction file maps annotated to show corrections to be incorporated in the next edition of the published map; and similar items whose informational content is duplicated by the final published map.	Destroy when no longer needed for revision.	GRS 17, 1
CAE-2	Category withdrawn by NARA December 1998. Reserved for future use.		
CAE-3	<u>Architectural Drawings of Temporary Structures and Buildings or of Buildings not Critical to the Mission of FEMA.</u> Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 3
CAE-4	<u>Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.</u>	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CAE-5	<u>Contract Negotiation Drawings.</u> Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, air conditioning projects; or drawings superseded by final working/as built drawings.	Destroy when the final working/as-built drawings have been produced.	GRS 17, 5
CAE-6	<u>Space Assignment Plans.</u> Outline floor plans indicating occupancy of a building.	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 6
CAE-7	Category withdrawn by NARA December 1998. Reserved for future use.		
CAE-8	<u>Engineering Drawings of Routine Minor Parts.</u> Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregatable from a larger file.	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 8
CAE-9	<u>Drawings Reflecting Minor Modifications.</u> Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregatable from a larger file.	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 9
CAE-10	<u>Paint Plans and Samples.</u> Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for paintings appliances, elevators, and other mechanical parts of all buildings.	Destroy when superseded or after the structure or object has been retired from service.	GRS 17, 10

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
<p>NOTE: Paint plans and samples for the interior and exterior walls of buildings that are significant for historical, architectural, or technological reasons, are NOT authorized for disposal under CAE-10, and must be scheduled for disposition on a case-by-case basis. Contact the Records Management Branch for assistance.</p>			

5-7. Comprehensive Cooperative Agreement (CCA).

FEMA assistance to the states for emergency preparedness purposes is provided through CCA's. A CCA is a single application, reporting, and funding procedure whereby this agreement can include all assistance for a state program upon eligibility. FEMA-supported preparedness activities in the states are therefore accounted for and funded through the CCA. All CCA's are awarded and administered through FEMA regional offices. Even though some CCA's have remained in place, the CCA Program was replaced by the Performance Partnership Agreements (PPA's) and the Cooperative Agreements (CA's) in 1993. File categories for those will be found in the Liaison (LIA) file schedule after proper internal FEMA coordination.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CCA-1	<u>Master Copies of CCA's.</u> Arrange alphabetically by State.	PERMANENT. Cut off when CCA is superseded. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4B19a
CCA-2	<u>CCA Correspondence Files.</u> Correspondence and/or subject files including memoranda, studies, reports, and other records relating to the development and establishment of the program, its policies and basic procedures, and the management and evaluation of the CCA program records maintained in headquarters.	Destroy when no longer needed.	N1-311-86-1 1B19b
CCA-3	<u>CCA Financial Records.</u> Financial records, supporting documents, statistical records, applications, general correspondence, and all other records pertinent to an assistance program EXCEPT those covered by CCA-4 and CCA-5.	Destroy 6 years 3 months after date of final settlement or of submission of final financial status report, whichever is applicable.	N1-311-86-1 4B19c
CCA-4	<u>CCA Nonexpendable Property.</u> Records for nonexpendable property acquired with assistance funds.	Destroy 6 years 3 months after final distribution of property or after audit funding has been resolved, whichever is later.	N1-311-86-1 4B19d

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CCA-5	<u>CCA Legal Files.</u> Records relating to appeals, litigation, claims, or exceptions.	Destroy when case is resolved.	N1-311-86-1 4B19e
CCA-6	<u>Computerized Activities Results Lists (CARL) Files.</u> For each program supported by the CCA, the states develop a Computerized Activities Results List (CARL) using a personal computer. States transmit the floppy diskette containing the information to the regional office to be used for CCA negotiations.		
CCA-6-1	Regional office copy.	Transfer to FEMA headquarters after approval.	N1-311-88-1
CCA-6-2	Headquarters copy.	Delete/destroy when 6 years and 3 months old.	N1-311-88-1

5-8. Committees, Meetings, and Conferences (CMC).

This schedule covers:

a. Minutes of internal board meetings, meeting arrangements, NDER conferences, and committee records.

b. Records created to comply with the provisions of the Government in regard to the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing FEMA's compliance with the Act, are permanent records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CMC-1	<u>Minutes of the FEMA Advisory Board.</u>		
CMC-1-1	Official minutes of the Board. Verbatim transcripts and synopses for FEMA advisory Board meetings. Arranged chronologically.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives in 5 year blocks 20 years after cutoff.	N1-311-86-1 5A1a
CMC-1-2	Minutes of Board Panels. Verbatim transcripts and synopses of meeting of FEMA Advisory Board panels (consisting of three to five members each) on continuity of government, consequences of terrorism, industrial preparedness, civil defense, and other emergency management topics. Arrange chronologically.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives in 5 year blocks 20 years after cutoff.	N1-311-86-1 5A1b
CMC-2	<u>Board of Visitor (BOV) Files.</u> National Fire Academy and Emergency Management Institute BOV files consisting of approved minutes of officially scheduled meetings (usually quarterly), notes, drafts, and working papers.	(For disposition instructions, see sub-categories.)	

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CMC-2-1	Minutes of meetings.	PERMANENT. Cut off at end of calendar year. Retire to FRC in 5-year blocks when 5 years old. Transfer to National Archives in 5-year blocks when 20 years old.	N1-311-90-1
CMC-2-2	Working papers.	Cut off at end of calendar year. Destroy 5 years after cutoff.	N1-311-90-1
CMC-3	<u>Arrangement Files</u> . Records relating to meetings, arrangements, invitations, accommodations, authority to attend, workpapers, acceptances, and regrets.	Destroy when 1 year old.	N1-311-86-1 1K10
CMC-4	<u>Committee and Conference Files</u> .		
CMC-4-1	Records relating to establishment, organization, membership, and policy of internal committees.	Destroy 2 years after termination of committee.	GRS 16, 8a
CMC-4-2	Records created by internal committees.		
CMC-4-2-1	Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor, or Secretariat.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.	GRS 16, 8b(1)

NOTE: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled separately. Contact the Records Management Branch for assistance.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CMC-4-2-2	All other internal committee records.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.	GRS 16, 8b(2)
CMC-4-3	Records maintained by agency committee management officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.	Destroy 5 years after termination of committee.	GRS 16, 8c
<p>NOTE: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the Act, are permanent records. Contact the Records Management Branch for assistance.</p>			

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CMC-4-4	<u>Electronic Mail and Word Processing System Copies of Internal Committee Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 16, 15a
CMC-4-4-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.		
CMC-4-4-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 16, 15b
CMC-5	<u>External Committees and Conference Files.</u>		
CMC-5-1	Records relating to establishment, organization, membership, and policy of external committees. These committees are sponsored by FEMA, but have a membership including representatives from other Federal agencies, States, local governments, and/or public citizens. Organize by committee.	PERMANENT. Cut off at termination of committee. Transfer to FRC 2 years after cutoff. Transfer to the National Archives 20 years after cutoff.	N1-311-97-2
CMC-5-2	Agenda, minutes, final reports, and related records documenting the accomplishments of FEMA-sponsored committees and conferences.	PERMANENT. Cut off at end of calendar year. Transfer to FRC 2 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-97-2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CMC-5-3	Records of external committees and conferences that FEMA does not sponsor, but does have membership and voting rights/responsibilities.	Cut off at end of calendar year. Destroy 10 years after cutoff.	N1-311-97-2
CMC-5-4	Records of external committees and conferences that FEMA does not sponsor, but sends representatives for information gathering purposes only (no voting rights/responsibilities).	Cut off at end of calendar year. Destroy when 3 years old.	N1-311-97-2

5-9. Continuity of Government (COG) Program.

This schedule covers the broad spectrum of Continuity of Government (COG) records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
COG-1	<u>Development and Planning Files.</u> Documents relating to the development and planning of concepts and programs relating to the policies and systems design and operation of Continuity of Government systems. Arrange by subject.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5D1
COG-2	<u>Project and Policy Files.</u> Correspondence containing basic documentation on systems requirements, standard operating procedures, operations plans, and plans related to the COG program. Arrange alphabetically by subject.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5F9
COG-3	<u>Continuity Of Government Operation and Briefing Files.</u> Charts, slides, viewgraph, and videotapes for briefing the 15 incoming successors to the President of the United States as listed in the 25th Amendment and 3 USC 19.	Destroy when superseded, obsolete, or when no longer needed.	N1-311-86-1 5E6
COG-4	<u>Coordination Files.</u> Documents relating to the coordination of COG plans and programs with other Federal departments and agencies.	Destroy when superseded or obsolete.	N1-311-86-1 5D2
COG-5	<u>Interagency, Working Group, and Task Force Files.</u> Correspondence, memoranda, and reports prepared in association with Continuity of Government interest in such activities (previously the National Preparedness Directorate).	Destroy when no longer needed.	N1-311-86-1 5F2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
COG-6	<u>Operational Response Procedures (ORP) Files.</u> Interagency working papers and formal documents with NRC and other Federal departments and agencies on civil emergency response activities between each agency.	Destroy when superseded or obsolete.	N1-311-86-1 5F4
COG-7	<u>Federal Response Plan Files.</u> Working papers which pertain to special event activities in coordination with other Federal agencies.	Destroy when superseded or obsolete.	N1-311-86-1 5F5
COG-8	<u>Federal Preparedness Guidance Document Files.</u> Background papers on department/agency comments on the development of Federal preparedness guidance documents.	Destroy when no longer needed.	N1-311-86-1 5D3
COG-9	<u>Federal Agency Emergency Plan Files.</u> Documents created in coordinating the review of other Federal agencies and their field establishments in conforming with national and regional emergency operating plans, guidance operations, and programs including relocation space requirements.	Destroy when superseded, obsolete, or no longer needed.	N1-311-86-1 1K17
COG-10	<u>Federal Resource Assessment System (FRAS) Files.</u>		
COG-10-1	Files consisting of minutes of meetings or correspondence among participating agencies and interested parties to review Federal preparedness programs.	Destroy when superseded or obsolete.	N1-311-86-1 5D6a
COG-10-2	FRAS technical information.	Destroy when superseded or obsolete.	N1-311-86-1 5D6b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
COG-11	<u>Executive Order 12656 Files.</u> Files consisting of departmental and agency comments on proposed draft of amendments to Federal emergency management executive orders.	Destroy when superseded or obsolete.	N1-311-86-1 5D4
COG-12	<u>National Security Document Files.</u> Reference documents produced by FEMA or the Joint Chiefs of Staff.	Destroy when superseded, obsolete, or no longer needed for reference.	N1-311-86-1 5F12

6-10. Civil Defense (CVD).

This schedule covers those records relating to Civil Defense matters not included elsewhere in this manual.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CVD-1	<u>Civil Defense Systems Files.</u> Documents relating to various systems used in support of civil defense.	Destroy when superseded or obsolete.	N1-311-86-1 4B2
CVD-2	<u>Population Protection Data Files.</u> Engineering data gathered by FEMA regional staff, contractors, or State preparedness staff providing information pertaining to the suitability of a particular geographical area.	Destroy when superseded or obsolete.	N1-311-86-1 4B17
CVD-3	<u>Emergency Management Assistance (EMA) Program Files.</u> Documents related to State eligibility and applications for funds: staffing patterns, annual submissions, statements of work, reporting documents on State and local expenditures, and fourth-quarter performance reports.	Cut off at end of fiscal year. Retire to FRC 3 years after cutoff. Destroy 6 years after cutoff.	N1-311-86-1 4B25
CVD-4	<u>State and Local Government Emergency Plan Files.</u> Documents created in coordinating the review of State and local government emergency operating plans including the plans themselves.	Destroy when superseded or obsolete.	N1-311-86-1 4B26
CVD-5	<u>FEMA Multiyear Civil Defense Working Files.</u> Files containing background and current information on the multiyear plan.	Destroy when no longer needed.	N1-311-86-1 5B1
CVD-6	<u>National Security Council Studies.</u> Copies of classified studies and research reports conducted and prepared by the National Security Council on civil defense.	Destroy when no longer needed.	N1-311-86-1 5B2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
CVD-7	<u>Research Reports Indexes.</u> Bibliographies, lists, and indexes of other agencies or contractor reports on civil defense.	Destroy when superseded or obsolete.	N1-311-86-1 5B3
CVD-8	<u>Capability and Hazard Identification Program (CHIP).</u> A database which contains information on the hazards jurisdictions are susceptible to, the estimated frequency of occurrence, and capabilities jurisdictions have to deal with emergencies.	PERMANENT. Transfer annual database update with documentation and electronic data dictionary to the National Archives.	N1-311-92-6 1
CVD-8-1	Annual database update.	PERMANENT. Transfer annual database update with documentation and electronic data dictionary to the National Archives.	N1-311-92-6 1
CVD-8-2	Outputs (excluding CVD-8-1) including both textual and electronic.	Destroy when no longer needed.	N1-311-92-6 2

5-11. Disaster Assistance Programs (DAP).

This schedule covers records pertaining to disaster assistance under provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-1	<u>Presidentially Declared Major Disaster and Emergency Files.</u>		
DAP-1-1	Headquarters Disaster Files. Presidential declarations, with supplements, designating major disasters and emergencies authorizing the expenditure of disaster relief funds, FEMA/State agreements, citations for publications in the Federal Register, correspondence, memoranda, and termination memoranda. Arrange chronologically by date of declaration and thereunder alphabetically by State.	PERMANENT. Cut off when termination memorandum is approved. Retire to FRC 1 year after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4C1a
NOTE: The final update of FEMA disaster funding list is maintained by the Chief Financial Officer.			
DAP-1-2	Regional Disaster Files. Copies of Presidential declarations with supplements, FEMA/State agreements, and related records.	Destroy when termination memorandum is approved.	N1-311-86-1 4C1b
DAP-2	<u>Undeclared Natural Disaster Case Files.</u> Requests for assistance, turndown correspondence, and related records on natural disasters in which assistance was requested by a disaster was not declared under Public Law.		
DAP-2-1	Headquarters files.	Cut off when request is turned down. Retire to FRC 2 years after cutoff. Destroy 6 years after cutoff.	N1-311-86-1 4C2a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-2-2	Regional office files.	Cut off when request is turned down. Destroy 2 years after cutoff.	N1-311-86-1 4C2b
DAP-3	<u>Incident Case Files.</u> Case files on incidents in which no assistance was requested and no declaration was made under PL 93-288, including correspondence, memoranda, and related records.	Destroy 2 years after close of case.	N1-311-86-1 4C3
DAP-4	<u>Public Assistance Files.</u> Project Application (PA) files (PL 93-288 and FEMA regulations and handbooks).		
DAP-4-1	Headquarters and Regional Files. Individual PA's (original copy of PA form and applicant funding documents maintained by the Chief Financial Officer) identified by major disaster number and applicant identification number. Files include project applications, original damage survey reports, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, documents on insurance requirements, floodplain management, hazard mitigation, policies and procedures, and related records.	Cut off when final audit and applicant appeals are resolved and completed. Retire to FRC 1 year after cutoff. Destroy 6 years 3 months after cutoff.	N1-311-89-5
DAP-4-2	Fire Suppression Assistance (FSA) files (PL 93-288, Section 417; 44 CFR 205, Section G; and FEMA Handbook DR&R-4).		
DAP-4-2-1	Headquarters Files. Individual FSA's, original copy of PA form, and funding documents maintained by the Chief Financial Officer including continuing FEMA-State fire suppression agreement, FEMA determinations authorizing or denying FSA assistance, and general fire suppression assistant correspondence.	Cut off when termination memorandum is approved. Retire to FRC 1 year after cutoff. Destroy 6 years 3 months after cutoff.	N1-311-86-1 4C4b(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-4-2-2	Regional Office Files. Original copy of DSR with backup records.	Cut off when termination memorandum is approved. Retire to FRC 1 year after cutoff. Destroy 6 years 3 months after cutoff.	N1-311-86-1 4C4b(2)
DAP-4-3	Community Disaster Loan (CDL) files (PL 93-288), Section 414; 44 CFR 205, Subpart F; and FEMA Handbook (CR&R-5). Individual CDL's (original copies of CDP promissory notes and funding documents maintained by the Chief Financial Officer) identified by major disaster and applicant ID number. Files include approved community disaster loans, denials of loan applications requests, Federal Community disaster loan correspondence, and applications for loan cancellation.	Cut off when termination memorandum is approved. Retire to FRC 1 year after cutoff. Destroy 6 years 3 months after cutoff.	N1-311-86-1 4C4c
DAP-4-4	<u>Mitigation Assistance Files (PL 93-288, Section 406)</u> . Files include hazard mitigation procedures, reports, and related records.	Cutoff when termination memorandum is approved. Retire to FRC 1 year after cutoff. Destroy 6 years 3 months after cutoff.	N1-311-86-1 4C4d
DAP-5	<u>State Assistance Program Files</u> . Applications, appraisals, statements of work, and other project-related documents to stimulate State flood plain management activities.	Cut off at end of calendar year. Retire to FRC 5 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 4B20

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-6	<u>Disaster Field Office (DFO) Individual Assistance (IA) Program Files.</u>		
DAP-6-1	General Files. Files maintained in the IA program office cover overall administrative management, program, and information functions. These files include such items as mission assignments and correspondence with State and local officials. IA programs include, but are not limited to, the Disaster Unemployment Assistance Program, Crisis Counseling Assistance and Training Program, legal services for low-income disaster victims (through the Young Lawyers Division of the American Bar Association), the flood plain management administration.	Consolidate files at appropriate regional office upon close of DFO. Retire to FRC 1 year after closeout. Destroy 3 years after closeout.	N1-311-86-1 4C6a
DAP-6-2	Insurance Coordination Files. Correspondence with insurance carriers who hold policies on disaster victims' residences (e.g., claims, proofs of loss, and proofs of purchase).	Consolidate files at appropriate regional office upon termination of disaster contract (when all families have been relocated to permanent housing; the audit, if one is made, has been accepted by both FEMA and the State; and all monies due have been received). Retire to FRC 1 year after termination. Destroy 3 years after termination.	N1-311-86-1 4C6b
DAP-6-3	Duplication of Benefits Files. Miscellaneous correspondence related to duplicate benefits.	Consolidate files at appropriate regional office upon closeout of DFO. Retire to FRC 1 year after closeout. Destroy 3 years after closeout.	N1-311-86-1 4C6c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-7	<u>Individual and Family Grant (IFG) Program Files.</u> FEMA-State agreements, State administrative plan, correspondence, extensions, advances, and other IFG program records.	Closeout when disaster contract is terminated. Retire to FRC 1 year after closeout. Destroy 3 years after closeout.	N1-311-86-1 4C7
DAP-8	<u>Headquarters Activity (Disaster Assistance Program - Individual Assistance (IA) Division) Files.</u>		
DAP-8-1	IA Program Files. All IA program files EXCEPT those relating to temporary housing and IFG programs. They include other programs such as Disaster Unemployment Assistance (DUA), Crisis Counseling and Training, Legal Services, Superfund, Flood Plain Management, Duplication of Benefits, and the Cora Brown Fund.	Retire to inactive storage when 2 years old. Destroy when 6 years 3 months old.	N1-311-86-1 4C10a
DAP-8-2	Temporary Housing Files. Copies of computer printouts scoreboards, Federal Coordinating Officer's digests, correspondence, and related records.	Destroy 3 years after close of the operation (when database elements have been defined).	N1-311-86-1 4C10b
DAP-8-3	Mobile Home and Travel Trailer Program Files. Copies of correspondence and procedures, e.g., acquisitions, technical standards, and guides; specimen contracts and procurement documents; data on mobile home programs at disaster sites; and working papers on manuals, instructions, and other issuances.	Cut off at end of calendar year. Destroy 6 years and 3 months after cutoff.	N1-311-86-1 4C10c
DAP-8-4	Files relating to permanent relocations under Superfund and purchases of properties under Section 1362. Includes headquarters files relating to individual property owners, background data, addresses, value of property, negotiation records, and related records. Arrange alphabetically by subject.	PERMANENT. Cut off at conclusion of project. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4C10d

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
DAP-9	<u>Emergency Management.</u> Emergency Food and Shelter Program Financial Documentation Files. These files, from participating agencies across the country, document the basic financial transactions of money received and money paid in the operation of the program. The records include invoices, receipts, food and lodging vouchers, internal schedules, per diem rate schedules, cash register tapes, utility bills, eviction notices, and canceled checks EXCLUDING accounts and supporting documents pertaining to American Indians (see NOTE under ACC-1-1).	Cut off at end of fiscal year. Destroy 6 years and 3 months after cutoff.	GRS 6, 1a
DAP-10	<u>Cora Brown Trust Management Fund.</u> These files are kept at the regional office and consist of applicant requests, certifications, recommendations, and approvals/denials.	Cut off when disaster contract is terminated. Retire to FRC 1 year after cutoff. Destroy 3 years after cutoff.	N1-311-86-1 4C9
DAP-11	<u>Federal Coordinating Officer (FCO) Digests.</u> Daily digests for the FEMA Director and other agency officials describing major disaster declaration, accidents, incidents, and other emergency/crisis situations.	Cut off files at the end of calendar year. Retire to FEMA records holding area 1 year after cutoff. Destroy 5 years after cutoff.	N1-311-86-1 5E1
DAP-12	<u>Situation Summaries.</u> Consecutively numbered notices providing dates, locations, contract numbers, and counties involved in State major disaster declarations.	Destroy when 3 years old.	N1-311-86-1 5E3
DAP-13	<u>Items of Interest Notices.</u> Status summary notices detailing the various requests by each State for a major disaster declaration as well as other information on major accident and weather information.	Destroy when 3 years old.	N1-311-86-1 5E4

5-12. Electronic Data Processing (EDP).

