

DEPARTMENT OF THE INTERIOR  
**MINERALS MANAGEMENT SERVICE MANUAL**

TRANSMITTAL SHEET

Release No. 241

March 12, 1997

**SUBJECT:** Administrative Series  
Part 380 Records Management  
Chapter 2 Maintenance, Use, and Disposition Records Management Handbook

**EXPLANATION OF MATERIAL TRANSMITTED:**

This release transmits revisions to Chapters 1 through 8 in the handbook on records procedures. The procedures outline the purpose of establishing a records program, how to develop a files plan, subject files, automated records, special types of records (proprietary, FOIA and Privacy Act) and instructions on how to transfer records.



Associate Director for  
Administration and Budget

**FILING INSTRUCTIONS:**

**REMOVE:**  
Handbook

**INSERT:**  
Handbook

Table of Contents

Table of Contents

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Release</u>
380	2	1-1/52	165
		2-1/14	
		3-1/18	
		4-1/4	
		5-1/4	
		6-1/6	
		7-1/4	
		8-1/20	

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Release</u>
380	2	1-1	241
		2-1/2	
		3-1/2	
		4-1/3	
		5-1/7	
		6-1/3	
		7-1/10	
		None	

**OPR:** Information Resources Management Division  
Office of Administration and Budget

TABLE OF CONTENTS

CHAPTER 1. INTRODUCTION		Page
1. Purpose . . . . .		1-1
2. Objectives . . . . .		1-1
3. Definitions, References, and Abbreviations . . . . .		1-1
4. System Concepts . . . . .		1-1
5. Government Ownership of Records . . . . .		1-1

CHAPTER 2. PLANNING AND ARRANGING FILES		
1. Official File Stations/Rooms . . . . .		2-1
2. Network System--Location of Official Records . . . . .		2-1
3. Centralization vs. Decentralization of File Stations . . . . .		2-1
A. Centralized Files . . . . .		2-1
B. Decentralized Files . . . . .		2-1
4. Basic Types (Groups) of Files . . . . .		2-1
A. Subject (General) Files . . . . .		2-1
B. Transitory Correspondence Files . . . . .		2-1
C. Case Files . . . . .		2-1
D. Case Working Documents . . . . .		2-2
E. Technical Reference Files . . . . .		2-2
F. Convenience Files . . . . .		2-2
5. Management Within Separate File Groups . . . . .		2-2

CHAPTER 3. FILES PLAN AND FILES MAINTENANCE PROCEDURES		
1. Purpose of File Plan . . . . .		3-1
2. File Plan Requirement . . . . .		3-1
3. Plan Development and Arrangement . . . . .		3-1
4. Review and Approval . . . . .		3-1
5. Avoid Unnecessary Filing . . . . .		3-1
6. Extra Copies . . . . .		3-1
7. Classifying Records for Filing. . . . .		3-1
8. Cross Referencing . . . . .		3-1
9. Filing Proprietary Records . . . . .		3-2
10. Add Disposition Date . . . . .		3-2
11. Placing Materials in File Folders . . . . .		3-2

CHAPTER 4. SUBJECT FILES		
1. Purpose . . . . .		4-1
2. Distinction Between Subject and Other File Groups . . . . .		4-1

3.	Arrangement of Subject Outlines . . . . .	4-1
4.	Subject File Codes . . . . .	4-1
5.	Functional System . . . . .	4-2
6.	Segregation of "Mission" and "Nonmission" Records . . .	4-2
	A. Mission Files . . . . .	4-2
	B. Nonmission Files . . . . .	4-2
7.	Application of the System . . . . .	4-2
	A. Mission Subjects . . . . .	4-2
	B. Nonmission Subjects . . . . .	4-2
8.	Selection of Subtopics . . . . .	4-2
9.	Further Subdivisions and Additions of Topics . . . . .	4-2
10.	Basic Steps in Classifying . . . . .	4-3

CHAPTER 5. MEDIUM OTHER THAN PAPER

1.	Microform . . . . .	5-1
	A. Standards . . . . .	5-1
	B. Disposition of Permanent Microform Records . . . .	5-1
2.	Cartographic Materials and Drawings . . . . .	5-2
3.	Electronic Records . . . . .	5-3
	A. Scheduling . . . . .	5-3
	B. Preservation and Transfer of Electronic Records . .	5-3
	C. Documentation . . . . .	5-4
4.	Audiovisual Records . . . . .	5-4
	A. Nitrate Film . . . . .	5-4
	B. Unstable Safety Film . . . . .	5-4
	C. Storage Conditions . . . . .	5-4
	D. Maintenance and Operations . . . . .	5-5
	E. Formats . . . . .	5-6

CHAPTER 6. SPECIAL INSTRUCTIONS

1.	Privacy Act . . . . .	6-1
2.	Proprietary Data/Information . . . . .	6-1
3.	Freedom of Information Act . . . . .	6-1
4.	Indian Land Records . . . . .	6-1
5.	Records for Audit by the GAO . . . . .	6-2
6.	The General Records Schedule . . . . .	6-2
7.	Other Copies . . . . .	6-2
8.	Contractor Records . . . . .	6-2
	A. Rights-In-Data Clauses . . . . .	6-2
	B. Deliverables . . . . .	6-2

