Implementing and Sustaining Director's Order #11D

The Records and Electronic Information Management (REIM) Guide: *Preserving the NPS Legacy*

"Resources cannot be managed in the future without complete records of how they were managed in the past."

Contents of this Guide

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Introduction and Executive Summary

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Contents of this Introduction and Executive Summary

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Prefatory Note

The records of the National Park Service (NPS) include documentation to tell future generations the impressive story of the guardians of the nation's great natural, cultural and recreational areas. These records contain information ensuring our accountability to the public and Congress. The value and service of these records lies in their continuous availability in making future management decisions.

Records management is an essential part of the administration of the National Park Service and is legally mandated in order to improve efficiency and ensure accountability. In an organization as varied in function and place as the National Park Service, an effective program must be instituted to control the creation, maintenance, and use, and disposition of records.

The Modules of this Guide and the related Standard Operating Procedure (SOP) documents provide the necessary step-by-step instructions for all NPS employees to effectively and uniformly manage and preserve the records and electronic information that document the Agency's mission in the 21st Century.

- Module 1 will help employees learn to identify what is a record and what is not, as well as their role in records management process. It will also provide Senior NPS Officials some clarity on their role in records management within the NPS. A number of Standard Operating Procedures (SOPs) will accompany this module.

- Module 2 explains the NPS recordkeeping system in place before 2010 and provides a crosswalk to the new NPS Servicewide Records Schedule (SRS)

- Module 3 explains the SRS in detail, reviewing the mission critical functions, activities, record types, and retention plans for each of the ten NPS record categories established under the new SRS.

- Module 4 will provide guidance on implementing a records management program at the park or divisional level with recommendations on review teams, monitoring methods, file plan development, and the like.

- Module 5 will support the administrative professional and provide guidance on how and when to use the various NARA forms for moving, storing and destroy records at the appropriate time. A number of Standard Operating Procedures (SOPs) will accompany this module.

The *new* NPS Servicewide Records Schedule (SRS) is *not radically new.* All of the existing required records retention periods, established in the NPS Records Schedule 2003 were maintained (permanent and temporary). Changes were primarily in new groupings of subjects, programs, and functions to more accurately reflect *current* NPS functions and changes to the Service since the 1953 alpha-numeric file codes were established. Crosswalk documents between the 1953 recordkeeping system and the SRS record categories are available in Module 2

to assist NPS staff in transitioning to the SRS for the management of all records created and received.

> NOTE: Parks, Offices, and Centers should *not* reorganize records already created and received *under the old schedule*. The new recordkeeping system contained in this guidance is meant for immediate implementation.

For example, General Management Plans are now included in mission-critical records in Category 1 Resource (Cultural, Natural, Lands) Management. "Park Facilities and Maintenance" is now a separate category (Category 4) that focuses (as previously in the "D" files) on *non*-historic structures/areas. Records documenting historic structures, historic landscapes, etc. remain grouped with other cultural resources (as previously in the "H" files) and are now part of Category 1. Many NPS resources have cultural *and* natural components, so Category 1 includes both. Cultural landscapes are just one example of this.

For any questions on this Guide, Director's Order #11D, the SRS, or the Crosswalks please contact the National Records Officer, Jason Lautenbacher (jason_lautenbacher@nps.gov, 202-2354-1834). Assistance may also be available from park staff, Regional Office staff, program staff, and Administration staff.

REIM: The Path to Legacy Preservation and Business Efficiency

To ensure the NPS preserves, in perpetuity, the natural and cultural resources of the Unites States for the enjoyment, education, and inspiration of its people, the Agency must manage and protect its legacy. To do this each employee is responsible for creating and maintaining records and electronic information. Without these records, future generations will not know the impressive story of how NPS employees, collectively the guardians of the Nation's immense natural and cultural resources, fulfill their mission every day. (Module 1 will help employees and Senior Officials identify records.)

The NPS also has a strong business need for excellent records management, as its records contain information ensuring accountability to the Public and Congress. The requirement for managing resources (Natural, Cultural, Lands) forever sets a high standard for recordkeeping as *resources cannot be managed in the future without complete records of how they were managed in the past.* Additionally, documentation of important actions and decisions must be available to protect the interests of the Agency and the Public, particularly in the event of legal actions.

The 1953 Recordkeeping System (1953-2009)

Between 1953 and 2009 NPS used a system of file codes to organize and manage records. This method of organization was an alphanumeric system, which consisted of primary key letters (ranging from A to Y) representing major functional categories and secondary numbers representing the type of record(s) being filed. The key letters represented the following subject areas:
  - A – Administration and Management

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- C – Concessions
- D – Development and Maintenance (Planning)
- F – Fiscal
- H – History and Archeology
- K – Interpretation and Information
- L – Land and Recreation
- N – Natural and Social Sciences
- P – Personnel
- S – Supplies, Procurement, and Property
- W – Lands and Legal Matters
- Y – Fire Management and Forestry

In this system, the key letters and record type numbers were combined to form a file code and placed on documents and file folders. For example, a document coded "L7617" translated to: "L" or "Lands and Recreation Planning," "76" or "Environmental Impact," and "17" or "Statements and Studies Concerning NPS Areas." L7617 is understood to be an "environmental impact statement" for a NPS area. (Module 2 explains the NPS recordkeeping system in place before 2010.)

This previous recordkeeping system did not encourage Parks and Offices to keep project files together. It broke out the correspondence from the draft documents, and final information products. Therefore the context of the final product was separated and sometimes divided into multiple pieces making it difficult to understand how the facility, planning report, or management decision was developed and implemented.

Also, this previous recordkeeping system was not adaptable to organizing electronic information that meets the definition of a record. Electronic record management relies on the employee's ability to easily classify records into a retention category. The user interface needs to be simple and easy to understand with a limited number of choices to enlist the cooperation of the end user.

> This Guide provides direction on how to fulfill your responsibility of legacy preservation. The Modules and SOPs present a complete understanding of how to build and maintain a records and electronic information management program for yourself, or any other level of organization in the NPS, such as a division, a Program and/or Regional Office, a Park, or any other unit and combination of units (i.e. an entire Region, including the Regional Offices and Parks).

The 21st Century Recordkeeping System

In 2010 a joint project between the U.S. National Archives and Records Administration (NARA) and the NPS sought to replace the 1953 Recordkeeping System and address critical deficiencies. This project resulted in the creation of the NPS Servicewide Records Schedule (SRS), which changes the 1953 Recordkeeping System in four distinct ways:

- First, the SRS mandates logically related records telling the story of a project remain intact and are filed together. (E.g. the Historic Preservation Act (106) compliance files).

- Second, the SRS simplifies the retention periods for electronic information (records) management systems.

- Third, the SRS covers records in all media, including electronic records and complex interpretive design project, such as "Valor in the Pacific."

- Fourth, the SRS mandates all Resource (Natural, Cultural, Lands) records and projects are immediately identified, filed by project, and protected together.

This new recordkeeping system does not list every possible record series that may be encountered in the course of doing business, but provides 10 broad categories and 48 subcategories. It does describe the types of records generated by the various program areas. When additional records are identified they can easily be associated with an existing category and subcategory descriptions. This large category approach to records and electronic information management brings records in all media together to achieve a simplified approach to organizing and maintaining records.

> If you create a record, ask yourself,
> "Does this record document Resources?"

Resource records, in general, belong in *Category 1, Resources Management and Lands*, whether they are (1) a contract project to reroof a historic structure or (2) a case incident report documenting damage to a historic landscape. Because they record events related to natural, cultural or land resources they are filed in Category 1. Similarly, if a record was created as part of fire prevention/safety planning for *historic structures*, then that record too is resource related. And as a result, is filed in *Category 1,* because any work related to preservation of Historic Structures is mission critical, making it a Category 1, Subcategory 1.A.2, Cultural and Natural Resource Management record. If material was created during work on fire prevention planning in a *non historic* Visitor Center building, then those records would get filed in *Category 4, Facility and Maintenance.* In this latter case the records you created do *not* document Resources (Natural, Cultural, or Lands) and would be saved in the associated functional area, in this case Facilities and Maintenance.

> In brief, once you are sure a record is **not** a Resource record, the primary
> question to ask yourself is: "What function caused the records to be

created?" The answer leads you to the best choice for which records category to use when filing records.

This simplistic approach can be summarized in the following illustration: Imagine the SRS as a flower. The center of the flower is where all Resource (Natural, Cultural, Lands) records should be filed and saved and the outer "petals" are where non-Resources records should be filed. If Resource (Natural, Cultural, Lands) records must be filed in Categories 2-10, copy of summary documents, final reports, and key decision-making documents should be filed in Category 1.

Within each major record Category are several subcategories used to group permanent and non-permanent records and electronic information or projects. Module 3 explains the Servicewide Records Schedule (SRS) in detail, reviewing the mission critical functions, activities, record types, and retention plans for each of the ten NPS record categories listed above.

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The Records and Electronic Information Management (REIM) Guide: *Preserving the NPS Legacy*

Module 1:
Identifying Records to Protect the Legacy of Resources

"Resources cannot be managed in the future without complete records of how they were managed in the past."

Contents of this Module

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Why Is REIM Important?

As federal employees, we are required to manage our agency's record responsibly and according to law and regulation. The National Park Service also has a strong business need for excellent records management because the mission of the National Park Service is to care for natural and cultural resources so that they are "unimpaired for future generations."

- **Resources management:** The requirement for managing resources forever sets a high standard for record keeping; resources cannot be managed well in the future without complete records of how they were managed in the past.

- **Efficient use of the staff and funds:** Good records management makes us more efficient. Keeping records we don't need wastes space in the office and on the file server. Time is wasted when we look through disorganized or unneeded files to find the information we really need.

- **Responsiveness:** Complete information can be found quickly if it is well organized, enhancing our ability to respond in a timely manner to requests from agency staff, the public, and other agencies.

- **Accountability:** Documentation of important actions and decisions must be available to protect the interests of the agency and the public, particularly in the event of legal actions.

Defining and Identifying NPS Records

The Federal Records Act of 1950, as amended, (FRA - 44 U.S.C. 3301) 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 in them." (Records should never be managed as property.)

There are three key points in this definition, as follows:
- includes all information created *or* received
- includes any recorded information that provides documentation or evidence of an agency's activities
- includes every format and medium.

To help determine if an item is a record, you should ask
- Does it document NPS policies, activities, transactions, or resources?

- Was the creator or recipient acting in an official capacity during creation or receipt of the materials?
- Is the subject matter related to an authorized activity of the agency?

Answering *yes* to any of these questions may indicate you have federal records. Also be mindful of Mission Critical Records.

The Federal Records Act also lists items ***excluded*** from the definition of a federal record. These items are called *non-record* materials and include:
- Reference materials
- Library books
- "Vertical" or subject files
- Other items maintained strictly for convenience of use
- Stocks of publications
- Blank forms stock
- Museum materials or artifacts
- Rough notes or calculations (working files)
- Personal papers

> When in doubt about the record or non-record status of a document or file, contact your local records professional or the National Records Officer.

Mission Critical Records

Per Director's Order 11D, Resource management records are those records and data sets that are most necessary for fulfillment of the NPS mission. Resource management records are NPS mission critical records, required for the management of cultural and natural resources, which will eventually become archival records. They should receive the highest priority for information preservation management activities and resources. Resource management records deserve archival care as soon as practical in the life of the record.

Resource management records/electronic information include:
- All records and data sets of natural and cultural resources and their management that contain information which affect the future management of the resource.
- General management plans and other major planning documents that record basic management philosophies and policies, or that direct park management and activities for long periods of time.
- All land records regarding legal title, rights, and usage of NPS lands.
- Any records that directly support the specific legislated mission of a park unit in addition to, or distinct from, the overall NPS mission.

"Records and data that are collected, created, or generated by other organizations working for the NPS under contracts, interagency agreements, cooperative agreements, or other agreement

instruments with the NPS, are considered NPS records unless the contract or agreement specifically states otherwise. Originals or copies of all project documents and data generated under these agreements should be obtained and retained by the NPS office managing the project." D.O. 11D, Records and Electronic Information Management (REIM), Section 4.1

Below is a *limited* list of Mission Critical Records:
- General Management Plans
- Development Concept Plans
- study plans
- annual reports
- situation reports
- special studies
- contracts relating to natural and cultural resources
- maps
- manuscripts
- museum collection management and preservation plans
- park histories
- land preservation records
- historic structure preservation and restoration

Listed below are some additional questions that may assist employees on definitively defining and identifying records:

If you can answer "yes" to one of these questions below, you may very well have a record:

- Are you or your organization the creator of the record? Did you generate or receive the information to use for your technical/administrative work in conducting business?

- Does it contain informational value as evidence of your organization's functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?

- Is it material that originated in another office or outside your organization, but you commented or took action on the material?

- Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events and decisions?

- Is it an original document related to organizational business that does not exist elsewhere?

If you can answer "yes" to one of these questions below, you do not have a record:

- Is it a draft or interim document that has not been circulated to others or does not contain substantive comments and for which there is a final version being maintained?

- Is it published or processed information that you received and use as reference?

- Is it a copy of a document or correspondence kept only for convenience of reference on which no action is taken?

- Is it information accumulated and maintained at the workplace, but which does not affect or reflect the transaction of your program business?

- Is it junk mail or documentation that has no work-related informational or evidentiary value?

> When in doubt, treat it as a record.
> Call your local records professional or the National Records Officer for assistance.

Specific Types of NPS Records
- Records of Senior Officials
- Resource Management Records
- Associated Records
- Drafts and Working Papers
- Transitory and Non-records
- Personal Papers

Records of Senior Officials

Records of Senior Officials are valuable as they document the decision making legacy of the NPS and support current and future leaders in making informed decisions. These records include decision making correspondence, appointment calendars, internal and external meeting materials, annual reports, policy and programmatic development materials, reports to Congress or the President, speeches and testimonies, budget development and execution materials. A list of Senior Officials by position is listed below. Additional information on the record creating responsibilities of Senior Officials is included in D.O. 11D, Section 3 Responsibilities, and also in REIM SOP 1, Information Resources Management and Protection for Senior Officials.

Senior Officials at WASO (including Service Center equivalents) are:
- The Director and Acting Director
- Deputy Directors and Acting Deputy Directors
- Associate Directors and Acting Associate Directors
- Deputy Associate Directors and Acting Deputy Associate Directors
- Select Program Managers (e.g. NAGPRA)

Senior Officials in the Regional Offices are:
- The Regional Director and Acting Regional Director
- Deputy Regional Directors and Acting Regional Directors
- Associate Regional Directors and Acting Associate Regional Directors
- Deputy Associate Regional Directors and Acting Deputy Associate Directors
- Select Program Managers

Senior Officials in the Park are:
- Superintendents
- Deputy Superintendents
- Division Chiefs (including Administrative Officers)

Appendix A contains and standard operating procedure, with detailed instruction, on how to manage records of senior officials.

Resource Management Records

Resource management records are valuable, continuously active records documenting all cultural, natural, and informational resources, and are found within every unit of the National Park Service.

Resource management records include the documentary products of archeological surveys and excavations, compliance, natural resource inventories and surveys, historic structure management and maintenance, recordation and restoration projects, cultural landscape research, facilities and built environments, scientific projects, and various natural and cultural resource maintenance projects. These records document park resources and serve as information bases for their continuing management. Resource management records include, but are not limited to: artifact and specimen inventories; computer disks, tapes, and other electronic media; drawings; field notes; films; laboratory reports; maps; manuscripts; oral histories; photographic negatives, prints, and slides; reports; and audio and videotapes.

To help determine if an item is a resource management record, you should ask:

- Is the subject matter related to a resource or topic identified in the planning and scoping documents of the unit, such as the enabling legislation, general management plan, statement for management, resource management plan, scope of collections statement, etc.?

- Does it document NPS policies, decisions, acquisition, studies, conditions, observations, protection, monitoring, preservation, activities, transactions and management or maintenance of resources?

- Are these records used in the ongoing management of the resource? Do they provide institutional memory regarding the resource or establish baseline data?

- Are these records used to document NPS information resources? Do they provide information about the creation, use, or definition of NPS databases?

If your answer to any of these questions is "yes" you may have resource management records, and you should contact your local records officer, archivist, or curator for assistance in making appropriate decisions.

> The maintenance division in every park receives and generates important resource management records such as: historic structures and rehabilitation project files, improvements to roads and trails, maps and plans, utility projects documents, the List of Classified Structures (LCS), cultural landscape studies and reports, hazardous materials clean-up project files, water system monitoring, and emergency procedures. Especially important are contracts files including specifications and products used for materials used in maintenance projects, asbestos mitigation, epoxy, roofing, construction completion reports, etc.

Associated Records

Associated records are a subset of resource management records that are essential for the control and use of museum objects. Associated records include all documentation generated by the activity of collecting and analyzing artifacts, specimens, or other resources that are (or subsequently may be) designated as part of a park's museum collection.

Examples include but are not limited to
- analytical study data,
- artifact or specimen inventories,
- computer documentation and data,
- conservation treatment records,
- daily journals,
- drawings,
- field notes,
- manuscripts,
- maps,
- photographic negatives,
- prints and slides,
- and reports generated by archeological and scientific investigations.

> All associated records must be managed as part of the museum collection.

Drafts and Working Papers

It is important to review the documents and electronic information you consider drafts and working papers, as many are records. Drafts are considered records if:

- They were circulated or made available to employees, other than the creator, for official purposes, such as approval, comment, action, recommendations, follow up, or to communicate with NPS staff about specific business;

- They contain unique information, such as substantial annotation or comments adding to a proper understanding of the NPS's formulation and execution of basic policies, decisions, actions, or responsibilities;

- They are needed for purposes of adequate and proper documentation of the decision making process.

Some of the most important drafts and working papers include:
- Drafts to Director's Orders
- comments on draft Director's orders
- revisions and updates to operating procedures
- comments on draft operating procedures
- drafts of park General Management Plans

Transitory and Non-records

Agency information materials not meeting the legal definition of records, such as extra copies of records kept for convenience, stocks of publications and processed documents, published library materials intended solely for reference.

Transitory records of short-term (180 days or less) interest, including those in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Examples of transitory e-mail and other records include, but are not limited to:

- routine requests for information or publications and copies of replies requiring no administrative action, no policy decision, and no special compilation or research for reply;

- originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;

- 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;

- records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

- suspense and tickler files or "to-do" and task lists that serve 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.

> When in doubt about the record or non-record status of a document or electronic information, contact your local records professional or the National Records Officer for definitive guidance.

Personal Papers

Personal papers are materials that belong to an individual, and are not used to conduct Agency business. They relate solely to an individual's personal and private affairs, or are used exclusively for that individual's convenience. Personal papers should not be intermixed with federal records. Examples include, but are not limited to materials that related solely to an individual's family matters, outside business pursuits, professional activities, or private associations.

Implementing and Sustaining Director's Order #11D

The Records and Electronic Information Management (REIM) Guide: *Preserving the NPS Legacy*

Module 2:
The 1953 Recordkeeping System

"Resources cannot be managed in the future without complete records of how they were managed in the past."

Contents of this Module

The 1953 Recordkeeping System (1953-2010)

Between 1953 and 2009 NPS used a system of file codes to organize and manage records. This method of organization was an alphanumeric system, which consisted of primary key letters (ranging from A to Y) representing major functional categories and secondary numbers representing the type of record(s) being filed. This Module explains the 1953 recordkeeping system to ensure staff has the capability to retrieve records filed using this system.

The 1953 Recordkeeping File Code Descriptions

File codes are letters, numbers, or symbols used to abbreviate lengthy file titles. In the National Park Service, we used an alphanumeric system - a primary key letter (ranging from A to Y) and then secondary (even) and tertiary (odd) numbers to further define the subject of the file. The key letters represent the following subject areas.

- A – Administration and Management (aka A-files)
- C – Concessions (aka C-files)
- D – Development and Maintenance (Planning – aka D-files)
- F – Fiscal (aka F-files)
- H – History and Archeology (aka H-files)
- K – Interpretation and Information (aka K-files)
- L – Land and Recreation (aka L-files)
- N – Natural and Social Sciences (aka N-files)
- P – Personnel (aka P-files)
- S – Supplies, Procurement, and Property (aka S-files)
- W – Lands and Legal Matters (aka W-files)
- Y – Fire Management and Forestry (aka Y-files)

For example, a document coded **Y1415** means: **Y** (Fire Management), **14** (Wildland Fire Management), and **15** (Fire Prevention). Below is a complete list of the "Y-files" used in the recordkeeping system prior to 2010:

File Code	Record Series	Retention
Y14	Wildland Fire Management	Permanent
Y1415	Prevention	Permanent
Y1417	Presuppression	Permanent
Y1419	Suppression	Permanent
Y1421	Prescribed Fire	Permanent
Y18	Forestry and Range Conservation and Management	Permanent
Y1815	Trees and Forests	Permanent
Y1819	Range	Permanent
Y1823	Reforestation and Rehabilitation	Permanent

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Y26	Reports	Permanent
Y2615	Monthly	Permanent
Y2617	Quarterly	Permanent
Y2619	Semi-Annual	Permanent
Y2621	Annual	Permanent
Y2623	Situation	Permanent
Y34	Products, Including Wood Utilization and Timber Cutting	Permanent
Y42	[Forestry & Fire] Statistics	7 years
Y42	[Fire] Statistics	7 years

How the Superseded File Codes were *Applied.*

Prior to 2010, file codes were assigned to records using the following considerations:

- **Use or purpose**. *Why* was the record created? What did someone want to accomplish? For example, a person who is interested in visiting a park might write to ask for some basic information about that park. In this instance, the writer of the letter sought information that was easily retrieved and sent, a routine request. Such letters are filed under **K14** (Information Requests).