This schedule applies to electronic records routinely stored on magnetic media in central data processing facilities or personal computers, including ones operated for FEMA by contractors. It covers records created by computer operators, programmers, analysts, and systems administrators in order to store and maintain computer files in such facilities; certain master files, including some that are components of database management systems; and certain files created from master files for specific purposes. This schedule also provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-1	<u>Files/Records Created in Central ADP Facilities to Create, Use, and Maintain Master Files.</u>		
EDP-1-1	Electronic files or records created solely to test system performance such as test records as well as hard copy printouts of related documentation for the electronic files/records.	Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 1a
EDP-1-2	Electronic files or records used to create or update a master file, including but not limited to work files, valid transaction files, and intermediate input/output records.	Delete after information has been transferred to the master file and verified.	GRS 20, 1b
EDP-1-3	Electronic files and hard copy printouts created to monitor system usage, including but not limited to log-in files, password files, system usage files, and cost-back files used to access charges for system use.	Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 1c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-2	<u>Input/Source Records.</u>		
EDP-2-1	Nonelectronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention.	Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the back-up to, the master file, whichever is later.	GRS 20, 2a
EDP-2-2	Electronic records, except as noted in EDP-2-3, entered into the system during an update process, and not required for audit and legal purposes.	Delete when data has been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.	GRS 20, 2b
EDP-2-3	Electronic records received from another agency and used as input/source records EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of FEMA.	Delete when data has been entered into the master file or database and certified, or when no longer needed to support reconstruction of, or serve as back-up to, the master file or database, whichever is later.	GRS 20, 2c
EDP-2-4	Computer files or records containing uncalibrated and invalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.	Delete after the necessary data has been incorporated into a master file.	GRS 20, 2d

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-3	<u>Electronic Versions of Records Scheduled for Disposal.</u>		
EDP-3-1	Electronic versions of records that are scheduled for disposal under one or more items in ADM, AUD, PER, or SEC, EXCLUDING those that replace or duplicate the following items: PER-23, PER-24, EEO-6, TEL-2, or SEC-6.	Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.	GRS 20, 3a
EDP-3-2	Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.		
EDP-3-2-1	When hard copy records are retained to meet recordkeeping requirements.	Delete electronic versions when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 3b(1)
EDP-3-2-2	When the electronic record replaces hard copy records that support administrative housekeeping functions.	Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.	GRS 20, 3b(2)
EDP-3-2-3	Hardcopy printouts created for short-term administrative purposes.	Destroy when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 3b(3)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-4	<u>Data Files Consisting of Summarized Information.</u> Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under this manual, EXCLUDING data files that are created as disclosure-free files to allow public access to the data; or created from a master file or database that is unscheduled, that was scheduled as permanent but no longer exists, or can no longer be accessed.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 4
EDP-5	<u>Records Consisting of Extracted Information.</u> Electronic files consisting solely of records extracted from a single master file or data base that is disposable under this schedule, EXCLUDING extracts that are produced as disclosure-free files to allow public access to the data; or produced from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists, or can no longer be accessed; or produced by an extraction process which changes the informational content of the source master file or data base.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 5
EDP-6	<u>Print File.</u> Electronic file extracted from a master file or database without changing it and used solely to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 6
EDP-7	<u>Technical Reformat File.</u> Electronic file consisting of data copied from a complete or partial master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-8	<u>Backups of Files.</u> Electronic copy (record copy) of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.	GRS 20, 8a
EDP-8-1	File identical to records scheduled for transfer to the National Archives.	Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.	GRS 20, 8a
EDP-8-2	File identical to records authorized for disposal in this manual.	Delete when the identical records have been deleted, or when replaced by a subsequent backup file.	GRS 20, 8b
EDP-9	<u>Finding Aids (or Indexes).</u> Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction in this manual, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Delete with related records or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.	GRS 20, 9
EDP-10	File category no longer in use as per NARA August 1995. Reserved.		
EDP-11	<u>Electronic Spreadsheets.</u> Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.		
EDP-11-1	When used to produce hard copy that is maintained in organized files.	Delete when no longer needed to update or produce hard copy.	GRS 20, 15a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
EDP-11-2	When maintained only in electronic form.	Delete after the expiration of the retention period authorized for the hard copy elsewhere in this schedule. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.	GRS 20, 15b
EDP-12	<u>Special Purpose Programs.</u> Application software necessary solely to use or maintain master file or database authorized for disposal elsewhere in this manual, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database scheduled for transfer to the National Archives.	Delete when related master file or database has been deleted.	GRS 20, 10
EDP-13	<u>Documentation.</u>		
EDP-13-1	Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for disposal elsewhere in this manual.	Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output system if the output is needed to protect legal rights, whichever is latest.	GRS 20, 11a
EDP-13-2	Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analyses, as described in OMB Circular A130.	Destroy or delete when superseded or obsolete.	GRS 20, 11b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
NOTE: (1) Documentation that relates to permanent or unscheduled master files and databases is not authorized for destruction under this series. (2) See EDP-1-1 of this series for documentation relating to system testing.			
EDP-14	<u>Downloaded and Copied Data.</u> Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.		
EDP-14-1	Derived data used for ad hoc or one-time inspection, analysis, or review, if the derived data is not needed to support the results of the inspection, analysis, or review.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 12a
EDP-14-2	Derived data that provide user access in lieu of hardcopy reports that are authorized for disposal.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, 12b
EDP-14-3	Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer or server to another computer for input, updating, or transaction processing operations.	Delete from the receiving system or device when no longer needed for processing.	GRS 20, 12c
NOTE: See EDP-5 for other extracted data.			
EDP-15	<u>Electronic Mail Records.</u> Senders' and recipients' versions of e-mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been printed and filed in paper files appropriately.	Delete from the e-mail system (or electronically archive to local hard drive or floppy diskette for future personal use) after printing and filing appropriately.	GRS 20, 14

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA ITEM
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NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.)

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5-13. Equal Employment Opportunity (EEO).

This schedule covers records related to EEO complaints, compliance, and affirmative action plans.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EEO-1	<u>Official Discrimination Complaint Case Files.</u> Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within FEMA, by EEOC, or by a United States Court.	Destroy 4 years after resolution of case.	GRS 1, 25a
EEO-2	<u>Copies of Complaint Files.</u> Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.	Destroy 1 year after resolution of case.	GRS 1, 25b
EEO-3	<u>Preliminary and Background Files.</u>		
EEO-3-1	Background records not filed in the Official Discrimination Complaint Case File.	Destroy 2 years after final resolution of case.	GRS 1, 25c(1)
EEO-3-2	Records documenting complaints that do not develop into official discrimination complaint cases.	Destroy when 2 years old.	GRS 1, 25c(2)
EEO-4	<u>Compliance Records.</u>		
EEO-4-1	Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.	Destroy when 7 years old.	GRS 1, 25d(1)
EEO-4-2	EEO Compliance reports.	Destroy when 3 years old.	GRS 1, 25d(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EEO-5	<u>Employee Housing Requests</u> . Forms requesting FEMA assistance in housing matters, such as rental or purchase.	Destroy when 1 year old.	GRS 1, 25e
EEO-6	<u>Employment Statistics Files</u> . Employment statistics relating to race and sex.	Destroy when 5 years old.	GRS 1, 25f
<p>NOTE: Master files and databases created in central data processing facilities to supplement or replace the records covered by this subitem are not authorized for disposal under this item. Such files must be scheduled and approved by NARA. Contact the Records Management Branch for assistance.</p>			
EEO-7	<u>EEO General Files</u> . General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and FEMA EEO Committee meeting records including minutes and reports.	Destroy when 3 years old or when superseded or obsolete, whichever is applicable.	GRS 1, 25g
EEO-8	<u>EEO Affirmative Action Plans (AAP)</u> .		
EEO-8-1	FEMA's copy of consolidated AAP(s).	Destroy 5 years from date of plan.	GRS 1, 25h(1)
EEO-8-2	FEMA's feeder plan to consolidated AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.	GRS 1, 25h(2)
EEO-8-3	Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years from date of report.	GRS 1, 25h(3)
EEO-8-4	FEMA's copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report.	GRS 1, 25h(4)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EEO-9	<p><u>Electronic Mail and Word Processing System Copies of Printing and Reproduction Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 1, 43a
EEO-9-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>		
EEO-9-2	<p>Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	Destroy/delete when dissemination, revision, or updating is completed.	GRS 1, 43b

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5-14. Emergency Operations and Mobilization Programs (EOM).

a. This schedule covers records relating to emergency operations and mobilization preparedness functions.

b. Emergency operations and mobilization records involved with the Continuity of Government programs are in Chapter 4-2 (COG).

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-1	<u>Emergency Action Officer (EAO) Logs.</u> Logs used for recording each event and action taken by the EAO.	Destroy when 5 years old.	N1-311-86-1 5E2
EOM-2	<u>Emergency Mobilization Preparedness Planning Document Files.</u>	Destroy when superseded or obsolete.	N1-311-86-1 5B6a
EOM-2-1	Documents on the development of plans, including background information and department/agency comments on proposed drafts.		
EOM-2-2	Final plan documents, including lists of possible emergency measures, authorities, implementing documents, lists of responsible agencies, and checklists of emergency-related actions. Arrange chronologically.	PERMANENT. Cut off at end of calendar year. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5B6b
EOM-2-3	Presidential Emergency Action Documents (PEAD). Final drafts of Presidential messages, proposed legislation proclamations, and other formal documents, including DOJ-issued cover sheets addressed to the President, to be issued in event of a Presidentially-declared national emergency. Arrange alphabetically by type of emergency.	PERMANENT. Cut off when superseded or obsolete. Transfer directly to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5B6c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-3	<u>Emergency Planning Case Files.</u> Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the FEMA permanent set of master directive files (REM-1).	Destroy 3 years after issuance of new plan or directive.	GRS 18, 27
EOM-4	<u>Emergency Planning Administrative Correspondence Files.</u> Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 18, 26
EOM-5	<u>Exercise Files.</u>		
EOM-5-1	Concept and Objectives Paper, Final Exercise Plan (EXPLAN), final pre-exercise evaluation plan, Control Staff Instructions (COSIN)/Master Scenario Events Lists, and Final Evaluation Report on each Federal preparedness exercise performed by FEMA in conjunction with State and local governments and US military services and NATO forces. Arrange chronologically and thereunder alphabetically by name of exercise.	PERMANENT. Cut off at end of calendar year. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5F11
EOM-5-2	Documentation on each FEMA exercise, including plans, evaluations, and related comments, submitted by participating agencies.		
EOM-5-2-1	Plans, with scenarios, and evaluation reports. Arrange by exercise.	PERMANENT. Transfer directly to National Archives when 30 years old.	N1-311-86-1 5E5a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-5-2-2	TTY (teletype) messages and supporting material.	Destroy when no longer needed.	N1-311-86-1 5E5b
EOM-5-3	Exercise case files which include reports, messages, memoranda, and related records pertaining to each exercise performed by FEMA.	Destroy when 10 years old EXCEPT for information that has been incorporated into an exercise file (EOM-5-1 or EOM-5-2-1).	N1-311-86-1 5F7
EOM-6	<u>Emergency Operations Test Files</u> . Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, test of communications and facilities, and report EXCLUDING consolidated and comprehensive reports.	Destroy when 3 years old.	GRS 18, 28
EOM-7	<u>Emergency Support Team/Emergency Response Team Files</u> . Documents which pertain to FEMA's internal readiness response program as outlined in FEMA Manual 8720.1, Emergency Response Team Planning.	Destroy when superseded or obsolete.	N1-311-86-1 5F6
EOM-8	<u>Personnel Roster Files</u> . Records relating to identification of personnel and other resource requirements for FEMA's civil emergency response activities and a listing of key agency emergency personnel.	Destroy when superseded or obsolete.	N1-311-86-1 5F3
EOM-9	<u>Defense Priorities System (DPS) Files</u> . Correspondence with other Federal agencies on the use of the DPS for materials and equipment, transport, and energy for national defense. Arrange alphabetically by subject.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-10	<u>Defense Production Act (DPA) Files.</u>		
EOM-10-1	Priority and Allocation Files. General correspondence with other Federal agencies and private industry officials concerning policy guidance on the application of the DPA, Title I, which includes priority and allocation authorities for national defense and related needs. Arrange alphabetically by subject.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B5
EOM-10-2	Executive Order 10480 (Administration of Defense Mobilization Program) Files. Correspondence with Federal official on the administration of the DPA and revisions of EO 10480. Arrange chronologically.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B15
EOM-10-3	Defense Material System Files. Record set of documents on DPA Title 101(a) and (b), program determinations, and quarterly requirements for materials and related policy correspondence and memoranda. Arrange chronologically.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B8
EOM-10-4	Domestic Energy Supply Maximization Files. Record set of documents on the development of the DPA Title 101(c), priorities program for energy and related policy guidance. Arrange alphabetically by subject.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B9
EOM-10-5	Industrial Capability Expansion Files. Correspondence with other Federal agencies and private industry officials on the analysis and development of DPA Title III, projects for national defense needs. Arrange alphabetically by name of project.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B10

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-10-6	Machine Tool Trigger Order Program Files. Policy guidance and correspondence with Federal agency officials and machine tool makers on the development of and participation in the DPA Title III program, including standby agreements. Arrange chronologically.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B11
EOM-10-7	Voluntary Agreement Files. Correspondence with other Federal agencies and private industry officials concerning Section 708, antitrust immunity extended to participants in such agreements found to be necessary to national defense. Arrange alphabetically by subject.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B12
EOM-10-8	Non-Industrial Facilities Files. Correspondence between US Army Corps of Engineers, FEMA headquarters, and regions on the used of non-industrial facilities (e.g., hotels, motels, and resort areas) in case of a declared national defense emergency. Arrange chronologically.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B17
EOM-10-9	Emergency Water Planning Files. Correspondence and reports between US Army Corps of Engineers, EPA, USDA, DOC, DOI, and DHUD officials and FEMA headquarters and regional office officials on emergency water planning resources essential to effective mobilization and response. Arrange chronologically.	PERMANENT. Cut off at end of fifth calendar year. Transfer directly to National Archives 20 years after cutoff.	N1-311-86-1 5B18
EOM-11	<u>National Defense Executive Reserve (NDER) Files.</u>		
EOM-11-1	NDER General Files. Working papers relating to the administration of the NDER program government-wide., including copies of correspondence, Federal Register notices, and directives.	Destroy when no longer needed.	N1-311-86-1 5F13

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-11-2	NDR Conference and Training Files. Training files of sessions, courses, conferences, teleconferences, workshops, etc., conducted by FEMA and other agencies with NDR units consisting of conference proceedings, correspondence, memoranda, evaluations, agendas, student rosters, instructors' guides, student manuals, and other materials pertaining to training for NDR participants and Federal NDR coordinators.	PERMANENT. Retire to FRC at the conclusion of conference or training session. Transfer to National Archives 20 years later.	N1-311-86-1 5F14a
EOM-11-2-1	Transcripts of proceedings, agendas, and training manuals. Arrange chronologically.	PERMANENT. Retire to FRC at the conclusion of conference or training session. Transfer to National Archives 20 years later.	N1-311-86-1 5F14a
EOM-11-2-2	Training and conference packets and other supporting materials.	Destroy when no longer needed.	N1-311-86-1 5F14b
EOM-11-3	Case files for NDR reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including qualifications statements, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDR program.	Destroy 5 years after termination from NDR program.	GRS 18, 29a
EOM-11-3-1	Case file on reservists.	Destroy 5 years after termination from NDR program.	GRS 18, 29a
EOM-11-3-2	Case files on individuals whose applications were rejected or withdrawn.	Destroy when 5 years old.	GRS 18, 29b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-12	<u>Individual Mobilization Augmentee Files.</u> Documents for directing a program of military personnel to augment FEMA and State and local governments in their emergency management programs. Included are personnel lists, DoD directives, program guidance, training requirements, and statistical information.	Destroy 1 year after reservist leaves program.	N1-311-86-1 4B22
EOM-13	<u>Integrated Emergency Management System (IEMS) Files.</u> Working papers and reports accumulated in FEMA joint activities related to IEMS.	Destroy when superseded or obsolete.	N1-311-86-1 5B4
EOM-14	<u>National Urban Search and Rescue (US&R) Response System.</u> The National US&R Response System is made up of many task forces from around the continental United States and members are trained and equipped to handle structural collapse rescue and recovery. They encompass local emergency services personnel from various states and can be deployed by FEMA to a major disaster and provide assistance with structural rescue.	(See sub-categories for disposition)	
EOM-14-1	US&R Training, to include all aspects of US&R Training.		
EOM-14-1-1	Documentation on all courses developed, including general training plans, instructor guides, and documents relating to the identification of training requirements.	Cutoff on discontinuance of specific training program. Destroy 5 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-14-1-2	Training Aids. Manuals, syllabi, textbooks, and other training aids on management and technical subjects developed by FEMA or under contract for FEMA.	Destroy when superseded.	N1-311-99-1
	Word Processing Files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	
EOM-14-1-3	Register of individuals trained and certified for a particular training program with notation(s) of students used for specific disaster operations.	Cutoff on termination of particular training program. Destroy 5 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	
EOM-14-2	US&R Task Forces Solicitation Process		
EOM-14-2-1	Accepted and rostered Task Forces.	Cutoff at end of fiscal year in which Task Force is accepted. Retire to FRC 1 year after cutoff. Destroy 10 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-14-2-2	Declined Task Forces.	Cutoff at end of calendar year. Destroy 5 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	
EOM-14-3	Disaster and Incident Response		
EOM-14-3-1	Disaster specific daily logs, after action reports, activation and deactivation orders, alerts, incident action plans, advisories, and final reports arranged by disaster. Includes both National and International events which may also include mixed media such as photos, slides, videos, etc.	PERMANENT. Cutoff after publishing the final report. Retire to FRC 1 year after cutoff. Transfer to archives 20 years after cutoff.	N1-311-99-1
	Word processing files.	Delete 20 years after publishing final report.	
	E-mail records.	Delete 20 years after publishing final report.	
EOM-14-3-2	Reimbursement claims for US&R responses. Separated by task force and disaster.	Cutoff at end of fiscal year. Destroy 6 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-14-4	Preparedness.		
EOM-14-4-1	Annual grants to Task Forces to maintain Task Force preparedness.	Cutoff at end of fiscal year. Destroy 10 years after cutoff.	N1-311-99-1
	Word processing records.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	
EOM-14-4-2	Readiness Evaluation Reports. These reports document evaluations performed by FEMA to measure task force readiness in terms of cache supplies, training, and personnel. These reports are usually comprised of mixed media, to include videos and other documentation of task force evaluations.	Cutoff at end of each evaluation. Retire 2 years after cutoff. Destroy 20 years after cutoff.	N1-311-99-1
	Word processing files.	Delete when recordkeeping copies are filed.	
	E-mail records.	Delete when recordkeeping copies are filed.	

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
EOM-15	<u>Electronic Mail and Word Processing System Copies of EOM-3, EOM-4, and EOM-11 Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination. This description and follow-on disposition authority applies to EOM-3, EOM-4, and EOM-11 (and its subcategories) ONLY.		
EOM-15-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 18, 30a
EOM-15-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 18, 30b

5-15. Federal Insurance Administration Program (FIA).

This schedule covers records created or accumulated by the Federal Insurance Administration (FIA) under the following programs:

- a. National Flood Insurance Program (Title XIII of the Housing and Urban Development Act of 1968, as amended);
- b. Crime Insurance Program (Title VI of the Housing and Urban Development Act of 1970, as amended); and
- c. Riot Reinsurance Program (Title XII of the National Housing Act of 1968, as amended).

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-1	<u>Community Case Files.</u> Documentation supporting a community's application and participation in the Flood Insurance Program, including applications, community and State building codes, building code resolutions, community resolutions adopting FIA Appendixes A and B, community base maps, maps identifying areas subject to flooding, copies of studies or reports prepared by a Federal agency, summaries of a community's flood history, lists of incorporated communities, flood hazard maps, flood elevation determination maps, and correspondence between community and FIA officials relating to compliance with requirements specified under the National Flood Insurance Act of 1968.	(See subcategories)	
FIA-1-1			
FIA-1-1-1	Case Files Closed Before 1979. Silver master and one diazo copy of microfiche. Arrange alphabetically by State and thereunder alphabetically by name of community.	PERMANENT. After microfiche has been verified, retire to FRC in 1990. Transfer to National Archives in 2000.	N1-311-86-1 2A1a(1)
FIA-1-1-2	Textual records.	Destroy after verification that microfiche is adequate substitute for original record. If no microfiche available, retire textual records to FRC in 1990. Transfer to National Archives in 2000.	N1-311-86-1 2A1a(2)
FIA-1-1-3	Reference copies of microfiche.	Retain one diazo copy in agency for ongoing litigation. Destroy after litigation is resolved.	N1-311-86-1 2A1a(3)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-1-2	Case Files Closed After 1978.		
FIA-1-2-1	Record copy of final report, and any subsequent revisions, on flood hazards maintained by headquarters or regional offices. Arrange alphabetically name of State and thereunder alphabetically by name of community.	PERMANENT. Retire to FRC when report is 3 years old. Transfer to National Archives in 5-year blocks when report is 20 years old.	N1-311-86-1 2A1b(1)
FIA-1-2-2	All hardcopy case file records maintained by regional offices, including final reports and any subsequent revisions, maps, correspondence between FIA and State and local officials, checklists, reference copies of flood hazard reports and revisions and reports and drafts on a community's request for FEMA-sponsored study on potential flood hazards. Arrange alphabetically by name of State and thereunder alphabetically by name of community.	Retire to FRC when case file is 3 years old. Destroy 100 years after retirement date.	PENDING FROM NARA
FIA-1-2-3	Word Processing and Electronic Mail records.	Destroy/delete within 180 days after recordkeeping copy has been produced.	PENDING FROM NARA
NOTE: Electronic document imaging of these records has been approved only when used for office reference copy only. Therefore, imaged records may not be manipulated electronically after being imaged. The hardcopy records serve as the official record copy and the image must not deviate from the originals.			

FIA-2 Appeals Files. There are three types of appeals files maintained by FIA headquarters: appeals on proposed elevation determinations, from communities for which detailed engineering data have previously been made available, and from owners or lessees of property who believe their property has been inadvertently included in a special flood hazard area on the official FIA map.