9. Vital Records . . . . .	6-3
----------------------------	-----

CHAPTER 7. RECORDS DISPOSITION PROGRAM

1. Objectives . . . . .	7-1
2. Disposition Explained . . . . .	7-1
A. Transfer . . . . .	7-1
B. Destruction . . . . .	7-1
3. Disposition Authority . . . . .	7-1
4. Application for Review of Schedule . . . . .	7-2
A. Recommendations . . . . .	7-2
B. Proposed Records Disposition Schedule Revisions . . . . .	7-2
C. The Records Manager . . . . .	7-2
D. Additions or Changes to the Records Schedule . . . . .	7-3
5. Microform Records . . . . .	7-3
6. Records for Audit by the GAO . . . . .	7-3
7. Cutoff Standards . . . . .	7-3
8. Records Transfer Criteria . . . . .	7-3
A. Reference Rate . . . . .	7-3
B. Retention Less Than 1 Year . . . . .	7-4
9. Federal Records Centers . . . . .	7-4
10. The FRC Boxes . . . . .	7-4
11. General Transfer Procedures . . . . .	7-4
A. Estimating Volume . . . . .	7-4
B. Review Prior to Boxing Records . . . . .	7-4
C. Packing Standard-Size Records . . . . .	7-4
D. Entering Agency Box and Accession Numbers . . . . .	7-5
12. Preparing Transmittal Forms--SF 135 . . . . .	7-5
A. Item 1. To . . . . .	7-5
B. Item 2. Agency Transfer Authorization . . . . .	7-5
C. Item 3. Agency Contact . . . . .	7-5
D. Item 6. Records Data . . . . .	7-5
13. Submission Instructions for SF 135 . . . . .	7-6
14. Processing the SF 135 . . . . .	7-6
15. Processing the SF 277 for Magnetic Tapes . . . . .	7-7
16. Signed SF 135 . . . . .	7-7
17. Referrals to Stored Records . . . . .	7-7
18. Disposal of Records by FRC's . . . . .	7-7

Appendix

Appendix 1 Mailing and Shipping Addresses of FRC's . . . . .	7-9
--	-----

## CHAPTER 1. INTRODUCTION

1. Purpose. The MMS Records Management Handbook is to promote economy and efficiency, maintenance, use, and ultimate disposition of MMS records.

2. Objectives. The objectives to be achieved through the application of records management standards and techniques are to:

A. Ensure uniformity and simplicity in maintaining records.

B. Provide control over the creation of file materials and prevent unnecessary files.

C. Facilitate the classification, filing, retrieval, charging out, and refiling of records.

D. Ensure the preservation of those records having continuing value to warrant their permanent retention.

E. Provide cutoff, destruction, or transfer of records in accordance with the approved records disposition schedule.

F. Ensure physical security and review recordkeeping practices on a continuing basis to improve procedures.

3. Definitions, References, and Abbreviations. See National Archives and Records Administration publication titled "A Federal Records Management Glossary", 1989 edition.

4. System Concepts. The records management system established by this handbook provides procedures for the management of records from creation to disposition.

5. Government Ownership of Records. Information received, created, or compiled by Federal employees, or contractors for MMS, is the property of the Federal Government. No Federal employee or contractor has any personal or property rights to any records developed or compiled by them. The unlawful destruction, removal from files, and use of official records is prohibited by the U.S. Criminal Code (18 U.S.C. 2071).

## CHAPTER 2. PLANNING AND ARRANGING FILES

1. Official File Stations/Rooms. Official file stations/rooms are specifically designated areas where official record copies of documents are maintained.
2. Network System--Location of Official Records. Planning the proper location of files collections is the first step in effective files maintenance. The network system of filing, or official file station concept, is based primarily on decentralized records locations with centralized control.
3. Centralization vs. Decentralization of File Stations.
  - A. Centralized Files. Centralize files when:
    - (1) More than one work unit has need for the same record;
    - (2) users are near the central file for prompt service; or
    - (3) proprietary material requires central filing.
  - B. Decentralized Files. Decentralize files when:
    - (1) Records are of interest to only one work unit;
    - (2) centralized filing is too far for efficient service;
    - (3) records must be immediately available to the user; or
    - (4) constant reference is made by a particular unit.
4. Basic Types (Groups) of Files. Identify and separate file types. A file group consists of a collection of file materials having similar characteristics and kept apart from other groups of records in the office. The following are types of file groups:
  - A. Subject (General) Files. This file group consists of originals or copies of letters, memorandums, telegrams, reports, and miscellaneous materials of a policy or procedure nature.
  - B. Transitory Correspondence Files. These files involve routine transactions and do not contain continuing reference value.
  - C. Case Files. Case files contain records relating to a specific action, event, person, location, organization, or product.

D. Case Working Documents. These are short-lived documents in connection with specific case or project files. Include background and working materials leading to final reports or findings.

E. Technical Reference Files. These are files of nonrecord value; technical reports, catalogs, periodicals, handbooks, etc.

F. Convenience Files. These consist of extra nonrecord copies of records kept solely to satisfy a particular need. Extra copy files should be established only when fully justified.

5. Mangement Within Separate File Groups. Once a file group is identified and separated within a file collection, the best method of arranging the material within each group must be determined. Additional subtopics may be selected to further subdivide records to accommodate individual needs:

- (1) Numerical,
- (2) chronological,
- (3) alphabetical, and
- (4) subjective.