- **Content**. The *subject* of the record. *What* about that record is significant? For example, a file is created on correspondence and notes between a park unit and a neighbor complaining about unsafe trees on park property adjacent to the neighbor's home. The resulting action is removal of a hazardous tree. This file could be given a file code of **Y1815** Forestry and Range Conservation Management/Trees and Forests because the bottom line topic is a natural resource of the park unit.

- **Combination**. The *use or purpose and content* might be appropriate when the record in question is significant for both criteria. In the second example above, the inquiry might be filed in multiple places — in **A36** (as a complaint), in **A7615** (protection/health and safety) or in **Y1815** (for the subject). However, every effort should be made to file the record according to the function that created the record, and the appropriate file code that matches the retention period needed for the specific level of significance for that records. In this example, the content and resulting action of the documentation is more significant than the fact that it is a complaint, because the resulting action impacted a park resource, and the decision process and final action must be documented. Furthermore, filing the record under Y1815 means the letter will be retained permanently and will be available as background information in the future for similar issues or related resources.

Records can be arranged differently at different levels, so both the file codes and one of the common filing arrangements can be used at the same time. For example, a Park's maintenance division might maintain project files for construction; these would be identified and filed as **D20**. However, if they were all labeled just "D20" and filed randomly, no one will be able to find anything. So you might have labeled and arranged everything under D20 by project budget number (**numeric** arrangement) or project name (**alphabetic** arrangement). Both schemes were used: the file codes identify the series of records, and the numeric or alphabetic arrangement makes it possible to find and use specific records in that series.

How the Superseded File Codes were *Used.*

Prior to 2010, the originating-office organization codes were added to the file code being placed on outgoing correspondence. The organization code appeared in parentheses after the alphanumeric file code. For example, **A7227(2605)** indicated that the document addresses records management and originated in the Washington Administrative Program Center; **Y14(ACAD)** would likely be a record concerning fire management at Acadia National Park; **D18 (NCR-RD)** indicated a memorandum or letter from the National Capital Regional Director regarding a General Management Plan

Prior to 2010, records were filed by series and the alphanumeric file codes, which identified individual series, were the principle component of the arrangement. Once the series have been established, the files *within* the series were then arranged to provide for the easy location and retrieval of information. The most common methods of arranging records are *alphabetical*, *numeric, chronological*, or a combination of these.

- **Alphabetical**. Records are arranged alphabetically by name, subject, geographic location, or other element. This method has the advantage of being easily understood. Challenges include selecting the correct subject each time and making spelling mistakes. Examples — Employee award files arranged by last name of employee, a historian's research notes might be arranged by subject, and compliance files in a regional office might be arranged geographically by park unit.

- **Numeric.** This scheme arranges records identified by number, such as contracts, purchase orders, and similar files. This has the advantage of being consistent; however, it is necessary to have an index because not everybody has contract numbers, etc. memorized. Potential concerns with this method include transposed numbers and the potential for filing errors.

- **Chronological.** This method arranges records according to date. Correspondence is commonly arranged in this manner. Disadvantages are that you have to know exactly when something was written or received to retrieve it.

- **Combination.** This method arranges records using a mixture of two or more of the alphabetical, numeric, and chronological methods.

The 21st Century Recordkeeping System eliminates these file codes, replacing nearly 80 records series with 10 mission-specific categories. Reviewing the Crosswalk will illustrate the type of records making up each of the new record categories, even if your NPS unit did not use the superseded file code system. The Crosswalk will also help those Offices, Parks, and Centers that are currently using the superseded file codes to see how the new record categories, outlined in Module 3, are applicable to their organization. The complete Crosswalk is below. It is a powerful collection of record examples that can further assist in understanding the 21st Century Recordkeeping System outlined in Module 3.

> It is important to remember any records already created and received under the old system need not be re-organized. Labeling and filing records under the new schedule is a "going forward activity."

The Crosswalk

The Crosswalk is divided into two main tables denoted by the "heavy" black line between columns three and four.

Table one is made up of the columns one, two, and three. These columns represent the superseded file codes and retention periods outlined in the *former* Director's Order #19. Column one, "Sup FC" displays the superseded file codes used between 1953 and 2010. Column two, "Title" displays the associated record to the superseded file codes. Column three, "Retention" outlines the superseded retention, or length of time a record must be retained.

Table two is made up of columns four and five. The columns represent the filed codes and retention periods mandated by Director's Order # 11D. Column four, "New Category" displays the new record category the superseded file code and record is now associated with. Column five, "New File Code" outlines the new record subcategory and retention, or length of time a record should be retained.

The new record categories and subcategories are explained in Module 3.

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
A. Administration and Management				
A14	Acting Personnel Designation (in place of temporarily absent officials)	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A16	Advisory Boards on National Parks, Historical Sites, Buildings, and Monuments	Permanent	7. Partnerships	7.A.2. Permanent
A1615	[Advisory Board] Organization	Permanent	7. Partnerships	7.A.1. Permanent
A1619	[Advisory Board] Meetings, Recommendations, Appointments	Permanent	7. Partnerships	7.A.2. Permanent
A18	Advisory Boards, Field Groups	Permanent	7. Partnerships	7.A.2. Permanent
A20	Advisory Boards or Groups, Other	Permanent	7. Partnerships	7.A.2. Permanent
A22	Associations (NPS relations with associations, institutions, societies, clubs)	15 years/3 years	7. Partnerships	7.B. Temporary, 7 years
A2415	Committees, International	Permanent	10. Management and Accountability	10.A. Permanent
A2419	Committees, Departmental	Permanent	10. Management and Accountability	10.A. Permanent
A2427	Committees, Interagency	Permanent	10. Management and Accountability	10.A. Permanent
A2431	Committees, Washington	Permanent	10. Management and Accountability	10.A. Permanent
A2435	Committees, Field Offices	Permanent	10. Management and Accountability	10.A. Permanent
A2615	[Administrative] Reports, Monthly	WNLN HQ, 3 years field	10. Management and Accountability	10.D. Temporary, 3 years
A2617	[Administrative] Reports, Quarterly	WNLN HQ, 3 years field	10. Management and Accountability	10.D. Temporary, 3 years
A2619	[Administrative] Reports, Semi-Annual	3 years	10. Management and Accountability	10.D. Temporary, 3 years
A2621	[Administrative] Reports, Annual [Superintendents and Regional Directors]	Permanent	10. Management and Accountability	10.A. Permanent
A2623	[Administrative] Reports, Situation [Superintendents and Regional Directors]	Permanent	10. Management and Accountability	10.A. Permanent
A3415a	Commendations, About Service and Personnel [re: individual employees]	OPF	10. Management and Accountability	10. D. Temporary, 3 years
A3415b	Commendations, About Service and Personnel [providing basis for administrative action]	15 years	10. Management and Accountability	10. B. Temporary, 15 years
A 3415c	Commendations, About Service and Personnel [routine correspondence]	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A3419a	Commendations, Concerning Concessions [re: individual employees]	OPF	10. Management and Accountability	10.D. Temporary, 3 years
A3419b	Commendations, Concerning Concessions [providing basis for administrative actions]	15 years	10. Management and Accountability	10. B. Temporary, 15 years
A 3419c	Commendations, Concerning Concessions [routine correspondence]	3 months	10. Management and Accountability	10.D. Temporary, 3 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
A3615a	Complaints, About Service and Personnel [re: individual employees] that result in a letter of reprimand	OPF (right side)	N/A	GRS 1.1
A3615b	Complaints, About Service and Personnel [providing basis for investigation, etc.]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
A3615c	Complaints, About Service and Personnel [routine correspondence]	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A3619a	Complaints, Concerning Concessions [re: individual employees] that result in a letter of reprimand	OPF (right side)	N/A	GRS 1.1
A3619b	Complaints, Concerning Concessions [providing basis for investigation, etc.]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
A3619c	Complaints, Concerning Concessions [routine correspondence]	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A3815a	Public Relations, with Federal, State, and Local Agencies [policy and procedures]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A3815b	Public Relations, with Federal, State, and Local Agencies [arrangements for meetings, events, etc.]	2 years	9. Information and Image Management	9.D. Temporary, 3 years
A3817a	Public Relations, with Foreign Agencies [policy and procedures]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A3817b	Public Relations, with Foreign Agencies [arrangements for meetings, events, etc.]	2 years	9. Information and Image Management	9.D. Temporary, 3 years
A3821a	Public Relations, with Individuals [policy and procedures]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A3821b	Public Relations, with Individuals [arrangements for meetings, events, etc.]	2 years	9. Information and Image Management	9.D. Temporary, 3 years
A3823a	Public Relations, Public Involvement [policy and procedures]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A3823b	Public Relations, Public Involvement [arrangements for meetings, events, etc.]	2 years	9. Information and Image Management	9.D. Temporary, 3 years
A4015a	Conferences and Meetings, Departmental [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4015b &c	Conferences and Meetings, Departmental b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4019a	Conferences and Meetings, Washington Office [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4019b &c	Conferences and Meetings, Washington Office b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4023a	Conferences and Meetings, Regional Directors [record copy]	Permanent	10. Management and Accountability	10.A. Permanent

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
A4023b &c	Conferences and Meetings, Regional Directors b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4027a	Conferences and Meetings, Regional Offices [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4027b &c	Conferences and Meetings, Regional Offices b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4031a	Conferences and Meetings, Other Field Offices [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4031b &c	Conferences and Meetings, Other Field Offices b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4033a	Conferences and Meetings, Servicewide [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4033b &c	Conferences and Meetings, Servicewide b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4035a	Conferences and Meetings, Interagency [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4035b &c	Conferences and Meetings, Interagency b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A4037a	Conferences and Meetings, International [record copy]	Permanent	10. Management and Accountability	10.A. Permanent
A4037b &c	Conferences and Meetings, International b. non-record copies c. arrangements for meetings	b. 2 years HQ, 3 years field c. 2 years	10. Management and Accountability	10.D. Temporary, 3 years
A42a-e	Cooperating Associations (includes Natural History, Historical, and Museum Associations)	15 years/3 years	7. Partnerships	7.B. Temporary, 7 years
A44	Memoranda of Agreement with Federal, State, and Local Agencies	Permanent	10. Management and Accountability	10.A. Permanent
A4415	Cooperative Agreements	Permanent	10. Management and Accountability	10.A. Permanent
A46a	Communications Service	6 years or WNLN	9. Information and Image Management	9.B. Temporary, 15 years
A46b	Communications Service, Other [message registers, long-distance summaries, etc.]	6 months/2 years	9. Information and Image Management	9.D. Temporary, 3 years
A52	Fund Raising and other Civic Campaigns	2 years	10. Management and Accountability	10.D. Temporary, 3 years
A5415	Inspections, Congressional	Permanent	10. Management and Accountability	10.A. Permanent
A5419	Inspections, Departmental	Permanent	10. Management and Accountability	10.A. Permanent
A5423	Inspections, Washington Office	Permanent	10. Management and Accountability	10.A. Permanent
A5425	Inspections, Regional Office	Permanent	10. Management and Accountability	10.A. Permanent

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
A5427	Inspections, Field Office	Permanent	10. Management and Accountability	10.A. Permanent
A5431	Inspections, Other Agencies	Permanent	10. Management and Accountability	10.A. Permanent
A5615	Instructions and Orders, Secretary's Orders	WSR	10. Management and Accountability	10.D. Temporary, 3 years
A5619	Instructions and Orders, Secretary's Office Memoranda	WSR	10. Management and Accountability	10.D. Temporary, 3 years
A5621	Instructions and Orders, NPS Permanent Guidelines	Permanent	10. Management and Accountability	10.A. Permanent
A5623	Instructions and Orders, NPS Special Directives	Permanent	10. Management and Accountability	10.A. Permanent
A5627	Instructions and Orders, NPS Staff Directives	Permanent	10. Management and Accountability	10.A. Permanent
A5631	Instructions and Orders, WASO Memoranda	Permanent	10. Management and Accountability	10.A. Permanent
A5635	Instructions and Orders, Field Directorate Memoranda	Permanent	10. Management and Accountability	10.A. Permanent
A5639	Instructions and Orders, Field Offices Instruction Memoranda	Permanent	10. Management and Accountability	10.A. Permanent
A5641	Instructions and Orders, Other Federal Agencies	Permanent	10. Management and Accountability	10.A. Permanent
A5643	Instructions and Orders, Requests for copies	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A58	Interments (including gravesite reservations)	6 years	1. Resource Management	1.A.2. Permanent
A6019	Visits, of Government Personnel	2 years HQ, 1 year field	10. Management and Accountability	10.D. Temporary, 3 years
A6021	Visits, of Foreign Persons	2 years HQ, 1 year field	10. Management and Accountability	10.D. Temporary, 3 years
A62	Lost, Found, & Stolen Articles	2 years	2. Protection and Safety	2.D. Temporary, 3 years
A6415	Organization, List and Directories	Permanent	10. Management and Accountability	10.A. Permanent
A6419	Organization, Goals/Objectives (Long Term Management Plan)	Permanent	10. Management and Accountability	10.A. Permanent
A6423	Organization, Management Policies (Mission Statements)	Permanent	10. Management and Accountability	10.A. Permanent
A6427	Organization, Organizational Charts/Roles & Function Statements	Permanent	10. Management and Accountability	10.A. Permanent
A6435	Organization, Standards	Permanent	10. Management and Accountability	10.A. Permanent
A6437	Organization, Management Improvement Projects	Permanent	10. Management and Accountability	10.A. Permanent
A6615	Manuals, Departmental Manuals and other Issuances	WSR	10. Management and Accountability	10.D. Temporary, 3 years
A6617	Manuals, NPS Manuals and other Issuances to FPM and FPMR	WNLN	10. Management and Accountability	10.D. Temporary, 3 years
A6621	Manuals, Other Federal Agencies	WSO	10. Management and Accountability	10.D. Temporary, 3 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
A6625	Manuals, Requests for copies	3 months	10. Management and Accountability	10.D. Temporary, 3 years
A68a	Printing and Binding [Policy Correspondence]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
A68b-g	Printing and Binding [various routine records such as printing orders, unit operations, etc.]	Varies from 1 to 3 years	10. Management and Accountability	10.D. Temporary, 3 years
A7015	National Priorities, Civil Defense Program	Permanent	10. Management and Accountability	10.A. Permanent
A7019	National Priorities, Area Use (National Defense)	Permanent	10. Management and Accountability	10.A. Permanent
A7021	National Priorities, Conservation (Energy and Water, etc.)	Permanent	10. Management and Accountability	10.A. Permanent
A72	Information Resource Management [Policy Correspondence]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7215	Automatic Data Processing	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7217	Correspondence Management	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7219	Directives Management System	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7221	Freedom of Information Act (FOIA) and Privacy Act	15 years	9. Information and Image Management	9.C. Temporary, 7 years
A7223a-c	Forms Management [Policy Correspondence]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7225a	Paperwork Management, Mail Management [Policy Correspondence]	15 years or WNLN	9. Information and Image Management	9.B. Temporary, 15 years
A7225b-e	Various forms, mail control records, distribution lists, etc.	1 year or WSO	9. Information and Image Management	9.D. Temporary, 3 years
A7227	Records Management (includes file mgmt) [Policy Correspondence]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
A7227a	Records Management (includes file mgmt) [Policy Correspondence]	15 years	9. Information and Image Management	9.B. Temporary, 15 years
A7231a	Vital Records [Policy Correspondence]	Permanent	9. Information and Image Management	9.A.1. Permanent
A7231b	Vital Records [administration of system]	WNLN	9. Information and Image Management	9.D. Temporary, 3 years
A7233a	Micrographics [Policy Correspondence]	15 years	9. Information and Image Management	9.B. Temporary, 15 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
A7233b	Micrographics [administration of system]	6 years	9. Information and Image Management	9.D. Temporary, 3 years
A7235	Word Processing	6 years	9. Information and Image Management	9.C. Temporary, 7 years
A76	Protection	15 years	2. Protection and Safety	2.B. Temporary, 25 years
A7615	Health and Safety	15 years	10. Management and Accountability	10.C. Temporary, 7 years
A7619	Safety Committees, Meetings, Recommendations	15 years	10. Management and Accountability	10.C. Temporary, 7 years
A7623a	Accidents, Injuries, Deaths [Policy Correspondence]	15 years	2. Protection and Safety	2.B. Temporary, 25 years
A7623b	Accidents, Injuries, Deaths [Major Visitor Accidents]	Permanent	2. Protection and Safety	2.B. Temporary, 25 years
A7623c	Accidents, Injuries, Deaths [Minor Visitor]	2 years	2. Protection and Safety	2.C. Temporary, 7 years
A7623d	Accidents, Injuries, Deaths [Accidents Causing Damage to Government Property]	6 years	2. Protection and Safety	2.C. Temporary, 7 years
A7623d	Accidents, Injuries, Deaths [Accidents, Government Property, routine]	6 years	2. Protection and Safety	2.D. Temporary, 3 years
A7623e	Accidents, Injuries, Deaths [Employee]	6 years	2. Protection and Safety	2.D. Temporary, 3 years
A7627a	Floods, Storms, Droughts, etc. [Major]	Permanent	1. Resource Management	1.B. Temporary (long-term)
A7627a	Floods, Storms, Droughts, etc. [Major]	Permanent	2. Protection and Safety	2.A.2. Permanent
A7627b	Floods, Storms, Droughts, etc. [Minor]	2 years	1. Resource Management	1.B. Temporary (long-term)
A7627b	Floods, Storms, Droughts, etc. [Minor]	2 years	2. Protection and Safety	2.C. Temporary, 7 years
A7631a	Building Fires [Major fires causing permanent damage to historic or natural sites]	Permanent	1. Resource Management	1.A.2. Permanent
A7631a	Building Fires [Major fires causing permanent damage to historic or natural sites]	Permanent	2. Protection and Safety	2.A.2. Permanent
A7631b	Building Fires [Minor fires causing damage to visitor property such as cars, trailers, etc.]	2 years	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
A7631b	Building Fires [Minor fires causing damage to visitor property such as cars, trailers, etc.]	2 years	2. Protection and Safety	2.D. Temporary, 3 years
A7633	Vandalism, Building Security	2 years	2. Protection and Safety	2.D. Temporary, 3 years
A7637	Tort Claims	Permanent	2. Protection and Safety	2.D. Temporary, 3 years
A78	School Facilities	15 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
A80	Space for Administrative Use [historic properties]	15 years	1. Resource Management	1.B. Temporary (long-term)
A80	Space for Administrative Use [non-historic properties]	15 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
A8015	Alterations, Maintenance Improvement	2 years	1. Resource Management	1.B. Temporary (long-term)
A8015	Alterations, Maintenance Improvement	2 years	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
A8027	Office and Storage Space a. Correspondence b. Allocation, etc.	a. 15 years b. 2 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
A8215	Dedications, Anniversaries, Similar Observances	Permanent	10. Management and Accountability	10.A. Permanent
A8219	Conventions, Tours, Group Visitations, Public Gatherings	2 years HQ, 3 years field	10. Management and Accountability	10.C. Temporary, 7 years
A8223	Religious Services	2 years HQ, 3 years field	10. Management and Accountability	10.C. Temporary, 7 years
A8227	Expositions	2 years HQ, 3 years field	10. Management and Accountability	10.C. Temporary, 7 years
A8231	Display of Flag	2 years HQ, 3 years field	10. Management and Accountability	10.C. Temporary, 7 years
A8419	Speeches, Washington Area Directorate	Permanent	10. Management and Accountability	10.A. Permanent
A8423	Speeches, Field Directorate	Permanent	10. Management and Accountability	10.A. Permanent
A8815	Transportation Studies, Visitor Use	15 years HQ, 6 years field	1. Resource Management	1.B. Temporary (long-term)
A8815a	Transportation Studies, Visitor Use	15 years HQ	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
A8815b	Transportation Studies, Visitor Use	6 years field	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
A8817	Transportation Studies, New Systems	15 years HQ, 6 years field	1. Resource Management	1.B. Temporary (long-term)
A8817a	Transportation Studies, New Systems	15 years HQ	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
A8817b	Transportation Studies, New Systems	6 years field	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
A9015a	Permits, Collecting (Archeological, Paleontological, etc.) [approved]	15 years	1. Resource Management	1.A.2. Permanent
A9027a	Permits, Motion Picture Filming [approved]	15 years	1. Resource Management	1.C. Temporary, 15 years
A9027b	Permits, Motion Picture Filming [unsuccessful]	1 year	1. Resource Management	1.D. Temporary, 3 years
A9029a	Permits, Public Gathering [approved]	15 years	1. Resource Management	1.C. Temporary, 15 years
A9029b	Permits, Public Gathering [unsuccessful]	1 year	1. Resource Management	1.D. Temporary, 3 years
A9031a	Permits, Recreation Uses [approved]	15 years	1. Resource Management	1.C. Temporary, 15 years
A9031b	Permits, Recreation Uses [unsuccessful]	1 year	1. Resource Management	1.D. Temporary, 3 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
A96	Delegations of Authority	5 years	10. Management and Accountability	10.D. Temporary, 3 years
A98	Conservation and Preservation of Areas	Permanent	6. Interpretation and Education	6.A.1. Permanent
C. Concessions				
C14	Accommodations, Capacity and Type	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C18	Advertising	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C2615	[Concession] Reports, Monthly	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C2617	[Concession] Reports, Quarterly	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C2625	[Concession] Reports, Semi-Annual	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C2627	[Concession] Reports, Annual	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C2629	[Concession] Reports, Situation	3 years or WNLN or different retention	5. Commercial Visitor Services	5.D. Temporary, 3 years
C30	Audits and Fiscal Examinations	Destroy after audit or 4 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C32	Lump Sum Fund, Concessioner	2 years after FY	5. Commercial Visitor Services	5.D. Temporary, 3 years
C34	Concessioner's Organizations, Meetings, Recommendations & related correspondence	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C3815	Applications	5 years HQ, 2 years field	5. Commercial Visitor Services	5.C. Temporary, 7 years
C3817	Prospectus	WNLN	5. Commercial Visitor Services	5.D. Temporary, 3 years
C3819	Insurance	5 years	5. Commercial Visitor Services	5.C. Temporary, 7 years
C3821	Standard language	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C3823	[Concessions] Contracts and Permits (Case Files) that meet permanent criteria	6 years	5. Commercial Visitor Services	5.A. Permanent
C3823	[Concessions] Contracts and Permits (Case Files) [that do not meet permanent criteria]	6 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C3823	[Concessions] Contracts and Permits (Case Files) ["blanket" A&E contracts]	6 years	5. Commercial Visitor Services	5.C. Temporary, 7 years
C3825	Franchise Fees	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C3827	Commercial Use License	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C40	Possessary Interest	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C42	Employment and Labor	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
C46	Merchandising	2 years	5. Commercial Visitor Services	5.D. Temporary, 3 years
C50	Rates	5 years after superseded	5. Commercial Visitor Services	5.B. Temporary, 15 years
C54	Taxes	5 years	5. Commercial Visitor Services	5.C. Temporary, 7 years
C58	Buildings and Other Facilities [historic properties]	Permanent	1. Resource Management	1.A.2. Permanent
C58	Building and Other Facilities [non-historic properties]	Permanent	5. Commercial Visitor Services	5.A. Permanent
C62	Concessions Review Program	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C6215	Operational Performance	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
C6217	Contract Permit	15 years	5. Commercial Visitor Services	5.B. Temporary, 15 years
D. Development and Maintenance				
D18	Planning Program [General Management Plans & Development Concept Plans]	Permanent	1. Resource Management	1.A.2. Permanent
D18	Planning Program [GPRA]	Permanent	10. Management and Accountability	10.A. Permanent
D20a	Planning and Design Project Files: Significant Case Files	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D20b	Planning and Design Project Files: Routine Case files	20 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D22	Construction Programs [historic properties]	Permanent	1. Resource Management	1.A.2. Permanent
D22	Construction Programs [non-historic properties]	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D2215	Development/Study Package Proposals and Estimates [historic properties]	6 years	1. Resource Management	1.B. Temporary (long-term)
D2215	Development/Study Package Proposals and Estimates [non-historic properties]	6 years	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
D2217	Line Item Programs [historic properties]	6 years	1. Resource Management	1.B. Temporary (long-term)
D2217	Line Item Programs [non-historic properties]	6 years	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
D2219	Lump Sum and Similar Programs [historic properties]	6 years HQ, 3 years field	1. Resource Management	1.B. Temporary (long-term)
D2219	Lump Sum and Similar Programs [non-historic properties]	6 years HQ, 3 years field	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
D24	Maintenance and Rehabilitation Program [historic properties]	WNLN	1. Resource Management	1.B. Temporary (long-term)
D24	Maintenance and Rehabilitation Program [non-historic properties]	WNLN	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
D2615-D2619	Historic Properties D2615=[Maintenance] Reports, Monthly D2617=[Maintenance] Reports, Quarterly D2615=[Maintenance] Reports. Semi-Annual	3 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
D2615-D2619	Non-historic Properties D2615=[Maintenance] Reports, Monthly D2617=[Maintenance] Reports, Quarterly D2615=[Maintenance] Reports, Semi-Annual	3 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D2621	[Maintenance] Reports, Annual	3 years	4. Park Facilities and Maintenance	4.C. Temporary, 7 years
D2623	[Maintenance] Reports, Situation Completion Reports	15 years HQ, 6 years/WNLN field	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D2623	[Maintenance] Reports, Situation Completion Reports	15 years HQ, 6 years/WNLN field	1. Resource Management	1.B. Temporary (long-term)
D30	Roads and Trails [historic properties]	Permanent	1. Resource Management	1.A.2. Permanent
D30	Roads and Trails [non-historic properties]	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D30a&b	Roads and Trails [historic properties] a. Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	1. Resource Management	1.B. Temporary (long-term)
D30a&b	Roads and Trails [non-historic properties] a. Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D32	Grounds and Shoreline [historic properties]	Permanent	1. Resource Management	1.A.2. Permanent
D32	Grounds and Shoreline [non-historic properties]	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D3215-D3219	Grounds & Shoreline [historic properties] D3215=Campgrounds, playgrounds, tennis courts, picnic areas D3217=Beaches D3219=Erosion and Watershed Control	Permanent	1. Resource Management	1.A.2. Permanent
D3215-D3219	Grounds & Shoreline [non-historic properties] D3215=Campgrounds, playgrounds, tennis courts, picnic areas D3217=Beaches D3219=Erosion and Watershed Control	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D3215-D3219 a&b	Grounds & Shoreline [historic properties] D3215=Campgrounds, playgrounds, tennis courts, picnic areas D3217=Beaches D3219=Erosion and Watershed Control a. Project Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	1. Resource Management	1.B. Temporary (long-term)