(See sub-categories FIA-2-1, FIA-2-2, and FIA-2-3 for disposition instructions.)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-2-1	Appeals from Proposed Flood Elevation Determinations (44 CFR 65). The Flood Elevation Determination Docket (FEDD) file contains information pertaining to appeals from proposed flood elevation determinations. The docket files contain information on 11 subjects specified in 44 CFR 67.3. The subjects generally include appeals documents from private citizens and community officials, documentation of FEMA actions to determine flood elevation levels, and a copy of the final determination with supporting data.	Cut off file after appealed map becomes effective. Retire to FRC 2 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 2A2a
FIA-2-2	Appeals From Communities for which Engineering Data Have Previously Been Made Available (44 CFR 65). Data specified in 44 CFR 65.5 which include technical or scientific information submitted by the community's chief executive officer indicating that the base flood elevations (BFE's) do not accurately reflect accurate flood risks within the community.	Cut off file after appeal is resolved or after map revision becomes effective, whichever is later. Retire to FRC 2 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 2A2b
FIA-2-3	Appeals from Owners or Lessees of Property Who Believe Their Property has been Inadvertently Included in a Special Flood Area (44 CFR 70). Data specified in 44 CFR 70.3 which include, at a minimum, a copy of the official record plat map, topographic maps, the location of property on the Flood Insurance Rate Map, and a certification by a registered engineer or land surveyor of both the structure type and the lowest floor elevation (including basement).	Cut off file 2 years after appeal is resolved or after map revisions become effective. Retire to FRC 2 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 2A2c
FIA-3	<u>Flood Hazard Maps</u> . Preliminary flood maps covering a specific community, with flood-prone areas with a community depicted by shaded areas, which serve FEMA and the community for entrance into the emergency flood program.	Destroy 5 years after issuance of flood elevation determination (or insurance rate) map.	N1-311-86-1 2A3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-4	<u>Flood Elevation Determination Maps.</u> The size of a Flood Insurance Rate Map is 18x12 inches plus A-E size. The maps are the final products of flood insurance studies conducted by FEMA. Elevations of the land involved are shown and flood-prone areas within the community are shaded or in color.	PERMANENT. Cut off when superseded. Transfer directly to National Archives 5 years after cutoff.	N1-311-86-1 2A4
FIA-5 Thru FIA-10	These categories are withdrawn. Reserved for future use.		N1-311-98-1
FIA-11	<u>State Files.</u> Correspondence from insurance commissioners, mayors, governors, and other State and local government officials regarding a State's need for the Federal Crime Insurance Program. Arrange alphabetically by State.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 2A11
FIA-12	<u>Claim Files.</u> All documents and photographs necessary to substantiate a claim for flood loss. These files also contain the reports of the adjusters and examiners as well as the adjuster's and other expense reports and claims payments and records of all bills paid by the National Flood Insurance Administration (NFIA). NFIA acted as a private industry partner with the FIA until 1978 in providing flood insurance related services. NFIA was subsequently replaced in 1978 by the National Flood Insurance Program, a private contractor which now processes claims documents as described above.		
FIA-12-1	Closed NFIA claim files, 1976-77.		
FIA-12-1-1	Textual records EXCEPT those on claims pertaining to Louisiana.	Destroy after verification that microfiche copies are adequate substitutes for original documents.	N1-311-86-1 2A12a(1)(a)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-12-1-2	Textual records on claims pertaining to Louisiana.	After verification that microfiche copies are adequate substitutes for original documents, destroy when no longer needed for legal purposes.	N1-311-86-1 2A12a(1)(b)
FIA-12-1-3	Microfiche.	Destroy film or salvage silver content after alerting Administrator prior to action.	N1-311-86-1 2A12a(1)(c)
FIA-12-2	Closed NFIA claim files. Files generated by the contractor to the National Flood Insurance Program and maintained in paper form.	Cutoff upon payment or denial of claim. Destroy 6 years and 3 months after cutoff.	N1-311-86-1 2A12a(2)
FIA-12-3	Crime Insurance Program Files. All documents and photographs necessary to substantiate a claim for losses due to burglary or robbery, reports of adjusters, and adjusters' bills paid by the program.	Cut off upon close of case. Destroy 6 years and 3 months after cutoff.	N1-311-86-1 2A12(2)(b)
FIA-13	<u>Policy Files.</u> All documents created on a flood insurance policy. The application describes the location of the property, the building, the contents, and the amount of the premium. Other documents include renewals, endorsements, cancellations, and correspondence. Policies generated under NFIA were maintained by a number of servicing companies under varying file systems. Policy files generated under contract for the National Flood Insurance Program are maintained at one contractor's facility.	Destroy files with pending litigation after review by General Counsel.	N1-311-86-1 2A13a(1)
FIA-13-1	National Flood Insurance Servicing Company Files, 1975-77. Assorted files generated by servicing companies to NFIA.	Destroy files with pending litigation after review by General Counsel.	N1-311-86-1 2A13a(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
FIA-13-2	National flood insurance files. Files generated in processing flood insurance policies under the continuing National Flood Insurance Program.	Cutoff when file becomes inactive. Destroy 5 years after cutoff.	N1-311-86-1 1A13a(2)
FIA-13-3	Crime Insurance Program Files. All documents necessary for continuation and closure of a crime insurance policy. Documents include declaration pages, renewal bills, cancellation, and correspondence.		
FIA-13-3-1	Files on policies which are currently subject to litigation or inspector general investigation issued prior to June 1, 1978.	Destroy upon close of litigation or investigation.	N1-311-86-1 2A13b(1)(a)
FIA-13-3-2	Files on all other policies issued prior to June 1, 1978.	Destroy immediately.	N1-311-86-1 2A13b(1)(b)
FIA-13-3-3	Files on policies issued on or after June 1, 1978.	Destroy 5 years after policy is issued.	N1-311-86-1 2A13b(2)

5-16. Informational Services Records (INF).

a. This schedule covers records pertaining to informational services performed by FEMA staff in their day-to-day affairs and relations with the public including records created in administering Freedom of Information Act (FOIA) and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in FEMA.

b. These records consist of inquiries, replies, and related correspondence; in the case of FOIA and Privacy Act files, appeals, and other records; and material for formal information releases. Closely related records such as records related to budget presentation, printing, duplicating, and distribution are covered by other schedules in this manual.

c. All records described in this series are authorized for disposal in both hardcopy and electronic forms.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-1	<u>Information Request Files.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research; and requests for, and transmittals of, publications, photographs, and other informational literature.	Destroy when 3 months old.	GRS 14, 1
INF-2	<u>Acknowledgment Files.</u> Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgment and referral.	GRS 14, 2
INF-3	<u>Press Service Files.</u> Press service teletype news and similar materials.	Destroy when 3 months old.	GRS 14, 3
INF-4	<u>Information Project Files.</u> Informational service project case files maintained in the Office of Public and Inter-governmental Affairs, and the office of each Regional Director, and other formally designated information offices.	Destroy 1 year after close of file or 1 year after completion of project.	GRS 14, 4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-5	<u>Commendation/Complaint Correspondence Files.</u> Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those the basis of which investigations were made, or administrative action taken, and those incorporated into individual personnel records.	Destroy when 3 months old.	GRS 14, 5
INF-6	<u>Indexes and Checklists.</u> Bibliographies, checklists, and indexes of FEMA publications and releases EXCLUDING those related to record sets scheduled as permanent.	Destroy when superseded or obsolete.	GRS 14, 6
INF-7	<u>Public Information Material (PIMR) Board Files.</u> Correspondence, memoranda, reports and analyses pertaining to the distribution of FEMA publications to the public.	Cut off at end of calendar year. Destroy 5 years after cutoff.	N1-311-86-1 1A2
<i>FREEDOM OF INFORMATION ACT RECORDS</i>			
INF-8	<u>Freedom of Information Act (FOIA) Request Files.</u> Files created in response to requests for information under the FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested record, or copy thereof.	(For disposition instructions, see sub-categories.)	
INF-8-1	Official file copy of requested records.	Dispose in accordance with approved disposition instructions for the related records, or with the related FOIA request, whichever is later.	GRS 14, 11b
INF-8-2	Documents granting access to all the requested records.	Destroy 2 years after date of reply.	GRS 14, 11a(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-8-3	Responding to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay FEMA reproduction fees.		
INF-8-3-1	Request not appealed.	Destroy 2 years after date of reply.	GRS 14, 11a(2)(a)
INF-8-3-2	Request appealed.	Destroy as authorized under INF-9.	GRS 14, 11a(2)(b)
INF-8-4	Denying access to all or part of the records requested.		
INF-8-4-1	Request not appealed.	Destroy 6 years after date of reply.	GRS 14, 11a(3)(a)
INF-8-4-2	Request appealed.	Destroy as authorized under INF-9.	GRS 14, 11a(3)(b)
INF-9	<u>FOIA Appeal Files.</u> Files created in responding to administrative appeals under the FOIA for release of information denied by FEMA, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal of copy thereof.		
INF-9-1	Correspondence and supporting documents EXCLUDING the file copy of the records under appeal, if filed herein.	Destroy 6 years after final determination by FEMA, or 3 years after final adjudication by courts, or 6 years after the time at which a requester could file suit, whichever is later.	GRS 14, 12a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-9-2	Official file copy of records under appeal.	Dispose in accordance with approved agency disposition instructions for the related record, or with the related FOIA request, whichever is later.	GRS 14, 12b
INF-10	<u>FOIA Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, purpose of request, and name and address of requester.		
INF-10-1	Registers of listings.	Destroy 6 years after date of last entry.	GRS 14, 13a
INF-10-2	Other files.	Destroy 6 years after final action by FEMA or final adjudication by courts, whichever is later.	GRS 14, 13b
INF-11	<u>FOIA Request Files.</u> Recurring reports and one-time information requirements relating to FEMA's implementation of the FOIA.	(For disposition instructions, see sub-categories INF-11-1 and INF-11-2.)	
INF-11-1	Agency annual reports to Congress, relating to implementation of the FOIA.	PERMANENT. Cut off at end of fiscal year. Retire to FRC 2 years after cut off. Transfer to NARA in 5-year blocks when oldest records are 20 years old.	N1-311-92-5 1
INF-11-2	Other recurring reports and one-time information requirements relating to FEMA implementation of the FOIA, EXCLUDING annual reports to the Congress at the departmental or agency level.	Destroy when 2 years old.	GRS 14, 14

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-12	<u>FOIA Administrative Files.</u> Records relating to FEMA's general implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old.	GRS 14, 15
<i>PRIVACY ACT RECORDS</i>			
INF-13	<u>Privacy Act Request Files.</u> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 USC 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.	(For disposition instructions, see sub-categories.)	
INF-13-1	Official file copy of requested records.	Dispose of in accordance with approved disposition instructions for the related records, or with the related Privacy Act request, whichever is later.	GRS 14, 21b
INF-13-2	Documentation granting access to all the requested records.	Destroy 2 years after date of reply.	GRS 14, 21a(1)
INF-13-3	Responding to requests for nonexistent records, to requesters who provide inadequate descriptions, and to those who fail to pay FEMA's reproduction fees.		
INF-13-3-1	Requests <u>not</u> appealed.	Destroy 2 years after date of reply.	GRS 14, 21a(2)(a)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-13-3-2	Requests appealed.	Destroy as authorized under INF-14.	GRS 14, 21a(2)(b)
INF-13-4	Denying access to all or part of the records requested.		
INF-13-4-1	Requests <u>not</u> appealed.	Destroy 5 years after date of reply.	GRS 14, 21a(3)(a)
INF-13-4-2	Requests appealed.	Destroy as authorized under INF-14.	GRS 14, 21a(3)(b)
INF-14	<u>Privacy Act Amendment Case Files.</u> Files relating to an individual's request to amend a record pertaining to that individual as provided under 5 USC 552a(d)(2); to the individual's request for a review of FEMA's refusal of the individual's request to amend a record as provided under 5 USC 552a(d)(3); and to any civil action brought by the individual against FEMA as provided under 5 USC 552a(g).		
INF-14-1	Requests to amend agreed to by FEMA. Includes individual's requests to amend and/or review refusal to amend, copies of FEMA's replies thereto, and related material.	Dispose of in accordance with the approved disposition instructions for the related subject, individual's record, or 4 years after FEMA's agreement to amend, whichever is later.	GRS 14, 22a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-14-2	Requests to amend refused by FEMA. Includes individual's requests to amend and to review, refusal to amend, copies of FEMA's replies thereto, statement of disagreement, FEMA's justification for refusal to amend a record, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by FEMA, or 3 years after final adjudication by courts, whichever is later.	GRS 14, 22b
INF-14-3	Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by FEMA to amend a record.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record, or 3 years after final adjudication by the courts, whichever is later.	GRS 14, 22c
INF-15	<u>Privacy Act Accounting of Disclosure Files.</u> Files maintained under the provisions of 5 USC 552a8 for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent, when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.	GRS 14, 23
INF-16	<u>Privacy Act Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.		
INF-16-1	Registers or listings.	Destroy 5 years after date of last entry.	GRS 14, 24a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-16-2	Other files.	Destroy 5 years after final action by FEMA or final adjudication by courts, whichever is later.	GRS 14, 24b
INF-17	<u>Privacy Act Reports Files.</u> Recurring reports and one-time information requirement relating to FEMA's implementation, including annual reports to OMB and the report on new systems at FEMA.	Destroy when 2 years old.	GRS 14 ,25
INF-18	<u>Privacy Act General Administrative Files.</u> Records relating to FEMA's implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old.	GRS 14, 26
INF-19	<u>Erroneous Release Files.</u> Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.	Follow the disposition instructions approved for the released official file copy, or destroy 6 years after the erroneous release, whichever is later.	GRS 14, 36a
INF-19-1	Files that include the official file copy of the released records.	Follow the disposition instructions approved for the released official file copy, or destroy 6 years after the erroneous release, whichever is later.	GRS 14, 36a
INF-19-2	Files that do not include the official file copy of the released records.	Destroy 6 years after the erroneous release.	GRS 14, 36b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
INF-20	<u>Information Files.</u> Complete set of formal informational releases and publications, such as press releases, press conference transcripts, and indexes thereof.	PERMANENT. Cut off at end of calendar year. Retire to FRC in 5-year blocks when 5 years old. Transfer to National Archives in 5-year blocks when 20 years old.	N1-311-90-2 1
INF-21	<u>Speeches.</u>		
INF-21-1	Official speeches given by the Director, Deputy Director, Associate Directors, Administrators, Regional Directors, or personnel acting in such capacity.	PERMANENT. Cut off at end of calendar year. Retire to FRC when 2 years old, or at the close of tenure of the staff member, whichever is sooner. Transfer to National Archives in 5-year blocks when 20 years old.	N1-311-90-2 2A
INF-21-2	Speeches not covered in INF-21-1.	Destroy when 3 years old.	N1-311-90-2 2B

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5-17. Information Processing Systems (IPS).

This schedule covers textual files relating to the study, selection, control, and maintenance of FEMA IPS and equipment.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
IPS-1	<u>Planning and Program Files.</u> Documents relating to the development of plans, policies, and procedures for FEMA information systems and programs, including master plans for FEMA information systems and programs, feasibility studies, coordinating documents, IPS review and monitoring files, approvals, disapprovals, charts, diagrams, and similar documents.	Destroy when no longer needed.	N1-311-86-1 5G1
IPS-2	<u>IPS Hardware Selection Case Files.</u> Documents relating to the planning and preparation of initial acquisition (including selection, evaluation, procurement, and installation) of IPS equipment. Records include agency requirements, vendor specifications for hardware and software, and support capabilities of vendors of complete installation of major peripheral equipment. These are selection criteria for procurements in the establishment or modification of IPS installations.	Destroy 2 years after specific configuration of equipment is discontinued.	N1-311-86-1 5G2
IPS-3	<u>Utilization and Maintenance Reporting Files.</u> Documents containing management data on the cost, resource allocation, utilization, and maintenance of information systems. These files include:		
IPS-3-1	Reports that operators complete relative to machine use or maintenance which are used for daily management of operations and are required by the office responsible for general management. These reports include Console Operations Logs, Daily Operations Logs, and related reports.	Destroy when 1 year old.	N1-311-86-1 5G3a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
IPS-3-2	Monthly summaries of cost and utilization reports, some of which may consist of magnetic tape and machine-readable listings.	Destroy when 2 years old.	N1-311-86-1 5G3b
IPS-4	<u>IPS Documentation Files.</u> Documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing standard operating procedures.	Destroy 1 year after discontinuation of system.	N1-311-86-1 5G4
IPS-5	<u>Systems Test Documentation.</u> Descriptive material including test plans and test analysis reports.	Destroy 1 year after discontinuation of system.	N1-311-86-1 5G5
IPS-6	<u>User Guides.</u> Handbooks, guides to data availability, and procedures for querying files. These files contain information which sufficiently describes the system so that users can determine its applicability.	Destroy 1 year after discontinuation of system.	N1-311-86-1 5G6
IPS-7	<u>IPS Test Files.</u> Documents relating to the testing of equipment and/or data processing methods and procedures and to the trial application of existing or proposed data processing systems. Included are requests for tests, approvals or disapprovals, test reports, and communications relating to the tests.	Destroy 3 years after discontinuation of system.	N1-311-86-1 5G7
IPS-8	<u>IPS Management Reporting Files.</u>		
IPS-8-1	Documents containing management data costs, equipment, staffing workload capacities, and overall effectiveness of ADP operations and documents used to evaluate rental purchase, operation, and maintenance costs. Included are reports, briefs, and related information.	Destroy when 15 years old.	N1-311-86-1 5G8a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
IPS-8-2	Feeder reports.	Destroy 2 years after summarization.	N1-311-86-1 5G8b
IPS-9	<u>System Operation Specification and Design Files.</u> Documents consisting of detailed operating procedures for the implementation of a specific data system. Included are policies, instructions, details of computer techniques, flow charts, logic tables, input/output document flow data, and similar operating instructions.	Destroy when related ADP records produced by the systems have been erased.	N1-311-86-1 5G9

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5-18. Legal and Legislative (LEG).

This schedule covers correspondence with members of Congress, material for publication in the Federal Register, docket files, litigation case files, and delegations of authority records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-1	<u>Congressional Correspondence Files.</u> Correspondence with members of Congress, chairpersons of Congressional committees, and members of their staffs relating to FEMA activities and programs.	Cut off at close of Congress. Transfer to FRC 2 years after cutoff. Destroy when 10 years old.	N1-311-86-1 1B1
LEG-2	<u>Senate and House Member Profile Files.</u> Files containing biographical information on members of the US Congress.	Destroy when no longer needed.	N1-311-86-1 1B2
LEG-3	<u>Legislative Files.</u> Copies of proposed House and Senate bills relating to FEMA operations and related correspondence.	Destroy when legislation is passed or when no longer needed.	N1-311-86-1 1B3
LEG-4	<u>Legislative History Files.</u> Correspondence and reports relating to the preparation and coordination of proposed legislation submitted to OMB and Congress.	Cut off at end of fifth calendar year. Retire to FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 5B16
LEG-5	<u>Legal Authorities Database.</u> Files consisting of the full range of legal authorities available to the US Government in emergencies and relating to the coordination of the computerization and maintenance of a retrieval system.		
LEG-5-1	Textual records.	Destroy when information is entered into database.	N1-311-86-1 5D5a
LEG-5-2	Electronic records.	Erase and reuse tape when information is no longer needed.	N1-311-86-1 5D5b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-6	<u>Proposed Defense Production Act (DPA) Legislation Files.</u> Legislative history files relating to the preparation and coordination of proposed DPA legislation by FEMA, and comments on proposed DPA amendments in Congress.	Cut off at end of fifth calendar year. Retire to FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 5B13
LEG-7	<u>DPA Congressional Hearing Files.</u> Correspondence with Congress, FEMA testimony, and briefing materials on issues in the hearings.	Cut off at end of fifth calendar year. Retire to FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-86-1 5B14
LEG-8	<u>Documents Published in the Federal Register.</u>		
LEG-8-1	Proposed and final rules and notices. Official records copies of case histories, including drafts showing development of rule or notice, clearance records, public comments, and signed documents. Final rules have the effect of law and are codified in the Code of Federal Regulations (CFR).		
LEG-8-1-1	Public Docket Files. Public comments received on proposed rules, environmental and inflationary impact findings, and signed copies of the proposed and final rules on the same form as sent to the Federal Register for publication.	Close file after the final rule becomes effective and place in inactive file. Retire to FRC 10 years after close of file. Destroy 20 years after close of file.	N1-311-86-1 1F1a(1)
LEG-8-1-2	Internal Files. Copies of proposed and final rules as sent through the internal clearance process, clearance records, internal FEMA comments on the proposed and final rules, and notes from internal FEMA meetings held to discuss the proposed or final rules.	Close file after final rule becomes effective and place in inactive file. Retire to FRC 10 years after close of file. Destroy 20 years after close of file.	N1-311-86-1 1F1a(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-8-1-3	General Notice (Docket) Files. Copies of general notices as sent through the clearance process, clearance records, internal FEMA comments on general notices, and signed copies of general notices on the same form as sent to the Federal Register for publication, including notices of delegation of authority.	Close file after notice is published in Federal Register and place in inactive file. Retire to FRC 3 years after close of file. Destroy 10 years after close of file.	N1-311-86-1 1F1a(3)
LEG-8-2	Working papers and background material not incorporated in case history files described in LEG-8-1 above.	Destroy 6 months after final regulation or notice is published in Federal Register.	N1-311-86-1 1F1b
LEG-8-3	Extra copies of the clearance package for the regulation or notice which are distributed for concurrent clearance point for preparation of a consolidated response by not including those parts of the package and responses which become part of the case history files.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.	N1-311-86-1 1F1c
LEG-8-4	Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in the Sunshine Act (5 USC 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant applications deadlines; the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the CFR.	Destroy when 1 year old.	GRS 16, 13a
LEG-8-5	Files documenting the processing of semiannual regulatory agenda.	Destroy when 2 years old.	GRS 16, 13b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-9	<u>Official Litigation Case Files.</u> Case files containing all documents and correspondence pertaining to litigation in which a FEMA official or employee is a party or friend of the court, from filing of complaint until entry of final judgment. They are arranged by subject of litigation (e.g., tort claims, flood plain management, radiological preparedness, etc.)	Close file 90 days after entry of final judgment. Destroy 10 years after close of file.	N1-311-86-1 1F2
LEG-10	<u>Administrative Appeals and Hearings Case Files.</u> Files on cases in which appeals are made and administrative hearings are held, including contract appeals from decisions in the areas of equal opportunity and those concerning the suspension or disqualification of contractors and grantees.	Close file 90 days after entry of final order or decision. Destroy 10 years after close of file.	N1-311-86-1 1F3
LEG-11	<u>Delegations of Authority.</u>		
LEG-11-1	Order of succession and functional or signing delegations. Arrange chronologically.	PERMANENT. Cut off when superseded or canceled. Retire to FRC 4 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1K11a
LEG-11-2	Temporary delegations. Designations for one to act for another on a temporary basis, such as during leave and illness.	Destroy when 1 year old.	N1-311-86-1 1K11b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-12	<u>FEMA Legislative Files.</u> Grouped by session of Congress, files on proposed legislation developed by FEMA and related correspondence and other documents, as well as reports to Congress and OMB on legislative proposals affecting FEMA, background material, drafts, reviews, minutes of meetings, and position papers.	Cut off file at close of Congress in which legislation is enacted or dropped. Retire to FRC at close of second successive Congress. Destroy 20 years after cutoff.	N1-311-86-1 1F4a
LEG-12-1	Master files of bills of interest (but that do not directly affect FEMA-enabling legislation) kept by OGC and OCLA (file items kept by each group are unique).	Cut off file at close of Congress in which legislation is enacted or dropped. Destroy 10 years after cutoff.	N1-311-86-1 1F4b
LEG-12-2	Files kept by other FEMA offices which initiate or review FEMA's legislative proposals.	Cut off file at close of Congress in which legislation is enacted or dropped. Destroy 10 years after cutoff.	N1-311-86-1 1F4b
LEG-12-3	Master files kept in OGC and OCLA of bills and legislative procedures directly affecting FEMA-enabling legislation, as well as summary reports of this legislation prepared by FEMA.	PERMANENT. Cut off file at close of Congress in which legislation is enacted or dropped. Transfer directly to the National Archives 30 years after cutoff.	PENDING FROM NARA
NOTE: Bills enacted by Congress may not be printed until after Congress in which enacted. These bills should be filed with the Congress that voted to enact the legislation, i.e., bills enacted by 103 rd Congress are kept in 103 rd file, regardless of publishing date.			
LEG-12-4	Word Processing and e-mail files.	Delete when recordkeeping copies are filed.	PENDING FROM NARA