## CHAPTER 3. FILES PLAN AND FILES MAINTENANCE PROCEDURES

1. Purpose of File Plan. A files plan is prepared to make filing and reference service easier, to assist in training new personnel, and to eliminate the need for constant referral to the handbook.
2. File Plan Requirement. The file custodian prepares a Files Inventory and Disposition Plan, Form MMS-1933.
3. Plan Development and Arrangement. List each file maintained on the plan in disposition item number order. Maintain all folders in the file in the same order they appear on the plan.
4. Review and Approval. The file custodian prepares and submits the plan to the supervisor. After signature, the original and one copy are forwarded to the Records Officer. The Records Officer reviews the plan, signs, and forwards the original and one copy to the Records Manager at Headquarters. The copy is maintained by the Records Manager and the original is returned after approval. Prepare files plan and forward no later than November 1 biennially. Each year in between will require a recertification only.
5. Avoid Unnecessary Filing. Filing unnecessary documents is a waste of effort and equipment.
6. Extra Copies. File one copy of a document in the official file. Destroy extra copies unless there is an established need; then file them separately from the official file.
7. Classifying Records for Filing. Employees who author correspondence should include the file designation next to the official file copy designation of all "bcc" copies. See MMSM 381.3-H, Correspondence Handbook.
8. Cross Referencing. Cross-referencing is a means of referring to a document by a file identification other than that under which it is filed. If a document being classified involves more than one subject or case file and there is a possibility it might be asked for by either, a cross-reference should be prepared as a finding aid.

9. Filing Proprietary Records. File proprietary records separately in equipment affording necessary security. Place a cross-reference form in the subject or case folder to indicate the proprietary record is filed in security equipment.
  
10. Add Disposition Date to file labels to alert the file custodian when it's time to dispose of a file.
  
11. Placing Materials in File Folders. Verify the item being filed. Match the file designation of each file item with the designation on the folder label before placing it in the folder. This simple practice can greatly reduce misfiles.

CHAPTER 4. SUBJECT FILES

1. Purpose. The subjective arrangement of policy and procedural documents is known as the "Subject File Classification System." It provides organization for the files that do not lend themselves arrangement by number or name. The system is designed to arrange records into subjective files by the function to which they relate.

2. Distinction Between Subject and Other File Groups. Subject files contain policy and procedures relating to the broad scope of a subject. For instance, a letter regarding leasing procedures or one concerning the processing of purchase orders is subject material and is filed in the subject file. A letter regarding a specific lease or purchase order is NOT subject files. It documents a specific transaction and placed in a case file.

3. Arrangement of Subject Outlines. The Subject File Classification System consists of main (primary) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. These subdivisions are known as secondary (second level) and tertiary (third level) subjects as shown below:

Illustration of Subject File Classification System

OFS - Office Services	Primary Subject
<hr/>	
1 General Policy/Plans	
2 Reports and Statistics	
3 Laws, Regulations, and Agreements	Secondary Subjects
4 Buildings and Grounds	
5 Communications Services	
<hr/>	
5-1 Mail Facilities and Services	
5-2 Telegraph, Teletype, and Facsimile Service	Tertiary Subjects

4. Subject File Codes. Primary titles are given abbreviations suggesting the subject. Serial numbers are assigned to subject breakdowns at the secondary and tertiary levels as shown below:

Primary Subject:       OFS           Office Services  
Secondary Subject:    OFS 5        Communications Services  
Tertiary Subject:     OFS 5-1     Mail Facilities and Services

5. Functional System. The Subject File Classification System is a functional system. A primary subject is used by the office responsible for the function the subject identifies. No primary subject is intended for the exclusive use of any particular office.

6. Segregation of "Mission" and "Nonmission" Records. Mission records document functions and responsibilities an office is responsible for. Nonmission records not related to its mission include records relating to programs or projects for which another office has direct responsibility.

A. Mission Files. Mission files are in Items 102-01a or b in the records disposition schedule. Item 102-01a is program aspects; Item 102-01b is administrative support functions; and Items 102-01c and d are the Director's office.

B. Nonmission Files. The nonmission files are covered by Item 102-02 in the record disposition schedule.

7. Application of the System. Each file custodian selects the primary subject which meets the needs of the office(s) served.

A. Mission Subjects. Records documenting official action taken in performing the mission of the organization (yellow surnamed copy) will be grouped under one primary subject.

B. Nonmission Subjects. Subject files not related to the mission of an office.

8. Selection of Subtopics. Do not prepare folders for all topics in subject outlines for primaries. The system's designed to detail breakdowns when a subject must be covered in depth.

9. Further Subdivisions and Additions of Topics. File custodians need to subdivide a topic alphabetically by name, geographic location, etc. File custodians may create new subtopics at the secondary and tertiary levels: include these on your files plan.

10. Basic Steps in Classifying. Authors designate file codes when documents are presented for typing. How quickly a document can be located after filing, depends largely on how carefully it had been classified before filing. The following are basic steps:

- A. Read the document to determine its major subject.
- B. View your Files Inventory and Disposition Plan.
- C. Write the file code in the upper right corner of the copy.
- D. Lightly underscore the reference when documents refer to previous records already on file. Earlier material should be consolidated with later documents on the same subject.
- E. The ability to identify essential key phrases and ideas helps one to select the correct file designation. Usually the purpose for writing suggests the subject which should be filed.
- F. Contact someone familiar with the material for information.