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
D3215-D3219 a&b	Grounds & Shoreline [non-historic properties] D3215=Campgrounds, playgrounds, tennis courts, picnic areas D3217=Beaches D3219=Erosion and Watershed Control a. Project Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D34	Buildings (other than Concession and Historical)	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D3415 a&b	Buildings (other than Concession and Historical) a. Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D3423	Buildings (other than Concession and Historical) Individual Building Data File	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D46	Other Structures [Fences, Benches, Guardrails, etc.] [historic properties]	Permanent	1. Resource Management	1.A.2. Permanent
D46	Other Structures [Fences, Benches, Guardrails, etc.] [non-historic properties]	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D46a&b	Other Structures (fences, benches, guardrails, fountains, etc.) [historic structures] a. Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	1. Resource Management	1.B. Temporary (long-term)
D46a&b	Other Structures (fences, benches, guardrails, fountains, etc.) [non-historic structures] a. Construction b. Maintenance and Rehabilitation	a. 15 years b. 5 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D50	Service and Utilities	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D5015-5041 a&b	Service & Utilities, Non-historic Properties [Maintenance and Rehabilitation] D5015=Service, Electricity D5019=Service, Garbage Disposal D5023=Service, Heating & Cooling Systems D5027=Service, Radio and Telephone D5031=Service, Sanitation Matters D5039=Service, Water and Sewer D5041=Service, Gas Systems	5 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D52	Contracts [historic properties]	Permanent	1. Resource Management	1.B. Temporary(long-term)
D52	Contracts [non-historic properties]	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
D5215	Professional Services (Architecture & Engineering) Contracts	Transfer to DSC	10. Management and Accountability	10.C. Temporary, 7 years
D5217	Construction Contracts a. more than $10,000 b. less than $10,000	a. 6 years, 3 months b. 3 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
D5217	Construction Contracts a. more than $10,000 b. less than $10,000	a. 6 years, 3 months b. 3 years	4. Park Facilities and Maintenance	4.B.1. Temporary, 15 years
D62	Museum and Exhibit Activities	Permanent	1. Resource Management	1.B Temporary (long-term)
D6215	Planning, preparation, maintenance & preservation of museum exhibits	5 years	1. Resource Management	1.B. Temporary (long-term)
D6223a	Acquisition and Loans for Display [Acquisition Correspondence]	Maintain with acquisition	1. Resource Management	1.B. Temporary (long-term)
D6223b	Acquisition and Loans for Display [Loan Correspondence]	2 years (after loan returned)	1. Resource Management	1.B. Temporary (long-term)
D6231	Exhibits for Other Agencies	2 years in HQ, 3 years in field	1. Resource Management	1.D. Temporary: 3 years
D66	Signs, Markers, & Memorials [Correspondence re significant Memorials]	Permanent	1. Resource Management	1.A.2. Permanent
F. Fiscal				
F14	Advances, Transfers, and Allocations of Working Funds	Permanent	10. Management and Accountability	10.A. Permanent
F1415	Working Funds [to other Agencies]	Permanent	10. Management and Accountability	10.A. Permanent
F1419	Working Funds [from other Agencies]	Permanent	10. Management and Accountability	10.A. Permanent
F1423	Working Funds [within Service]	Permanent	10. Management and Accountability	10.A. Permanent
F16a	Accounting [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F16b	[Accounting] Expenditure Accounting Files	3 years	10. Management and Accountability	10.C. Temporary, 7 years
F2615-F2623	F2615=[Fiscal] Reports, Monthly F2617=[Fiscal] Reports, Quarterly F2619=[Fiscal] Reports, Semi-Annual F2621=[Fiscal] Reports, Annual F2623=[Fiscal] Reports, Situation	3 years	10. Management and Accountability	10.C. Temporary, 7 years
F30a	Budget Formulation [Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F30b	Budget Formulation [Budget Estimates and Justifications prepared at WASO level]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F30c	Budget Formulation [Work Papers, Cost Statements, etc.]	1 year	10. Management and Accountability	10.C. Temporary, 7 years
F3015a	Current Year Operating Program [Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3015b	Current Year Operating Program [Budget Estimates and Justifications prepared at WASO level]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F3015c	Current Year Operating Program [Work Papers, Cost Statements, etc.]	1 year	10. Management and Accountability	10.C. Temporary, 7 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
F3017a	Budget Increases/Decreases [Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3017b	Budget Increases [Budget Estimates and Justifications prepared at WASO level]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F3017c	Budget Increases/Decreases [Work Papers, Cost Statements, etc.]	1 year	10. Management and Accountability	10.C. Temporary, 7 years
F34	Budget Execution	Permanent	10. Management and Accountability	10.A. Permanent
F3415	Status of Funds	Permanent	10. Management and Accountability	10.A. Permanent
F3417	Reserves	Permanent	10. Management and Accountability	10.A. Permanent
F36	Budgeted Position Ceilings	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F38a	Appropriations & Allotment Advices [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F38b	Appropriations & Allotment Advices [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F38c	Appropriations and Allotment Advices [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
F3815a	Operating (Form 10-450) [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3815b	Operating (Form 10-450) [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F3815c	Operating (Form 10-450) [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
F3817a	Construction [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3817b	Construction [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F3817c	Construction [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
F3819a	Supplemental [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3819b	Supplemental [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F3819c	Supplemental [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
F3821a	Apportionments [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3821b	Apportionments [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F3821c	Apportionments [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
F3823a	Administrative Limitations [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F3823b	Administrative Limitations [Appropriation Allotment Files]	10 years	10. Management and Accountability	10.B. Temporary, 15 years
F3823c	Administrative Limitations [Apportionment Files]	2 years	10. Management and Accountability	10.C. Temporary, 7 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
F 42a	Audits and Fiscal Examinations [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F42b	Audits and Fiscal Examinations [Specific Audits]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F4215a	Audit General Accounting Office and other Government Agencies [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F4215b	General Accounting Office and other Government Agencies [Specific Audits]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F4217a	Department of Interior/National Park Service [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F4217b	Department of Interior/National Park Service [Specific Audits]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F4223a	Public Auditors (other than Government) [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F4223b	Public Auditors (other than Government) [Specific Audits]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
F46a	Cashiers and Collection Officers (includes Imprest Fund) [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F46b	Cashiers and Collection Officers (includes Imprest Fund) [Transactions]	6 years, 3 months	10. Management and Accountability	10.C. Temporary, 7 years
F50a	Claims and Payments [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F50b	Claims and Payments [Accountable Officer's Files]	6 years, 3 months	10. Management and Accountability	10.C. Temporary, 7 years
F5015a	Construction [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F5015b	Construction [Accountable Officer's Files]	6 years, 3 months	10. Management and Accountability	10.C. Temporary, 7 years
F5019a	Supply [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F5019b	Supply [Accountable Officer's Files]	6 years, 3 months	10. Management and Accountability	10.C. Temporary, 7 years
F5023a	Travel and Transportation [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F5023b	Travel and Transportation [Accountable Officer's Files]	6 years, 3 months	10. Management and Accountability	10.C. Temporary, 7 years
F5025	Compensation	Permanent	10. Management and Accountability	10.A. Permanent
F54a	Special Nonappropriated Funds [Record copy]	Permanent	10. Management and Accountability	10.A. Permanent
F5415a	Donations [Record copy]	Permanent	10. Management and Accountability	10.A. Permanent
F5417a	Reimbursable/Refundables [Record copy]	Permanent	10. Management and Accountability	10.A. Permanent
F5419a	Fees and Revenues [Record copy]	Permanent	10. Management and Accountability	10.A. Permanent
F62a	Fiscal Requisitions and Interpretations [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
F62b	Fiscal Requisitions and Interpretations [Regulations]	WSO	10. Management and Accountability	10.C. Temporary, 7 years
F66a	Payrolls [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F66b(1)	[Payrolls] Individual Authorized Allotment Files. [Record maintained on earning record card] [Obsolete record]	WSO/separation or transfer of employee	N/A	GRS 2.1
F6615-27b(1)	[Payrolls] Individual Authorized Allotment Files. F6615b(1)=Income Tax Deductions F6619b(1)=Retirement Deductions F6623b(1)=Other Deductions F6627b(1)=Designations [Record maintained on earning record card]	3 years	10. Management and Accountability	10.C. Temporary, 7 years
F66b(2)	Payrolls [Records Not Maintained Elsewhere]	3 years after WSO	10. Management and Accountability	10.D. Temporary, 3 years
F6615a	Payrolls, Income Tax Deductions [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F6615b(2)	Payrolls, Income Tax Deductions [Records Not Maintained Elsewhere]	3 years after WSO	10. Management and Accountability	10.D. Temporary, 3 years
F6619a	Payrolls, Retirement Deductions [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F6619b(2)	Payrolls, Retirement Deductions [Records Not Maintained Elsewhere]	3 years after WSO	10. Management and Accountability	10.D. Temporary, 3 years
F6623a	Payrolls, Other Deductions [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F6623b(2)	Payrolls, Other Deductions [Records Not Maintained Elsewhere]	3 years after WSO	10. Management and Accountability	10.D. Temporary, 3 years
F6627a	Payrolls, Designations (i.e., Timekeepers, Designated Agent) [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F6627b(2)	Payrolls, Designations (i.e., Timekeepers, Designated Agent) [Records Not Maintained Elsewhere]	3 years after WSO	10. Management and Accountability	10.D. Temporary, 3 years
F74a	Rate Schedules [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F74b	Rate Schedules [Rate Schedules]	WSO	10. Management and Accountability	10.D. Temporary, 3 years
F7415a	Rate Schedules, Equipment [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F7415b	Rate Schedules, Equipment [Rate Schedules]	WSO	10. Management and Accountability	10.D. Temporary, 3 years
F7419a	Rate Schedules, Mass [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F7419b	Rate Schedules, Mass [Rate Schedules]	WSO	10. Management and Accountability	10.D. Temporary, 3 years
F7423a	Rate Schedules, Quarters [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F7423b	Rate Schedules, Quarters [Rate Schedule]	WSO	10. Management and Accountability	10.D. Temporary, 3 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
F7425a	Rate Schedules, Utilities [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F7425b	Rate Schedules, Utilities [Rate Schedule]	WSO	10. Management and Accountability	10.D. Temporary, 3 years
F78	Tax Exemptions	4 years	10. Management and Accountability	10.C. Temporary, 7 years
F86a	Travel and Transportation Regulations [Policy Correspondence]	Permanent	10. Management and Accountability	10.A. Permanent
F86b	Travel and Transportation Regulations [Regulations]	WSO	10. Management and Accountability	10.C. Temporary, 7 years
H. History and Archeology				
H14	Area and Service History	Permanent	1. Resource Management	1.A.2. Permanent
No code	Significant Events & Contact Log	Permanent	1. Resource Management	1.A.2. Permanent
H15	Legislative Histories	Permanent	1. Resource Management	1.A.2. Permanent
H17	Administrative Histories	WNLN	1. Resource Management	1.B. Temporary (long-term)
H18	Biographical Data and Special Collections	Permanent	1. Resource Management	1.A.2 Permanent
H20	Collection Management and Preservation	Permanent	1. Resource Management	1.B. Temporary (long-term)
H2015	National Park Service Areas	Permanent	1. Resource Management	1.A.2. Permanent
H2017	Acquisition, Gifts, Loans, and Inventories (Accession Files)	Maintain with Collections	1. Resource Management	1.A.2. Permanent and 1.B. Temporary (long-term)
H22	Cultural Resources Studies and Research	Permanent	1. Resource Management	1.A.2. Permanent
H2215	National Park Service Areas	Permanent	1. Resource Management	1.A.2. Permanent
H2217	Special Studies	Permanent	1. Resource Management	1.A.2. Permanent
H24	Archeological and Historic Data Recovery Programs (External)	Permanent	1. Resource Management	1.A.2. Permanent
H2415	Corps of Engineers, Bureau of Reclamation Projects, River Basins, etc.	Permanent	1. Resource Management	1.A.2. Permanent
H26	Reports (and related correspondence)	3 years	1. Resource Management	1.B. Temporary (long-term)
H2615	Reports, Monthly	3 years	1. Resource Management	1.B. Temporary (long-term)
H2617	Reports, Quarterly	3 years	1. Resource Management	1.B. Temporary (long-term)
H2619	Reports, Semi-Annual	3 years	1. Resource Management	1.B. Temporary (long-term)
H2621	Reports, Annual	Permanent	1. Resource Management	1.A.2. Permanent
H2623	Reports, Situation	Permanent	1. Resource Management	1.A.2. Permanent

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
H30	Historic Sites and Structures Management and Preservation (includes Archeological Ruins)	Permanent	1. Resource Management	1.A.2. Permanent
H3015	Management, Preservation, & Maintenance	Permanent	1. Resource Management	1.A.2. Permanent
H3017	List of Classified Structures	Permanent	1. Resource Management	1.A.2. Permanent
H3019	Special Studies (includes Historic Furnishing Plans)	Permanent	1. Resource Management	1.A.2. Permanent
H32	National Register of Historic Places (includes state plans)	Permanent	1. Resource Management	1.A.2. Permanent
H32	National Register of Historic Places (includes state plans)	Permanent	8. National Assistance Programs	8.A.4. Permanent
H34	National Survey of Historic Sites and Buildings (National Historic Landmarks)	Permanent	1. Resource Management	1.A.2. Permanent
H34	National Survey of Historic Sites and Buildings (National Historic Landmarks)	Permanent	8. National Assistance Programs	8.A.4. Permanent
H3415	Proposed [Sites/Buildings]	Permanent	1. Resource Management	1.A.2. Permanent
H3417	Eligible or Established	Permanent	1. Resource Management	1.A.2. Permanent
H3417	Eligible or Established	Permanent	8. National Assistance Programs	8.A.4. Permanent
H36	Historic Preservation Grants in Aid	15 years	1. Resource Management	1.B. Temporary (long-term)
H36	Historic Preservation Grants in Aid	15 years	8. National Assistance Programs	8.B. Temporary, 15 years
H38	Historic American Buildings Survey (HABS)	Permanent	1. Resource Management	1.A.2. Permanent
H38	Historic American Buildings Survey	Permanent	8. National Assistance Programs	8.A.4. Permanent
H3815	[HABS] Studies	Permanent	1. Resource Management	1.A.2. Permanent
H3819	Request for [HABS]	WNLN	1. Resource Management	1.B. Temporary (long-term)
H40	Historic American Engineering Record (HAER)	Permanent	1. Resource Management	1.A.2. Permanent
H40	Historic American Engineering Record	Permanent	8. National Assistance Programs	8.A.4. Permanent
H42	Historic Preservation Program Overview	Permanent	1. Resource Management	1.A.2. Permanent
H4215	Legislative Policies and Procedures	Permanent	1. Resource Management	1.A.2. Permanent