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-13	<u>Legal Decision, Opinion, and Interpretation Files.</u> Documents relating to legal opinions, interpretations, rulings, and advice on FEMA programs and operations to FEMA officials, officials of other Federal agencies and states, members of Congress, and the general public.	PERMANENT. Cut off at end of calendar year in which opinion is issued. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1F5a
LEG-13-1	Formal opinions of the General Counsel. Arrange chronologically.	PERMANENT. Cut off at end of calendar year in which opinion is issued. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1F5a
LEG-13-2	Background files relating to the development of legal opinions described in LEG-13-1.	Cut off at end of calendar year. Retire to FRC 5 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 1F5b
LEG-14	<u>Legal Activity Report Files.</u> Weekly reports prepared by the General Counsel on the activities of the office to keep superiors informed of OGC activities.	Destroy when 3 years old or when no longer needed for reference, whichever is later.	N1-311-86-1 1F6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-15	<u>Financial Disclosure Reports.</u> Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).		
LEG-15-1	Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the United States Senate.	Destroy 1 year after nominee ceases to be under considerations for appointment; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	GRS 1, 24a(1)
LEG-15-2	All other records including SF 278.	Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	GRS 1, 24a(2)
LEG-15-3	All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.	GRS 1, 24b

NOTE: See TRV-8 for semiannual reports to the Office of Government Ethics on non-Federally funded travel.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LEG-15-4	Electronic Mail and Word Processing System Copies of Financial Disclosure Records. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the financial disclosure records covered in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 1, 43a
LEG-15-4-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.		
LEG-15-4-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 1, 43b

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5-19. Liaison (LIA).

This schedule covers records relating to correspondence and agreements with State, local, and foreign governments.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LIA-1	<u>State and Local Government Files</u> . Routine correspondence with Error! No table of contents entries found. governors, mayors, and other State and local officials as well as private citizens relating to FEMA programs.	Destroy when no longer needed.	N1-311-86-1 1B4
LIA-2	<u>Country Files</u> . Documents accumulated in providing assistance and advice to foreign governments on matters pertaining to FEMA programs. Included are documents relating to foreign requests for technical assistance, loans of equipment, and coordination of programs for foreign visitors.	Cut off at end of calendar year. Retire to FRC 5 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 1B5
LIA-3	<u>United States-Canada Civil Emergency Planning Committee Files</u> . Documents created in planning and making arrangements for cooperative and material assistance between the United States and Canada during civil defense emergencies. Included are minutes, agendas, and reports of the United States-Canada Advisory Committee. Arrange alphabetically by subject.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1B6
LIA-4	<u>United States-Mexico Agreement Files</u> . Documents accumulated in planning and making arrangements for cooperative and mutual assistance between the United States and Mexico relating to common border regions. Arrange alphabetically by subject.	PERMANENT. Cut off at end of calendar year. Transfer directly to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 1B7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LIA-5	<u>AID Files.</u> Correspondence dealing specifically with the Agency for International Development.	Destroy when obsolete or no longer needed.	N1-311-86-1 1B8
LIA-6	<u>Dignitary Visitor Files.</u> Correspondence and itineraries concerning visits by dignitaries, such as: city, State, municipal, and foreign government officials.	Destroy when 5 years old.	N1-311-91-2
LIA-7	<u>FEMA Preservation Officer Files.</u> Files of historical and art preservation as it relates to disaster mitigation and recovery.	(See sub-categories for disposition)	
LIA-7-1	Policy Files. Documents on the formulation, preparation, issuance, and interpretation of FEMA preservation policies, as created or received by the Federal Preservation Officer. Included are decision and point papers, correspondence, action plans, regulatory instructions, background materials, etc. Files are arranged chronologically.	PERMANENT. Cut off at the end of the fiscal year in which policy was issued. Retire to the FRC when 3 years old. Transfer to the National Archives in 5-year blocks when oldest materials are 20 years old.	N1-311-95-3
LIA-7-2	Agreement Files. Files containing agreements between FEMA and other government and private entities relating to the provision of Federal financial and technical assistance in response to disasters.	(See sub-categories for disposition)	
LIA-7-2-1	Nationwide Programmatic Agreements. Agreements signed between FEMA and other Federal, state, and local entities whereby FEMA agrees to provide broad financial and technical assistance in the event of a disaster. These agreements are arranged by state or region.	PERMANENT. Cut off at end of fiscal year in which agreement is superseded or closed out. Retire to FRC 1 year after cutoff. Transfer to the National Archives 20 years after cutoff.	N1-311-95-3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LIA-7-2-2	Preservation Memorandums of Agreement. Agreements signed between FEMA and other Federal, state, local, and private entities whereby FEMA agrees to provide specific financial and technical assistance to specific buildings and sites which have been damaged in disasters. These agreements are arranged by FEMA Disaster Number.	PERMANENT. Cut off at end of fiscal year in which agreement is superseded or closed out. Retire to FRC 1 year after cutoff. Transfer to the National Archives 20 years after cutoff.	N1-311-95-3
LIA-7-3	Historic Preservation Initiative Files. Case files on specific sites and buildings to determine whether a specific site has value and how it should be preserved. Files contain copies of reports, draft reports, memoranda, correspondence, photographs, cost estimates, etc.	Cut off at the end of the fiscal year in which initiative is assessed for Preservation Memorandum of Agreement or deemed as inappropriate. Retire to the FRC 2 years after cutoff. Destroy when 20 years old.	N1-311-95-3
LIA-8	<u>Performance Partnership Agreements (PPAs)</u> . Signed agreements between the President of the United States and U.S. State Governors or their designated representatives. The PPAs provide increased flexibility (consolidated funding streams, elimination of micro-management, reduction of wasteful paperwork) on how a program is run in exchange for increased accountability (outcomes/outputs basic measure of success, creation of funding and other incentives as a result of performance with results) for increased accountability for results.	(See sub-categories for disposition)	
LIA-8-1	Master copies of PPAs. Original signed copies of FEMA PPAs between U.S. President and State Governors, or their designated representatives. Arrange alphabetically by State. No records in electronic mail or word processing forms are created for this category.	PERMANENT. Cut off at termination date of PPA. Retire to the FRC 2 years after cutoff. Transfer to the National Archives when 20 years old.	N1-311-99-4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LIA-8-2	PPA Correspondence Files. Correspondence and/or other administrative records relating to the development and establishment of the PPA process, its policies and basic procedures, and management and evaluation of the PPA process maintained at headquarters.	Cut off at end of fiscal year. Retire to FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-99-4
	Word processing records.	Delete when recordkeeping copies are filed.	N1-311-99-4
	E-mail records.	Delete when recordkeeping copies are filed.	N1-311-99-4
LIA-9	<u>Cooperative Agreements (CA)</u> . FEMA negotiates a CA with States to provide Federal assistance--funding and technical assistance--to each State, or activities that contribute to the accomplishment of State objectives identified in the PPA. The CA provides the milestones by which FEMA and the States chart progress toward achieving partnership objectives. All State CAs are awarded and administered through FEMA Regional Offices.	(See sub-categories for disposition)	
LIA-9-1	Master Copies of CAs. Arrange alphabetically by state. No records in electronic mail form are created for this category.	PERMANENT. Cut off when CA is superseded. Retire to FRC 3 years after cutoff. Transfer to National Archives 20 years after cutoff.	N1-311-99-4
	Word Processing files.	Delete when recordkeeping copies are filed.	N1-311-99-4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
LIA-9-2	CA Correspondence Files. Correspondence and/or subject files including memoranda, studies, reports, and other records relating to the development and establishment of the CA process, and basic procedures, and management and evaluation.	Cut off at the end of the fiscal year. Retire to FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-99-4
	Word processing records.	Delete when recordkeeping copies are filed.	N1-311-99-4
	E-mail records.	Delete when no longer needed for reference.	N1-311-99-4
LIA-9-3	CA Financial Records. Financial records, supporting documentation, statistical records, related general correspondence, and all financial reports.	Destroy 6 years and 3 months after date of final settlement or submission of final financial status report, whichever is applicable.	N1-311-99-4
	Word processing records.	Delete when recordkeeping copies are filed.	N1-311-99-4
	E-mail records.	Delete when recordkeeping copies are filed.	N1-311-99-4

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5-20. Natural and Technological Hazards (NTH).

This schedule covers records pertaining to natural and technological hazards not covered (with the exception of the Hurricane Awareness Program) under the Disaster Relief Act of 1974. The National Earthquake Hazards Reduction Program is authorized under Public Law 95-124. Other areas of concern include, but are not limited to, the Dam Safety Program (Executive Order 12148), the Radiological Emergency Preparedness Program, and the Hurricane Vulnerability Program.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-1	<u>Radiological Emergency Preparedness (REP) Files.</u>		
NTH-1-1	Policy Files. Documents generated on policies for developing, implementing, and evaluating Federal State, and local government REP programs. The policies are developed in the form of guidance memoranda (see REM-1) and primarily address accident at commercial power plants.	Destroy when policies reflected in GM's are no longer effective or when the contents of GM's are subsumed in another GM.	N1-311-86-1 4A1a
NTH-1-2	Docket Files (Headquarters). Documents generated in carrying out FEMA's responsibilities for off-site nuclear power plant planning and preparedness under 44 CFR 350, including correspondence with governors, NRC, and other Federal officials; certification of findings; interim findings; status reports to NRC; and Exercise and Interim Reports on Off-site Radiological Emergency Response Plans and Preparedness. Arrange alphabetically by name of power plant.	PERMANENT. Cutoff at end of fiscal year. Retain current fiscal year and last 4 years in the HQ office. Retire records, separated by facility, 5 years after cutoff, to the Washington National Records Center. Transfer to the National Archives 20 years after the expected date for completion of decommissioning procedures.	N1-311-97-1 1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-1-3	Docket Files (Regional). Documents generated at the regional level in carrying out FEMA's responsibilities for off-site nuclear power plant planning and preparedness under 44 CFR 350. Records include plans and exercise reviews and evaluations; correspondence with FEMA headquarters, Federal regional offices of other agencies such as the NRC, and State and local government plans. Arrange alphabetically by name of power plant.	Cutoff at end of fiscal year. Retain current fiscal year and last 4 years in the Regional Office. Retire records, separated by facility, 5 years after cutoff, to the appropriate regional Federal Records Center. Destruction date is 20 years after expected date for completion of decommissioning procedures.	N1-311-97-1 2

NOTE: Regional offices should ensure that copies of the following types of material are included in the HQ (Permanent) files:

- Files that result in judicial decisions or legislation that affect the functions and activities of NRC and/or FEMA, e.g., Enrico Fermi No. 1 (Power Reactor Demonstration Co. Reactor);
- Files that result in significant changes in regulatory activities and procedures, e.g., Brown's Ferry; or,
- Files that were the subject of Congressional investigation or were of great public interest, e.g., TMI.

NTH-2	<u>Integrated Emergency Management Information System (IEMIS) Files.</u> IEMIS is a comprehensive electronic database containing emergency planning, exercise, and response tracking data for the resolution of deficiencies identified in emergency preparedness plans for the REP program. The database consists of 1:2,000,000 scale map of the United States upon which is entered information on roads, buildings, and other structures that influence the design of evacuation plans.	Delete data when no longer needed.	N1-311-86-1 4A2
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NOTE: The database is used to experiment with various evacuation scenarios, the final plans for which are filed in the REP docket files.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-3	<u>Dam Safety Program Files.</u>		
NTH-3-1	Program Development Files. Correspondence, reports, working files, studies, evacuation plans, and other staff-generated documents on the Dam Safety Program.	Destroy when no longer needed.	N1-311-86-1 4A3a
NTH-3-2	Interagency Committee on Dam Safety (ICODS) Files. ICODS is an interagency committee consisting of representatives of the Departments of the Army and Energy, NRC, Tennessee Valley Authority, Mine Safety and Health Administration, FEMA, and Army Corps of Engineers and chaired by the FEMA representative.		
NTH-3-2-1	Verbatim transcripts and abstracts of special and quarterly meetings of ICODS and its subcommittees. Arrange chronologically.	PERMANENT. Transfer directly to National Archives when 20 years old.	N1-311-86-1 4A3b(1)
NTH-3-2-2	ICODS working papers.	Destroy when no longer needed.	N1-311-86-1 4A3b(2)
NTH-3-3	National Inventory of Dams.		
NTH-3-3-1	A central electronic database of Federal and non-Federal dams which includes data regarding ownership, characteristics, conditions and hazard classification used to facilitate supervision of dam safety programs.	PERMANENT. Annually, create a new database from inputs received. Transfer prior year database with complete system documentation to the National Archives.	N1-311-92-8 1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-3-3-2	Input records which include National Inventory of Dams Transmittal Files.	Delete or return to sender when data has been entered into the database and verified, or when no longer needed to support reconstruction of, or serve as back-up to, the database, whichever is later.	N1-311-92-8 2
NTH-4	<u>National Earthquake Hazards Reduction Program Files.</u>		
NTH-4-1	Correspondence on vulnerability assessments, working files, drafts, standards, studies, work plans, and reports to Congress.	Destroy when no longer needed.	N1-311-86-1 4A4a
NTH-4-2	Verbatim transcripts and abstracts of quarterly meetings of the Interagency Coordinating Committee of the National Earthquake Hazards Reduction Program and its subcommittees. This committee consists of representatives from the US Geological Survey, National Science Foundation, and National Institute of Standards and Technology and is chaired by the FEMA representative. Arrange chronologically.	PERMANENT. Transfer directly to National Archives when 20 years old.	N1-311-86-1 4A4b
NTH-5	<u>Hurricane Vulnerability Program Files.</u>		
NTH-5-1	Correspondence documenting program development, State projects, and evacuation plans.	Destroy when no longer needed.	N1-311-86-1 4A5a
NTH-5-2	Verbatim transcripts and abstracts of quarterly meetings of the Interagency Coordinating Committee on Hurricanes and its subcommittees. Arrange chronologically.	PERMANENT. Transfer directly to National Archives when 20 years old.	N1-311-86-1 4A5b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-6	<p><u>Chemical Stockpile Emergency Preparedness Program (CSEPP)</u>. The CSEPP involves planning to augment existing emergency preparedness capabilities for impacted State and local communities. This program is administered through the Cooperative Agreement (CA) program (see LIA-9).</p>	(see subcategories for disposition)	
NTH-6-1	CSEPP Exercises.		
NTH-6-1-1	<p>Final Exercises and Plans, to include the final pre-exercise evaluation plan, Control Staff instructions, Master Scenario Events Lists, Implementers, and other ancillary materials for conducting the exercise, and the Final Evaluation Report on each CSEPP exercise performed by FEMA in conjunction with Department of the Army and State and local governments. Arranged by exercise.</p>		
	Hardcopy records.	<p>PERMANENT. Cutoff after publishing of final report. Retire to the FRC 6 months after cutoff. Transfer to the National Archives 20 years after cutoff.</p>	N1-311-99-2 1a(1)
	Word processing and e-mail records.	Delete when recordkeeping copies are filed.	N1-311-99-2 1a(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NTH-6-1-2	Notes and material produced and collected while conducting the exercises that is used as background for the final report.	Cutoff after publishing of final report. Destroy when 2 years old, or when no longer needed, whichever is sooner.	N1-311-99-2 1b(1)
	Hardcopy records.		
NTH-6-2	CSEPP Correspondence. Correspondence with other Federal, State, and local officials.	Destroy when recordkeeping copies are filed.	N1-311-99-2 1b(2)
	Word Processing and E-mail records.		
	Hardcopy records.		
NTH-6-2	CSEPP Correspondence. Correspondence with other Federal, State, and local officials.	Cutoff at end of the fiscal year. Retire to the FRC 5 years after cutoff. Destroy 20 years after cutoff.	N1-311-99-2 2a
	Word processing records.		
	E-mail records.		
NTH-6-2	CSEPP Correspondence. Correspondence with other Federal, State, and local officials.	Cutoff at end of fiscal year. Delete 20 years after cutoff.	N1-311-99-2 2b
	Word processing records.		
	E-mail records.		
NTH-6-2	CSEPP Correspondence. Correspondence with other Federal, State, and local officials.	Cutoff at end of fiscal year. Maintain electronic copy of any substantive e-mail message in ASCII format. Delete 20 years after cutoff.	N1-311-99-2 2c
	Word processing records.		
	E-mail records.		

NOTE: CSEPP financial records are kept with the Cooperative Agreement (CA) files under which the funding is administered (LIA-9). CSEPP training records are kept under TNG-1-1 of this manual.

5-21. Organization, Planning, and Management (OPM).

This schedule covers workforce management studies, evaluation background files, FTE staff year allocations and usage, and organization management analyses files.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
OPM-1	<u>Evaluation Background Files.</u> Correspondence, working papers, and reference files pertaining to the evaluation of FEMA staff position papers preparatory to submission of final product. Records copy of final product is maintained by the originating program office.	Destroy when final product is approved.	N1-311-86-1 1A1
OPM-2	<u>Organization Change Logs.</u> Logs listing detailed information regarding the status of organization change actions in the current fiscal year.	Destroy when superseded or obsolete.	N1-311-86-1 1E1
OPM-3	<u>Organizational Change History.</u> Chronological summaries of FEMA organizational changes from June 1981 to date.	Destroy when superseded or obsolete.	N1-311-86-1 1E2
OPM-4	<u>On-Board Employee Count by Budget Activity and Program.</u> Summaries of on-board count of all FTE's by program for the most recent 5- month period.	Destroy when superseded or obsolete.	N1-311-86-1 1E3
OPM-5	<u>Program Strength Reports.</u> Detailed on-board count of all FTE's sorted by program code.	Destroy when superseded or obsolete.	N1-311-86-1 1E4
OPM-6	<u>Organizational Strength Reports.</u> Detailed on-board count of all FTE's, sorted by organization code.	Destroy when superseded or obsolete.	N1-311-86-1 1E5

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
OPM-7	<u>Reports on On-Board Strength of Full-time Employees.</u> Summaries of on-board count of all FTE's by major organization.		
OPM-7-1	End-of-year reports.	Destroy when superseded or obsolete.	N1-311-86-1 1E6a
OPM-7-2	All other reports.	Destroy when superseded or obsolete.	N1-311-86-1 1E6b
OPM-8	<u>Duty Stations Strength Reports.</u> Summaries of on-board count of all FTE's by duty station.	Destroy when superseded or obsolete.	N1-311-86-1 1E7
OPM-9	<u>FEMA Organization Titles and Codes.</u> Listing of authorized combinations of FEMA organization titles, codes, and fixed account numbers.	Destroy when superseded or obsolete.	N1-311-86-1 1E8
OPM-10	<u>Full-Time Equivalent (FTE) Usage Summary Reports.</u> Summaries of FTE usage by major organization.	Destroy when superseded or obsolete.	N1-311-86-1 1E9
OPM-11	<u>Full-Time Equivalent Hours Report.</u> Summaries of FTE hours by employee and organization.	Destroy when superseded or obsolete.	N1-311-86-1 1E10
OPM-12	<u>FEMA Program Usage Reports.</u> Summaries of FTE hours by budget program.	Destroy when superseded or obsolete.	N1-311-86-1 1E11
OPM-13	<u>Integrated Staff-Year Information System (ISIS) Reporting System Reports.</u> Summaries of agency FTE usage and projection by major organization budget activity and program. There are nine different reports detailing various parameters.	Destroy when superseded or obsolete.	N1-311-86-1 1E12

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
OPM-14	<u>Average Grade Reports.</u> Listing of average grade and grade distribution by major FEMA unit.	Destroy when superseded or obsolete.	N1-311-86-1 1E13
OPM-15	<u>FEMA Personnel Loss Reports.</u> Summaries of agency personnel losses.	Destroy when superseded or obsolete.	N1-311-86-1 1E14
OPM-16	<u>Impending Scheduled Loss Reports.</u> Lists of scheduled personnel losses.	Destroy when superseded or obsolete.	N1-311-86-1 1E15
OPM-17	<u>Organization/Staffing Profiles.</u> Reports with and without SSN, on FTE data to lowest organizational level.	Destroy when superseded or obsolete.	N1-311-86-1 1E16
OPM-18	<u>Administration Transition Files.</u> Materials prepared by the departing administration to prepare the incoming staff about FEMA organization and functions, issues, and priorities. Arranged by transition.	PERMANENT. Retire final transition books/papers to the FRC 2 years after transition. Transfer to the National Archives 20 years after the transition. Routine and mundane items will be destroyed by the National Archives during archival processing.	N1-311-95-2 1

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5-22. Personnel and Payroll (PER).