## CHAPTER 5. MEDIUM OTHER THAN PAPER

1. Microform.

A. Standards. All proposals for the use of microforms and disposal of the original records not covered in this handbook must be submitted on an SF 115 to the Records Manager. The integrity of the original records authorized for disposal must be maintained by ensuring that the original microforms are adequate substitutes for which such records were created or maintained. Copies must be complete and contain all record information contained on the original. The records must:

(1) Be arranged, identified, and indexed so that any individual document or component of the records can be located.

(2) Include the file designation, title of the records, security classification, if any, and the inclusive dates, names, or other data identifying the records to be included on a unit of film. The master microform must not be used for reference purposes. Duplicates must be used for reference and for further duplication on a recurring basis or for large-scale duplication. File custodians must ensure that master microforms remain clean and undamaged during the duplication process. For additional standards see 36 CFR 1230.

B. Disposition of Permanent Microform Records. Microform records are handled as other records, with the following requirements:

(1) The silver gelatin original (36 CFR 1230) plus one microform copy of each record microfilmed, must be verified for completeness and accuracy. Nonsilver copies must be packaged separately and stored separately from the silver originals.

(2) The microforms must be accompanied by information identifying MMS, the title of the records, file designation, the security classification, the inclusive dates, names, or other data, identifying the records. Include inspection log forms and inspection reports, etc.

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

2. Cartographic Materials and Drawings. Microform, maps, charts, aerial photographs, physiographic diagrams, and engineering drawings have a variety of formats and sizes. A map usually is more usable as a printed, reduced copy than the original. Field survey notes, geodetic surveys, astronomic readings, and similar computations usually are considered cartographic in nature. The term "charts" includes graphic presentations. Aerial photographs include the negative and positive (print) film and such other items as flight line indexes, mosaics, and graphic indexes. Engineering drawings may be blueprints, diazo prints, pencil sketches, or tracings on vellum. These records require special storage and handling because of their diverse physical attributes.

A. Create an identification scheme for each series and assign unique identification designations to each item within a series.

B. Maintain lists or indexes for each series with cross-references to related textual records.

C. Avoid interfiling separate series of maps, charts, or drawings, and file permanent records separately from disposable series. However, if hand-corrected editions have been systematically filed with other published maps in a file, do not break up the file by removing hand-corrected copies; the file should be maintained in its original order.

D. Avoid storing maps and drawings rolled or folded. Store maps and architectural drawings flat in shallow drawer map cases and place the records inside acid-free folders for protection. The Federal Records Centers (FRC) are generally not equipped to handle flat storage of large documents; therefore maps and drawings must be rolled, not folded, for storage in the FRC.

E. Do not laminate oversize records. The process is difficult to reverse without damage to the records and has been replaced by other preservation, storage, and treatment options. Enclose old or fragile maps in clear, stable plastic.

F. Store large, heavy atlases and other bound volumes of maps or drawings flat.

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

G. Store negative rolls of aerial film in inert plastic containers upright on shelves with identification codes assigned to each roll of film.

H. Wear white cotton gloves to handle film.

I. Store film in climate-controlled environment at constant temperature and humidity, ideally between 60 and 70 degrees Fahrenheit and between 40 and 50 percent relative humidity.

J. Convert nitrate-base film to safety base as described in 36 CFR 1232.4(b).

### 3. Electronic Records.

A. Scheduling. The definition in 44 U.S.C. 3301 for records includes among other media, all books, papers "...machine-readable materials ... regardless of physical form or characteristic, made or received by an Agency ... in connection with the transaction of public business...." Records Officers should be contacted by those maintaining such records to initiate the schedule process. See MMSM 381.7 for electronic records policy and procedures.

B. Preservation and Transfer of Electronic Records. Provision must be made at the start of the record's life cycle for preservation of the magnetic media after its active use. To maintain integrity of the records the tape must be rewound periodically. In addition, the following applies at present to tapes scheduled for transfer to the National Archives and Records Administration (NARA) (i.e., permanent retention). Because of changing technology the requirements could change. See 36 U.S.C. 1234 for additional requirements.

(1) The tapes must be on a ½ inch 9 track tape reel, written in ASCII or EBCDIC with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file) blocked no higher than 30,000 bytes per block, at 1600 or 6250 bpi.

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

(2) The tapes data is recorded on should be new or recertified tapes (see 36 CFR 1234) which have been passed over a degausser before writing and rewound under controlled tension.

(3) 3480 class tape cartridges that meet the American National Standard based on the IBM format are authorized for permanent electronic records storage. The magnetic tape and cartridges for information interchange must be 18-track, parallel, 12.65 mm ( $\frac{1}{2}$  inch) and 1491 cpmm (37,871 cpi).

C. Documentation adequate for servicing and interpreting records that have been designated for preservation by NARA will be transferred with them. This documentation includes a completed SF 277, or its equivalent. Where it has been necessary to strip data of extraneous control characters the codebook specifications defining the data elements and their values must match the new format of the data.

4. Audiovisual Records. In establishing a program for proper storage, maintenance, and use of audiovisual records, the following standards apply:

A. Nitrate Film. Remove nitrocellulose-base motion pictures, still pictures, and aerial film from records storage areas and place them in vaults meeting the standards prescribed in NFPA 40-1982, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film. Because of their age and inherent instability, immediately offer nitrate films to NARA so they may be reviewed for disposal or copied and destroyed. NFPA 40-1982 is available from the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269.