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
H4217	Compliance Documentation	Permanent	1. Resource Management	1.A.2. Permanent
K. Interpretation and Information				
K14	Information Requests [GRS 14.7]	3 months	9. Information and Image Management	9.D. Temporary, 3 years
K18	Interpretive Activities	Permanent	6. Interpretation and Education	6.A.1. Permanent
K1815	[Interpretive] Services	Permanent	6. Interpretation and Education	6.A.1. Permanent
K1817	Interpretive Planning (data, needs, programs, etc.)	Permanent	6. Interpretation and Education	6.A.1. Permanent
K22	Libraries and Library Services	2 years	6. Interpretation and Education	6.C. Temporary, 3 years
K22	Libraries and Library Services	2 years	9. Information and Image Management	9.C. Temporary, 7 years
K2615	Monthly Reports & related correspondence	3 years	6. Interpretation and Education	6.C. Temporary, 3 years
K2617	Quarterly Reports & related correspondence	3 years	6. Interpretation and Education	6.C. Temporary, 3 years
K2619	Semi-Annual Reports & related correspondence	3 years	6. Interpretation and Education	6.C. Temporary, 3 years
K2621	Annual Reports & related correspondence	Permanent	6. Interpretation and Education	6.A.1. Permanent
K2623	Situation Reports and related correspondence	Permanent	6. Interpretation and Education	6.A.1. Permanent
K30	Photography [related to interpretation or education]	Permanent	6. Interpretation and Education	6.A.1. Permanent
K3015	Production and Acquisition of Motion Pictures [related to interpretation or education]	Permanent	6. Interpretation and Education	6.A.1. Permanent
K3019	Production and Acquisition of Still Pictures and Slides [related to interpretation or education]	Permanent	6. Interpretation and Education	6.A.1. Permanent
K3023a	[Photography] Loans and Gifts [Museum collections] [Gift Correspondence]	Maintain with Gift	1. Resource Management	1.B. Temporary (long-term)
K3023b	[Photography] Loans and Gifts [Museum collections] [Loan Correspondence]	3 years after loan is returned	1. Resource Management	1.B. Temporary (long-term)
K34	News Media (Press, Radio, and TV) [Policy Correspondence]	Permanent	9. Information and Image Management	9.A.1. Permanent
K3415	Press Releases, NPS issuances at level of origin	Permanent	9. Information and Image Management	9.A.2. Permanent
K3417	Radio and Television Activities	Permanent	9 Information and Image Management	9.A.2. Permanent

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
K38a&c	Publications, Service a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K38b	Publications, Service [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3815a &c	In-House (Newsletters etc.) a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3815b	In-House (Newsletters etc.) [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3819a &c	Free Informational Literature a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3819b	Free Informational Literature [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3823a &c	Sales a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3823b	Sales [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3827a &c	Maps a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3827b	Maps [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3831a &c	Posters, Cartoons, & Emblems a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3831b	Posters, Cartoons & Emblems [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K3841a &c	Manuscripts and Proofs a. Policy Correspondence c. Manuscript copies and proof sheets that can be returned to author after 5 years	a. 15 years c. 5 years	9. Information and Image Management	9.B. Temporary, 15 years
K3841b	Manuscripts and Proofs [Specific Publications at Level of Origin Describing History, etc.]	Permanent	9. Information and Image Management	9.A.2. Permanent
K42	Publications, Other	6 years	9. Information and Image Management	9.C. Temporary, 7 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
K4215	Secretary's Office	6 years	9. Information and Image Management	9.C. Temporary, 7 years
K4219	Other Department, Bureau, and offices	6 years	9. Information and Image Management	9.C. Temporary, 7 years
K54	[Special Articles regarding Service or Areas] Prepared by Service Personnel	Permanent	9. Information and Image Management	9.A.2. Permanent
K5415	[Special Articles regarding Service or Areas] Prepared by Service Personnel	Permanent	9. Information and Image Management	9.A.2. Permanent
K5417	[Special Articles regarding Service or Areas] Prepared by Other than Service Personnel	Permanent	9. Information and Image Management	9.A.2. Permanent
L. Lands and Recreation Planning				
L14	Acquisition of Lands	Permanent	1. Resource Management	1.A.1. Permanent
L1415	Policy and Procedures	Permanent	1. Resource Management	1.A.1. Permanent
L1417	Boundary Adjustments	Permanent	1. Resource Management	1.A.1. Permanent
L1419	Federal Holdings (other than NPS)	6 years	1. Resource Management	1.B. Temporary (long-term)
L1425	Holdings [other than Federal]	Permanent	1. Resource Management	1.A.1. Permanent
L1429	Land Records	Permanent	1. Resource Management	1.A.1. Permanent
L24	Encroachments	Permanent	1. Resource Management	1.A.1. Permanent
L2415	Encroachments, Water Projects	Permanent	1. Resource Management	1.A.1.Permanent
L2419	Encroachments, Logging and Timber	Permanent	1. Resource Management	1.A.1. Permanent
L2423	Encroachments, Mining	Permanent	1. Resource Management	1.A.1. Permanent
L2427	Encroachments, Oil and Gas	Permanent	1. Resource Management	1.A.1. Permanent
L2431	Encroachments, Road Construction	Permanent	1. Resource Management	1.A.1. Permanent
L26	[Lands] Reports & Related Correspondence	3 years	1. Resource Management	1.B. Temporary (long-term)
L2615	[Lands] Reports, Monthly	3 years	1. Resource Management	1.B. Temporary (long-term)
L2617	[Lands] Reports, Quarterly	3 years	1. Resource Management	1.B. Temporary (long-term)
L2619	[Lands] Reports, Semi-Annual	3 years	1. Resource Management	1.B. Temporary (long-term)
L2621	[Lands] Reports, Annual	3 years	1. Resource Management	1.B. Temporary (long-term)
L2623	[Lands] Reports, Situation	3 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
L30a	Land Use [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L30b&c	Land Use b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3015a	Land Use, Agriculture [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3015b &c	Land Use, Agriculture b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3019a	Land Use, Grazing [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3019b &c	Land Use, Grazing b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3023a	Land Use, Mining and Minerals [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3023b &c	Land Use, Mining and Minerals b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3025a	Land Use, Oil and Gas Easements [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3025b &c	Land Use, Oil, & Gas Easements b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3027a	Land Use, Roads and Road Rights of Way [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3027b &c	Land Use, Roads and Road Rights of Way b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L3031a	Land Use, Water, Sewer & Transmission Lines [General Correspondence]	Permanent	1. Resource Management	1.A.1. Permanent
L3031b &c	Land Use, Water, Sewer & Transmission Lines b. Approved Permits c. Rejected Requests	b. 6 years c. 2 years	1. Resource Management	1.B. Temporary (long-term)
L32	Grants, UPARR, LWCF	Permanent	8. National Assistance Programs	8.B. Temporary (long-term)
L3215	Land, Public, Cooperation, Including Administration, Planning and Development	15 years	1. Resource Management	1.B. Temporary (long-term)
L3217a	Grant Application Files [unsuccessful]	3 years	8. National Assistance Programs	8.D. Temporary, 3 years
L3217b	Grant Application Files [accepted]	Permanent	8. National Assistance Programs	8.B. Temporary (long-term)
L3219	Grant Case Files	Permanent	1. Resource Management	1.A.1. Permanent
L3219	Grant Case Files	Permanent	8. National Assistance Programs	8.B. Temporary (long-term)
L34	Recreation Activities	15 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
L3415	Camping [Permits]	15 years	1. Resource Management	1.B. Temporary (long-term)
L3417	Hiking & Riding [Permits]	15 years	1. Resource Management	1.B. Temporary (long-term)
L3423	Mountain Climbing [Permits]	15 years	1. Resource Management	1.B. Temporary (long-term)
L3425	Water Sports [Permits]	15 years	1. Resource Management	1.B. Temporary (long-term)
L3427	Winter Sports [Permits]	15 years	1. Resource Management	1.B. Temporary (long-term)
L38	Aircraft Landing Sites	15 years	1. Resource Management	1.B. Temporary (long-term)
L46	Navigation Facilities Sites	15 years	1. Resource Management	1.B. Temporary (long-term)
L48	Wilderness Areas and Research Reserves	Permanent	1. Resource Management	1.A.1. Permanent
L50	Geographic Place Names and Area Terminology	6 years	1. Resource Management	1.B. Temporary (long-term)
L54	Water Matters (Water Rights Compacts, etc.)	Permanent	1. Resource Management	1.A.1. Permanent
No code	Water Right Dockets	Permanent	1. Resource Management	1.A.1. Permanent
L58a	Proposed Areas [Accepted Proposals]	Permanent	1. Resource Management	1.A.1. Permanent
L58b	Proposed Areas [Rejected Proposals]	15 years	1. Resource Management	1.B. Temporary (long-term)
L5815a	National Wild and Scenic Rivers [Accepted Proposals]	Permanent	1. Resource Management	1.A.1. Permanent
L5815b	National Wild and Scenic Rivers [Rejected Proposals]	15 years	1. Resource Management	1.B. Temporary (long-term)
L5817a	National Scenic Trails [Accepted Proposals]	Permanent	1. Resource Management	1.A.1. Permanent
L5817b	National Scenic Trails [Rejected Proposals]	15 years	1. Resource Management	1.B. Temporary (long-term)
L60	Designated Areas	Permanent	1. Resource Management	1.A.1. Permanent
L6015	National Wild and Scenic Areas	Permanent	1. Resource Management	1.A.1. Permanent
L6017	National Scenic Trails	Permanent	1. Resource Management	1.A.1. Permanent
L62	International Parks and Historic Sites	Permanent	1. Resource Management	1.A.1. Permanent
L66	Foreign Parks and Historic Sites	15 years	1. Resource Management	1.B. Temporary (long-term)
L70	States and State Parks	15 years	1. Resource Management	1.B. Temporary (long-term)
L7019	Cooperation, Including Administration, Planning, and Development	15 years	1. Resource Management	1.B. Temporary (long-term)
L7021	State Park Organizations	15 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
L7023	Annual Records on State Parks and Related Areas	15 years	1. Resource Management	1.B. Temporary (long-term)
L7027	Lists of State Parks with Acreage and Accommodations	15 years	1. Resource Management	1.B. Temporary (long-term)
L7031	Fees and Charges	15 years	1. Resource Management	1.B. Temporary (long-term)
L74	River Basin Studies and Activities	Permanent	1. Resource Management	1.A.1. Permanent
L7419	Economic and Recreational Benefits	Permanent	1. Resource Management	1.A.1. Permanent
L7421	Notices of Public Hearings	2 years	1. Resource Management	1.A.1. Permanent
L7423	Studies and Reports (Concerning B/R and C/E projects)	Permanents	1. Resource Management	1.A.1. Permanent
L7425	Dams and Dredging	Permanent	1. Resource Management	1.A.1. Permanent
L7427	Other Studies and Reports	Permanent	1. Resource Management	1.A.1. Permanent
L76	Environmental Impact [EI]	Permanent	1. Resource Management	1.A.1. Permanent
L7615	[EI] Policy, Procedures, Guidelines including EPA standards	Permanent	1. Resource Management	1.A.1. Permanent
L7617	[EI] Statements and Studies concerning NPS areas	15 years	1. Resource Management	1.B. Temporary (long-term)
L7619	[EI] Reviews of Statements and Studies concerning other Federal agencies	6 years after final action	1. Resource Management	1.D. Temporary: 3 years
L7621	Reviews of [EI] Statements and Studies concerning other State & Private agencies	6 years after final action	1. Resource Management	1.D. Temporary: 3 years
M2417a	Antiquities Act Permit Files	Permanent	1. Resource Management	1.A.2. Permanent
M2417b	Antiquities Act Permit Files [regional copy]	6 years	1. Resource Management	1.B. Temporary (long-term)
N. Natural and Social Sciences				
N14	Animal and Plant Life	Permanent	1. Resource Management	1.A.2. Permanent
N1415-N1433	N1415=Amphibians and Reptiles N1419=Birds N1423=Fish N1427=Mammals N1429=Insects and Invertebrates N1431=Shrubs N1433=Plants	Permanent	1. Resource Management	1.A.2. Permanent
N16	Management of Natural Resources and Areas [Ecological Impact]	Permanent	1. Resource Management	1.A.2. Permanent
N1615-N1623	N1615=Wildlife N1617=Plant Life N1619=Water Life N1621=Threatened and Endangered Species (plants and animals) N1623=Backcountry/Wilderness Management	Permanent	1. Resource Management	1.A.2. Permanent

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
N22	Research Programs	Permanent	1. Resource Management	1.A.2. Permanent
N2215-N2219	N2215=Area Natural Science Research Plans N2217=Social Science Research N2219=Research Proposals and Projects	Permanent	1. Resource Management	1.A.2. Permanent
N26	Natural Resources, Reports	3 years	1. Resource Management	1.B. Temporary (long-term)
N2615-N2623	N2615=[Natural Resources] Monthly N2617=[Natural Resources] Quarterly N2619=[Natural Resources] Semi-Annual N2621=[Natural Resources] Annual N2623=[Natural Resources] Situation	3 years	1. Resource Management	1.B. Temporary (long-term)
N30	Geological Features and Studies	Permanent	1. Resource Management	1.A.2. Permanent
N3019-N3043	N3019=Paleontology (Fossils) N3021=Seismology (Earthquakes) N3023=Speleology (Caves) N3027=Volcanology N3031=Glaciers (ice and frost action) N3035=Rocks and Minerals N3039=Thermal Features (geysers, hot springs, steam vents) N3043=Water (Fresh and Marine)	Permanent	1. Resource Management	1.A.2. Permanent
N36	Pollution/Environmental Quality	Permanent	1. Resource Management	1.A.2. Permanent
N3615-N3619	N3615=Air N3617=Water N3619=Land	Permanent	1. Resource Management	1.A.2. Permanent
N40	Energy Research	Permanent	1. Resource Management	1.A.2. Permanent
N42	Weather and Climate [Studies, Observations]	Permanent	1. Resource Management	1.A.2. Permanent
N44	Natural Landmarks	Permanent	1. Resource Management	1.A.2. Permanent
N46	Social and Economic Sciences	Permanent	1. Resource Management	1.A.2. Permanent
N4615-N4621	N4615=Visitor Use Surveys and Statistics N4617=Demography (Vital & Social Statistics) N4619=Economics N4621=Assessments	Permanent	1. Resource Management	1.A.2. Permanent
N50	Pest and Weed Control	Permanent	1. Resource Management	1.A.2. Permanent
N54	Soil and Moisture Control	Permanent	1. Resource Management	1.A.2. Permanent
P. Personnel				
P14a	Individual Official Personnel Files [Papers on right-hand side]	OPF rules	N/A	GRS 1.1
P14b	Individual Official Personnel Files [Papers on Left-Hand Side]	Employee transfer or 2 years	10. Management and Accountability	10.D. Temporary, 3 years [GRS 1.10]

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
P14c	Individual Official Personnel Files [Annual Performance Review]	OPF or 2 years	10. Management and Accountability	10.C. Temporary, 7 years
P1815	[OPM] Rules and Regulations and Related Correspondence	WNLN	10. Management and Accountability	10.D. Temporary, 3 years
P1819	[OPM Laws, Rules, Regulations] Interpretation	2 years HQ, 3 years field	10. Management and Accountability	10.D. Temporary, 3 years
P1821	[OPM] Inspections (CSC and Civil Service)	WSO	10. Management and Accountability	10.D. Temporary, 3 years
P22	Applications and Inquiries for Employment	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2215	Permanent Positions	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2217	Temporary Positions	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P26	Reports [Personnel]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2615	[Personnel] Monthly Reports	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2617	[Personnel] Quarterly Reports	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2619	[Personnel] Semi-annual Reports	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2621	[Personnel] Annual Reports	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P2623	[Personnel] Situation Reports	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P30	Appointment Requirements and Procedures	5 years	10. Management and Accountability	10.C. Temporary, 7 years
P32a	Classification, Position [Correspondence relating to development of standards for classification]	5 years	10. Management and Accountability	10.C. Temporary, 7 years
P32b	Classification, Position [Standards]	5 years	10. Management and Accountability	10.C. Temporary, 7 years
P32c	Classification, Position [position descriptions]	5 years	10. Management and Accountability	10.D. Temporary, 3 years
P3415	[Compensation] For Injury	6 years	10. Management and Accountability	10.C. Temporary, 7 years
P3419-P3423	P3419=[Compensation] For Overtime P3421=[Compensation] For Hazard Pay P3419=[Compensation] For Duty at Remote Work Sites	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P36	Conduct of Officers and Employees	WSO	10. Management and Accountability	10.D. Temporary, 3 years
P38	Performance Ratings Program and Procedures	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P4015	[Employee] Welfare [health & life insurance]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P4019	Employee Relations [correspondence & counseling]	3 years	10. Management and Accountability	10.C. Temporary, 7 years

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
P4021a	Labor-Management Relations [Labor - Management Agreements]	15 years	10. Management and Accountability	10.B. Temporary, 15 years
P4021b	Labor-Management Relations [Arbitration Cases]	5 years	10. Management and Accountability	10.C. Temporary, 7 years
P4215	[EEO] Affirmative Action Plan	5 years or WNLN	10. Management and Accountability	10.C. Temporary, 7 years
P4217a	Discrimination Complaints [when resolved in agency]	4 years	10. Management and Accountability	10.C. Temporary, 7 years
P4217b	Discrimination Complaints [when resolved by USCSC]	OPM schedule	10. Management and Accountability	10.C. Temporary, 7 years
P4217c	Discrimination Complaints [All Other Copies]	1 year	10. Management and Accountability	10.D. Temporary, 3 years
P4217d	Discrimination Complaints [All Background Documents]	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P4219	Special Programs	5 years	10. Management and Accountability	10.C. Temporary, 7 years
P44	Incentive Award Programs	2 or 3 years	10. Management and Accountability	10.D. Temporary, 3 years
P4415	[Incentive Awards Programs] Procedures	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P4417a	[Incentive Awards Programs] Merit Awards [Correspondence]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P4417b	[Incentive Awards Programs] Merit Awards [Awards]	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P4419a	[Incentive Awards Programs] Suggestions [Correspondence]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P4419b	[Incentive Awards Programs] Suggestions [Suggestions (Case Files by Individuals)]	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P48a	Examinations [Correspondence other than medical]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P48b	Examinations [Forms & Correspondence]	6 years	10. Management and Accountability	10.C. Temporary, 7 years
P52	Hours and Tours of Duty	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P56	Identification of Employees	3 months	10. Management and Accountability	10.D. Temporary, 3 years
P60	Leave	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P6015-P6043	P6015=Annual P6019=Jury P6023=Military P6027=Sick P6031=Without Pay P6035=Compensatory P6039=Holiday P6043=Special Occasions	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P64	Personnel Procedures and Records	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P68	Promotion, Career Development and Placement	WSO	10. Management and Accountability	10.D. Temporary, 3 years

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
P72a	Recruitment and Certification [Correspondence]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P72b	Recruitment and Certification [Recruitment for Specific Positions]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P72c	Recruitment and Certification [Certificates of Eligibles]	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P74	Restrictions on Employment	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P76	Reemployment	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P78	Retirement	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P80	Separation	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P82	Statistics	2 years	10. Management and Accountability	10.D. Temporary, 3 years
P84	Status	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P86	Training	5 years or WSO	10. Management and Accountability	10.C. Temporary, 7 years
P8615	In-Service [Training]	5 years or WSO	10. Management and Accountability	10.C. Temporary, 7 years
P8617	Interagency Facilities [Training]	5 years or WSO	10. Management and Accountability	10.C. Temporary, 7 years
P8619	Non-Government Facilities [Training]	5 years or WSO	10. Management and Accountability	10.C. Temporary, 7 years
P88	Transfers/Details/Reassignment	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P8815	Within Service	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P8819	Outside Service	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P90a	Wage Board Matters [Policy Correspondence]	WNLN	10. Management and Accountability	10.D. Temporary, 3 years
P90b	Wage Board Matters [Wage Rate Schedules and Related Correspondence]	3 years	10. Management and Accountability	10.D. Temporary, 3 years
P90c	Wage Board Matters [Wage Survey Files]	After completion of second succeeding Wage Survey	10. Management and Accountability	10.D. Temporary, 3 years
P92	Uniform Standards (including grooming)	WNLN	9. Information and Image Management	9.B. Temporary, 15 years
P94	Volunteer Employment Program [Policy Correspondence]	WNLN	10. Management and Accountability	10.A. Permanent
P94	Volunteer Employment Program	WNLN	10. Management and Accountability	10.C. Temporary, 7 years
S. Supplies, Procurement, and Property				
S14	Animals	2 years	1. Resource Management	1.B. Temporary (long-term)