This schedule covers the following:

- a. Official personnel folders of civilian employees and other records relating to civilian personnel, wherever located in FEMA;
- b. Personnel files of the FEMA Advisory Board; and
- c. Payroll and leave records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-1	<u>Official Personnel Folders.</u> Records filed on the right side of the Official Personnel Folder (OPF). (See PER-12 for temporary papers on the left side of the OPF.) Folders covering employment terminated after December 31, 1920, EXCLUDING those selected by the National Archives and Records Administration for permanent retention.		
PER-1-1	Transferred employees.	See Chapter 7 of the <u>Guide to Personnel Recordkeeping</u> for instructions relating to folders of employees transferred to another agency.	GRS 1, 1a
PER-1-2	Separated employees.	Transfer folder to National Personnel Records Center (NPRC), St. Louis, Missouri, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.	GRS 1, 1b
PER-2	<u>FEMA Advisory Board Member Personnel Files.</u> Records pertaining to background of board members with information on their activities during their membership on the board.	Cut off when member leaves board. Destroy 1 year after cutoff.	N1-311-86-1 5A2b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-3	<u>Public Organization Files.</u> Documents relating to official participation by FEMA employees in public or private organizations, or dealings with such groups.	Destroy when 2 years old or when no longer needed, whichever is sooner.	N1-311-86-1 1K14
PER-4	Category no longer applicable to FEMA and therefore withdrawn December 23, 1998, GRS Transmittal 8.		GRS 1, 2b
PER-5	<u>Personnel Correspondence Files.</u> Correspondence, reports, and other records relating to the general administration and operation of personnel function, but EXCLUDING records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.	Destroy when 3 years old.	GRS 1, 3
PER-6	<u>Offers of Employment Files.</u> Correspondence, including letters and telegrams, offering appointments to potential employees.		
PER-6-1	Accepted offers.	Destroy when appointment is effective.	GRS 1, 4a
PER-6-2	Declined offers.		
PER-6-2-1	When name is received from certificate of eligibles from OPM.	Return to OPM with reply and application.	GRS 1, 4b(1)
PER-6-2-2	Temporary or excepted appointment.	File with application (see PER-17).	GRS 1, 4b(2)
PER-6-2-3	All others.	Destroy immediately.	GRS 1, 4b(3)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-7	<u>Certificate of Eligibles Files.</u> Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preferred eligible and selecting a nonpreferred eligible.	Destroy when 2 years old.	GRS 1, 5
PER-8	<u>Employee Records Cards.</u> Employee records cards used for informational purposes outside personnel offices (such as SF 7-B).	Destroy on separation or transfer of employee.	GRS 1, 6
PER-9	<u>Position Classification Files.</u>		
PER-9-1	Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within FEMA.	Destroy when superseded or obsolete.	GRS 1, 7a(1)
PER-9-2	Correspondence and other records relating to the development of standards for classification of positions peculiar to FEMA and OPM approval or disapproval.		
PER-9-2-1	Case files.	Destroy 5 years after position is abolished or description is superseded.	GRS 1, 7a(2)(a)
PER-9-2-2	Review files.	Destroy when 2 years old.	GRS 1, 7a(2)(b)
PER-9-3	Position Descriptions. Record copy of position descriptions which include information on title, series, grade, duties, and responsibilities, and related documents.	Destroy 2 years after position is abolished or description superseded.	GRS 1, 7b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-9-4	Survey files.		
PER-9-4-1	Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.	GRS 1, 7c(1)
PER-9-4-2	Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.	Destroy when superseded or obsolete.	GRS 1, 7c(2)
PER-9-5	Appeals files.		
PER-9-5-1	Case files relating to classification appeals, EXCLUDING OPM classification certificate.	Destroy 3 years after case is closed.	GRS 1, 7d(1)
PER-9-5-2	Certificates of classification issued by OPM.	Destroy after affected position is abolished or superseded.	GRS 1, 7d(2)
PER-10	<u>Interview Records.</u> Correspondence, reports, and other records relating to interviews with employees.	Destroy 6 months after transfer or separation or employee.	GRS 1, 8
PER-11	<u>Performance Rating Board Case Files.</u> Copies of case files forwarded to OPM relating to performance rating board reviews.	Destroy 1 year after case is closed.	GRS 1, 9

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-12	<u>Temporary Individual Employee Records.</u>		
PER-12-1	All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of <u>The Guide to Personnel Recordkeeping</u> , EXCLUDING the Immigration and Naturalization Service Form I-9 and performance related records.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. See PER-25 for disposition of temporary performance-related records.	GRS 1, 10a
PER-12-2	Immigration and Naturalization Service Form I-9.	Destroy 3 years after employee separates from service or transfers to another agency.	GRS 1, 10b
PER-13	<u>Position Identification Strips.</u> Strips such as SF 7D used to provide summary data on each position occupied.	Destroy when superseded or obsolete.	GRS 1, 11
PER-14	<u>Employee Award Files.</u> General awards records, EXCLUDING those relating the agency-level awards.		
PER-14-1	Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to FEMA-sponsored case and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval.	GRS 1, 12a(1)
PER-14-2	Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.	Destroy when 2 years old.	GRS 1, 12a(2)
PER-14-3	Length of service and sick leave awards, including correspondence, reports, computations or service and sick leave, and list of awardees.	Destroy when 1 year old.	GRS 1, 12b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-14-4	Letters of commendation and appreciation recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.	Destroy when 2 years old.	GRS 1, 12c
PER-14-5	Lists or indexes to FEMA award nominations.	Destroy when superseded or obsolete.	GRS 1, 12d
PER-15	<u>Incentive Awards Program Reports.</u> Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old.	GRS 1, 13
PER-16	<u>Notifications of Personnel Actions.</u> Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, and separation, EXCLUDING the copy in the OPF.		
PER-16-1	Chronological file copies, including fact sheets, maintained in personnel offices.	Destroy when 2 years old.	GRS 1, 14a
PER-16-2	All other copies maintained in personnel offices.	Destroy when 1 year old.	GRS 1, 14b
PER-17	<u>Employment Applications.</u> Applications (including OF 612), resumes, and any other applications that FEMA may develop for unique jobs with specialized requirements, and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.	GRS 1, 15
PER-18	<u>Personnel Operations Statistical Reports.</u> Statistical reports in the Offices of Personnel and Equal Opportunity and regional/field office units relating to personnel.	Destroy when 2 years old.	GRS 1, 16

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-19	<u>Correspondence and Form Files.</u> Personnel and Equal Opportunity Office records relating to individual employees not maintained in OPF's or provided for elsewhere in this schedule.	Destroy when action is completed.	GRS 1, 17a
PER-19-1	Correspondence and forms relating to pending personnel actions.		
PER-19-2	Retention registers and related records.		
PER-19-2-1	Registers and related records used to effect reduction-in-force actions.	Destroy when 2 years old.	GRS 1, 17b(1)
PER-19-2-2	Registers and related records from which no reductions-in-force actions have been taken.	Destroy when superseded or obsolete.	GRS 1, 17b(2)
PER-19-3	All other correspondence and forms.	Destroy when 6 months old.	GRS 1, 17c
PER-20	<u>Supervisor's Personnel Files and Duplicate OPF Documentation.</u>		
PER-20-1	Supervisors' Personnel Files. Correspondence, forms, and other records relating to positions, authorizations, pending actions, copies of position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	Review annually and destroy superseded or obsolete documents; or destroy files relating to an individual employee within 1 year after separation or transfer.	GRS 1, 18a
PER-20-2	Duplicate Documentation. Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule.	Destroy when 6 months old.	GRS 1, 18b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-21	<u>Individual Non-Occupational Health Record Files</u> . Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities for non-work related purposes, EXCLUDING records covered by PER-23.	Destroy 6 years after date of last entry.	GRS 1, 19
PER-22	<u>Health Unit Control Files</u> . Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.		
PER-22-1	If information is summarized on statistical report.	Destroy 3 months after last entry.	GRS 1, 20a
PER-22-2	If information is not summarized.	Destroy 2 years after last entry.	GRS 1, 20b
PER-23	<u>Employee Medical Folder (EMF)</u> . Long-term medical records as defined in 5 CFR Part 293, subpart E.	(See subcategories and note, next page)	
PER-23-1	Transferred employees.	See 5 CFR part 293, subpart E for instructions.	GRS 1, 21a(1)
PER-23-2	Separated employees.	Transfer to NPRC 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the birth cannot be ascertained, or 30 years after latest separation, whichever is later.	GRS 1, 21a(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-23-3	Temporary or short-term records as defined in the FPM.	Destroy 1 year after separation or transfer of employee.	GRS 1, 21b
PER-23-4	Individual employee health case files created prior to establishment of the EMF system that have been retired to an FRC.	Destroy 60 years after retirement to FRC.	GRS 1, 21c
PER-24	<u>Statistical Summaries.</u> Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date of summary or report.	GRS 1, 22
NOTE: Master files and databases created in central data processing facilities to supplement or replace the records covered by PER-23 and its subcategories and PER-24 are not authorized for disposal under PER-23 or PER-24. Such files must be scheduled for disposal. Contact the Records Management Branch for further assistance.			
PER-25	<u>Employee Performance File System Records.</u>		
PER-25-1	Non-SES appointees (as defined in 5 USC 4301(2)).		
PER-25-1-1	Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued by not effected, and all related documents.	Destroy after employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.	GRS 1, 23a(1)
PER-25-1-2	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession.	GRS 1, 23a(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-25-1-3	Performance-related records pertaining to a former employee.		
PER-25-1-3-1	Latest rating of record 3 years old or less and performance plan upon which it is based and any summary rating.	Place records on left side of OPF and forward to gaining Federal agency upon transfer, or to NPRC if employee separates (see PER-1-2). After retrieving an OPF from NPRC, dispose of these documents in accordance with PER-25-1-3-2.	GRS 1, 23a(3)(a)
PER-25-1-3-2	All other performance plans and ratings.	Destroy when 4 years old.	GRS 1, 23a(3)(b)
PER-25-1-4	All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy 4 years after date of appraisal.	GRS 1, 23a(4)
PER-25-1-5	Supporting documents.	Destroy 4 years after date of appraisal.	GRS 1, 23a(5)
PER-25-2	SES appointees (as defined in 5 USC 3132a(2)).		
PER-25-2-1	Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.	GRS 1, 23b(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-25-2-2	Performance-related records pertaining to a former SES appointee.		
PER-25-2-2-1	Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.	Place records on left side of the OPF and forward to gaining Federal agency upon transfer, or to NPRC if employee leaves Federal service (see PER-1-2). After retrieving and OPF from NPRC, dispose of those documents in accordance with PER-25-2-2-2.	GRS 1, 23b(2)(a)
PER-25-2-2-2	All other performance plans and ratings.	Destroy when 5 years old.	GRS 1, 23b(2)(b)
PER-25-2-3	All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).	Destroy 5 years after date of appraisal.	GRS 1, 23b(3)
PER-25-2-4	Supporting documents.	Destroy 5 years after date of appraisal.	GRS 1, 23b(4)

NOTE: Performance records pertaining to Presidential appointees are not covered by this schedule item. Contact the Records Management Branch for assistance.

PER-26	<u>Personnel Counseling Records.</u>		
PER-26-1	Counseling Files. Reports of interviews, analyses, and related records.	Destroy 3 years after termination of counseling.	GRS 1, 26a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-26-2	Alcohol and Drug Abuse Program. Records created in planning, coordination, and directing an alcohol and drug abuse program.	Destroy when 3 years old.	GRS 1, 26b
PER-27	<u>Standards of Conduct Files.</u> Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Destroy when superseded or obsolete.	GRS 1, 27
PER-28	<u>Labor Management Relations Board.</u>		
PER-28-1	Labor Management Relations Board general and case files, including correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.		
PER-28-1-1	Office negotiating agreement.	Destroy 5 years after expiration of agreement.	GRS 1, 28a(1)
PER-28-1-2	Other offices.	Destroy when superseded or obsolete.	GRS 1, 28a(2)
PER-28-2	Labor arbitration general and case files, including correspondence, forms, and background papers, relating to labor arbitration cases.	Destroy 5 years after final resolution of case.	GRS 1, 28b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-29	<u>Grievance, Disciplinary, and Adverse Action Files.</u>		
PER-29-1	Administrative Grievance Files (5 CFR 771). Records relating to grievances raised by FEMA employees, except EEO complaints. These case files include statements of witnesses, reports or interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Destroy 7 years after case is closed.	GRS 1, 30a
PER-29-2	Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.	Destroy 7 years after case is closed.	GRS 1, 30b
PER-30	<u>Personal Injury Files.</u> Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.	GRS 1, 31
PER-31	<u>Merit Promotion Case Files.</u> Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING any records that duplicate information in the promotion plan, in the OPF, or in any other personnel records.	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.	GRS 1, 32

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-32	<u>Examining and Certification Records.</u> Delegated agreements and related records created under the authority of 5 USC 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.		GRS 1, 33a
PER-32-1	Delegated agreements.	Destroy 3 years after termination of agreement.	GRS 1, 33a
PER-32-2	Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipments of test materials.	Cut off annually. Destroy 1 year after cutoff.	GRS 1, 33b
PER-32-3	Test Material Stock Control. Stock control records of examination test material including running inventory of test material in stock.	Destroy when test is superseded or obsolete.	GRS 1, 33c
PER-32-4	Application Record Card (OPM Form 5000A, or equivalent).	Cut off after examination. Destroy no later than 90 days after cutoff.	GRS 1, 33d
PER-32-5	Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their developments.	Destroy 5 years after termination of related register.	GRS 1, 33e

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-32-6	Register of eligibles (OPM Form 5001C or equivalent, documenting eligibility or an individual for Federal jobs).	Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cutoff. When entire register is terminated, destroy 5 years after termination date. (Registers established under case examination: destroy after audit by local OPM area office or 90 days after final action is taken on the certificate, whichever is sooner.)	GRS 1, 33f
PER-32-7	Letters to applicants denying transfer of eligibility OPM Form 4896 or equivalent.	Cut off annually. Destroy 1 year after cut off.	GRS 1, 33g
PER-32-8	Canceled and ineligible applications, supplemental forms, and attachments.	Ineligible applications may be returned to the applicant with the notice or ineligibility, unless otherwise directed by the local OPM office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.	GRS 1, 33h
PER-32-9	Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Destroy when 6 months old.	GRS 1, 33i
PER-32-10	Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.	Cut off annually. Destroy 5 years after cutoff.	GRS 1, 33j

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-32-11	Eligible Applications.		
PER-32-11-1	On Active register.	Destroy upon termination of the register (except applications that may be brought forward to new register, if any).	GRS 1, 33k(1)
PER-32-11-2	On inactive register.	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.	GRS 1, 33k(2)
PER-32-12	Request for prior approval of personnel actions taken by FEMA on such matters as promotion, transfer, reinstatement, or change in status submitted by SF 59, or equivalent form.	Cut off annually. Destroy 1 year after cutoff.	GRS 1, 33l
PER-32-13	Certificate Files. SF 39, SF 39A, or equivalent and all papers upon which the certification was based; detailed rating schedule, record of selective and quality ranking factors used, lists of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Cut off annually. Destroy 5 years after cutoff.	GRS 1, 33m
PER-32-14	Certification request control index.	Cut off annually. Destroy 1 year after cutoff.	GRS 1, 33n

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-32-15	Interagency Placement Program (IPP) application and registration sheet.	Destroy upon expiration of employee's DEP eligibility.	GRS 1, 33o
PER-32-16	DEP control cards, if maintained.	Cut off annually. Destroy 2 years after cutoff.	GRS 1, 33p
PER-32-17	Reports of audits of delegated examining operations.	Destroy 3 years after date of the report.	GRS 1, 33q
PER-33	<u>Occupational Injury and Illness Files.</u> Reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.	Destroy when 5 years old.	GRS 1, 34
PER-34	<u>Denied Health Benefits Claims.</u> Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers. (Also see the NOTE on the next page.)		
PER-34-1	Health benefits denied, not appealed.	Destroy 3 years after denial.	GRS 1, 35a
PER-34-2	Health benefits denied, appealed to OPM for reconsideration.		
PER-34-2-1	Appeal successful - benefits granted.	Create enrollment file in accordance with subchapter S17 of the <u>FEHB Handbook</u> .	GRS 1, 35b(1)
PER-34-2-2	Appeal unsuccessful - benefits denied.	Destroy 3 years after denial.	GRS 1, 35b(2)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
NOTE: Pursuant to subchapter S17 of the <u>FEHB Handbook</u> , enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by FEMA, or when former spouse begins receiving an annuity payment.			
PAYROLL RECORDS			
PER-35	<u>Individual Employee Pay Records.</u>		
PER-35-1	Pay record for each employee as maintained in an electronic database. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.	Update elements and/or entire record as required.	GRS 2, 1a
PER-35-2	Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable.	Transfer to NPRC. Destroy when 56 years old.	GRS 2, 1b
PER-36	<u>Payroll Correspondence Files.</u> Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.	Destroy when 2 years old.	GRS 2, 24
PER-37	<u>Time and Attendance Source Records.</u> All hardcopy time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2, 7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-38	<u>Time and Attendance Input Records.</u>		
PER-38-1	Records in machine readable form used to input time and attendance data into the payroll system, as maintained in HR-WP.	Destroy after GAO audit or when 6 years old, whichever is sooner.	GRS 2, 8
PER-38-2	Diskette copies of payroll preparation and processing as maintained by individual timekeepers.	Delete or overwrite when 90 days old.	N1-311-99-3
PER-39	<u>Direct Deposit Sign-up Form (SF 1199A).</u>	Destroy when superseded or after separation of employee.	GRS 2, 17
PER-40	<u>Savings Bond Purchase Files.</u>		
PER-40-1	US Savings Bond Authorization, SF 1192 or equivalent	Destroy when superseded or after separation of employee.	GRS 2, 14a
PER-40-2	Bond registration files: issuing agent's copies of bond registration stubs.	Destroy 4 months after date of issuance of bond.	GRS 2, 14b
PER-40-3	Bond receipt and transmittal files: receipts for and transmittals of US Savings Bonds.	Destroy 4 months after date of issuance of bond.	GRS 2, 14c
PER-41	<u>Combined Federal Campaign and Other Allotment Authorizations.</u>		
PER-41-1	Authorization for individual allotment to the Combined Federal Campaign.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2, 15a
PER-41-2	Other authorizations, such as union dues and savings.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2, 15b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-42	<u>Leave Application Files.</u> Application for leave (SF 71 or equivalent) and supporting documents relating to requests for and approval of taking leave.		
PER-42-1	If timecard has been initialed by employee.	Destroy at end of the following pay period.	GRS 2, 6a
PER-42-2	If timecard has not been initialed by employee.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2, 6b
PER-43	<u>Leave Record.</u>		
PER-43-1	Record of employee leave, such as SF 1150, prepared upon transfer or separation.	File on right side of OPF. See PER-1.	GRS 2, 9a
PER-43-2	Agency copy, when maintained.	Destroy when 3 years old.	GRS 2, 10b
PER-44	<u>Thrift Savings Plan Election Form.</u> Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.	Destroy when superseded or after separation of employee.	GRS 2, 16
PER-45 through PER-50	Categories withdrawn by NARA August 1995. Reserved.		

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-51	<u>Payroll System Reports.</u>		
PER-51-1	Error reports, ticklers, systems operation reports.	Destroy when related actions are completed or when no longer needed, not to exceed 2 years.	GRS 2, 22a
PER-51-2	Reports and data used for workload and personnel management purposes.	Destroy when 2 years old.	GRS 2, 22b
PER-51-3	Reports providing fiscal information on agency payroll.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 2, 22c
PER-52	<u>Tax Files.</u>		
PER-52-1	Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	Destroy 4 years after form is superseded or obsolete, or upon separation of employee.	GRS 2, 13a
PER-52-2	Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents.	Destroy when 4 years old.	GRS 2, 13b
PER-52-3	Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes, and state equivalents.	Destroy when 4 years old.	GRS 2, 13c
PER-53	<u>Retirement Assistance Files.</u> Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old.	GRS 1, 39

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-54	<u>Alternate Worksite Records.</u>		
PER-54-1	Approved requests or applications to participate in alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.	Destroy 1 year after end of employee's participation in the program.	GRS 1, 42a
PER-54-2	Unapproved requests.	Destroy 1 year after request is rejected.	GRS 1, 42b
PER-54-3	Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.	Destroy when 1 year old, or when no longer needed, whichever is later.	GRS 1, 42c
PER-55	<u>Levy and Garnishment Files.</u> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.	Destroy 3 years after garnishment is terminated.	GRS 2, 18
PER-56	<u>Wage Survey Files.</u> Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitalization sheets).	Destroy after completion of second succeeding wage survey.	GRS 1, 38

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-57	<u>Federal Workplace Drug Testing Program Files.</u> Drug testing program records created under Executive Order 12564 and PL 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by PL 100-71, Section 503(f).		
PER-57-1	Drug test plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)	Destroy when 3 years old or when superseded, obsolete (see note 2 at the end of this section).	GRS 1, 36a
PER-57-2	Employee Acknowledgment of Notice Forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.	Destroy when employee separates from testing-designated position (see note 2 at the end of this section).	GRS 1, 36b
PER-57-3	Selection/Scheduling Records. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.	Destroy when 3 years old (see note 2 at the end of this section).	GRS 1, 36c
PER-57-4	Records relating to the collection and handling of specimens.		
PER-57-4-1	"Permanent" Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.	Destroy 3 years after date of last entry (see note 2 at the end of this section).	GRS 1, 36d(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-57-4-2	Chain of Custody Records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.	Destroy when 3 years old (see note 2 at the end of this section).	GRS 1, 36d(2)
PER-57-5	Test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.		
PER-57-5-1	Positive results.		
PER-57-5-1-1	Employees.	Destroy when employee leaves the agency or when 3 years old, whichever is later.	GRS 1, 36e(1)(a)
PER-57-5-1-2	Applicants not accepted for employment.	Destroy when 3 years old (see note 2 at the end of this section).	GRS 1, 36e(1)(b)
PER-57-5-2	Negative results.	Destroy when 3 years old.	GRS 1, 36e(2)

NOTES: (1) Disciplinary action case files pertaining to action taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by PER-29-2 which provides for the destruction of records between 4 and 7 years after the case is closed.