B. Unstable Safety Film. Identify permanent or unscheduled audiovisual records composed of diacetate or other early forms of acetate film that are starting to deteriorate and offer them to NARA for copying. Although not hazardous like nitrate film, acetate film will deteriorate over time.

C. Storage Conditions.

(1) Provide audiovisual records storage facilities secure from unauthorized access and make them safe from fire,

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

water, flood, chemical or gas damage, and from other harmful conditions. See NFPA 232-1986, Standard for the Protection of Records issued and available by the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269.

(2) Maintain good ambient storage conditions for audiovisual records. Generally, the temperature should not exceed 70 degrees Fahrenheit and relative humidity should be maintained in the range of 40-60 percent. Avoid fluctuating temperature and humidity. Cooler temperatures and lower relative humidity are recommended for the storage of color films, and for that reason, NARA will make a limited amount of temporary space available for the cold storage of color originals, negatives, and masters, provided the records are scheduled as permanent and are inactive.

(3) For the storage of permanent or unscheduled records, utilize audiovisual storage containers or enclosures made of noncorroding metal, inert plastics, paper products and other safe materials recommended and specified in ANSI standards: PH1.43-1985, For Photography (Film)-Processed Safety Film-Storage; PH1.48-1982, For Photography (Film and Slides) Black-and-White Photographic Paper Prints-Practice for Storage; and ANSI/ASC PH1.53-1984, For Photography (Processing Processed Films, Plates, and Papers-Filing Enclosures and Containers for Storage. These are available from ANSI, Inc., 1430 Broadway, New York NY 10018.

(4) Maintain originals and use copies (e.g., negatives and prints) separately.

#### D. Maintenance and Operations.

(1) Handle audiovisual records in accordance with commonly accepted industry practices. For further information, consult ANSI, Inc., 1430 Broadway, New York, NY 10018, and the Society of Motion Picture and Television Engineers, Inc., 862 Scarsdale Avenue, Scarsdale, NY 10583.

(2) Maintain continuous custody of permanent or unscheduled audiovisual records. Make loan of such records outside of the Agency only if a record copy is maintained in the Agency's custody at all times.

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

(3) Take all steps necessary to prevent accidental or deliberate alteration or erasure of audiovisual records.

(4) Do not erase information recorded on permanent or unscheduled magnetic sound or video media.

(5) If different versions of audiovisual productions (e.g., short, long, or foreign-language versions) are prepared, keep an unaltered copy of each version for record purposes.

(6) Maintain the association between audiovisual records and the finding aids for them, such as captions and published and unpublished catalogs.

#### E. Formats.

(1) When ordering photographic materials for permanent or unscheduled records, ensure that still picture negatives and motion picture preprints (negatives, masters, etc.) are composed of cellulose triacetate or polyester bases and are processed in accordance with industry standards as specified in ANSI/ASC PH1.28-1984, For Photography (Film)-Archival Records, Silver-Gelatin Type, on Cellulose Ester Base, or ANSI/ASC PH1.41-1984, For Photography (Film)-Archival Records, Silver-Gelatin Type, on Polyester Base. It is particularly important to limit residual sodium thiosulfate on newly processed photographic film, black and white or color, to the range of .002 to .004 grams per meter. Request laboratories to process film in accordance with this standard. Excessive hypo will shorten the longevity of film and accelerate color fading. If using reversal type processing, request full photographic reversal; i.e., develop, bleach, expose, fix, and wash. The standards cited in this paragraph are available from ANSI, Inc., 1430 Broadway, New York, NY 10018.

(2) Do not use motion pictures in a final "A & B" format (two precisely matched reels designed to be printed together) for the reproduction of excerpts or stock footage.

(3) Use only industrial or professional format video tapes (e.g., 1-inch, 3/4 inch) for record copies of permanent or unscheduled records. Limit the use of consumer formats (e.g.,

VHS, Beta) to distribution or reference copies or to subjects scheduled for disposal.

(4) Record permanent or unscheduled audio records on 1/4-inch open-reel tapes at 3 3/4 or 7 1/2 inches per second, full track, using professional unrecorded polyester splice-free tape stock. Audio cassettes are not sufficiently durable to be used for permanent records.

F. The disposition of audiovisual records is prescribed in the case files.

Supersedes Release No. 165

Date: March 12, 1997 (Release No. 241)

## CHAPTER 6. SPECIAL INSTRUCTIONS

1. Privacy Act. The Privacy Act of 1974, as amended, protects a person from the misuse of personal information by the Government. The Act grants an individual the right to review records containing information on that individual and to correct or amend the information. For the purpose of this Act, the term, "record" means any item, collection, or grouping of information about a person that is maintained by an Agency. Included is information regarding education history, name or an identifying number, symbol, fingerprint, voiceprint, or photograph. The Privacy Act requires Agencies to establish appropriate administrative, technical, and physical safeguards to ensure the security and confidentiality of records containing personal information. (See Privacy Act MMSM 383.1).

2. Proprietary Data/Information. Data/information submitted to the Government in confidentiality, obtained or created by the Government and retaining its sensitive properties, is considered proprietary.

A. The release of this data/information could cause harm to submitters in protecting resources from exploitation. Proprietary data information is prohibited from release by statute; proprietary memorandums or reports containing identifiable proprietary data/information are NOT available to the public.