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
S18	Historic Building Furniture and Accessories	2 years	1. Resource Management	1.B. Temporary (long-term)
S22	Construction and Maintenance Supplies	2 years	1. Resource Management	1.B. Temporary (long-term)
S24	Communications Equipment	2 years	1. Resource Management	1.B. Temporary (long-term)
S26	[Property] Reports	2 years	10. Management and Accountability	10.D. Temporary, 3 years
S2615-S2623	S2615= [Property] Reports, Monthly S2617= [Property] Reports, Quarterly S2619= [Property] Reports, Semi-Annual S2621= [Property] Reports, Annual S2623= [Property] Reports, Situation	2 years	10. Management and Accountability	10.D. Temporary, 3 years
S28	Drafting and Engineering Supplies	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S30	Explosives	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S32	Fire Fighting Equipment	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S34	Firearms and Ammunition	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S38	Fuels	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S46	Library	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S4615	Library Equipment	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S4619	Library Publications	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S50	License Plates and Tags	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S54	Medical [Supplies]	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S58	Motor-Driven or Propelled Equipment	3 months/3 years	10. Management and Accountability	10.D. Temporary, 3 years
S5815-S5835	S5815=Aircraft S5819=Automobiles, Trucks, Motorcycles S5823=Boats S5831=Road Construction and Maintenance Equipment S5835=Use of	2 years/3 years	10. Management and Accountability	10.D. Temporary, 3 years
S5815-35a	Correspondence	2 years	10. Management and Accountability	10.D. Temporary, 3 years
S5815-35b	Operations Records Relating to Gas & Oil, Dispatching & Scheduling	3 months	10. Management and Accountability	10.D. Temporary, 3 years
S5815-35c	Maintenance Records	1 year	10. Management and Accountability	10.D. Temporary, 3 years
S5815-35d	Motor Vehicle Operations (Including Driver tests, etc.)	3 years	10. Management and Accountability	10.D. Temporary, 3 years
S62	Office [Supplies]	2 years	10. Management and Accountability	10.C. Temporary, 7 years

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
S6215	Furniture and Accessories	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S6219	Forms (Stock Only)	3 months	10. Management and Accountability	10.C. Temporary, 7 years
S6223	Machines	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S6227	Stationery	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S6615	[Optical Equipment] Binoculars and Telescopes	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S6619	[Optical Equipment] Microscopes	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S7015	[Photographic and Sound Equipment] Cameras and Projectors	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S7019	[Photographic and Sound Equipment] Films and Slides	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S72	Procurement	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7215	[Procurement] Instructions and Procedures	Permanent	10. Management and Accountability	10.A. Permanent
S7217a	[Procurement] Construction Contracts. Technical Files (N1-79-89-1)	20 years until 2010	1. Resource Management	1.B. Temporary (long-term)
S7217b	[Procurement] Construction Contracts, routine procurement (N1-79-89-1)	6 years, 3 months	1. Resource Management	1.C. Temporary, 15 years
S7219a	Professional Services (A&E) Contracts Technical Files (N1-79-89-1)	10 years until 2000	1. Resource Management	1.B. Temporary (long-term)
S7219b	Professional Services (A&E) Contracts routine procurement, (N1-79-89-1)	6 years, 3 months	1. Resource Management	1.C. Temporary, 15 years
S7221	[Procurement] Research Contract	6 years, 3 months or 3 years	1. Resource Management	1.B. Temporary (long-term)
S7223	Supply and Equipment Contracts	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7225	Personal Services Contracts	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7227	Purchase Orders	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7229	[Procurement] Bidders List	WSO	10. Management and Accountability	10.D. Temporary, 3 years
S7231	[Procurement] Federal Supply Catalogs, Schedules, and Manufacturers Catalogs	WSO	10. Management and Accountability	10.D. Temporary, 3 years
S7415a	[Property Accountability] Real Property [Plant Account Cards/Ledgers] **Obsolete**	Permanent	4. Park Facilities and Maintenance	4.A. Permanent
S7415b	Real Property [work papers used in accumulating accounting data]	2 years	4. Park Facilities and Maintenance	4. C. Temporary, 7 years

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
S7417	Disposal of Real Property	Permanent	1. Resource Management & Lands	1. A. l. (Lands) Permanent 1. A. 2. (Resources) Permanent
S7417a	Disposal of Real Property [Excess Property Reports]	3 years	4. Park Facilities and Maintenance	4. C. Temporary, 7 years
S7417b	Disposal of Real Property [Property Disposal Case Files]	3 years	4. Park Facilities and Maintenance	4. C. Temporary, 7 years
S7419a	[Personal Property] Correspondence	3 years	10. Management and Accountability	10.D. Temporary, 3 years
S7419b	[Personal Property] Automated Equipment Inventory	WSO	10. Management and Accountability	10.D. Temporary, 3 years
S7419c	[Personal Property] Working Papers	After verification	10. Management and Accountability	10.D. Temporary, 3 years
S7421	Disposal of Personal Property	3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7421a	Correspondence	2 years	10. Management and Accountability	10.C. Temporary, 7 years
S7421b	Excess [Personal] Property Reports	3 years	10. Management and Accountability	10.C. Temporary, 7years
S7421c	Sales of Surplus Property Case Files	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S7423	Equipment Replacement Program	3 years	10. Management and Accountability	10.D. Temporary, 3 years
S78	Safety Equipment	6 years, 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S82	Signs, Markers, Traffic Devices, Flags, and Pennants	2 years	9. Information and Image Management	9.B. Temporary, 15 years
S84	Stenographic Services	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S90	Shipments (Bills of Lading/Invoices)	3 years	10. Management and Accountability	10.C. Temporary, 7 years
S94a	Uniforms [Policy Correspondence]	15 years	9. Information and Image Management	9.A.2. Permanent
S94b	[Uniforms] Specific Orders and Related Correspondence	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
S98	Weed and Insect Control Products and Animal Repellents	6 years 3 months or 3 years	10. Management and Accountability	10.C. Temporary, 7 years
W. Laws and Legal Matters				
W18	Decisions	15 years	10. Management and Accountability	10.B. Temporary, 15 years
W1815	[Decisions] Attorney General	15 years	10. Management and Accountability	10.B. Temporary, 15 years
W1819	[Decisions] Comptroller General	15 years	10. Management and Accountability	10.B. Temporary, 15 years

"Resources cannot be managed in the future without complete records of how they were managed in the past."

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
W1823	[Decisions] Solicitor	15 years	10. Management and Accountability	10.B. Temporary, 15 years
W1827	[Decisions] Chief Counsel	15 years	10. Management and Accountability	10.B. Temporary, 15 years
W22	Final Opinions and Orders	3 years	10. Management and Accountability	10.D. Temporary, 3 years
W24	Federal Register Submissions	2 years or when put in CFR	10. Management and Accountability	10.D. Temporary, 3 years
W26	[Legal] Reports	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W2615	[Legal] Monthly [Reports]	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W2617	[Legal] Quarterly [Reports]	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W2619	[Legal] Semi-Annual [Reports]	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W2621	[Legal] Annual [Reports]	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W2623	[Legal] Situation [Reports]	3 years	2. Protection and Safety	2.D. Temporary, 3 years
W28	Executive Orders and Proclamations	WSO	10. Management and Accountability	10.D. Temporary, 3 years
W30	Jurisdiction	Permanent	2. Protection and Safety	2.A.1. Permanent
W32	Civil Litigation/Court Procedures	Permanent	2. Protection and Safety	2.A.1. Permanent
W34	Law Enforcement	Permanent	2. Protection and Safety	2.A.1. Permanent
W3415	Violations of Regulations	1 year / 5 years/WNLN	2. Protection and Safety	2.D. Temporary, 3 years
W3417	Accident Investigation	6/15 years	2. Protection and Safety	2.D. Temporary, 3 years
W3419	Commissioners/Magistrates	6 years or WNLN	2. Protection and Safety	2.D. Temporary, 3 years
W3421	Expungement Orders	15 years	2. Protection and Safety	2.D. Temporary, 3 years **NOTE:** File in the related case file and maintain for its appropriate retention.
W3423	State & Local Laws and Regulations	15 years	2. Protection and Safety	2.D. Temporary, 3 years
W3425	Alcohol and Speed Devices	15 years	2. Protection and Safety	2.D. Temporary, 3 years
W3427	Drunk Driving	15 years	2. Protection and Safety	2.D. Temporary, 3 years
W38	Legislation	6 years/WNLN/WSO	1. Resource Management	1.A.2. Permanent
W3815	Proposed [Legislation]	6 years/WNLN/WSO	1. Resource Management	1.A.2. Permanent

Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	Title	Retention	New Category	New File Code
W3823	Enacted [Legislation]	6 years/WNLN/ WSO	1. Resource Management	1.A.2. Permanent
W42	Special Regulations (Title 36, CFR, Parts 7-60)	2 years or when in CFR	10. Management and Accountability	10.D. Temporary, 3 years
W46	General Regulations (Title 36, CFR, Parts 1-6)	2 years or when in CFR	10. Management and Accountability	10.D. Temporary, 3 years
W48	Procedures and Policies	15 years	2. Protection and Safety	2.C. Temporary, 7 years
W4815	Beats/Patrol Areas	15 years	2. Protection and Safety	2.D. Temporary, 3 years
W4817	Prisoner Processing	15 years	2. Protection and Safety	2.D. Temporary, 3 years
W4819	Court Procedures	15 years	2. Protection and Safety	2.D. Temporary, 3 years
Y. Forestry				
Y14	Wildland Fire Management	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y1415	Prevention	Permanent	1. Resource Management	1.A.2. Permanent
Y1417	Presuppression	Permanent	1. Resource Management	1.A.2. Permanent
Y1419	Suppression	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y1421	Prescribed Fire	Permanent	1. Resource Management	1.A.2. Permanent
Y18	Forestry and Range Conservation and Management	Permanent	1. Resource Management	1.A.2. Permanent
Y1815	Trees and Forests	Permanent	1. Resource Management	1.A.2. Permanent
Y1819	Range	Permanent	1. Resource Management	1.A.2. Permanent
Y1823	Reforestation and Rehabilitation	Permanent	1. Resource Management	1.A.2. Permanent
Y26	Reports	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y2615	Monthly	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y2617	Quarterly	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y2619	Semi-Annul	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y2621	Annual	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.

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Table 1: Superseded Director's Order #19			Table 2: Director's Order #11D	
Sup FC	**Title**	**Retention**	**New Category**	**New File Code**
Y2623	Situation	Permanent	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.
Y34	Products, Including Wood Utilization and Timber Cutting	Permanent	1. Resource Management	1.A.2. Permanent
Y42	[Forestry & Fire] Statistics	6 years or WNLN	1. Resource Management	1.A.2. Permanent
Y42	[Fire] Statistics	6 years of WNLN	3. Fire Management	NOTE: Fire records are covered by N1-95-05-2, an interagency schedule.

Implementing and Sustaining Director's Order #11D

The Records and Electronic Information Management (REIM) Guide: *Preserving the NPS Legacy*

Module 3:
The 21st Century Recordkeeping System: An Introduction

Contents of this Module

"Resources cannot be managed in the future without complete records of how they were managed in the past."

Introduction

This Module provides information on each of the 10 categories and 48 subcategories, background on what the category covers, types of records included, and sample file plans, so you can take the schedule and apply it to those records you have in your office/division/program.

The 21st Century Recordkeeping System: An Introduction

In 2010 a joint project between the U.S. National Archives and Records Administration (NARA) and the NPS sought to replace the 1953 Recordkeeping System and address critical deficiencies. This project resulted in the creation of the NPS Servicewide Records Schedule (SRS), which changes the 1953 Recordkeeping System in four distinct ways:

- First, the SRS mandates logically related records telling the story of a project remain intact and are filed together. (E.g. the Historic Preservation Act (106) compliance files).

- Second, the SRS simplifies the retention periods for electronic information (records) management systems.

- Third, the SRS covers records in all media, including electronic records and complex interpretive design project, such as "Valor in the Pacific."

- Fourth, the SRS mandates all Resource (Natural, Cultural, Lands) records and projects are immediately identified, filed, and protected together.

This new recordkeeping system does not list every possible record series that may be encountered in the course of doing business, but provides 10 broad categories. It does describe the types of records generated by the various program areas. When additional records are identified they can easily be associated with an existing category and subcategory descriptions. This large category approach to records and electronic information management brings records in all media together to achieve a simplified approach to organizing and maintaining records.

> If you create a record, ask yourself,
> "Does this record document Resources?"

Resource records, in general, belong in *Category 1, Resources Management and Lands*, whether they are (1) a contract project to reroof a historic structure or (2) redacted copy of a case incident report documenting damage to a historic landscape. Because they record events related to natural, cultural or land resources they are filed in Category 1. Similarly, if a record was created as part of fire prevention/safety planning for *historic structures*, then that record too is resource related. And as a result, is filed in *Category 1,* because any work related to preservation of Historic Structures is mission critical, making it a Category 1, Subcategory 1.A.2, Cultural and

Natural Resource Management record. If material was created during work on fire prevention planning in a *non historic* Visitor Center building, then those records would get filed in *Category 4, Facility and Maintenance.* In this latter case the records you created do *not* document Resources (Natural, Cultural, or Lands) and would be saved in the associated functional area, in this case Facilities and Maintenance.

> In brief, once you are sure a record is **not** a Resource record, the primary question to ask yourself is: "What function caused the records to be created?" The answer leads you to the best choice for which records category to use when filing records.

This simplistic approach can be summarized in the following illustration: Imagine the SRS as a flower. The center of the flower is where all Resource (Natural, Cultural, Lands) records should be filed and saved and the outer "petals" are where none Resources records should be filed.

"Resources cannot be managed in the future without complete records of how they were managed in the past."

There are a few basic concepts to know before reviewing Module 3:
- Remind yourself of the definition of Mission Critical Records
- Understand media neutrality
- Be familiar with the specific NPS record retention periods
- Understand the basic components of a file plan

Mission Critical Records

Mission critical records are those records that are most necessary for fulfillment of the NPS mission. Mission critical records are permanent records that will eventually become archival records. They should receive the highest priority in records and electronic information management activities and resources. Mission critical records should receive care as soon as possible and practical. Below is a *limited* list of Mission Critical Records:
- General Management Plans
- Development Concept Plans
- study plans
- annual reports
- situation reports
- special studies
- contracts relating to natural and cultural resources
- maps
- manuscripts
- museum collection management and preservation plans
- park histories
- land preservation records
- historic structure preservation and restoration

Media Neutrality

The NPS Servicewide Records Schedule (SRS) is media neutral, that is, based on content rather than format, so it covers all records regardless of medium: textual, electronic, photographic, sound, etc.

Specific NPS Record Retention Periods and Instructions

The NPS Servicewide Records Schedule (SRS) contains records with different required retention periods. The retention period dictates whether you should maintain the records within NPS or defines how long you should keep records prior to transferring them to the National Archives, destroying or deleting them. The retention periods are required and based on approval by NARA and NPS. The NPS required records retention periods:

- ***Permanent. Transfer Copies to the National Archives.*** These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records or special media (non-textual materials).

Ongoing databases should then be transferred every three years. Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the finalization of a land acquisition or the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

- *Permanent. Retain within NPS.* These are records that are significant for the management of resources within NPS but which NARA does not require for its purposes. They may include background files on projects, for which a copy of the final report was transferred to NARA, contracts on repairs of historically significant resources, museum collection data, and a variety of other materials. The vast majority of cultural and natural resource records will be in this category, and are to be retained permanently in NPS custody, and managed in the museum collection according to NPS Management Policies 2006.

- *Temporary. 25 Years.* Retention is based on the date of closure or cut-off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, or the close of a contract. Records in this subcategory are to be destroyed or deleted 25 years after that closing or cutoff date.

- *Temporary. 15 Years.* Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, or the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

- *Temporary. 7 Years.* Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, or the close of a contract. Records in this subcategory are to be destroyed or deleted 7 years after that closing or cutoff date.

- *Temporary. 3 Years.* Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

File Plans

Using this Guide, staff can determine which category their records need to be filed under and then establish a file plan. A file plan lists the records in your office, and describes how they are organized and maintained.

A good file plan is one of the essential components of a recordkeeping system, and key to a successful records management/legacy preservation program. It can help you:

- document your activities effectively

- identify records consistently
- retrieve records quickly
- determine which records are no longer needed
- meet statutory and regulatory requirements

Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work. While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, land acquisition files could be organized by date of acquisition, by location, by deed number, whatever works for you. The same would be true for land use records, with separate subcategories for grazing, logging, etc.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office.

The steps in implementing a file plan are:

   a. Identifying what records you have:
      1. What are the major functions of your office?
      2. What records are created by and support those functions?

   b. Match those records to the new schedule. Use the crosswalk in Appendix B to move from the previously used alpha-numeric system to the new schedule.

   c. Look at the sample file plans in each of the new categories to see what information should be included:
      1. Title
      2. Subtitle
      3. Disposition/retention authority
      4. Retention
      5. Office or program managing the records

Now you are familiar with mission critical records, media neutrality, retention periods, and file plans you are ready to move on to the rest of the Module. It provides information on each of the categories and subcategories, background on what the category covers, types of records included, and sample file plans, so you can take the schedule and apply it to those records you have in your office/division/program.

The NPS record categories can be found on the follow pages:
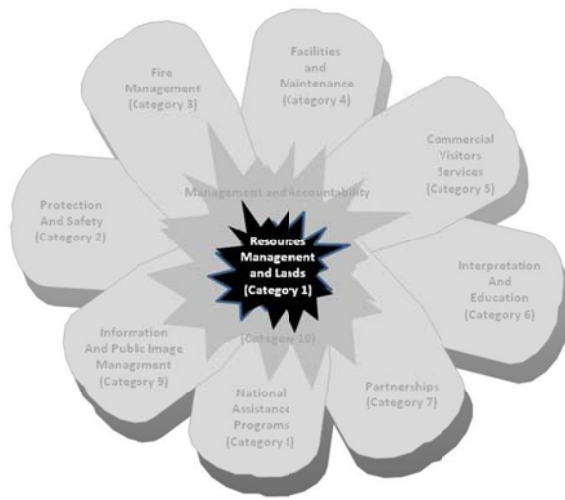
Category 1 Resources (Cultural and Natural) Management and Lands

Overview

This category covers records related to the acquisition, planning, management, and protection of lands and natural and cultural resources under the stewardship of the National Park Service. Resource Management and Lands also includes records containing sensitive, proprietary, or confidential information, including, but not limited to: certified payrolls (listing social security numbers of contractors and subcontractors), social security numbers of temporary workers, banking information for companies submitting bids, and any proprietary information about corporate practices, costs, and procedures submitted during the bidding process.

Mission Critical Functions

Per Director's Order (DO) 19, Section 4.1, Resource management records are those records and data sets that are most necessary for fulfillment of the NPS mission. Resource management records are NPS mission critical records, required for the management of cultural and natural resources, which will eventually become archival records. They should receive the highest priority for information preservation management activities and resources. Resource management records deserve archival care as soon as created in the lifecycle of the record.

D.O. 19, 4.2 Resource management records and electronic information include:

- All records and data sets of natural and cultural resources and their management containing information affecting the future management of the resource.

- General management plans and other major planning documents recording basic management philosophies and policies, or that direct park management and activities for long periods of time.

- All land records regarding legal title, rights, and usage of NPS lands.

- Any records directly supporting the specific legislated mission of a park unit in addition to, or distinct from, the overall NPS mission.

> Records and data that are collected, created, or generated by other organizations working for the NPS under contracts, interagency agreements, cooperative agreements, or other agreement instruments with the NPS, are considered NPS records unless the contract or agreement specifically states otherwise. Originals or copies of all project documents and data generated under these agreements should be obtained and retained by the NPS office managing the project.

Activities Related to Resource (Natural/Cultural) Management and Lands

Include archeological identification and evaluation studies, archeological excavations, natural resource surveys, inventory and monitoring of natural resources, re-vegetation and landscape restoration, reintroduction of native species, eradication of invasive species, historical research, historic preservation, historic structure resource management and maintenance, cultural landscape research, scientific projects, various natural and cultural resource maintenance projects, partnerships and volunteer activities, as well as environmental and science management programs.

Also, some NPS external programs include work on NPS-managed natural and cultural resources, such as:

- Federal Archeology
- Federal Lands to Parks
- Historic American Buildings Survey
- Historic American Engineering Record
- Historic American Landscapes Survey

- Maritime Heritage
- National Historic Landmarks
- National Register of Historic Places
- Office of International Affairs
- Wild and Scenic Rivers

Refer to Category 8 for a complete list of NPS external programs providing documentation or assistance to *non*-NPS areas.

Records Relating to Resource (Natural/Cultural) Management and Lands

Include, but are not limited to:

- General Management Plans,
- Development Concept Plans,
- study plans,
- inventory and monitoring plans,
- annual reports,
- situation reports,
- special studies,
- contracts relating to natural and cultural resources,
- drawings,
- photographic negatives, prints and slides, motion pictures,
- field notes,
- films,
- laboratory reports,
- maps,
- manuscripts,
- oral histories, and
- related correspondence.
- museum collection management and preservation plans,
- park histories,
- land preservation records,
- historic structure preservation and restoration, and
- wildlife records.

Associated Records are a subset of resource management records essential for the control and use of related cultural and natural museum objects. They include all documentation generated by the activity of collecting and analyzing artifacts, specimens, or other resources that are (or subsequently may be) designated as part of a park's museum collection.