(2) Any records covered by PER-57 that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-58	<u>Donated Leave Program Case Files.</u> Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.	Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.	GRS 1, 37
PER-59	<u>Handicapped Individuals Appointment Case Files.</u> Case files containing position description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation or impairment; and other documents related to previous employment, certification, and/or acceptance or refusal, created in accordance with FPM Chapter 306-11, subchapter 4-2.	Destroy 5 years following the date of approval or disapproval of each case.	GRS 1, 40
PER-60	<u>Pay Comparability Records.</u> Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.	Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.	GRS 1, 41

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PER-61	<p><u>Electronic Mail and Word Processing System Copies of Personnel Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>	Destroy/delete within 180 days after the record keeping copy has been produced.	GRS 1, 43a for items covered by GRS 1; GRS 2, 31a for items covered under GRS 2
PER-61-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the record keeping copy has been produced.	GRS 1, 43a for items covered by GRS 1; GRS 2, 31a for items covered under GRS 2
PER-61-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 1, 43b for items covered by GRS 1; GRS 2, 31b for items covered under GRS 2

5-23. Procurement and Contracting (PRC).

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

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

c. When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the other applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless FEMA has received written approval from GAO (44 USC Section 3309 and 62 Comptroller General 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise if accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

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

e. Other records related to the procurement and supply function include reports used for supply management purposes by FEMA as well as the staff involved in Governmentwide programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise.) These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released--conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds contained general or special warranties.

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

g. This series includes some of the common agency records relating to grant programs. Since FEMA conducts some grant programs which document projects contracted between FEMA and an outside party, these records are included as an adjunct to the procurement and supply records.

h. All records in this schedule are authorized for disposal in both hardcopy and electronic forms, as provided by the EDP series.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-1	<u>Real Property Files.</u> Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.		
PRC-1-1	Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.	GRS 3, 1a
PRC-1-2	Abstract or certificate of title.	Transfer to purchaser after unconditional sale or release by the Government or conditions, restrictions, mortgages, or other liens.	GRS 3, 1b
PRC-2	<u>General Correspondence Files.</u> Correspondence files of operating procurement units concerning internal operations and administration matters not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 3, 2

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-3	<u>Routine Procurement Files</u> . Contract, requisition, purchase, order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipts, inspection, and payment (other than those covered in PRC-1 and PRC-11).		
PRC-3-1	Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").		
PRC-3-1-1	Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.	Destroy 6 years and 3 months after final payment.	GRS 3, 3a(1)(a)
PRC-3-1-2	Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.	Destroy 3 years after final payment.	GRS 3, 3a(1)(b)
PRC-3-2	Transactions dated earlier than July 3, 1995		
PRC-3-2-1	Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.	Destroy 6 years and 3 months after final payment.	GRS 3, 3a(2)(a)
PRC-3-2-2	Transactions of \$25,000 or less and construction contracts under \$2,000, and related papers.	Destroy 3 years after final payment.	GRS 3, 3a(2)(b)
NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the above listed subitems of PRC-3 to apply to a particular series of records.			
PRC-3-3	Obligation copy.	Destroy when funds are obligated.	GRS 3, 3b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-3-4	Other copies of records described above used by component elements of a procurement office for administrative purposes.	Destroy upon termination or completion.	GRS 3, 3c
PRC-3-5	Data submitted to the Federal Procurement Data System (FPDS). Electronic data files maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.	Destroy or delete when 5 years old.	GRS 3, 3d
PRC-4	<u>Supply Management Files.</u> Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).		
PRC-4-1	Copies received from other units for internal purposes or for transmission to staff agencies.	Destroy when 2 years old.	GRS 3, 4a
PRC-4-2	Copies in other reporting units, and related working documents.	Destroy when 1 year old.	GRS 3, 4b
PRC-5	<u>Solicited and Unsolicited Bids and Proposals.</u>		
PRC-5-1	Successful bids and proposals.	Destroy with related contract case files (PRC-3).	GRS 3, 5a
PRC-5-2	Solicited and unsolicited unsuccessful bids and proposals.		
PRC-5-2-1	Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.	Destroy 1 year after date of award or final payment, whichever is later.	GRS 3, 5b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-5-2-2	Relating to transactions above the small purchase limitations in 48 CFR Part 13 when filed separately from contract case files.	Destroy when related contract is completed.	GRS 3, 5b(2)(a)
PRC-5-2-3	Relating to transactions above the small purchase limitations in 48 CFR Part 13 when filed with contract case files.	Destroy with related contract case file (PRC-3).	GRS 3, 5b(2)(b)
PRC-5-3	Canceled Solicitation Files.		
PRC-5-3-1	Formal solicitation of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals/Quotations) which were canceled prior to award of a contract. Included are presolicitation documentation on any Government action up to the time of cancellation, and evidence of the cancellation.	Destroy 5 years after date of cancellation.	GRS 3, 5c(1)
PRC-5-3-2	Unopened bids.	Return to bidder.	GRS 3, 5c(2)
PRC-5-4	Lists or card files of acceptable bidders.	Destroy when superseded or obsolete.	GRS 3, 5d
PRC-6	<u>Reimbursable Agreement Contract Files.</u> All contractual and reimbursable agreements (under Memoranda of Understanding (MOU's) pertaining to work done for FEMA by other Federal agencies, such as DoD and NSA.)	Destroy 6 years and 3 months after final action or reimbursement.	N1-311-86-1 1K15
PRC-7	<u>Nonpersonal Requisition Files.</u> Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts).	Destroy when 1 year old.	GRS 3, 7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-8	<u>Inventory Requisition Files.</u> Requisitions for supplies and equipment for current inventory.		
PRC-8-1	Stockroom copy.	Destroy 2 years after completion or cancellation of requisition.	GRS 3, 8a
PRC-8-2	All other copies.	Destroy when 6 months old.	GRS 3, 8b
PRC-9	<u>Inventory Files.</u>		
PRC-9-1	Inventory lists.	Destroy 2 years from date of list.	GRS 3, 9a
PRC-9-2	Inventory cards.	Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from FEMA's control.	GRS 3, 9b
PRC-9-3	Report of survey files and other papers under as evidence for adjustment of inventory records, not otherwise covered in this manual.	Destroy 2 years after date of survey action or date of posting action.	GRS 3, 9c
PRC-10	<u>Contractor's Payroll Files.</u> Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations with related certifications, anti-kickback affidavits, and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.	GRS 3, 11
PRC-11	<u>Tax Exemption Files.</u> Tax exemption certificates and related papers.	Destroy 3 years after period covered by related account.	GRS 3, 12

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-12	<u>Unsuccessful Grant Application Files.</u> Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	Destroy 3 years after rejection or withdrawal.	GRS 3, 13
PRC-13	<u>Grant Files.</u>		
PRC-13-1	Grant Administrative Files. Correspondence, and/or subject files relating to routine operations and daily activities in administration of the grant program.	Destroy when 2 years old.	GRS 3, 14
PRC-13-2	USFA Grant and Cooperative Agreement Case Files. Files created under PL 93-498 (as amended) in establishing, administering, and evaluating grant programs and cooperative agreements with individuals, private organizations, and state and local agencies.		
PRC-13-2-1	Grant Project Files. Files containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved.	Cut off at end of fiscal year when grant or agreement is finalized. Destroy 3 years after cutoff or when no longer needed, whichever is sooner.	N1-311-95-1
PRC-13-2-2	Grant and Cooperative Agreement Case Files. Files containing approved applications, copies of financial records, supporting documents, statistical information, and related records pertaining to the award, administration, receipt, inspection, and payments of the grants and cooperative agreements.	Cut off at end of fiscal year when grant or agreement is completed or closed. Destroy 6 years, 3 months after cutoff.	N1-311-95-1
PRC-13-2-3	Final Report. Files containing the original final report or equivalent document, including appendices or attachments, for the grant or cooperative agreement. Arranged chronologically by fiscal year.	PERMANENT. Cut off at end of fiscal year. Retire to FRC 2 years after cutoff. Transfer to National Archives 20 years after cutoff.	N1-311-95-1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-14	<u>Contract Appeals Case Files.</u> Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgements thereof; correspondence between parties; copies of contract, plans, specifications, exhibits, change orders, and amendments; transcripts of hearing; document received from parties concerned; final decisions; and all other related papers.	Destroy 6 years, 3 months after final action on decision.	GRS 3, 15a
PRC-14-1	Records created prior to October 1, 1979.		
PRC-14-2	Records created after September 30, 1979.	Destroy 1 year after final action on decision.	GRS 3, 15b
PRC-15	<u>Performance of Commercial Activities Files.</u> Documentation created in the analysis and evaluation of commercial activities. Included are cost studies, performance work statements, and related records as required by OMB Circular A-76.	Cut off at end of fiscal year. Retire to FRC 5 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 1A4
PRC-16	<u>Contractor's Statement of Contingent or Other Fees.</u> Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	Destroy when superseded or obsolete.	GRS 3, 16
PRC-17	<u>Small and Disadvantaged Business Utilization Files.</u> Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Public Law 95-507.	Destroy when 3 years old.	GRS 3, 17

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRC-18	<u>Electronic Mail and Word Processing System Copies of Procurement Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 3, 18a
PRC-18-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 3, 18a
PRC-18-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 3, 18b

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5-26. Property and Space Management (PRM).

This schedule covers records pertaining to the sale of real and personal property surplus to FEMA and documents created by the Contributions Project Loan Program, and provides for the disposal of all copies, wherever located in FEMA, or records relating to the space and maintenance, except the following:

- a. Copies of records that are an integral part of accountable officers' accounts (see ACC schedule);
- b. Records of procurement and supply (see PRC schedule); and
- c. Records which reflect government-wide programs (such as records held by the public building service of the General Services Administration (GSA)).

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRM-1	<u>Property Disposal Correspondence Files.</u> Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 years old.	GRS 4, 1
PRM-2	<u>Excess Personal Property Reports.</u>	Destroy when 3 years old.	GRS 4, 2
PRM-3	<u>Surplus Property Case Files.</u> Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of material, evidence of sales, and related correspondence.		
PRM-3-1	Transactions of more than \$25,000.	Destroy 6 years after final payment.	GRS 4, 3a
PRM-3-2	Transactions of \$25,000 or less.	Destroy 3 years after final payment.	GRS 4, 3b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRM-4	<u>Contributions Project Loan Program (CPLP) Files.</u> Documents created in the acquisition, loan, and disposal of property to state and local governments, through the GSA excess and utilization program, PL 97-380.	Destroy 5 years after final report is completed.	N1-311-86-1 4B24
PRM-5	<u>Real Property Files.</u> Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by FEMA, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided that (a) the records can be segregated without harm to other documents of enduring value, (b) no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and 8 if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance or purchase money mortgage.	GRS 4, 4

NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered because some of these files may have long-term legal values. Contact the Records Management Branch for a case-by-case determination.

SPACE MANAGEMENT RECORDS

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRM-6	<u>Space and Maintenance General Correspondence Files.</u> Correspondence files of the Operations Support Branch, Program Services Division, Operations Support Directorate, pertaining to their own administration and operations, and related papers.	Destroy when 2 years old.	GRS 11, 1
PRM-7	<u>Agency Space Files.</u> Records relating to the allocation, utilization, and release of space under FEMA's control, and related reports to GSA.		
PRM-7-1	Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.	Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete.	GRS 11, 2a
PRM-7-2	Correspondence with and reports to staff agencies relating to FEMA space holdings and requirements, and FEMA's reports to GSA, including SF 81, Request for Space, and related documents.	Destroy when 2 years old.	GRS 11, 2b(1)
PRM-7-3	Copies in subordinate reporting units and related work papers.	Destroy when 1 year old.	GRS 11, 2b(2)
PRM-8	<u>Directory Service Files.</u> Correspondence, forms, and other records relating to the compilation of directory service listings.	Destroy 2 months after issuance of listing.	GRS 11, 3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRM-9	<u>Credentials Files.</u> Identification credentials and related papers.	Destroy credentials 3 months after return to issuing office.	GRS 11, 4a
PRM-9-1	Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles; and property, dining room, and visitors passes; and other identification credentials.		
PRM-9-2	Receipts, indexes, listings, and accountable records.	Destroy after all listed credentials are accounted for.	GRS 11, 4b
PRM-10	<u>Building and Equipment Service Files.</u> Requests for building and equipment maintenance services, EXCLUDING fiscal copies.	Destroy 3 months after work is performed or requisition is canceled.	GRS 11, 5
PRM-11	<u>Electronic Mail and Word Processing System Copies of Property and Space Management Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.		
PRM-11-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 4, 5a for items covered by GRS 4; GRS 11, 6a for items covered under GRS 11

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRM-11-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 4, 5b for items covered by GRS 4; GRS 11, 6b for items covered under GRS 11

5-25. Printing and Reproduction (PRP).

This schedule covers printing, binding, duplication, and distribution records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRP-1	<u>Administrative Correspondence Files.</u> Correspondence files pertaining to the administration and operation of the Printing and Publications Branch, Administrative Services Division, Office of Operations Support (OS-AS-PP).	Destroy when 2 years old.	GRS 13, 1
PRP-2	<u>Project Files.</u> Job or project records containing information relating to the planning and execution of printing, binding, duplications, and distribution jobs.		
PRP-2-1	Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of: (1) requisitions on the Public Printer and related records and (2) records relating to services obtained outside FEMA.	Destroy 1 year after completion of job.	GRS 13, 2a
PRP-2-2	Files pertaining to planning and other technical matters.	Destroy when 3 years old.	GRS 13, 2b
NOTE: This schedule does not cover the publications themselves. One copy of each publication should be designated as the record copy and kept under REM-1. Extra copies are nonrecord and may be destroyed when no longer needed.			
PRP-3	<u>Control Files.</u> Control registers pertaining to requisitions and work orders.	Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.	GRS 13, 3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRP-4	<u>Mailing Lists.</u>		
PRP-4-1	Correspondence, request forms, and other records relating to changes in mailing lists.	Destroy after appropriate revision of mailing lists or after 3 months, whichever is sooner.	GRS 13, 4a
PRP-4-2	Card lists.	Destroy individual cards when canceled or revised.	GRS 13, 4b
PRP-5	<u>JCP Reports Files.</u> Reports to Congress and related records.		
PRP-5-1	FEMA's reports to the Joint Committee on Printing regarding operations of Class A and B plants and inventories of printing, binding, and related equipment in Class A and B plants or in storage.	Destroy when 3 years old.	GRS 13, 5a
PRP-5-2	Copies in subordinate reporting units and related work papers.	Destroy 1 year after date of report.	GRS 13, 5b
PRP-6	<u>Internal Management Files.</u> Records relating to internal management and operation of OS-AS-PP.	Destroy when 2 years old.	GRS 13, 6
PRP-7	<u>Public Printer Files.</u> Records relating to requisitions on the Printer, and all supporting papers.		
PRP-7-1	Printing procurement unit copy of requisition, invoice, specifications, and related papers.	Destroy 3 years after completion or cancellation of requisition.	GRS 3, 6a
PRP-7-2	Accounting copy of requisition.	Destroy 3 years after period covered by related account.	GRS 3, 6b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
PRP-8	<u>Electronic Mail and Word Processing System Copies of Printing and Reproduction Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 3, 18a for items covered under GRS 3; GRS 13, 7a for items covered under GRS 13
PRP-8-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.		
PRP-8-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 3, 18b for items covered under GRS 3; GRS 13, 7b for items covered under GRS 13

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5-26. Radiological Defense Files (RAD).

This schedule covers radioactive materials, radiation exposure, and radiological defense files.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
RAD-1	<u>Radioactive Materials Files.</u> Electronic database and hardcopy reports on all FEMA-owned radioactive, and sources of, ionizing materials held by the agency and on loan to other Federal agencies and States. Database includes type of radioactive material, quantity, present locations, authorized users, and location of ultimate disposal site of the materials. Printouts of information are produced periodically.		
RAD-1-1	Electronic database.	Erase data when no longer needed for administrative use or to meet legal requirements.	N1-311-86-1 4B11a
RAD-1-2	Hardcopy records.	Destroy when superseded or obsolete.	N1-311-86-1 4B11b
RAD-2	<u>Radiation Dose Records.</u> Folders maintained on all individuals who may be exposed to ionizing radiation within FEMA activities, including periodic reports evaluating degree of exposure.	Destroy when 75 years old.	N1-311-86-1 4B12

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
RAD-3	<u>Radiological Defense Files.</u> Correspondence containing information on State and local government integration of radiological support plans and guidance concerning radiological defense instruments and equipment.		
RAD-3-1	Design and development plans. Arrange alphabetically by State.	PERMANENT. Cut off at end of calendar year. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4B23a
RAD-3-2	Correspondence, reports, and other records pertaining to the routine control of program.	Destroy when information is superseded or obsolete.	N1-311-86-1 4B23b
RAD-3-3	Radiological Defense Program Database (RADPRO). Electronic database containing the requirements and status of personnel and equipment.		
RAD-3-3-1	Master database maintained at FEMA headquarters, regions, and States.	Erase tape when no longer needed.	N1-311-92-7
RAD-3-3-2	Input records which include data submitted by electronic or textual means.	Destroy, delete, or erase when entered into the database and verified.	N1-311-92-7 1
RAD-3-3-3	Outputs including both textual and electronic.	Destroy when no longer needed.	N1-311-92-7 2

5-27. Records Management (REM).

This schedule covers records disposition, vital records, directives, forms, and information collection records.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
REM-1	<p><u>Master Publication Files.</u> Official file copy of each FEMA publication such as the annual report, telephone books, technical reports, booklets, pamphlets, public information leaflets, posters, monographs, or other issuances published by headquarters or regional offices, including publications prepared by contractors/grantees and handbooks, circulars, and guides providing information for public distribution. The Printing and Publications Branch, Administrative Services Division, will be responsible for maintaining and transferring to the National Archives the official file copy. Publications in this file will be distinctly marked "record set" and will not be charged out. One copy of each publication will also be sent to the FEMA library. Arrange by FEMA catalog number.</p>	<p>PERMANENT. Cut off when publication is superseded, or canceled, or 3 years after issuance, whichever is sooner. Transfer directly to the National Archives in 5-year blocks 5 years after cutoff.</p>	<p>N1-311-86-1 1K6</p>
REM-2	<p><u>FEMA Directives.</u> Record copy of each internal and external directive issues as instructions, manuals, Director's policy statements, guides, circulars, guidance memoranda (GM), or handbooks that establish policy, prescribe procedural guidance, delegate authority, or define missions. The directives are signed by the FEMA Director or designated representative.</p>	<p>PERMANENT. Cut off when superseded or canceled. Retire to FRC 5 years after cutoff. transfer to National Archives in 5-year blocks 20 years after cutoff.</p>	<p>N1-311-86-1 1K18a</p>
REM-2-1	<p>Directives relating to agency policies and procedures. Arrange by directives number.</p>	<p>PERMANENT. Cut off when superseded or canceled. Retire to FRC 5 years after cutoff. transfer to National Archives in 5-year blocks 20 years after cutoff.</p>	<p>N1-311-86-1 1K18a</p>

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
REM-2-2	Background files related to the development of the directives described in REM-2-1.	Cut off when directive is superseded or canceled. Destroy 5 years after cutoff.	N1-311-86-1 1K18b
REM-2-3	Office reference copies.	Destroy when superseded or canceled.	N1-311-86-1 1K18c
REM-3	<u>Vital Records Files</u> . FEMA Form 50-33, Inventory of Vital Records Files, relating to the identification and protection of records vital to the operation of FEMA during emergencies or which protect the legal or financial rights of individuals or the Government.	Destroy when 6 years old.	N1-311-86-1 1K19
REM-4	<u>Records Disposition Files</u> . Descriptive inventories, disposal, authorizations, schedules, and reports.		
REM-4-1	Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipts; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation.		
REM-4-1-1	SF 115s that have been approved by NARA.	Destroy 2 years after supersession.	GRS 16, 2a(1)
REM-4-1-2	Other records.	Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives, whichever is applicable.	GRS 16, 2a(2)
REM-4-2	Routine correspondence and memoranda.	Destroy when 2 years old.	GRS 16, 2b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
REM-5	<u>Forms Files.</u>		
REM-5-1	One record copy of each form created with related instructions and documentation showing inception, scope, and purpose of the form.	Destroy 5 years after form is discontinued, superseded, or canceled.	GRS 16, 3a
REM-5-2	Background material, requisitions, specification, processing data, and control records.	Destroy when related form is discontinued, superseded, or canceled.	GRS 16, 3b
REM-6	<u>Records Holding Files.</u> Statistical reports of FEMA holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.		
REM-6-1	Records held by OS-PS-RM.	Destroy when 3 years old.	GRS 16, 4a
REM-6-2	Records held by other offices.	Destroy when 1 year old.	GRS 16, 4b
REM-7	<u>Paperwork Reduction Act (PL 96-511) Files.</u> Correspondence, memoranda, reports, and related records pertaining to the activities of the designated senior official relating to information resource management.	Cut off at end of calendar year. Destroy 3 years after cutoff.	N1-311-86-1 1J1
REM-8	<u>Reports Control Files.</u> Case files maintained for each FEMA report created or proposed, including public use reports. Included are: clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	Destroy 2 years after the report is discontinued.	GRS 16, 6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
REM-9	<u>Records Management Files.</u> Correspondence, reports, authorizations, and other records that relate to the management of FEMA records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs, and all other aspects of records management not covered elsewhere in this schedule.	Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.	GRS 16, 7
REM-10	<u>Information Collection Budget Files.</u> Reports required by OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling FEMA reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.	Destroy when 7 years old.	GRS 16, 12
REM-11	<u>Microform Inspection Records.</u>		
REM-11-1	Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230.	Destroy 1 year after the records are transferred to the legal custody of the National Archives.	GRS 16, 10a
<p>NOTES: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives.</p> <p>(2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.</p>			
REM-11-2	Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.	Destroy when 2 years old or when superseded, whichever is later.	GRS 16, 10b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
REM-12	<u>Electronic Mail and Word Processing System Copies of Records Management Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.		
REM-12-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the recordkeeping copy has been produced.	GRS 16, 15a for only those items covered by GRS 15
REM-12-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 16, 15b for only those items covered by GRS 15

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5-28. Security (SEC).