B. Types of data/information that may be considered to be proprietary for purposes of exercising security measures are detailed in MMSM 386.1-5.

3. Freedom of Information Act as amended, provides information held by Federal Agencies available to the public unless it falls within one of the specific categories exempt from public disclosure. The law attempts to increase the availability of such information without impairing the rights of personal privacy or jeopardizing Federal Government operations. In releasing information from office files or file stations, records personnel must follow the policy and procedures in MMSM 316.1.

4. Indian Land Records. Records described in this handbook that specifically document data necessary to account for Indian land royalty or rental funds are to be maintained indefinitely.

5. Records for Audit by the General Accounting Office (GAO). GAO Policy and Procedures Manual for Guidance of Federal Agencies contains records management guidance in Title 8. Disposal instructions for accountable officer's records and other records which might be the subject of a site audit by the GAO have been developed in accordance with the General Records Schedules and are otherwise consistent with policies of or have been approved by the GAO. Records that are otherwise scheduled for destruction because their prescribed retention period has expired may not be destroyed if they are the subject of an ongoing GAO audit. Any documentation in site audit records pertaining to Indians is to be retained indefinitely at the FRC.
6. The General Records Schedules (GRS) will be used for all record series not identified in this handbook. The use of the GRS will permit these series to be transferred or destroyed.
7. "Other Copies". For record series which do not identify instructions for "other copies," destroy 2 years after cutoff or sooner.
8. Contractor Records. When contracts involve the creation of data for MMS' use, in addition to specifying a final product, we need to require the delivery of background data that may have reuse value to MMS. Background data is any data other than financial/business data which MMS identifies as being useful in managing its programs including further competition, expansion or modification of program requirements. Before specifying the background data that contractors must deliver to MMS, program and contracting officials must consult with records and information managers, when appropriate, to ensure that all Government needs are met, especially when the data deliverables support a new mission or a new program.

A. Rights-In-Data Clauses are contract clauses that delineate the respective rights and obligations of the Government and the contractor regarding the use, duplication, and disclosure of data produced, furnished, acquired, or specifically used in the performance of a contract. These contract clauses must be included in contracts whenever necessary to ensure adequate and proper documentation or because the data have reuse value to MMS.

B. Deliverables. All data created for MMS use and delivered to, or falling under the legal control of the MMS are Federal

records and shall be managed in accordance with the Records Management Handbook (MMSM 380.2-H), the Freedom of Information Act (5 U.S.C. 552), and the Privacy Act (5 U.S.C. 552a). When deliverables include electronic records, we must require the contractor to deliver sufficient technical documentation to support the use of the data.

9. Vital Records. Vital records are those records essential to the continuity of MMS activities under national or regional emergency conditions. Vital records are divided into two categories: emergency operating records and rights and interests records. See MMSM 384.1. Offices must ensure that vital records are protected and rotated annually.

## CHAPTER 7. RECORDS DISPOSITION PROGRAM

1. Objectives. Three important objectives of a records disposition program are to, preserve records of continuing value; destroy records of temporary value as soon as they have served the purpose for which they were created; and remove noncurrent records from office space and filing equipment to less expensive storage facilities.

2. Disposition Explained. Disposition includes the transfer or destruction of records.

A. Transfer. Records are transferred when there is a change of custody of records from one organization or Agency to another.

B. Destruction. The destruction of records include the physical destruction of the record material itself or the removal of the information content as cited in the handbook:

(1) Place in waste containers when records do not contain proprietary information.

(2) Shred, pulp, burn, or macerate if proprietary information.

(3) Erase and reuse magnetic tape or comparable media.

3. Disposition Authority. Federal law requires proper authorization by the Archivist of the United States to destroy Government records. Authorization is contained in the records disposition schedule. The schedules provide for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a specific event. Record material will NOT be destroyed except according to the provisions of the records disposition schedule.

4. Application for Review of Schedule. Each office is responsible for ensuring compliance with the provisions of the records disposition schedule and ascertaining that all records of the organization are covered by appropriate disposal instructions.

A. Recommendations to add, delete, or change the records disposition schedule will be made when reviews disclose:

(1) Records series not covered by the schedule.

(2) Items that should be deleted from the schedule because the records involved are no longer being created or maintained.

(3) Retention periods which need to be changed. Changes should be recommended only when the need is clearly indicated and justified.

B. Proposed Records Disposition Schedule Revisions will be submitted (Form MMS-2003, Records Scheduling Worksheet) to the Records Manager through the Records Officer. Recommendations must contain the following information:

(1) Organizational unit(s) accumulating the records.

(2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit created, and their relationship with other records.

(3) A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period.

(4) Representative samples of records recommended for destruction or permanent retention will be submitted with the related recommendations.

C. The Records Manager will review, coordinate, and evaluate the information furnished for conformity with established policies and regulations. If the decision is made to add or change a

disposition schedule item, the Records Manager will take necessary action to obtain approval for the disposal authority from NARA.

D. Additions or Changes to the Records Schedule will be published in this handbook as amendments. Records must not be destroyed until such specific amendments are issued.