> **Natural Resource Collections**
> Field data, objects, specimens, and features obtained for preservation during inventory, monitoring, research, and study projects, together with associated records and reports, will be managed over the long term within the museum collection.
> (NPS Management Policies 2006, 4.2.3)

> **Museum Collections**
> NPS will collect, protect, preserve, provide access to, and use objects, specimens, and archival and manuscript collections in the disciplines of archeology, ethnography, history, biology, geology, and paleontology to aid understanding among park visitors, and to advance knowledge in the humanities and sciences.
> (NPS Management Policies 2006, 5.3.5.5)

Activities Relating to Land Acquisition/Disposal and Protection:

Include the acquisition of real property, easements, and rights-of-way. Other activities include land use planning, cooperative efforts via agreements with other entities, and participating in regional consortia, and local planning and zoning processes. Land use activities include the granting or denial of permits for park area special uses for agriculture, grazing, Native American ceremonials, roads, permitting and conveyance rights-of-way, and water and transmission lines.

> Records that relate to non-Federally owned land within NPS boundaries include correspondence with land in-holders and cooperative agreements with in-holders and adjacent property owners.

Records Relating to Land Acquisition and Protection

Include, but are not limited to:

- deeds,
- appraisals,
- easements,
- surveys,
- right-of-way agreements,
- leases under 36 CFR Part 17,
- maps (GIS),
- land protection plans,
- condemnation proceeding records,
- documentation relating to water and mineral rights, boundary survey records,
- photographic negatives and prints,
- slides,
- and motion pictures.

Retention Plan

Permanent Records Criteria

Records documenting an activity or resource designated by Congress as a National park, monument, preserve, lake, sea shore, river, wild and scenic river(way), scenic trail, historic site, military park, battlefield park, battlefield site, battlefield, recreation area, parkway, wilderness area, heritage area, or other designated area, and meet one or more of the following criteria are Permanent:

- essential for understanding substantive policy development, long term planning, and/or results of studies, surveys, and projects,
- "first of a kind" or establishes precedents,
- involves tribal lands,
- produces major contributions to scientific or historic knowledge,
- subject of widespread media attention or Congressional scrutiny,
- high-level (park superintendent and above) NPS personnel, and significant visitors, and historic ceremonies, dedications, and events,
- significant construction, repair, reconstruction, and rehabilitation of parks and park facilities,

- natural, historical, archeological, and cultural resource protection and management,
- land protection and wilderness and wildlife preservation and management,
- documentary photographs and films, both electronic and digital, of natural and cultural resources,
- special park uses, bearing on the unique responsibilities, programs,
- and activities relating to the mission of NPS and its custodianship of national parks and historic sites,
- Museum exhibits.

There are certain records or types of records that are to be retained permanently by the National Archives (Subcategory 1.A) and possibly by NPS (Subcategory 1.B). For example, while the complete project file is important for NPS, the National Archives is primarily interested in final reports, key decision-making documents, and records documenting how NPS has fulfilled its government missions. In these cases, there should be two sets of records created (i.e. copies made of existing records), so that one will be transferred to NARA, while the other will remain with NPS. This will be particularly easy to accomplish with electronic data.

Most of the NPS copies of resource management records will be moved into the park museum archives, according to NPS Management Policies, to support long-term resource stewardship. Copies of resource management records may also be sent to the Technical Information Center, in Denver, Colorado for permanent digital archiving and accessibility.

Category 1 Subcategories

- Subcategory 1.A.1: Land Acquisition and Land Status Records
- Subcategory 1.A.2: Cultural/Natural Resource Management Program/Planning
- Subcategory 1.B: Resource Management and Land Records
- Subcategory 1.C: Short-term Resource Management and Land Records
- Subcategory 1.D: Routine Resource Management and Land Records

Subcategory 1.A.1
Land Acquisition/Disposal and Status Records
Permanent Records for NARA and NPS

Description

Records include the acquisition of real property, easements, and rights-of-way. Other activities include land use planning, cooperative efforts via agreements with other entities, and participating in regional consortia, and local planning and zoning processes. Land use activities include the granting or denial of permits for park area special uses, including for agriculture, grazing, Native American ceremonials, roads, road rights-of-way, water and transmission lines, and other uses that impact resources.

Records here included but not limited to the following subject areas, and depending upon what is applicable to your own park/office operation and functions:

- Encroachments
- Land acquisition and disposal
- Land Use
- Water Rights
- Proposed Areas
- National Wild and Scenic Areas
- International Parks and Historic Sites
- Dams Management
- Environmental Impact Policies
- Deeds,
- Appraisals,
- Easements,

- Surveys,
- Right-of-way agreements,
- Leases under 36 CFR Part 17,
- Maps
- Protection plans,
- Condemnation proceeding records,
- Documentation relation to water and minerals rights,
- Boundary records, and
- Photographic negatives and prints, slides, and motion pictures

> Not all subjects mentioned above will be found at each park or office. It is critical to maintain all records pertaining to a particular project together. For example, Land Acquisition records may include maps, photos, deeds, titles, etc. However, the type or format of material relating to this project is not as important as keeping related records together by project, event, program, etc.

Instructions

These records are permanent. ***DO NOT DESTROY***.
- Record copy to be retained by the originating office.

- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer. Duplicate copies of permanent decision-making records and final reports are to be transferred to the National Archives for preservation storage and long-term access. These records have been determined to be of permanent value to the history of the United States of America by the National Archives and Records Administration and the National Park Service. For management of the complete and comprehensive cultural and natural resource management and lands records, see 1.B.

- Additional copies may be required by other NPS offices, such as the Technical Information Center in Denver, Colorado. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for the National Archives and are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the finalization of a land acquisition or the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made, so that each agency will have a set.

File Plan Recommendations

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, land acquisition files could be organized by date of acquisition, by location, by deed number, whatever works for you. The same would be true for land use records, with separate subcategories for grazing, logging, etc.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

The file plan should contain the following: category, subcategory, retention authority, required retention periods, the creating/managing office. If necessary, sub-subcategories may be created.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Land Use	Grazing, 1993	1.A.1	Permanent. Transfer copy to NARA.	Land Office
Land Use	Mining, 1997	1.A.1	Permanent. Transfer copy to NARA.	Land Office
Encroachments	Logging and Timber,	1.A.1	Permanent. Transfer copy	Land Office

	1996		to NARA.	
Encroachments	Water Projects,1999	1.A.1	Permanent. Transfer copy to NARA.	Land Office
Land Acquisition	Policy, 1993	1.A.1	Permanent. Transfer copy to NARA.	Land Office
Land Acquisition	Case Files, 1993	1.A.1	Permanent. Transfer copy to NARA.	Land Office
LandsNet		1.A.1	Permanent. Transfer copy to NARA.	Land Office
Land Resources Division-Master Deed Listing		1.A.1	Permanent. Transfer copy to NARA.	Land Office
NPS Water Rights Docket Files		1.A.1	Permanent. Transfer copy to NARA.	Land Office

Subcategory 1.A.2: Cultural and Natural Resource Management Program and Planning Records
Permanent Records for NARA and NPS

Description

These records document NPS programs, projects, studies, reports, and surveys pertaining to cultural and natural resources, as well as planning and policy development relating to overall management, use, protection, and preservation of cultural and natural resources. This subcategory contains those documents essential for understanding the history of the project or program from inception to completion. The National Archives is primarily interested in final reports, key decision-making documents, and records documenting how NPS has fulfilled its government missions. Schedule records here including but not limited to the following subject areas, and depending upon what is applicable to your park/office operation and functions:

- Collecting Permits for historical or scientific research
- Roads and Trails Programs
- Historic Structures
- Cultural Resource Studies
- Historic Sites and Structures Management
- List of Classified Structures
- Animal and Plant Life

- Management of Natural Resources and Areas
- Construction Programs
- Research Programs
- Geological Features and Studies
- Weather and Climate
- Pollution and Environmental Quality
- Forestry Management

Natural resources include national parks and monuments, natural history museum collections and associated records, national heritage areas, national recreation areas, national preserves, wilderness areas, and wild and scenic rivers. It includes other resources such as air, biological, geological, water, and natural sound.

Cultural resources include archeological sites, cultural landscapes, ethnographic resources, historic and prehistoric structures, and museum collections (historic objects, natural history collections, and archival and manuscript materials).

Resource Management encompasses the research, planning, study, observation, preservation, management, and maintenance of natural and cultural resources.

Resource Management Activities include archeological identification and evaluation studies, archeological excavations, natural resource surveys, inventory and monitoring of natural resources, re-vegetation and landscape restoration, reintroduction of native species, eradication of invasive species, historical research, historic preservation, management of historical and cultural museum collections, historic structure resource management and maintenance, cultural landscape research, scientific projects, various natural and cultural resource maintenance projects, and environmental and science management programs.

> Staffs are responsible for restricting certain Resource Management and Lands records including data about archeological and paleontological sites, rare and endangered species, etc. in accordance with NPS DO 28 CRM and DO 77 NRM. Other resource management and land records may include sensitive, proprietary, or confidential information, such as: certified payrolls (listing social security numbers of contractors and subcontractors), social security numbers of temporary workers, banking information for companies submitting bids, and any proprietary information about corporate practices, costs, and procedures submitted during the bidding process. Records with short-term operational value include, but are not limited to, approved permits, and other records that do not meet the criteria for permanent retention.

Records Documenting Resource Management Activities include, but are not limited to:

- General Management Plans,
- Development Concept Plans,
- study plans,
- inventory and monitoring plans,
- annual reports,
- situation reports,
- special studies,
- contracts relating to natural and cultural resources,
- drawings,
- photographic negatives, prints and slides, motion pictures,
- field notes,
- films,
- laboratory reports,
- maps,
- manuscripts,
- oral histories, and
- related correspondence.
- museum collection management and preservation plans,
- park histories,
- land preservation records,
- historic structure preservation and restoration, and
- wildlife records, Reports on historic properties
- Archeological reports
- Museum and exhibit activities
- Land use
- CR Automated National Catalog System

- Florissant Paleontology Database Website

- NR Gaseous Pollutant Monitoring Network Database

Project records may include:
- agenda and meeting minutes,
- budget and actual cost data,
- peer reviews, evaluations, and assessments,
- partnering agreements,
- newsletters and press releases,
- operating plans, and
- final reports.

> Routine and supporting documentation not addressed elsewhere in this category include, but are not limited to, transmittals, unapproved permits, reviews of environmental impact statements of other state, Federal, or private agencies, routine or housekeeping correspondence, and similar records that do **not** document changes to or history of resources.

Instructions

These records are permanent. *DO NOT DESTROY*.

- Record copy to be retained by the originating office.

- It is *MANDATORY* a *COPY* of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.

- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for the National Archives and are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual records. Textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the finalization of a land acquisition or the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made, so that each agency will have a set.

File Plan Recommendations

For general introduction and instructions on file plans, see 1A1.

Records reflect how your program work is accomplished and how your division uses the records. For example, cultural resource records might be organized by type of resource, e.g. archeological, cultural landscape, structures, museum objects, ethnographic records; or by project, particularly if projects include more than one type of resource. The same would be true for natural resource management records, with separate subcategories for air, endangered species, marine resources, animal management, shoreline, paleontological, etc.; or by project, particularly when the project includes several types of natural resources or both natural and cultural resources.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Cultural Resource Studies	Research,1993	I.A.2	Permanent. Transfer copy to NARA.	Cultural Resource Manager Office, Rm. 211
Historic Structures	Bridges, 1998	I.A.2	Permanent. Transfer copy to NARA.	Landscape Architect Office, Rm. 109
Historic Structures	Longfellow House, 1997	I.A.2	Permanent. Transfer copy to NARA.	Cultural Resource Technicians' Office, Rm. 111
Construction Program	1926 Campground, 1997 plan	I.A.2	Permanent. Transfer copy to NARA.	Maintenance Offices, Rms. 333 & 345
Research Program	Pollution/Environmental Quality, Water, 1998	I.A.2	Permanent. Transfer copy to NARA.	Chief of Resources Management Office, Rm. 504
Collecting Permit	PARK Archeological site, 1997	I.A.2	Permanent. Transfer copy to NARA.	Permit Office, 2nd floor of VC
Environmental	Air Atlas GIS System, 2000	I.A.2	Permanent. Transfer copy to NARA.	Natural Resource Manager Office, Rm. 213

Archeology	Archeological Sites Management Information System (ASMIS) 1999	I.A.2	Permanent. Transfer copy to NARA.	Library Office, Rm. 124

Subcategory 1.B: Resource Management and Lands Records Retention: Permanent for NPS

Per NPS Management Policies Section 5.3.5.5.6, DO 28: Cultural Resource Management Guideline, and DO 77: Natural Resource Protection these are records significant for the management of resources within NPS. They may include background files on projects, for which a copy of the final report was transferred to NARA, contracts on repairs of historically significant resources, museum collection data, cultural and natural resources monitoring data, and a variety of other materials. These records may need to be retained permanently in NPS custody.

Description

Records NPS may need to keep either long-term temporary or permanently to document ongoing management, preservation maintenance, modification, and rehabilitation of land and natural and cultural resources, historical and scientific research studies, as well as associated records that document cultural and natural museum and archival collections. In addition to copies of the higher level records identified in 1A, records in this category are more detailed and inclusive for ongoing resource stewardship, and include such items as grazing records with individual tracts being leased, subsistence records, and cultural and natural resources monitoring data.

The paper and electronic records in this subcategory are designated for long-term temporary or permanent retention with NPS and contain the complete and comprehensive research, planning, and preservation project records and lands records, including duplicate copies of the decision-making memos and final reports. Included are records such as GMPs, long-term planning records, and historical and scientific records. See 1.A. for records designated for transfer to National Archives.

Most of the records in this subcategory replicate those listed for item 1A, and for long-term preservation are to be managed in the park museum collection. Records for transfer to the park museum collection include, but are not limited to, cultural and natural resource research, planning, and stewardship records, regardless of whether artifacts are associated or not.

The 1B subcategory also includes resource *Associated Records,* which are a subset of resource management records essential for the management, control, and use of related cultural and natural museum objects. These textual and electronic records include all

documentation generated by the activity of collecting and analyzing artifacts, specimens, or other resources that are (or subsequently may be) designated as part of a park's museum collection. Consult your regional curator or park museum staff.

NPS Management Policies 2006, 4.2.3 Natural Resource Collections, state:
"Field data, objects, specimens, and features obtained for preservation during inventory, monitoring, research, and study projects, together with associated records and reports, will be managed over the long term within the museum collection.

The policies further state, 5.3.5.5, Museum Collections:
" NPS will collect, protect, preserve, provide access to, and use objects, specimens, and archival and manuscript collections in the disciplines of archeology, ethnography, history, biology, geology, and paleontology to aid understanding among park visitors, and to advance knowledge in the humanities and sciences."

Records within an individual project may be in a variety of formats, and include, but are not limited to:

- analytical data,
- artifact or specimen inventories,
- electronic records documentation (metadata to manage electronic records)
- conservation treatment records,
- daily journals,
- drawings,
- field notes,
- manuscripts,
- maps,
- photographic negatives, prints and slides, and

- reports generated by historic preservation, archeological, and scientific investigations Cultural Resource Studies
- Historic Structures such as bridged and buildings
- Construction Programs
- Research Programs on pollution
- Collecting Permit
- Air Atlas GIS System, 2000
- Archeological Sites Management Information System (ASMIS)

> It is critical to maintain all records of all types for a given project together, rather than attempting to create a collection by format, such as keeping all maps together regardless of project.

Instructions

Retention details in Management Policies 2006, DO#28 and #77

File Plan Recommendations

While the records schedule covers all NPS records, regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office. (For more information, see instructions on file plans under 1A1.)

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Historic Properties	Reports	1B	Permanent	Historian
Historic Properties	Restoration	1B	Permanent	Construction
Archeology Reports	-----	1B	Permanent	Regional Archivist
Museum & Exhibit Activities	Collection management	1B	Permanent	Park Curator
Land use	Mining & Minerals	1B	Permanent	Assay Office
Land use	Grazing	1B	Permanent	Park NR Manager
Land use	Easements	1B	Permanent	Law Enforcement
CR Automated National Catalog System		1B	Permanent	Park Curator
Florissant Paleontology Database Website		1B	Permanent	
NR Gaseous Pollutant Monitoring Network Database		1B	Permanent	WASO NR Division Park NR Manager

Subcategory 1.C: Resource Management and Land Records Temporary Records – 15 years

Description

Records with short-term operational value and not considered essential for the ongoing management of land and cultural and natural resources. This subcategory does not contain a large variety of records as almost all resource management records are permanent. Records include, but are not limited to approved permits for public gatherings, motion picture filming, and recreational uses; routine procurement and non-historic construction contracts; professional services contracts; proposals of technical assistance; natural resources information exchanges; utilities and services; management assessment program.

Instructions

Destroy/Delete records 15 years after closure.
- Record copy to be retained by the originating office.

- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

File Plan Recommendations

If you have determined that you do have records in this category, it is now time to add these records to your parks/division/program file plan. (For more information, see instructions on file plans under 1A1.)

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Permits (approved)	Motion Picture filming	1C	Close at end of FY. Destroy/delete 15 years after closure.	Permit office
Permits (approved)	Public Gatherings	1C	Close at end of FY. Destroy/delete 15 years after closure.	Permit office
Contracts	Routine maintenance	1C	Close at end of FY. Destroy/delete 15 years after closure.	Procurement office.
Contracts	Routine professional services	1C	Close at end of FY. Destroy/delete 15 years after closure.	Procurement office.
Proposals	Geoscience technical assistance	1C	Close at end of FY. Destroy/delete 15 years after closure.	Natural resource program center
Assessment	Resource management assessment	1C	Close at end of FY. Destroy/delete 15 years after closure.	Natural resource program center
NR Geoscientists-in-the-Parks		1C	Close at end of FY. Destroy/delete 15 years after closure.	
NR Natural Resource Management Assessment Program		1C	Close at end of FY. Destroy/delete 15 years after closure.	

Subcategory 1.D: Routine Resource Management and Land Records Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category. This subcategory does not contain a large variety of records as almost all resource management records are permanent. Records include, but are not limited to <u>unsuccessful permit applications</u> for such events as motion picture filming or public gatherings; exhibits for other agencies; and reviews of environmental impact statements and studies for other Federal agencies as well as state and local entities.

Instructions

Destroy/Delete records 3 years after closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

File Plan Recommendations

If you have determined that you do have records in this category, it is now time to add these records to your parks/division/program file plan. (For more information, see instructions on file plans under 1A1.)

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Permits (unsuccessful)	Motion pictures	1D	Close at end of FY. Destroy/delete 3 years after closure.	Permit office
Permits (unsuccessful)	Public Gatherings	1D	Close at end of FY. Destroy/delete 3 years after closure.	Permit office

Exhibits	Non-NPS	1D	Close at end of FY. Destroy/delete 3 years after closure.	Outreach office
Environmental Reviews	Other Federal agencies	1D	Close at end of FY. Destroy/delete 3 years after closure.	Environmental office
Environmental Reviews	State and local entities	1D	Close at end of FY. Destroy/delete 3 years after closure.	Environmental office.
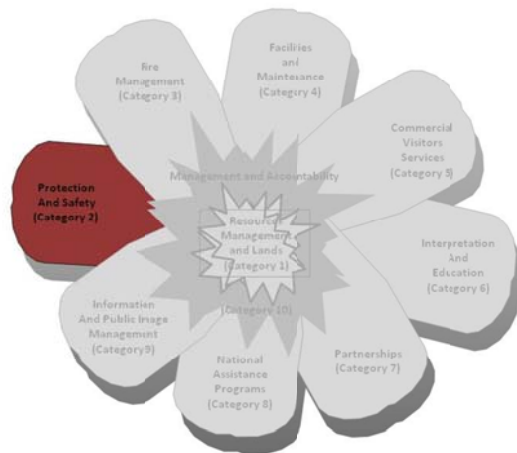
**Category 2:
Protection and
Safety**

Overview

This category covers records relating to the protection, safety, and security of park visitors, employees, concessioners, and public and private property and of natural and cultural resources. **Park Police records are not included here, but will have their own module.**

> "In support of the NPS mission, law enforcement serves the public interest to protect resources and people, prevent crime, conduct investigations, apprehend criminals, and serve the needs of the visitors." D.O. 9

> "Park law enforcement activities will be managed to protect resources, manage public use and promote public safety and visitor enjoyment."
> D.O. 9

Exceptions to this Category:

- For wildland fires, see Category 3: Fire Management.
- For reconstruction of resources, Category 1: Resource Management and Lands.
- For equipment and vehicle maintenance logs; personal property and equipment inventories, accountability, and management, see Category 10: Management and Accountability.
- For activities related to the administration of jails and holding facilities, see Category 4: Park Facilities and Maintenance.
- For activities related to occupational safety and health; industrial hygiene; and occupational medicine, medical surveillance, and employee medical folders, see Category 10: Management and Accountability.
- Park Police records are not included here, but will have their own module.

Mission Critical Functions

Records involving law enforcement, emergency medical services (EMS), and search and rescue (SAR) functions, with particular focus on incident prevention, immediate response, and investigation.

Records and data collected, created, or generated by other organizations working for the NPS under contracts, interagency agreements, cooperative agreements, or other agreement instruments with the NPS, are considered NPS records unless the contract or agreement specifically states otherwise. ***Originals or copies of all project documents and data generated under these agreements should be obtained and retained by the NPS office managing the project.***

Activities Related to Protection and Safety

Activities related to Protection and Safety includes law enforcement, emergency medical services (EMS), and search and rescue (SAR) functions, with particular focus on incident prevention, immediate response, and investigation. For activities related to the long-term management, protection, and recovery of natural and cultural resources, as well as the financial aspects, see Category 1, Resource Management and Lands and Category 10, Management and Accountability.