This schedule covers records created by FEMA to control and protect classified information; to protect FEMA-owned or controlled facilities from unauthorized entry, sabotage, or loss; to determine the loyalty and fitness of employees or individuals seeking employment; and to determine mandatory review for declassification. Included are selected files of the Security Division of the Operations Support Directorate which has responsibility for security and protective service programs. Also included are file of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
<i>CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS</i>			
<i>Records accumulating from measures taken by FEMA to protect classified information from unauthorized disclosure in accordance with Executive Orders and statutory or regulatory requirements.</i>			
SEC-1	<u>Classified Documents Administrative Correspondence Files.</u> Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 18, 1
SEC-2	<u>Document Receipt Files.</u> Records documenting the receipt and issuance of classified documents.	Destroy when 2 years old.	GRS 18, 2
SEC-3	<u>NATO Document Receipt Files.</u> Classified document accountability receipts relating to the receipt and issuance of NATO-issued documents.	Destroy 10 years after documents shown on forms are downgraded, transferred, or destroyed.	N1-311-86-1 1B9
SEC-4	<u>Destruction Certificate Files.</u> Certificates relating to the destruction of classified documents (see SEC-6 for Top Secret documents).	Destroy when 2 years old.	GRS 18, 3

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-5	<u>Classified Document Inventory Files.</u> Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but EXCLUDING classified documents receipts and destruction certificates, and documents relating to Top Secret material covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 18, 4
SEC-6	<u>Top Secret Accounting and Control Files.</u>		
SEC-6-1	Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipts, dispatch, or destruction of the documents.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.	GRS 18, 5a
SEC-6-2	Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.	Destroy when related documents is downgraded, transferred, or destroyed.	GRS 18, 5b
SEC-7	<u>Classified Documents from Other Agencies.</u> Classified documents, reports, etc. received from other Federal agencies.	Destroy when superseded or obsolete.	N1-311-86-1 5F8
SEC-8	<u>Access Request Files.</u> Requests and authorizations for individuals to have access to classified files.	Destroy 2 years after authorization expires.	GRS 18, 6
SEC-9	<u>Information Request Files.</u> Documents or action taken on requests from other agencies for information. Included are requests for information, replies to these requests, and related records.	Destroy 1 years after completion of action or when no longer needed, whichever is sooner.	N1-311-86-1 1H4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-10	<u>Classified Document Container Security Files.</u>		
SEC-10-1	Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	Destroy when superseded by a new form or lists, or upon turn-in of the containers.	GRS 18, 7a
SEC-10-2	Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.	Destroy 3 months following the last entry on the form (see note.)	GRS 18, 7b
NOTE: Forms involved in investigations will be retained until completion of the investigation.			
SEC-11	<u>Security Classification Files.</u> Documents relating to the security classification or grading system involving the classification or downgrading of documents. Included are correspondence or memoranda on downgrading and reports on security classification.	Destroy 10 years after final declassification action.	N1-311-86-1 1H6
SEC-12	<u>Security Regrading Case Files.</u> Documents on the review of specific classified documents or equipment for the purpose of regrading documents or equipment.	Destroy when 15 years old.	N1-311-86-1 1H7
SEC-13	<u>Security Information Release Files.</u> Documents on the review of classified or potentially classified documents for the purpose or disseminating information to sources outside FEMA. Included are reviews of manuscripts, photographs, lectures, radio spots, television scripts, and similar records.	Destroy when 20 years old.	N1-311-86-1 1H8

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-14	<u>Security Information Exchange Files.</u> Documents on the exchange of security classified information with other agencies, private firms, and foreign governments. Included are correspondence or the exchange of information, exchange agreements, and related documents.	Destroy when 20 years old.	N1-311-86-1 1H9
SEC-15	<u>COMSEC Files.</u>		
SEC-15-1	Correspondence, memoranda, and other related material pertaining to the routine supply of COMSEC material.	Destroy when 2 years old.	N1-311-86-1 5G15a
SEC-15-2	Daily Inventory Files. Documents reflecting daily inventories of accountable COMSEC material which are conducted at the end of each workday and/or between shifts.	Destroy when 2 years old.	N1-311-86-1 5G15b
SEC-15-3	COMSEC Accounting Files. Documents reflecting the receipts, possession, inventory, transfer, destruction, and relief from accountability for accountable COMSEC material.	Destroy 6 years and 3 months after documents are downgraded, transferred, or destroyed.	N1-311-86-1 5G15c
SEC-15-4	COMSEC Facility Approval Files. Requests for approval to establish, alter, expand, or relocate a secure communications center. Included are questionnaires, reports of approval, and related papers.	Destroy 2 years after facility is deactivated or approval for a new facility is granted.	N1-311-86-1 5G15d
SEC-15-5	COMSEC Facility Inspection Reports. Inspection reports and related correspondence.	Destroy after receipt of related superseding inspection report or after account is closed.	N1-311-86-1 5G15e

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-15-6	COMSEC Security Investigation Reports. Message reports and related correspondence on violations of physical, cryptographic, and personnel security, and reports of investigation concerning the loss or compromise of COMSEC material.	Destroy when 5 years old or after case has been adjudicated if a felony is involved, whichever is later.	N1-311-86-1 5G15f
SEC-15-7	Courier, Mail, and Package Receipts. All receipts for COMSEC-related mail and packages.	Destroy when 1 year old.	N1-311-86-1 5G15g
SEC-15-8	COMSEC briefing/debriefing statements.	Cut off at end of calendar year. Destroy 15 years after cutoff.	N1-311-86-1 5G15h
SEC-16	<u>Micrographics Inventory and Request Files.</u> Documents relating to the inventorying and creation of security-classified micrographics systems.	Destroy when updated, superseded, or no longer needed.	N1-311-86-1 5G16
SEC-17	<u>Industrial Security Files.</u> Documents on the protection of classified information in the possession of industry.	Destroy when no longer needed.	N1-311-86-1 1H11
<i>FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS</i>			
SEC-18	<u>Security and Protective Services Administrative Correspondence Files.</u> Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 18, 8

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-19	<u>Survey and Inspection Files (Government-Owned Facilities).</u> Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.	Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.	GRS 18, 9
SEC-20	<u>Survey and Inspection Files (Privately-Owned Facilities).</u> Reports of surveys and inspections of privately-owned facilities assigned security cognizance by FEMA and related documents.	Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.	GRS 18, 10
SEC-21	<u>Staff Visit Files.</u> Document gathered on scheduled or special visits (other than for inspections, surveys, or audits) to perform staff or technical supervision or to conduct studies. This item does not apply to visits in connection with a specific process or case, which should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visits, recommendations, and other related documents.		
SEC-21-1	Files of office performing visit.	Destroy 1 year after completion of next visit or on completion of related study, whichever is sooner.	N1-311-86-1 1H2a
SEC-21-2	Files of office visited.	Destroy when 1 year old or on completion of next visit, whichever is sooner.	N1-311-86-1 1H2b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-22	<u>Technical Security Management Files.</u> Documents on technical security subjects such as long-range planning, programming, and budgeting of resources, development of policies and procedures, operations functions of the organization, and ADP, TEMPEST, COMSEC, etc.	Cut off at end of calendar year. Retire to FRC 3 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 1H5
SEC-23	<u>Investigative Files.</u> Investigative files accumulating from investigations of fires, explosions, and accidents consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	Destroy when 2 years old.	GRS 18, 11
SEC-24	<u>Reference Paper Files.</u> Documents used to facilitate, control, or supervise the performance of a specific function, process, or action--as distinguished from those records necessary for documenting performance of a function, process, or action. Reference textual files consist of notes, drafts, feeder reports, news clippings, working papers, and other material gathered for preparation of a communication, study, investigation, survey, inspection, or other action and documents received for general information purposes that call for no action and are not needed to document specific functions.	Destroy 1 year after completion of action or when no longer needed for current operations, whichever is sooner.	N1-311-86-1 1H3
SEC-25	<u>Interagency Committee Background Files.</u> Correspondence and other records relating to the reports of interagency committees, working groups, and task forces associated with the Office of Security.	Destroy when no longer needed.	N1-311-86-1 1H1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-26	<u>Security Identification Accountability Files.</u> Registers and other documents used to keep an account of identification cards and badges for access to FEMA facilities.	Destroy 3 years after last card or badge numbers entered have been accounted for.	N1-311-86-1 1H13
SEC-27	<u>Security Equipment Files.</u> Documents gathered for determining the uses and types of security equipment for protecting classified documents and materials.	Destroy when obsolete or superseded.	N1-311-86-1 1H10
SEC-28	<u>Property Pass Files.</u> Property pass files, authorizing removal of property or materials.	Destroy 3 months after expiration or revocation.	GRS 18, 12
SEC-29	<u>Guard Assignment Files.</u> Files relating to guard assignments and strength.		
SEC-29-1	Ledger records.	Destroy 3 years after final entry.	GRS 18, 13a
SEC-29-2	Requests, analyses, reports, changes notices, and other papers relating to post assignments and strength requirements.	Destroy when 2 years old.	GRS 18, 13b
SEC-30	<u>Police Functions Files.</u> Files relating to exercise of police functions.		
SEC-30-1	Ledger records of arrest, cars ticketed, and outside police contacts.	Destroy 3 years after final entry.	GRS 18, 14a
SEC-30-2	Reports, statement of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations.	Destroy when 2 years old.	GRS 18, 14b
SEC-30-3	Reports on contact of outside police with building occupants.	Destroy when 1 year old.	GRS 18, 14c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-31	<u>Personal Property Accountability Files.</u> Files relating to accountability for personal property lost or stolen.		
SEC-31-1	Ledger files.	Destroy 3 years after final entry.	GRS 18, 15a
SEC-31-2	Reports, loss statements, receipts, and other documents relating to lost and found articles.	Destroy when 1 year old.	GRS 18, 15b
SEC-32	<u>Key Accountability Files.</u> Files relating to accountability for keys issued.		
SEC-32-1	For areas under maximum security.	Destroy 3 years after turn-in of key.	GRS 18, 16a
SEC-32-2	For other areas.	Destroy 6 months after turn-in of key.	GRS 18, 16b
SEC-33	<u>Visitor Control Files.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.		
SEC-33-1	For areas under maximum security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate.	GRS 18, 17a
SEC-33-2	For other areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate.	GRS 18, 17b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-34	<u>Facilities Checks Files.</u> Files relating to periodic guard force facility checks.		
SEC-34-1	Data sheets, door slips summaries, check sheets, and guard reports on security violations (except copies in files of FEMA security offices covered by SEC-41 or this schedule.	Destroy when 1 year old.	GRS 18, 18a
SEC-34-2	Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in SEC-41 of this schedule.	Destroy when 1 month old.	GRS 18, 18b
SEC-35	<u>Guard Service Control Files.</u>		
SEC-35-1	Control center key or code records, emergency call cards, and building record and employee identification cards.	Destroy when superseded or obsolete.	GRS 18, 19a
SEC-35-2	Round reports, service reports on interruptions and tests, and punch clock dial sheets.	Destroy when 1 year old.	GRS 18, 19b
SEC-35-3	Automatic machine patrol charts and registers of patrol and alarm services.	Destroy when 1 year old.	GRS 18, 19c
SEC-35-4	Arms distribution sheets, charge records, and receipts.	Destroy 3 months after return of arms.	GRS 18, 19d
SEC-36	<u>Logs and Registers.</u> Guard logs and registers not covered elsewhere in this schedule.		
SEC-36-1	Central guard office master logs.	Destroy 2 years after final entry.	GRS 18, 20a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-36-2	Individual guard post logs of occurrences entered in master logs.	Destroy 1 year after final entry.	GRS 18, 20b
<i>PERSONNEL SECURITY CLEARANCE RECORDS</i>			
SEC-37	<u>Security Clearance Administrative Subject Files.</u> Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 18, 21
SEC-38	<u>Personnel Security Clearance Files.</u> Personnel security case files created under OPM procedures and regulations and related indexes maintained by the Office of Security.		
SEC-38-1	Case files documenting the processing of investigation on FEMA employees or applicants for FEMA employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, EXCLUDING copies of investigative reports furnished by the investigating agency.	Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.	GRS 18, 22a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-38-2	Personnel security clearance case files created under Office of Personnel Management Procedures and regulations and related indexes maintained by the personnel security office.		
SEC-38-2-1	Investigative reports and related documents created or received by FEMA for use in making security/suitability determinations.	Place in inactive files after notification of death, separation, or transfer of employee, or expiration of contract relationship. Cut off inactive files semi-annually and transfer to FRC. Destroy 15 years after cutoff.	N1-311-94-1 a
SEC-38-2-2	Investigative reports and related documents created or received by FEMA for use in making security/suitability determinations, that result in substantially actionable issue(s), adverse adjudication, or debarment.	Place in inactive files after notification of death, separation, or transfer of employee, or expiration of contract relationship. Cut off inactive files semi-annually and transfer to FRC. Destroy 25 years after cutoff.	N1-311-94-1 b
SEC-38-3	Index to the Personnel Security Case Files.	Destroy with related case file.	GRS 18, 22c
SEC-39	<u>Security Briefing and Debriefing Files.</u> Documents on security briefings and debriefings of personnel with authorized access to classified material.	Destroy 2 years after transfer or separation of personnel.	N1-311-86-1 1H12
SEC-40	<u>Personnel Security Clearance Status Files.</u> Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete.	GRS 18, 23

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-41	<u>Security Violations Files.</u> Case files relating to investigations of alleged violations of Executive Orders, laws, or FEMA regulations for the safeguarding of national security information.	Destroy 5 years after close of case.	GRS 18, 24a
SEC-41-1	Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense (DOJ or DoD) for prosecutive determination, EXCLUDING files held by DOJ or DoD offices responsible for making such determinations.		
SEC-41-2	All other files, exclusive of documents placed in official personnel folders.	Destroy 2 years after completion of final action.	GRS 18, 24b
SEC-42	<u>Classified Information Nondisclosure Agreements.</u> Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for employees working for elements of the intelligence community must be maintained separately from the OPF. For all other persons, these forms may be filed on the right side of the official personnel folder.	Destroy when 70 years old.	GRS 18, 25a
SEC-42-1	If maintained separately from the individual's official personnel folder.		
SEC-42-2	If maintained in the individual's official personnel folder.	Apply the disposition for the official personnel folder (see PER-1).	GRS 18, 25b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
<i>MANDATORY REVIEW FOR DECLASSIFICATION RECORDS</i>			
SEC-43	<u>Mandatory Review for Declassification Control Files.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.		
SEC-43-1	Registers or listing.	Destroy 5 years after date.	GRS 14, 33a
SEC-43-2	Other files.	Destroy 5 years after final action by FEMA.	GRS 14, 33b
SEC-44	<u>Mandatory Review for Declassification Reports Files.</u> Reports relating to agency implementation of the mandatory review provisions of EO 12958, including annual reports submitted to ISOO.	Destroy when 2 years old.	GRS 14, 34
SEC-45	<u>Mandatory Review for Declassification Administrative Files.</u> Records relating to the general agency implementation of the mandatory review provisions of EO 12958, including notices memoranda, correspondence, and related records.	Destroy when 2 years old.	GRS 14, 35

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-46	<u>Mandatory Review for Declassification Requests Files.</u> Files created in response to requests for information under the mandatory review provisions of EO 12958 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.		
SEC-46-1	Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).		
SEC-46-1-1	Granting access to all the requested records.	Destroy 2 years after date of reply.	GRS 14, 31a(1)
SEC-46-1-2	Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.		
SEC-46-1-2-1	Request <u>not</u> appealed.	Destroy 2 years after date of reply.	GRS 14, 31a(2)(a)
SEC-46-1-2-2	Request appealed.	Destroy as authorized under SEC-47.	GRS 14, 31a(2)(b)
SEC-46-1-3	Denying access to all or part of the records requested.		
SEC-46-1-3-1	Request <u>not</u> appealed.	Destroy 5 years after date of reply.	GRS 14, 31a(3)(a)
SEC-46-1-3-2	Request appealed.	Destroy as authorized under SEC-47.	GRS 14, 31a(3)(b)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-46-2	Official file copy of requested records.	Dispose of in accordance with approved disposition instructions for the related records, or with the related mandatory review request, whichever is later.	GRS 14, 31b
SEC-46-3	Sanitizing instructions.	Destroy when superseded, or when requested documents are declassified or destroyed.	GRS 14, 31c
SEC-47	<p><u>Mandatory Review for Declassification Appeals Files.</u> Files created in responding to administrative appeals under the mandatory review provisions of EO 12958 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.</p>	Destroy 4 years after final determination by FEMA.	GRS 14, 32a
SEC-47-1	Correspondence and supporting document (EXCLUDING the official file copy or the records under appeal if filed herein.)	Destroy 4 years after final determination by FEMA.	GRS 14, 32a
SEC-47-2	Official file copy of records under appeal.	Dispose in accordance with disposition instructions for the related records, or with the related mandatory review request, whichever is later.	GRS 14, 32b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SEC-48	<p><u>Electronic Mail and Word Processing System Copies of Security Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>	<p>Destroy/delete within 180 days after the record keeping copy has been produced.</p>	<p>GRS 14, 37a for those items covered by GRS 14; GRS 16, 15a for those items covered by GRS 16</p>
SEC-48-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>	<p>Destroy/delete within 180 days after the record keeping copy has been produced.</p>	<p>GRS 14, 37a for those items covered by GRS 14; GRS 16, 15a for those items covered by GRS 16</p>
SEC-48-2	<p>Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Destroy/delete when dissemination, revision, or updating is completed.</p>	<p>GRS 14, 37b for those items covered by GRS 14; GRS 16, 15b for those items covered by GRS 16</p>

5-29. Shelters (SHL).

This schedule covers files relating to shelter programs, design of shelters, and management of public and private shelters.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SHL-1	<u>National Shelter Survey</u> . Correspondence and microfiche, showing shelter space by building for all facilities surveyed in States (including Phase I and II printouts).	Cut off when printout or microfilm is updated. Destroy when superseded or obsolete.	N1-311-86-1 4B3
SHL-2	<u>Regional Shelter Programming Files</u> . Documents accumulated by regional offices in planning, arranging, evaluating, and reporting on shelter programs in local planning areas. Files include schedules, region-wide program and evaluation data, and shelter program summary reports.	Cut off at end of calendar year. Retire to FRC 3 years after cutoff. Destroy 6 years after cutoff.	N1-311-86-1 4B4
SHL-3	<u>Community Shelter Plan (CSP) Files</u> . Documents relating to arrangements with and technical and financial assistance provided to State governments for establishing CSP's including the identification, scheduling, and coordination of CSP projects for their political subdivisions. Files include outlines of briefings to State governors; papers concerning the hiring, duties, and training of State CSP officers (CSPOS); advice on funds available for FSP projects; and schedules, costs, statements, and Army Corps of Engineers reports.		
SHL-3-1	FEMA-COE Area Contract Plan Files. Documents accumulated by FEMA in negotiating with the US Army Corps of Engineers for CSP's at the State and local levels, including the transfer of funds, allocation documents, reports, and related records.	Cut off on adoption of plan. Retire to FRC 3 years after cutoff. Destroy 8 years after cutoff.	N1-311-86-1 4B5a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SHL-3-2	FEMA-CSPOS Contract Files. Documents relating to CSPOS contracts, including inspection and progress reports, copies of change orders, and related records.	Cut off after final payment on contract. Destroy 3 years after cutoff.	N1-311-86-1 4B5b
SHL-4	<u>Public and Private Shelter Files.</u>		
SHL-4-1	Group Shelter Files. Documents created in promoting, sponsoring, supporting, and evaluating projects concerned with the design of shelters in schools, shopping centers, industrial enterprises, public buildings, and other structures for use by the general public (50 or more persons) in an emergency. Documents include communications with architectural firms, associations, and schools; requirement and design guidelines; design drawings and descriptive data; analyses; evaluations; and related records.		
SHL-4-1-1	Site surveys and studies, including feasibility studies, plans, and drawings, including sketches, architectural fact sheets, and layout drawings.	Cut off at end of calendar year in which documents were prepared. Destroy 3 years after cutoff.	N1-311-86-1 4B6a(1)
SHL-4-1-2	Construction specifications.	Cut off on completion of contract. Destroy 6 years after cutoff.	N1-311-86-1 4B6a(2)
SHL-4-2	Home Shelter (Private Dwelling) Files. Documents created in developing protection criteria for shelters in private homes, including drawings, specifications, home protection surveys (HPS), and other records on required protection for individual families in their homes.	Cut off at completion of contract. Destroy 3 years after cutoff.	N1-311-86-1 4B6b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SHL-5	<u>Shelter Supply Monitoring Files.</u> Documents created in monitoring and controlling the issuance, maintenance, transfer, shipment, and disposition of supplies and equipment furnished to State and local governments for stocking licensed fallout shelters. Files include copies of requisitions; procurement documents; notifications of relocation of excess stocks; requests and approvals for replacement of lost, damaged, or stolen supplies and equipment; inspection reports; copies of shipping documents; supply action cancellation requests; and communications with State and local government officials about shelter supplies.	Cut off at end of fiscal year. Destroy 3 years after cutoff.	N1-311-86-1 4B7
SHL-6	<u>Information Retrieval Files.</u> Documents accumulated as a result of liaison and coordination with technical, scientific, industrial, and government groups to obtain information for use by other FEMA elements in developing new concepts and advanced thinking on civil defense technical subjects. Files include invitations to meetings, conference reports, and presentations.	Cut off at end of calendar year. Destroy 5 years after cutoff.	N1-311-86-1 4B8
SHL-7	<u>Institutional Studies Files.</u> Documents relating to furnishing and obtaining advice and technical information in liaison with professional organizations, licensing and accrediting authorities, schools, colleges, departments or architecture and engineering, committees, research and development sources, and similar groups. Files include pamphlets, specifications, statistics, memoranda of understanding, and functional data.	Destroy when superseded or obsolete, or 3 years after preparation, whichever is sooner.	N1-311-86-1 4B9

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SHL-8	<u>Professional Development Technical Assistance (Shelter Program) Files.</u> Documents created in arranging for contract consultants to advise and assist architects and engineers in designing or modifying buildings and structures to obtain or increase fallout protection at little or no additional cost. Files include State and local requests for such services, approvals, and notification to consultants.	Cut off at close of contract year. Destroy 3 years after cutoff.	N1-311-86-1 4B10
SHL-9	<u>Technical Shelter History Files.</u> Records detailing shelter development, maps, drawings, and correspondence, primarily relating to construction of Federal Regional Centers (FRC), in microfiche format.		
SHL-9-1	Silver master.	Retire microfiche to FRC when 5 years old. Destroy when 20 years old.	N1-311-86-1 4B16a
SHL-9-2	Reference copies of microfiche.	Destroy when no longer needed.	N1-311-86-1 4B16b
SHL-9-3	Textual records.	Destroy when microfiche is verified.	N1-311-86-1 4B16c
SHL-10	<u>National Shelter and Crisis Relocation Planning Surveys.</u>		
SHL-10-1	Master Files. Advertising material and administrative documents (instructions, forms, etc.) pertaining to the conduct of a shelter survey.	Destroy when superseded or obsolete.	N1-311-86-1 4B18a
SHL-10-2	Survey Files. Engineering analyses and documents generated during the course of a shelter survey.	Destroy when superseded or obsolete.	N1-311-86-1 4B18b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
SHL-10-3	Data Input File (FEMA Form 85-5). Used to input the shelter survey data file and population protection data file.	Destroy 6 months after generation of new file.	N1-311-86-1 4B18c
SHL-11	<u>Shelter Development Files.</u>		
SHL-11-1	Fallout Shelter Analyses. Certification sheets identifying background information for individuals who are certified in microfiche format.	Destroy when superseded or obsolete.	N1-311-86-1 4B21a
SHL-11-2	Shelter Surveys - Technician (SSTs) Files. Certification sheets of college students who have passed the Shelter Survey Technician Course.	Destroy when superseded or obsolete.	N1-311-86-1 4B21b

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5-30. Telecommunications (TEL).