5. Microform Records. See CHAPTER 5. MEDIUM OTHER THAN PAPER

6. Records for Audit by the General Accounting Office (GAO). See CHAPTER 6. SPECIAL INSTRUCTIONS.

7. Cutoff Standards. Prescribed cutoff instructions are included in the records disposition schedule where applicable. Cutoff standards are based on the following criteria for the various types of records:

A. Chronological sequence files, such as fiscal accounting records, are filed by period of account (fiscal year) and lend themselves to cutoff procedures. Chronologically arranged records can be readily cut off in convenient blocks.

B. Subject files must be cut off at planned intervals. Subject files are maintained on a fiscal year basis.

C. Case files are cut off upon the termination of a transaction or expiration of an event, such as separation of personnel, final purchase order payment, termination of a lease, or completion of a project.

D. Technical reference materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed.

8. Records Transfer Criteria. Inactive records on hand not authorized for immediate disposal should be transferred to the appropriate FRC. Agency records that meet the following criteria should be transferred to an FRC.

A. Reference Rate. Records which are referred to not more than once a month per file drawer are to be transferred to an

FRC, provided volume is sufficient and the transportation cost does not exceed savings in space.

B. Retention Less Than 1 Year the FRC will not accept.

9. Federal Records Centers (FRC). FRC's, operated by NARA, are for storage, processing, and servicing records of Agencies. Regional FRC's are located throughout the United States. The following paragraphs contain instructions to transfer records.

10. The FRC Boxes. Cardboard boxes used to transfer records to an FRC are available from the GSA Federal Supply Service.

11. General Transfer Procedures.

A. Estimating Volume. When records become eligible for transfer, the custodian of the records should estimate the volume and obtain the necessary fiberboard boxes.

B. Review Prior to Boxing Records. Screen files to eliminate nonrecord material and material authorized for destruction before files are boxed.

C. Packing Standard-Size Records. The FRC's will refuse to accept accessions that are improperly packed, or boxes containing non-record material.

(1) All records in the same carton must have the same disposal authority (i.e., the same schedule item from the records schedule in this handbook) and the same disposal date.

(2) Pack records in the same arrangement used in the original file.

(3) Pack letter-size folders the 12-inch way facing the front of the carton. Pack legal-size folders the 15-inch way.

(4) More than one type of media (e.g., paper and microform or magnetic tape) should not be transferred in the same accession.

(5) Do not write box content on the outside of boxes.

D. Entering Agency Box and Accession Numbers. After the boxes are filled, number the cartons in each shipment consecutively beginning with number 1; e.g., 1 of 12, 2 of 12, or 1/12, 2/12, etc. These are Agency box numbers. Accession numbers designated on the SF 135 are entered likewise in the upperleft corner.

12. Preparing Transmittal Forms--SF 135. The transfer of records to an FRC requires the preparation of Standard Form 135, Records Transmittal and Receipt. Offices making shipments to an FRC will prepare an original and two copies of the SF 135. Each series must be transferred as a separate accession. Complete all items of the SF 135 except 4 and 6(j) as shown on the reverse of the form and as follows:

A. Item 1. To. Enter the mailing address of the FRC to which the records will be transferred. (See Appendix 1 for a list of Federal Records Center addresses.)

B. Item 2. Agency Transfer Authorization. To be signed and dated by the appropriate Records Officer for the office. The Records Manager will authorize the transfer of all records in the Washington metropolitan area.

C. Item 3. Agency Contact. Enter the name, building, room number, and telephone number of the person to contact concerning the records. This will usually be the Records Officer or files custodian for the organization transferring the records.

D. Item 6. Records Data.

(1) Item (a) - (c) Accession Number. Records of the MMS are assigned record group (RG) number 473. Enter the current fiscal year and the next sequential shipment number.

(2) Item (d) Volume. Each standard container holds 1 foot of records.

(3) Item (e) Agency Box Numbers. Insert appropriate box numbers. (See paragraph 11D.)

(4) Item (f) Series Description. For each records series, a statement generally describing the records precedes the detailed description of each carton. Include the record series title, the name of the office creating the records, a general description of the records, and their inclusive dates. GAO site audit records must be identified. A clear description of the contents of each shipping carton is to be shown next. Double-space between the descriptions of records contained in each carton to facilitate identification of contents. It is important that the contents of each box be clearly identified to enable the FRC to give reference service and apply the correct disposition authority. In shipping records, attach an inventory to each SF 135; each item in every box of each series (accession) being shipped will be detailed on the inventory.

(5) Item (g) Restriction. Use one of the codes listed on the back of the SF 135. Explain any restrictions on the bottom of the page, if necessary.

(6) Item (h) Disposal Authority. Identify the disposal authority by reference to this handbook and the number of the appropriate records disposition item in the records schedule.

(7) Item (i) Disposal Date. Compute the disposition date from the appropriate records disposition item in the records schedule. Advance the date to the beginning of the next calendar quarter (e.g., items eligible for disposition according to the schedule on 10/1 would have a disposal date of 1/1).

13. Submission Instructions for SF 135. Submit the original and two copies (with attached inventories) to the Records Officer for review, approval, and signature. The file custodian for the originating office will keep one copy in suspense until the FRC authorizes shipment of the boxes. The original and one copy of the SF 135 must be forwarded to the Records Manager within 30 days after approval.

14. Processing the SF 135.

A. The FRC will review the SF 135 for completeness. A copy is returned indicating the FRC's approval to ship the material.