Activities include, but are not limited to:
- protecting people, resources, and property;
- preventing criminal activity through resource education, public safety efforts, and deterrence; detecting and investigating criminal activity; and apprehending and prosecuting criminal violators; and processing prisoners;
- emergency preparedness; testing, training, and exercises (TTE); and corrective action programs (CAP);
- emergency response, incident command system (ICS); and continuity operations in response to events, such as: natural or man-made emergencies, disasters, and accidents; hazardous conditions and materials; and infectious or biological agents;
- search and rescue; emergency medical services; and emergency transport; and
- monitoring fire and security systems; and emergency dispatch and communications centers.

Records Relating to Protection and Safety

Include, but are not limited to:
- jurisdictional compendiums, orders, program procedures, and other information for law enforcement; and memoranda of understanding (MOU) or general agreements (GA) with cooperative Departmental, Federal, State, Local, Tribal, and Territorial entities or entities with concurrent jurisdiction;
- assessments, surveys, summaries, audits, inspections, investigations, studies, statistics, trend analysis, Boards of Inquiry, and Boards of Review;
- continuity and emergency plans;

- law enforcement commission records, EMS licensure and credentials;
- professional responsibility files;
- patrol, incident, accident, and after action logs or reports;
- employee background investigations;
- radio, dispatch, and communications center recordings; tip lines; in-vehicle video; and CCTV; and
- tolen, recovered, seized, impounded property reports and management; evidence handling, storage, and disposal.

Retention Plan

Records documenting an activity meeting one or more of the following criteria are Permanent:
- incidents (natural or man-made) that cause significant or permanent damage to, or loss of, a cultural or natural resource with great monetary, cultural, scientific, or historical value,
- creation of new protection or safety procedures that constitute a new way of providing services,
- new policies that change the nature of the activity,
- "first of kind" events that establish precedents,
- subject of widespread media attention or Congressional scrutiny, and substantiated NAGPRA, ARPA, and IACB claims.

Redacted copies of documentation containing confidential or sensitive information may be permanent; however, the original documentation containing such information is covered by this category.

Category 2 Subcategories
- Subcategory 2.A.1: Protection and Safety and Planning Records
- Subcategory 2.A.2: Significant Protection and Safety Case Files
- Subcategory 2.B: Major Protection and Safety Case Files
- Subcategory 2.C: Minor Protection and Safety Case Files
- Subcategory 2.D: Routine Protection and Safety Case Files

Subcategory 2.A.1: Protection and Safety and Planning Records Permanent Records for NARA and NPS

Description

Records related to substantive policy development and long-term planning related to law enforcement, emergency preparedness and response, and protective services.

Instructions

These records are permanent. ***DO NOT DESTROY.***
- Record copy to be retained by the originating office.
- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for the National Archives and are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the end of an investigation or a litigation case), or at the close of the fiscal year if that is more appropriate.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, you might want to arrange your records by location of incident, or seriousness, or chronologically.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

The file plan should contain the following: category, subcategory, retention authority, required retention periods, the creating/managing office. If necessary, sub-subcategories may be created.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Civil Litigation	ORV	2A1	Permanent. Transfer copy to NARA.	Legal office.
Jurisdiction Files	Relations with local authorities	2A1	Permanent. Transfer copy to NARA.	Park Protective Services
Records of Catastrophes	Floods	2A2	Permanent. Transfer copy to NARA.	Emergency Response office.
Significant Incidents	Deaths	2A2	Permanent. Transfer copy to NARA.	Park Rangers
	Bluff collapse	2A2	Permanent. Transfer to NARA.	Park Superintendent

Subcategory 2.A.2: Significant Protection and Safety Case Files Permanent Records for NARA and NPS

Description

Cases or files documenting incidents, investigations, or activities that meet the permanent records criteria.

Instructions

These records are permanent. ***DO NOT DESTROY***.
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for the National Archives and are to be transferred be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the end of an investigation or a litigation case), or at the close of the fiscal year if that is more appropriate.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Civil Litigation	ORV	2A1	Permanent. Transfer copy to NARA.	Legal office.
Jurisdiction Files	Relations with local authorities	2A1	Permanent. Transfer copy to NARA.	Park Protective Services
Records of Catastrophes	Floods	2A2	Permanent. Transfer copy to NARA.	Emergency Response office.
Significant Incidents	Deaths	2A2	Permanent. Transfer copy to NARA.	Park Rangers
	Bluff collapse	2A2	Permanent. Transfer to NARA.	Park Superintendent

Subcategory 2.B: Major Protection and Safety Case Files Temporary Records for NPS – 25 years

Description

Cases or files documenting major incidents, investigations, or activities. This category applies to offenses that are generally criminal in nature. It also applies to unsubstantiated NAPGRA, ARPA, and IACB claims. Unless the permanent records criteria applies, this category includes incidents that relate to a cultural or natural resource; or result in a death, life threatening or long term injury, or multiple hospitalizations.

Instructions

Destroy/Delete records 25 years after closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a claim is closed, an investigation is completed, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 25 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Responsible Office
Investigations	Major Tort Claim	2B	Destroy/delete 25 years after closure	Park Rangers
Case Reporting system	CIRS	2B	Destroy/delete 25 years after closure	Protective services IT

Subcategory 2.C: Minor Protection and Safety Case Files Temporary Records – 7 years

Description

Cases or files documenting EMS & SAR incidents; or minor incidents, investigations, or activities. This category applies to offenses that are generally not criminal in nature.

Instructions

Destroy/Delete records 7 years after closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a minor incident is closed, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 7 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Responsible Office

| Investigations | Minor Incident | 2C | Destroy/delete 7 years after closure | Park Rangers |
| | Search & Rescue | 2C | Destroy/delete 7 years after closure | Park Rangers |

Subcategory 2.D: Routine Protection and Safety Case Files Temporary Records – 3 years

Description

Cases or files documenting routine incidents, investigations, or activities. This category generally applies to incidents where warnings are issued. It also applies to unsubstantiated allegations of professional responsibility. In addition, this category applies to law enforcement commissions and EMS certifications. It also includes administrative records, such as shift rosters, wrecker logs, patrol logs, lost and found, BOLOs (Be On the Look Out), and similar records. Included are routine, housekeeping, and supporting documentation, such as evidence inventories and certifications, prisoner processing, and other records not addressed elsewhere in Category 2: Protection and Safety.

> Redacted copies of documentation containing confidential or sensitive information may be permanent; however, the original documentation containing such information is covered by this category.

Instructions

Destroy/Delete records 3 years after closure.
- Record copy to be retained by the originating office.
- Access is restricted for those records containing Privacy Act restricted information.
- Redacted copies are to be filed in 2A Permanent.
- Original documents with PII are filed in 2D and must be shredded at end of required retention period.

> Retention is based on the date of closure or cut off of records, such as the date a minor incident is closed, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Responsible Office
Investigations	Routine Theft	2D	Destroy/delete 3years after closure	Park Rangers
Reports	Quarterly	2D	Destroy/delete 3 years after closure	Protective services
T3, "Test, Track, Train" (ACE)		2D	Destroy/delete 3 years after closure	Protective services IT

Category 3: Wildland Fire Management Records

Overview

Category 3 is an *Interagency* records management category, not just for NPS records. Although Wildland Fire Management is a resource management function, it is filed separately in category because this function has been combined with the same function in several other federal agencies.

> The records to be filed here document <u>Wildland </u>Fire Management **only**. No other NPS functions related to fire are to be filed under this Interagency category.

All other records related to fires need to be reviewed with their function in mind. Questions should focus on the context of the fire or fire management planning. It is *not Fire first* and then context of the fire, but the context or function first: then subsection for fire. The following examples will help you understand the distinction:

- If records were created as part of fire prevention/safety planning for <u>historic structures</u>, then the records should remain with that program's records and be filed in <u>Category 1,</u> because work related to preservation of Historic Structures is mission critical Category 1 Cultural and Natural Resource Management.

- If records were created during work on fire prevention planning in a *non-historic* Visitor Center building, then the records should be filed in *Category 4* Facility and Maintenance as part of that program's functions.

- If records were created during the planning, management, and research study of prescribed burns for cultural/ natural resource areas, then the records should be filed in Category 1 because these are Cultural and Natural Resource Management program records (cultural landscapes, natural landscapes).

As a parallel example, all records related to frogs would not be filed in the same location. Records about postcards of frogs and frog plush toys to be sold in the park bookstore would be filed under Commercial Visitor Services (Category 5) or Partnerships (Category 7) (as appropriate) for the park bookstore, not in Category 1 as the bookstore records do not document management of cultural or natural resources.

> The primary question is "What function caused the records to be created?" This provides the context and leads to the best choice for a NPS Records Category to file the records.

Activities Related to Fire Management

Include:
- suppressing wildland fires,
- assessing suppression strategies,
- administering fire-fighting teams,
- reporting on suppression (including damage assessments), and
- related tasks.

This activity does not include pre-suppression or post-fire recovery work; for example fire effects on flora and fauna are covered in Category 1: Resource Management and Lands.

Records Relating to Fire Management

Include, but are not limited to:
- reports on individual wildland fires,
- incident history file (narrative reports, final summary reports, entrapment reports, transition plans, photographs, fire progression maps, and final perimeter maps)
- and incident administrative files.

These records do not include pre-suppression or post-fire recovery records covered in Category 1: Resource Management and Lands. These records will be important to Cultural and Natural Resources for pre-suppression planning and post-fire recovery.

For a complete listing of Fire Management records please refer to the attached "Wildland Fire Incident Records" paper.

Retention Plan

Fire incident records are retained according to the approved Wildland Fire Incident Records Schedule for the US Forest Service of which NPS is a signatory. See:
http://www.archives.gov/records-mgmt/rcs/schedules/departments/department-of-agriculture/rg-0095/n1-095-05-002_sf115.pdf

Category 3 Subcategories

- Subcategory 1: Individual Fire reports
- Subcategory 2: Fire Package - IncidentIndividual Fire reports
- Subcategory 3: Fire Package – Incident Administrative Recommendations

Subcategory 1: Individual Fire Reports
Permanent Records for NARA and NPS

Description

Reports on individual wildland fires with information on location, extent, causes, dates, and times, suppression strategy, resources used, costs, fire effects, and other information needed to plan and manage fire and to access its effects on natural resources.

Instructions

These records are permanent*. **DO NOT DESTROY.***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Subcategory 2: Fire Package – Incident History Files
Permanent Records for NARA and NPS

Description

Records documenting significant events, actions taken, lessons learned, and other information with long-term value for managing natural resources on Federal lands such as:

- fire narrative reports,
- final incident situation summary reports,
- entrapment reports,
- transition plans,
- Final Statement of Costs,
- Wildland Fire Situation Analyses (WFSA),
- delegations of authority tied to WFSAs,
- Fire Behavior Analyst Reports,
- raw weather data not captured elsewhere,
- news released,
- photos and infrareds,
- fire progression maps and final fire perimeter maps.

This series may also include records relating to
- joint operations and/or mutual aid,
- copies of incident reports
- analyses prepared by agencies other than the Incident Management Team or host unit,
- records documenting significant interactions with communities affected by the incident,
- selected reports of notes pertaining to high-level management
- and security issues not incorporated into the fire narrative.

Instructions

These records are permanent. ***DO NOT DESTROY.***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Subcategory 3: Fire Package – Incident Administrative Records Temporary Records

Description

Records documenting the administrative and operations actions taken in the management of the incident, including:
- internal briefings,
- interim status summary reports,
- inspection checklists,
- unit logs, worksheets,
- inventories,
- T-cards,
- resource orders,
- demobilization plans and checkout,
- cost estimates,
- agreements,
- fire behavior messages and forecasts,
- raw weather data captured elsewhere,
- safety reports,
- accident logs,
- firing plans,
- individual unit narratives,
- photos with no long-term value,
- similar records pertaining to logistics,
- resources,
- air operations,
- safety,
- demobilization,
- claims,
- payments,
- and litigation support.

Reports on individual wildland fires with information on location, extend, causes, dates, and times, suppression strategy, resources used, costs, fire effects, and other information needed to plan and manage fire and to access its effects on natural resources.

Instructions

Destroy/Delete records 7 years after closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Category 4: Park Facilities and Maintenance

Overview

This category covers records relating to the planning, design, construction, rehabilitation, restoration, and maintenance of <u>non-historic</u> NPS facilities, utilities, and infrastructure.

> "The National Park Service will provide visitor and administrative facilities that are necessary, appropriate, and consistent with the conservation of park resources and values. Facilities will be harmonious with park resources, compatible with natural processes, esthetically pleasing, functional, energy- and water-efficient, cost-effective, universally designed, and as welcoming as possible to all segments of the population. NPS facilities and operations will demonstrate environmental leadership by incorporating sustainable practices to the maximum extent practicable in planning, design, siting, construction, and maintenance."
> Management Policies, Ch. 9.

Mission Critical Functions

Records documenting a program of preventive and rehabilitative maintenance and preservation to (1) provide a safe, sanitary, environmentally protective, and esthetically pleasing environment for park visitors and employees; (2) protect the physical integrity of facilities; and (3) preserve or maintain facilities in their optimum sustainable condition to the greatest extent possible.

Records and data collected, created, or generated by other organizations working for the NPS under contracts, interagency agreements, cooperative agreements, or other agreement instruments with the NPS, are considered NPS records unless the contract or agreement specifically states otherwise.

Activities Related to Park Facilities and Maintenance

Include, but are not limited to directing the construction of new and the repair, rehabilitation, and maintenance of existing NPS facilities. These structures include, but are not limited to: buildings; transportation systems such as roads, trails, tunnels and bridges; dams; reservoirs; and other structures. Tasks are completed through contract management, surveying, civil engineering studies, and related activities.

> If the construction, restoration, or rehabilitation is performed on an historic structure or landscape that is maintained as a cultural or natural resource, assign records to Category 1: Resource Management and Lands.

Records Relating to Park Facilities and Maintenance

Include, but are not limited to:

- correspondence,
- plans,
- specifications,
- maps,
- studies,
- technical reports,

- architectural and engineering drawings,
- photographs,
- operation and maintenance guides,
- construction contracts,
- completion reports,
- and project agreements.

Retention Plan

Records that document an activity which meets one or more of the following criteria are Permanent:

- involves the design and construction of buildings and other long-term structures on park land excluding non-permanent, non-historic structures such as benches, railings, visitor centers, employee housing, visitor kiosks, amphitheaters, entrance checking stations, comfort stations, cabins, trailer courts/villages, campgrounds, fish hatcheries, ranger stations, administrative offices/buildings, parking lots, schools, maintenance facilities, utility plans, power plants, wastewater treatment plants, tunnels, landfills, guardrails, retaining walls, culverts, etc. (covered under Item 4. B. 1.),
- projects that significantly enhance the visitor experience, such as a transportation system, or that have an impact upon the economic vitality of the surrounding community, such as the construction of a dam,
- "first of a kind" or establishes precedents,
- subject of widespread media attention or Congressional scrutiny.

> Routine maintenance is covered in subcategory
> 4.C: Routine Maintenance and Service Records

> Maps, drawings, specifications, and reports that were distributed to the public in any way, including as part of a contract solicitation, should be

scanned by the Technical Information Center before they are transferred to NARA or destroyed.

Category 4 Subcategories

- Subcategory 4.A: Park Facilities/Maintenance Program/Policy Records/Significant Design/Construction Projects
- Subcategory 4.B.1: Park Facilities and Maintenance Program Records
- Subcategory 4.B.2: Supporting Design/Construction Contact Documentation
- Subcategory 4.C: Routine Maintenance/Service Records
- Subcategory 4.D: Routine and Supporting Documentation

Subcategory 4.A: Park Facilities and Maintenance Program and Policy Records/Significant Design and Construction Projects Permanent Records for NARA and NPS

Description

Records documenting the design, construction, repair, restoration, or rehabilitation of buildings, roads, and other long-term structures on NPS land that meet the criteria listed above. Also records related to the planning, review, and approval of line-item, rehab/repair, and transportation construction projects that require the Director's approval. Records that document planning and policy development relating to construction, repair, restoration, rehabilitation, and maintenance of **non-historic** park facilities are included.

Instructions

These records are permanent. ***DO NOT DESTROY.***
- Record copy to be retained by the originating office.
- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices, such as the Technical Information Center in Denver, Colorado. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for both the National Archives and NPS, and copies are to be transferred be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs,

copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, park facilities and maintenance records might be arranged by location, type of facility, specific maintenance operation involved, or by whatever is appropriate for your office's needs.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Grounds and Shoreline Programs that meet permanent criteria	Campgrounds, playgrounds, tennis courts, picnic areas	4A	Permanent. Transfer copy to NARA.	
	Beaches	4A	Permanent. Transfer copy to NARA.	
	Erosion and Watershed Control	4A	Permanent. Transfer copy to NARA.	
Planning & Design Project Files:	Significant Case Files	4A	Permanent. Transfer copy to NARA.	
Buildings (other than Concession & Historical) that meet permanent criteria]	Individual Building Data File Programs	4A	Permanent. Transfer copy to NARA.	

"Resources cannot be managed well in the future without complete records of how they were managed in the past."

Real Property	Plant Account Cards/Ledgers pertaining to structures	4A	Permanent. Transfer copy to NARA.	
Service and Utilities Programs that meet permanent criteria		4A	Permanent. Transfer copy to NARA.	

Subcategory 4.B.1: Less Significant Park Facilities and Maintenance Program Records
Temporary Records – 15 years

Description

Records documenting the design, construction, restoration, repair, or rehabilitation of non-permanent and non-historic structures such as benches, railings, visitor centers, employee housing, visitor kiosks, amphitheaters, entrance checking stations, comfort stations, cabins, trailer courts/villages, campgrounds, fish hatcheries, ranger stations, administrative offices/buildings, parking lots, schools, maintenance facilities, utility plans, power plants, wastewater treatment plants, tunnels, landfills, guardrails, retaining walls, culverts, etc.

Instructions

Destroy/Delete records 15 years after closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

For information and instructions on creating the file plan see 4.A

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project

Transportation Studies	Visitor Use	4B1	Destroy/delete 15 years after closure	
	New Systems	4B1	Destroy/delete 15 years after closure	
Service & Utilities, non-historic properties, Maintenance & Rehabilitation	Electricity	4B1	Destroy/delete 15 years after closure	
	Heating & Cooling Systems	4B1	Destroy/delete 15 years after closure	
	Water & Sewer	4B1	Destroy/delete 15 years after closure	

Subcategory 4.B.2: Supporting Design and Construction Contract Documentation
Temporary Records – 15 years

Description

Records and supporting documentation for design and construction contracts that pertain to project budget, review, and approval and that track contractor performance, project milestones, costs, budget, schedules, staffing, resources, and other administrative details, excluding specifications.

Instructions

Destroy/Delete records 15 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract, or the closure of a building. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

For information and instructions on creating the file plan see 4.A

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Five-year Plans		4B2	Destroy/delete 15 years after closure	
DSC Contracting Services Procurement Database		4B2	Destroy/delete 15 years after closure	

Subcategory 4.C: Routine Maintenance and Service Records Temporary Records - 7 Years

Description

Records documenting routine maintenance and services that do not materially change structures, roads, etc. (such as snow removal or mowing) as well as routine contracting records such as progress reports.

Instructions

Destroy/Delete records 7 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract, or the closure of a building. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Building Fires	Minor fires causing damage to visitor property such as cars, trailers	4C	Destroy/delete 7years after closure	

Development/Study Package Proposals and Estimates for non-historic properties		4C	Destroy/delete 7years after closure	
Maintenance Reports	Annual	4C	Destroy/delete 7years after closure	
IRB/DAB Meeting Books		4C	Destroy/delete 7years after closure	
Alterations, Maintenance Improvement		4C	Destroy/delete 7years after closure	
Building Rehab Projects	Asbestos removal contacts w/ vendor	4C	Destroy/delete 7years after closure	Chief of maintenance

Subcategory 4.D: Routine and Supporting Documentation Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract, or the closure of a building. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation
Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
DSC Website		4D	Destroy/delete 3 years after closure	
DSC Workflows Web Site		4D	Destroy/delete 3 years after closure	
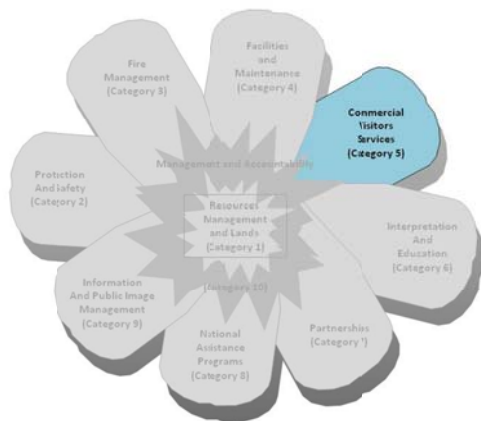
Category 5: Commercial Visitor Services

Overview

This category covers records relating to management of commercial services for park visitors.