This schedule covers records relating to communications, telephones, maintenance, and statistical reports.

NOTE: Telecommunication records maintained on electronic equipment are covered in schedule EDP.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TEL-1	<u>Communication General Files.</u>		
TEL-1-1	Correspondence and related records pertaining to internal administration and operation.	Destroy when 2 years old.	GRS 12, 2a
TEL-1-2	Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	Destroy when 3 years old.	GRS 12, 2b
TEL-1-3	Telecommunications statistical reports including cost and volume data.	Destroy when 1 year old.	GRS 12, 2c
TEL-1-4	Telecommunications voucher files, including reference copies of vouchers, bills, invoices, and related records.	Destroy when 1 fiscal year old.	GRS 12, 2d(1)
TEL-1-5	Records relating to installation, change, removal, and servicing of equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner.	GRS 12, 2d(2)
TEL-1-6	Copies of agreements with background data and other records relating to agreements for telecommunications services.	Destroy 2 years after expiration or cancellation of agreement.	GRS 12, 2e
TEL-2	<u>Telecommunications Operational Files.</u>		
TEL-2-1	Message registers, logs, performance reports, daily load reports, and related and similar records.	Destroy when 6 months old.	GRS 12, 3a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TEL-2-2	Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message, maintained by communications offices or centers.	Destroy when 2 years old.	GRS 12, 3b
TEL-3	<u>Communications Systems Files.</u> Documents relating to maintenance (engineering), installation, test, and evaluation activities.	Destroy when superseded or obsolete.	N1-311-86-1 5G14
TEL-4	<u>Telephone Toll Tickets.</u> Originals and copies of toll tickets filed in support of telephone toll call payments.	Destroy after GAO audit or when 3 years old, whichever is sooner.	GRS 6, 8
TEL-5	<u>Service Request Files.</u> Documents relating to State and local requests for communications services or their termination, including requests, recommendations, and approvals.	Destroy when no longer needed.	N1-311-86-1 4B1
TEL-6	<u>Telephone Use (call Detail) Records.</u> Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions, and electronic mail) during a specified period provided by a telephone company, GSA, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative followup. Included is such information as the originating number, destination number, destination city, and state, date, and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with Accountable Officers' Accounts Records (ACC-1-1).	Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.	GRS 12, 4

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TEL-7	<p><u>Electronic Mail and Word Processing System Copies of Personnel Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination. This schedule item does not apply to TEL-3 or TEL-5.</p>		
TEL-7-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>	<p>Destroy/delete within 180 days after the record keeping copy has been produced.</p>	<p>GRS 6, 12a for items covered by GRS 6; GRS 12, 9a for items covered by GRS 12</p>
TEL-7-2	<p>Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Destroy/delete when dissemination, revision, or updating is completed.</p>	<p>GRS 6, 12b for items covered by GRS 6; GRS 12, 9b for items covered by GRS 12</p>

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6-31. Temporary Housing (THP).

This schedule covers records pertaining to the Temporary Housing Program. Included are assistance, contract, and maintenance files.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
THP-1	<u>General Files.</u> Files maintained by the Temporary Housing Coordinator cover overall administrative management program and information functions. These files include such items as delegations of authority, mission assignments, and official correspondence with State and local government officials.	Consolidate at appropriate regional office at the end of Phase II, when shelterees are moved to permanent housing. Retire to FRC 1 year after files are consolidated. Destroy 3 years after files are consolidated.	N1-311-86-1 4C8a
THP-2	<u>Temporary Housing Assistance Program Files.</u> These files cover the entire process of applicant and occupant assistance as well as any additional Disaster Housing Office (DHO) mission assignment activity (e.g., mobile home operations, supplemental assistance, and minimal repair assistance).	(See sub-categories THP-2-1 through THP-2-4-4 for disposition instructions.)	
THP-2-1	Master Occupant/Applicant Files. These files contain all original occupant-related documents (e.g., site requests, mobile home sales documents, leases, and contracts).	Consolidate at regional office at end of Phase II. Retire to FRC 1 year after files are consolidated. Destroy 6 years and 3 months after files are consolidated.	N1-311-86-1 4C8b(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
THP-2-2	Working Field Applicant/Occupant Files. These files contain copies of occupant-related documents.	Review at end of Phase I operation (that is, when all qualified occupants receive temporary housing) to ensure all occupant-related original documents are in the master occupant/ applicant files or Mobile Home Storage Program files, as appropriate. Destroy upon termination of assistance to occupant.	N1-311-86-1 4C8b(2)
THP-2-3	Working files for Phase I mobile home operations to minimal repairs containing copies of occupant-related documents.	Destroy upon termination of assistance to occupant.	N1-311-86-1 4C8b(3)
THP-2-4	Control records and log relating to temporary housing assistance program files.	Forward to appropriate regional office at end of Phase II. Retire to FRC 1 year after end of Phase II. Destroy 6 years and 3 months after end of Phase II.	N1-311-86-1 4C8b(4)
THP-3	<u>Contract Files.</u>		
THP-3-1	Mobile Home Contract files containing copies of contract modifications, site requests, waivers, work orders, and related records.	Review at end of Phase I to ensure all occupant-related original documents are in the Master File. Destroy 6 years and 3 months after review.	N1-311-86-1 4C8c(1)

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
THP-3-2	National Office Standby Contract files containing copies of work orders, modifications, waivers, and related records.	Review at end of Phase I to ensure all occupant-related original documents are in the Master File. Destroy 6 years and 3 months after closeout of contract.	N1-311-86-1 4C8c(2)
THP-3-3	Maintenance Contract files containing copies of contract modifications.	Review at end of Phase II. Destroy 6 years and 3 months later.	N1-311-86-1 4C8c(3)
THP-3-4	Mobile Home Storage Program Strategic Storage Center (SSC) Files. These files are found in the SSC and include correspondence and procedures related to mobile home and travel trailer units owned by FEMA.		
THP-3-4-1	Correspondence on mobile home and travel trailer accountability and inventory, technical standards, management reviews, copies of contracts with research and development organizations, and miscellaneous housekeeping documents.	Cut off at the end of the calendar year. Retire to inactive storage on site 1 year after cutoff. Destroy 3 years after cutoff.	N1-311-86-1 4C8d(1)
THP-3-4-2	Mobile Home and Travel Trailer Unit Files. Records relating to the purchase, disposition, contracting, maintenance, bills of lading, inspection reports, dispatch tickets, requests for shipments, waivers, and permits relating to mobile home and travel trailer units.	Cut off when mobile home or travel unit is sold or declared excess property. Destroy 6 years and 3 months after cutoff.	N1-311-86-1 4C8d(2)

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5-32. Training and Education (TNG).

This schedule covers all training records, NETC training, and general training material.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-1	<u>Training Records.</u> General files of FEMA-sponsored training EXCLUDING records of the National Emergency Training Center (NETC) which trains personnel in specialized program areas, such as emergency management and fire protection, and record copy of manuals, syllabuses, textbooks, and other training aids developed by FEMA, which are permanent records covered under TNG-7.	Destroy when 5 years old or 5 years after completion of a specific training program.	GRS 1, 29(a)(1)
TNG-1-1	Correspondence, memoranda, agreements, authorizations, reports, requirements reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program.	GRS 1, 29(a)(1)
TNG-1-2	Background and working files.	Destroy when 3 years old.	GRS 1, 29a(2)
TNG-2	<u>Employee Training.</u> Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.	GRS 1, 29b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-3	<u>Electronic Mail and Word Processing System Copies of Personnel Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	Destroy/delete within 180 days after the record keeping copy has been produced.	GRS 1, 43a for items covered by GRS 1 only
TNG-3-1	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.	Destroy/delete within 180 days after the record keeping copy has been produced.	GRS 1, 43a for items covered by GRS 1 only
TNG-3-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Destroy/delete when dissemination, revision, or updating is completed.	GRS 1, 43b for items covered by GRS 1 only
TNG-4	CATEGORY RESERVED FOR FUTURE USE.		
TNG-5	<u>Training Aids.</u> Manuals, syllabuses, textbooks, and other training aids on management and technical subjects developed by FEMA or under control for FEMA, EXCEPT those maintained by NETC (see TNG-7 of his schedule).	Destroy when superseded or obsolete.	N1-311-86-1 1L1

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-6	<u>NETC Program Subject Files.</u> All major documentation required to administer NETC programs on a daily basis, including correspondence, policy statements, management reports, and statements of objectives and accomplishments created by the NFA and EMI supervisors. Arrange alphabetically by subject.	PERMANENT. Cut off at end of fiscal year. Retire to FRC 5 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 3A2
TNG-7	<u>NETC Training Files.</u> Documents created in establishing, reviewing, approving, and revising courses of instruction and training packets (courses, workshops, and seminars). Included are courses of instruction on training programs, syllabuses, lesson plans, and documents pertaining to coordinating actions, approvals, revisions, and changes.		
TNG-7-1	Training Texts and Instructions. Record copy of each syllabus, course of instruction, and lesson plan. Arrange alphabetically by name of course.	PERMANENT. Cut off when superseded or obsolete. Retire to FRC 1 year after cutoff. Transfer to National Archives 20 years after cutoff.	N1-311-86-1 3A3a
TNG-7-2	Drafts, notes, and other working papers.	Destroy when superseded or obsolete.	N1-311-86-1 3A3b
TNG-7-3	Programs of instruction.	Destroy when superseded or obsolete.	N1-311-86-1 3A3c
TNG-7-4	Course accreditation files.	Destroy when superseded or obsolete.	N1-311-86-1 3A3d

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-8	<u>Training Evaluation and Improvement Files.</u> Documents accumulated in planning, developing, and carrying out projects designed to evaluate ongoing training activities or to develop new training programs, activities, and techniques.	Destroy when superseded or obsolete.	N1-311-86-1 3A5
TNG-9	<u>State and Local Emergency Management Training Files.</u>		
TNG-9-1	Project Files. Documents accumulated in monitoring and assisting in the administration of Comprehensive Cooperative Agreement (CCA) projects conducted under contract with FEMA. Included are recommended approvals or disapprovals and certifications, CCA's, authorizations to purchase equipment and similar requests, and lists of contract employees.	Cut off on completion of contract. Destroy 6 years and 3 months after cutoff.	N1-311-86-1 3A4a
TNG-9-2	Training Conference Files. Documents relating to conferences conducted by FEMA for State, county and municipal officials, community leaders, and leaders of special organizations and associations. The conferences are designed to provide information and instructions that will enable the participants to contribute more effectively to the emergency management efforts of their communities. included are requests for and notifications of conferences, approvals for special conferences, papers relating to conference arrangements, and conference reports.	Cut off at end of fiscal year. Destroy 6 years after cutoff.	N1-311-86-1 3A4b
TNG-10	<u>Student Locator Cards.</u> Registers, ledgers, or card files maintained for ready reference on NETC students.	Destroy when no longer needed.	N1-311-86-1 3A6

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-11	<u>NETC Admission Applications.</u> Record copy of each student's application for admittance to an NETC course (FEMA Form 75-5, General Admission Application). Arrange alphabetically by course title.		
TNG-11-1	Applications on students accepted for admission.	Cut off at end of fiscal year. Retire to FRC 5 years after cutoff. Destroy 40 years after cutoff.	N1-311-88-2 1A
TNG-11-2	Applications on students NOT accepted for admission.	Cut off at end of fiscal year. Destroy 1 year after cutoff.	N1-311-88-2 1B
TNG-12	<u>Student Stipend Agreement.</u> Original signed copy of FEMA Form 75-3, Financial Aid Agreement.	Cut off at end of fiscal year. Destroy 6 years and 3 months after cutoff.	N1-311-88-2 2
TNG-13	<u>Summer Shelter Survey Program.</u> A correspondence course for engineering/architecture students.		
TNG-13-1	Answer cards for each student on units 1 through 11.	Destroy when 2 years old.	N1-311-89-1 1a
TNG-13-2	On final examination, Parts A and B.	Destroy when 2 years old.	N1-311-89-1 1b
TNG-13-3	Grade sheet (summation of all answer cards).	Destroy when 2 years old.	N1-311-89-1 1c
TNG-13-4	Lists of all qualified students.	Destroy when 2 years old.	N1-311-89-1 1d

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TNG-14	<u>Hazardous Materials (HAZMAT) Training Records.</u> Records, including refresher training, documenting competency of individuals qualified to instruct employees in HAZMAT according to 29 CFR 1910.120.	Cut off on decertification of instructor, or upon termination of employment. Destroy 1 year after cutoff.	N1-311-93-1

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5-33. Travel and Transportation (TRV).

This schedule covers records relating to the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, vouchers, and similar records, including those prescribed by Title 5 of the General Accounting Office (GAO) Policy and Procedures Manual. Record copies of all travel transportation, and freight records used to support payments become components of the accountable officers' accounts. Their disposition is covered by ACC-1, ACC-10, ACC-11, or ACC-15.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TRV-1	<u>Commercial Freight and Passenger Transportation Files.</u>		
TRV-1-1	Original vouchers and supporting documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item TRV-1-2.	Destroy 6 years after the period of the account.	GRS 9, 1a
TRV-1-2	Records covering payment for commercial freight and passenger transportation charges for services for which (1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, (2) deduction or collection action has been taken, (3) voucher contains inbound transit shipment(s), (4) parent voucher has print of paid supplemental bill associated (5) voucher has become involved in litigation, or (6) any other condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6-year retention period, such as detection of overcharge.	Destroy when 10 years old.	GRS 9, 1b
TRV-1-3	Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.	Destroy 6 years after the period of the account.	GRS 9, 1c

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TRV-1-4	Obligation copy of commercial passenger transportation vouchers.	Destroy when funds are obligated.	GRS 9, 1d
TRV-1-5	Unused ticket redemption forms, such as SF 1170.	Destroy 3 years after the year in which the transaction is completed.	GRS 9, 1e
TRV-2	<u>Lost or Damaged Shipments Files.</u> Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Destroy when 6 years old.	GRS 9, 2
TRV-3	<u>Noncommercial, Reimbursable Travel Files.</u> Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.		
TRV-3-1	Travel administrative office files.	Destroy when 6 years old.	GRS 9, 3a
TRV-3-2	Obligation copies.	Destroy when funds are obligated.	GRS 9, 3b
TRV-4	<u>General Travel and Transportation Files.</u>		
TRV-4-1	Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation functions, not covered elsewhere in this schedule.	Destroy when 2 years old.	GRS 9, 4a
TRV-4-2	Accountability records documenting the issue or receipt of accountable documents.	Destroy 1 year after all entries are cleared.	GRS 9, 4b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TRV-5	<u>Employee Travel Files.</u> Correspondence, requests, travel authorizations and orders, itineraries, and similar records maintained by the Financial Management Officer.	Destroy when 1 year old or when reimbursement has been paid, whichever is sooner.	N1-311-86-1 1K5
TRV-6	<u>Trip Reports.</u> Documents reflecting activities engaged in on official travel of employees for the purpose of orientation, rendering assistance, or conducting studies, exclusive of reports regarding management approach.	Destroy when 3 years old.	N1-311-86-1 1K9
TRV-7	<u>Official Passport Records.</u>		
TRV-7-1	Application Files. Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.	Destroy when 3 years old or upon separation of the bearer, whichever is sooner.	GRS 9, 5a
TRV-7-2	Annual reports to the Department of State concerning the number of official passports issued and related matters.	Destroy when 1 year old.	GRS 9, 5b
TRV-7-3	Passport registers and lists of FEMA personnel who have official passports.	Destroy when superseded or obsolete.	GRS 9, 5c

NOTE: Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TRV-8	<u>Non-Federal Funded Travel.</u>		
TRV-8-1	Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive Branch agencies to the Office of Government Ethics. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses for an employee who attends a meeting or similar function relating to official duties.	Destroy when 4 years old.	GRS 9, 6a
TRV-8-2	Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federal Funded Travel.	Destroy 1 year after submission of report to the Office of Government Ethics.	GRS 9, 6b
TRV-9	<u>Federal Employee Transportation Subsidy Records.</u> Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.	Destroy when 3 years old.	GRS 9, 7

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
TRV-10	<p><u>Electronic Mail and Word Processing System Copies of Travel and Transportation Records.</u> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination. This category does not apply to TRV-5 or TRV-6.</p>		
TRV-10-1	<p>Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directorates on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p>	<p>Destroy/delete within 180 days after the record keeping copy has been produced.</p>	<p>GRS 9, 8a</p>
TRV-10-2	<p>Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Destroy/delete when dissemination, revision, or updating is completed.</p>	<p>GRS 9, 8b</p>

5-34. Warning Systems (WNG).

This schedule covers records relating to the Emergency Alert System (previously known as the Emergency Broadcast System (EBS)) and other emergency warning systems.

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
WNG-1	<u>Emergency Alert System (EAS) Files.</u> Plans, policy guidance agreements, and studies mutually conducted by FEMA and the Federal Communications Commission (FCC), including reports generated such as EAS all-station reports and related reports.	PERMANENT. Cut off at end of calendar year. Retire to FRC 1 year after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5G11
WNG-2	<u>EAS State Plans.</u> Documents relating to EAS plans and communications equipment standards and specifications prepared by State and local industry advisory committees. These are forwarded through FEMA channels to the FCC for review, but maintained by FEMA.		
WNG-2-1	Approved EAS plans and specifications. Arrange alphabetically by State.	PERMANENT. Cut off when plan is superseded or obsolete. Retire to FRC 1 year after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4B14a
WNG-2-2	Working papers created in developing EAS plans and specifications.	Destroy when plan is approved.	N1-311-86-1 4B14b

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
WNG-3	<u>Special EAS Study Files.</u> Documents relating to special studies conducted in connection with difficult non-recurring projects in order to provide solutions to missions assigned. Included are worksheets, records of methodology, charts, maps, notes, memoranda, records of meetings, and official studies.	PERMANENT. Cut off at end of calendar year of issuance. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4B15a
WNG-3-1	Final EAS Studies. Arrange alphabetically by State.	PERMANENT. Cut off at end of calendar year of issuance. Retire to FRC 3 years after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 4B15a
WNG-3-2	Working papers created in developing special EAS studies.	Cut off when special study is issued. Retire to FRC 3 years after cutoff. Destroy 10 years after cutoff.	N1-311-86-1 4B15b
WNG-4	<u>Frequency Allocation Files.</u> Computerized list of emergency broadcast radio frequency allocations assigned by the FCC to State and local governments and emergency services (fire, police, ambulance) consisting of frequency, location, and type of service.	Erase data when superseded or obsolete.	N1-311-86-1 4B13
WNG-5	<u>Warning Systems Files.</u>	PERMANENT. Cut off at end of calendar year. Retire to FRC 1 year after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5G13a
WNG-5-1	Planning and policy guidance documents, correspondence, and memoranda relating to the operation of the various warning systems under FEMA's charter. Arrange by subject.	PERMANENT. Cut off at end of calendar year. Retire to FRC 1 year after cutoff. Transfer to National Archives in 5-year blocks 20 years after cutoff.	N1-311-86-1 5G13a

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
WNG-5-2	Survey and study papers accumulated to determine warning capability, including names of volunteer wideband radio listeners, and lists of custodians of DIDS receivers.	Destroy when superseded or obsolete.	N1-311-86-1 5G13b
WNG-5-3	Locator maps depicting the location of warning points throughout the United States.	Destroy when superseded or obsolete.	N1-311-86-1 5G13c
WNG-5-4	Equipment inventories.	Destroy when superseded or obsolete.	N1-311-86-1 5G13d
WNG-6	<u>Radio Amateur Civil Emergency Service (RACES) Files.</u> Documents on the management of the RACES system including those relating to the NIAC.	Destroy when no longer needed.	N1-311-86-1 5G12

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