B. The Records Office will forward the completed SF 135 to the file custodian in order to prepare the boxes for shipment. One copy

of the completed SF 135 must be placed in box one of the accession before the records are shipped to the FRC.

15. Processing the SF 277 for Magnetic Tapes. Prepare a separate SF 277, Computer Magnetic Tape File Properties, for each magnetic tape file being transferred to an FRC. Submit the original and two copies to the Records Officer for review, approval, and signature. The Records Officer will keep one copy in suspense until the FRC returns the annotated copy. One copy of the SF 277 must be forwarded to the Records Manager within 30 days after approval.

16. Signed SF 135. Upon receipt of the records shipment, the FRC will complete item 6(j) of the SF 135 providing the location of the records and return one copy to the originating office.

17. Referrals to Stored Records. Even though records are physically stored in FRC's, they are readily accessible to the offices that transfer them. The requestor may ask for information from the records or for the loan or return of the records themselves. Optional Form (OF) 11, Reference Request--Federal Records Center, is available for use in requesting reference service. Before returning to the FRC, never refolder or rebox recalled folders or boxes. They must be returned to the FRC in the original folders or containers to allow accurate refiling. If for some reason the box is unusable for shipment, copy the accession number and box number onto the front of the replacement.

18. Disposal of Records by FRC's. Temporary records stored at FRC's will be destroyed in accordance with the applicable standard in the records schedule of this handbook upon agency notification. If unusual circumstances require that certain records be kept longer than their scheduled retention, the Records Officer should submit, through the Records Manager, a request to NARA to suspend destruction until the requirement is ended as provided by 44 U.S.C. 2902.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
FEDERAL RECORDS CENTERS

Area Served	Mailing Address and Phone Numbers
District of Columbia, Maryland, Virginia, and West Virginia (except U.S. Court records)	Washington National Records Center Washington, D.C. 20409 FTS: 8-783-7000; Local: (301) 763-7000 Shipping Address: 4205 Suitland Road Suitland, Maryland 20409
Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Records Center - Boston 380 Trapelo Road Waltham, Massachusetts 02154 FTS: 8-839-7745; Local: (617) 647-8745
New York, New Jersey, Puerto Rico, Virgin Islands, and the Panama Canal Zone	Federal Records Center - New York Building 22, Military Ocean Terminal Bayonne, New Jersey 07002-5388 FTS: 8-339-7161; Local: (201) 823-7161
Delaware, Pennsylvania, and U.S. Court records for Maryland, Virginia, and West Virginia	Federal Records Center - Philadelphia 5000 Wissahickon Avenue Philadelphia, Pennsylvania 19144 FTS: 8-486-5588; Local: (215) 951-5588
Kentucky, North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida	Federal Records Center - Atlanta 1557 St. Joseph Avenue East Point, Georgia 30344 FTS: 8-246-7476; Local: (404) 763-7476
Illinois, Wisconsin, Minnesota, and U.S. court records for Indiana, Michigan, and Ohio	Federal Records Center - Chicago 7358 South Putaski Road Chicago, Illinois 60629 FTS: 8-353-0164; Local: (312) 353-0164
Indiana, Michigan and Ohio (except U.S. Court records)	Federal Records Center - Dayton 3150 Springboro Road Dayton, Ohio 45439 FTS: 8-774-2878; Local: (513) 225-2878
Kansas, Nebraska, Iowa, and Missouri except greater St. Louis area	Federal Records Center - Kansas City 2312 East Bannister Road Kansas City, Missouri 64131 FTS: 8-926-7272; Local: (816) 926-7272
Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Records Center - Fort Worth P.O. Box 6216 Fort Worth, Texas 76115 FTS: 8-334-5515; Local: (817) 334-5515 Shipping Address: 4900 Hemphill Street Building 1, Dock 1 Fort Worth, Texas 76115
North Dakota, South Dakota, Colorado, Wyoming, Utah, and Montana	Federal Records Center - Denver Building 48, Denver Federal Center P.O. Box 25307 Denver, Colorado 80225 FTS: 8-776-0801; Local: (303) 236-0804
Nevada (except Clark County), California (except Southern California), and American Samoa	Federal Records Center - San Francisco 1000 Commodore Drive San Bruno, California 94066 FTS: 8-470-9015; Local: (415) 876-9015

MMSM 380.2-H  
Chapter 7  
Appendix 1  
(Continued)

Clark County, Nevada; Southern California; Counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo and San Diego; and Arizona

Federal Records Center - Los Angeles  
24000 Avila Road, 1st Floor  
Laguna Niguel, California 92677-6719  
FTS: 8-796-4220; Local: (714) 643-4220

Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except Samoa)

Federal Records Center - Seattle  
6125 Sand Point Way, NE  
Seattle, Washington 98115  
FTS: 8-392-6501; Local: (206) 526-6501

Records of separated military and civilian personnel and other designated records

National Personnel Records Center  
9700 Page Boulevard  
St. Louis, Missouri 63132  
FTS: 8-273-7201; Local: (314) 263-7201

Entire Federal Government for personnel records of separated Federal employees; pay records of all Federal employee, medical records of civilian employees of the Army, Navy, and Air Force; records of agencies in greater St. Louis area (Missouri only)

National Personnel Records Center  
(Civilian Personnel Records)  
111 Winnebago Street  
St. Louis, Missouri 63118  
FTS: 8-279-5722; Local: (314) 425-5722