Private companies have promoted the parks and served visitors since Yellowstone National Park was designated in 1872. The present-day Commercial Services Program is mindful of this legacy, ensuring visitors have access to high-quality visitor services in order to fully appreciate our natural and cultural treasures. Concessioners fill a vital role in helping the National Park Service carry out its mission.

> "Scenery is a hollow enjoyment to the tourist who sets out in the morning after an indigestible breakfast and a fitful night's sleep on an impossible bed."
>
> Stephen T. Mather, first Director of the National Park Service

The Commercial Services Program administers approximately 600 concession contracts with gross receipts totaling about $1 billion annually. Concessioners employ over 25,000 hospitality industry people during peak season, providing services ranging from food and lodging to white water rafting adventures. Program staff administer these contracts, including monitoring the performance of concessioner operations and performance. Concessioners are authorized to offer certain specific goods and services to park visitors, which are not provided by National Park Service personnel. By welcoming the private sector as a partner in park operations, the National Park Service broadens the economic base of the region in general and the communities surrounding the parks in particular.

> "The National Park Service will provide, through the use of concession contracts, commercial visitor services within the parks that are necessary and appropriate for visitor use and enjoyment. Concession operations will be consistent with the protection of park resources and

> values and demonstrate sound environmental management and stewardship." (NPS Management Policies, Chapter 10)

Mission Critical Functions

Records of management of commercial services for park visitors developed by Park, Regional, and WASO staff.

Activities Related to Commercial Visitor Service

Include, but are not limited **t**o management of lodging, food and beverage, transportation, recreation, marina, retail shops, and other services operated by concessioners on behalf of NPS. In addition, this category includes concession contracts, commercial use authorizations, and Leasing of Properties in Park Areas (36 CFR Part 18).

Records Relating to Commercial Visitor Service

Include, but are not limited to:

- reports,
- business audits,
- environmental audit reports,
- applications,
- concession contracts,
- Leasing of Properties in Park Areas (36 CFR Part 18)
- correspondence,
- commercial use authorizations,
- prospectuses,
- bids,
- proposals,
- appraisals,
- operating and maintenance plans,
- rate evaluations,
- leaseholder surrender interest appraisals, and
- condition assessments of real property improvements on non-historic property

Also included are records containing sensitive, proprietary, or confidential information, including, but not limited to: certified payrolls (listing social security numbers of contractors and subcontractors), banking information for companies submitting bids, and any proprietary information about corporate practices, costs, and procedures submitted during the bidding process.

Retention Plan

Records documenting an activity which meets one or more of the following criteria are Permanent:

- Record copy to be retained by the originating office.
- strategic planning for commercial visitor services,
- Washington Office (WASO) policies,
- leases administered under 36 CFR Part 18 that require WASO or the Director's approval, and concession contracts that require WASO approval, and/or are "first of

kind" or establishes precedents, or are subject of widespread media attention or Congressional scrutiny, and

- concession contracts including condition assessments of real property, that include provisions for construction and rehabilitation of long-term structures and facilities, excluding non-permanent, non-historic structures.

Category 5 Subcategories

- Subcategory 5.A.1: Significant Commercial Service Contracts/Leases Permanent
- Subcategory 5.A.2: Commercial Visitors Services Policy
- Subcategory 5.B: Commercial Services Contracts and Leases
- Subcategory 5.C: Routine Financial and Contract/Lease Records
- Subcategory 5.D: Routine and Supporting Documentation

Subcategory 5.A.1: Significant Commercial Service Contracts/Leases
Permanent Records for NARA and NPS

Description

Records documenting management of individual commercial service contracts and 36 CFR Part 18 leases that meet the criteria listed above. Contract files contain the signed contract and contract exhibits: operating plan, maintenance plans, insurance certificates, annual evaluations, list of any assigned lands and/or structures, annual financial reports, and interim and final audit reports. Files also contain correspondence, documents relating to the development and use of buildings and facilities in particular areas, reports on concession development plans, and progress reports on projects.

Instructions

These records are permanent. ***DO NOT DESTROY***

- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more

> appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, commercial visitor services records might be arranged by location, provider, type of service involved, or by whatever is appropriate for your office's needs.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Building and Other Facilities	Non-historic properties	5A1	Permanent. Transfer copy to NARA.	
Concessions	Contracts and Permits (Case Files) that meet permanent criteria	5A1	Permanent. Transfer copy to NARA.	
Leases	36 CFR Part 18 Leases that meet permanent criteria	5A1	Permanent. Transfer copy to NARA.	

Subcategory 5.A.2: Commercial Visitors Services Contract/Leases
Permanent Records for NARA and NPS

Description

Records documenting policy, procedures, and other related activities and that meet the criteria above.

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for both the National Archives and NPS, and copies are to be transferred be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Strategic Planning		5A2	Permanent. Transfer copy to NARA.	
WASO Policies		5A2	Permanent. Transfer copy to NARA.	

Subcategory 5.B: Commercial Services Contracts and Leases Temporary Records – 15 years

Description

Records documenting substantive decisions, actions, and activities relating to concessions, fees, licensing, labor, performance, and other commercial activities; includes environmental audit reports, Leaseholder Surrender Interest (LSI) appraisals, commercial use authorizations files, and concession contract and lease files that do not meet the permanent criteria listed

above. Also included may be documentation relating to the concessioner's organization, meetings, marketing materials, and recommendations; rate evaluations, concession

Instructions

Destroy/Delete records 15 years after closure
- Record copy to be retained by the originating office.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Financial	Audits and Fiscal Examinations	5B	Destroy/delete 15 years after closure	Budget Office
Concessioners	Organizations, Meetings, Recommendations	5B	Destroy/delete 15 years after closure	
Franchise Fees		5B	Destroy/delete 15 years after closure	
Commercial Use License		5B	Destroy/delete 15 years after closure	
Employment and Labor		5B	Destroy/delete 15 years after closure	
Concessions Data Management System		5B	Destroy/delete 15 years after closure	
Environmental Audit Reports Database		5B	Destroy/delete 15 years after closure	

Subcategory 5.C: Routine Financial and Contract/Lease Records Temporary Records – 7 years

Description

Financial audits, contracts and associated records, routine leases (e.g. for office space), program direction documents, and similar records that do not meet the criteria for permanent records listed above.

Instructions

Destroy/Delete records 7 years after closure
- Record copy to be retained by the originating office.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 7 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Applications		5C	Destroy/delete 7 years after closure	
Insurance		5C	Destroy/delete 7 years after closure	
Concessions	Contracts and Permits	5C	Destroy/delete 7 years after closure	
Taxes		5C	Destroy/delete 7 years after closure	
AFR Database		5C	Destroy/delete 7 years after closure	

Subcategory 5.D: Routine and Supporting Documentation Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Instructions

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Advertising		5D	Destroy/delete 3 years after closure	
Concession Reports	Monthly	5D	Destroy/delete 3 years after closure	
	Quarterly	5D	Destroy/delete 3 years after closure	
	Situation	5D	Destroy/delete 3 years after closure	
Merchandising		5D	Destroy/delete 3 years after closure	
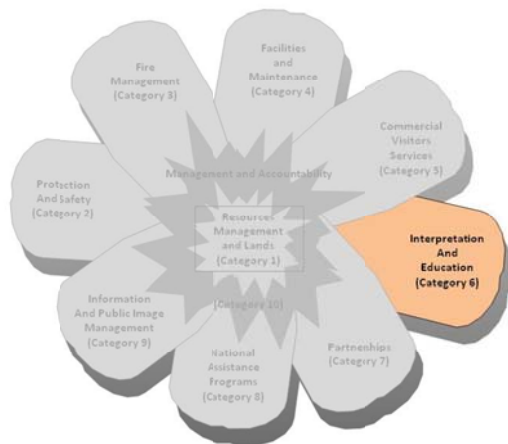
Category 6: Interpretation and Education

Overview

This category covers records relating to interpretive and educational programs for park visitors developed by park, regional, and headquarters staff.

Mission Critical Functions

Records and data documenting and supporting the planning, implementation and evaluation of NPS interpretive and educational programs for park visitors developed by park, regional, and headquarters staff. Interpretation refers to activities designed to educate and inform visitors about the natural, historical and cultural features of NPS Parks and sites. This category also covers data and records of NPS activities to assess, conserve and preserve land areas and sites for public enjoyment, and to foster public participation in these activities.

Activities Related to Interpretation and Education

Include programs typically foster the development of a citizen stewardship ethic and promote recreational safety; and instill an understanding, appreciation, and enjoyment of the significance of parks and their resources. These programs open dialogues about park resources, history, and mission with local communities and visitors. Examples of interpretive and educational programs include:

- interpretive and informational visitor talks,
- celebrations,
- guided tours and hikes,
- audio-visual presentations,
- web-based presentations,
- curriculum-based educational programs, and
- non-museum exhibits.

Records Relating to Interpretation and Education

Include, but are not limited to:

- studies,
- plans,
- reports,
- correspondence,
- classroom curricula,
- research,
- brochures and other publications,

- photographic negatives, prints and slides, motion pictures,
- non-museum exhibit scripts and other documentation,
- wayside documentation, and
- copies of radio and television programs involving park staff.

Retention Plan

Records documenting the planning, development, and the management of interpretive and educational activities which meet one or more of the following criteria are Permanent:

- policy and procedure for interpretation and education,
- producing unique informational products such as maps, brochures, etc.,
- creation of unique video, audio recordings, etc.,
- documentary photographs and films, both electronic and digital, of natural and cultural resources,
- development of non-museum exhibit scripts and lesson plans for large-scale educational or interpretive installations,
- "first of kind" or establishes precedents,
- Interpretation and Education involving tribal lands,
- subject of widespread media attention or Congressional scrutiny,
- high-level personnel (President, Members of Congress, Supreme Court Justices) and other significant visitors and events.
- special park uses, bearing on the unique responsibilities, programs and activities relating to the mission of NPS and its custodianship of national parks and historic sites.

Category 6 Subcategories

- Subcategory 6.A.1: Interpretation/Education Program/Planning Records
- Subcategory 6.A.2: Interpretation/Education Work Products
- Subcategory 6.B: Interpretation/Education Drafts/Non-records Material
- Subcategory 6.C: Routine/Supporting Documentation

Subcategory 6.A.1: Interpretation and Education Program and Planning Records
Permanent Records for NARA and NPS

Description

Records documenting approved planning and development of Interpretation and Education policies, approved programs, and activities, and related documents that meet the criteria above. Records include internal and external correspondence; policy documents; Congressional correspondence and briefing statements; annual interpretive reports; materials relating to workshops, seminars, conferences, festivals and other events; published brochures and visitor guides; press releases and press clippings; newsletters from stakeholder and partner organizations as well as special media materials and electronic data.

Some prominent topics in the records are alternatives for future development of sites; NPS sites in urban areas; public reactions to NPS events, positive and negative; concerns regarding the impact of tourism and public use of sites on habitat preservation; conflicts between user communities – e.g. between hikers, equestrians and trail bikers; educational programs in which NPS sites may serve as "classrooms;" quibbles about historical accuracy from members of the public; fund-raising; accessibility of park sites to handicapped visitors; clean up and rehabilitation activities carried out by local conservation and volunteer organizations. Special media records include historical maps; buildings plans and blueprints; posters; photographs; motion pictures; sound and video recordings that have been created or adapted for purposes of interpretation or education.

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is *MANDATORY* a *COPY* of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, education planning records might be arranged by topic, by audience, by type of program involved, or by whatever is appropriate for your office's needs.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Interpretation	Interpretive Activities	6A1	Permanent. Transfer copy to NARA.	Education
Interpretation	[Interpretive] Services	6A1	Permanent. Transfer copy to NARA.	Outreach
Interpretation	Interpretive Planning (data, needs, programs, etc.)	6A1	Permanent. Transfer copy to NARA.	Education
Education	Situation Reports	6A1	Permanent. Transfer copy to NARA.	Outreach
Education	Annual Reports & related correspondence	6A1	Permanent. Transfer copy to NARA.	Education

Subcategory 6.A.2: Interpretation and Education Work Products Permanent Records for NARA and NPS

Description

Work products including but not limited to publications, presentations, exhibit scripts, audio-visual materials, studies, lesson plans, curricula, brochures and wayside documentation (only one record copy needs to be retained permanently). Work products including but not limited to publications, presentations, exhibit scripts, audio-visual materials, studies, lesson plans, curricula, brochures and wayside documentation. (only one record copy needs to be retained permanently). The record copy of each item documents the public face of the Service, how the agency is perceived by the public, and how it transmits information to the public. Publications also provide a record of NPS activities and accomplishments, showing how well the Service fulfills its assigned mission.

Records may include samples of educational resource materials from various jurisdictions; information and advertising materials; prospectuses for conferences and compiled conference proceedings; grant applications for programs proposed by school districts or other outside organizations; copies of state educational frameworks or requirements; press clippings relating to student participating in NPS programs; publications and journal off-prints; and oral histories, panel transcripts or audio-visual recordings made at NPS sponsored folklore or historic festivals. Special media records include audio and video recordings, posters, photographs, motion pictures.

Instructions

These records are permanent. *DO NOT DESTROY*
- Record copy to be retained by the originating office.
- It is *MANDATORY* a *COPY* of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Interpretation	Publications	6A2	Permanent. Transfer copy to NARA.	Outreach
Interpretation	Scripts	6A2	Permanent. Transfer copy to NARA.	Outreach
Education	Lesson Plans	6A2	Permanent. Transfer copy to NARA.	Education
Education	Curricula	6A2	Permanent. Transfer copy to NARA.	Education
Audiovisual	Photography [related to interpretation or education]	6A2	Permanent. Transfer copy to NARA.	Film office
Audiovisual	Production and Acquisition of Motion Pictures [related to interpretation or education]	6A2	Permanent. Transfer copy to NARA.	Film office

Subcategory 6.B: Interpretation and Education Drafts and Non-records Material
Temporary Records – 15 years

Description

Drafts, proof sheets and other non-record instances of exhibit scripts, curricula, speeches, lesson plans, brochures, publications, audio-visual materials, studies, wayside documentation; catalog information on library material, art collections and similar items maintained for interpretive purposes; and documents pertaining to designing and building exhibits and related documents (non-museum exhibit documentation). Museum exhibit documentation is filed in Category 1: Resource (Cultural/Natural) Management and Lands.

Instructions

Destroy/Delete records 15 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Audiovisual	Proof sheets	6b	Destroy/delete 15 years after closure	Film
Education	Lesson plan drafts	6b	Destroy/delete 15 years after closure	Education
Libraries	Catalog information	6b	Destroy/delete 15 years after closure	Library
HFC Media Inventory Database		6b	Destroy/delete 15 years after closure	
HFC Project Tracking		6b	Destroy/delete 15 years after closure	

Subcategory 6.C: Routine and Supporting Documentation Temporary Records

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category. This item includes routine records of minor significance, including housekeeping records; monthly, quarterly and semi-annual interpretive reports; library and archives program records.

Instructions

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Libraries	Library Services	6c	Destroy/delete 3 years after closure	Library
Education	Quarterly Reports & related correspondence	6c	Destroy/delete 3 years after closure	Education
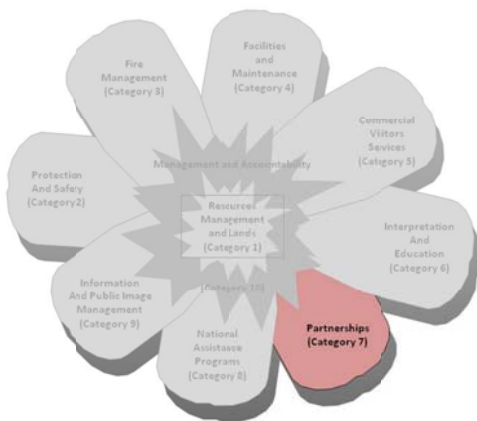
Category 7: Partnerships

Notice

This Module is still being developed. If you have any questions regarding the current content, please contact Jason Lautenbacher, National Records Office.

Overview

The National Park Service (NPS) is authorized by law to enter into agreements with other agencies, organizations and individuals. These agreements establish formal relationships that allow the NPS to more efficiently and economically accomplish its mission.

Mission Critical Functions

Establish NPS policies and procedures for administering agreements and identify and describe the types of agreements that the NPS enters into with Federal and non-Federal entities. The Service has had many successful partnerships with individuals; organizations; tribal, state, and local governments; and other federal agencies that have helped fulfill the NPS mission. Benefits often extend into the future, because many people who participate as partners connect more strongly with the parks and commit themselves to long-term stewardship. Donations are used to enhance NPS programs and to help achieve excellence.

Activities Related to Partnerships

Include establishing partnerships spanning all NPS functions, interpretive and educational partnerships, Volunteers in Parks programs, cooperating associations, donations, and fundraising. Through these partnerships, the Service has received valuable assistance in the form of educational programs, visitor services, living history demonstrations, search-and-rescue operations, fund-raising campaigns, habitat restoration, scientific and scholarly research, ecosystem management, and a host of other activities. Donations come to the NPS from individuals, families, organizations, foundations, corporations, businesses, and other entities purely as expressions of support, as a result of a donor's awareness of needs, or in response to an organized fundraising campaign by others.

Records Relating to Partnerships

Include, but are not limited to:

- Memoranda of agreements,
- Cooperative agreements,
- Interagency agreements,
- Cooperative management agreements,
- Challenge Cost Share Program,
- Memoranda of understanding,
- Reports on donated funds
- Photographs,
- Natural resources studies,
- Cultural resources studies,
- Checklists,
- Map and drawings,
- Reports,
- Partnership report,
- Correspondence,
- Fundraising reports,
- Concerts and other programs for the public.

Retention Plan

Records documenting an activity which meets one or more of the following criteria are Permanent:

- policy and procedure for establishing and maintaining partnerships,
- partnerships with tribal organizations,
- NPS participation in formal Advisory Boards in which NPS has membership,
- "first of kind" or establishes precedents,
- subject of widespread media attention or Congressional scrutiny.

Category 7 Subcategories

- Subcategory 7.A.1: Partnerships Programs, Policy, and Planning Records
- Subcategory 7.A.2: Significant and Long-term Partnerships
- Subcategory 7.B: Partnerships Records
- Subcategory 7.C: Routine and Supporting Documentation

Subcategory 7.A.1: Partnerships Programs, Policy, and Planning Permanent Records for NARA and NPS (See Instructions)

Description

Records documenting planning and development of policies, programs, and activities and related documents that meet the criteria above.

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Subcategory 7.A.2: Partnerships Records Permanent Records for NARA and NPS

Description

Records detailing significant and/or long-term partnerships, particularly with tribal organizations, advisory boards, cooperating associations, and Federal, state, and local governments. These records illustrate the results and history of a partnership and match the criteria listed above.

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Subcategory 7.B: Non-permanent Partnerships
Temporary Records – 7 years

Description

Records documenting relations with cooperating associations, records of cooperating associations, and routine records dealing with collaboration and partnerships. These records do not meet the criteria for permanent records listed above.

Instructions

Destroy/Delete records 7 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Subcategory 7.C: Routine and Supporting Documentation Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Instructions

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Category 8: National Assistance Programs

Overview

This category covers records of NPS external programs: "Beyond managing the national park system, the National Park Service administers a broad range of programs that serve the conservation and recreation needs of the nation and the world. Although these programs operate mainly outside the national parks, they form a vital part of the National Park Service mission. Information about the policies and procedures that govern these programs may be obtained from the appropriate NPS program managers …or NPS web site at www.nps.gov." NPS Management Policies 2006 (inside front cover).

> "Although these programs operate mainly outside the national parks, they form a vital part of the National Park Service mission. Information about the policies and procedures that govern these programs may be obtained from the appropriate NPS program managers …or NPS web site at www.nps.gov."
> *NPS Management Policies 2006 (inside front cover)*

Included are records for programs that NPS conducts or for which NPS provides assistance *primarily* to non-NPS managed areas. A complete list of NPS external programs is included at the end of Category 8: National Assistance Programs.

Examples include the:
- National Register of Historic Places
- National Historic Landmarks Program
- National Natural Landmarks Program
- Land and Water Conservation Fund Grants Program
- American Battlefield Protection Program

- National Maritime Heritage Grants Program
- Rivers, Trails and Conservation Assistance Program
- Tribal Heritage Preservation Grants Program
- Native American Graves Protection and Repatriation Act (NAGPRA) program
- Office of International Affairs

> Some programs apply to non-NPS managed resources only (grants) and some apply to both NPS and non-NPS managed resources. Records about NON-NPS managed resources are filed in Category 8.   Records relating to NPS-managed cultural and natural resources are filed in Category 1 and managed in appropriate park, regional, and Washington office files.

> This schedule does not apply to the records of the Historic American Buildings Survey (HABS), Historic American Engineering Record (HAER), and Historic American Landscape Survey (HALS)   which are scheduled under Record Group 515.

Records of national assistance programs documenting primarily non-NPS cultural and natural resources and the administrative program records for each program.

Activities Related to National Assistance Programs

Include program administration supporting documentation of significant cultural and natural resources, preservation grants, and NPS staff assistance for research, planning, and civic engagement.

NPS also provides technical and financial assistance to state and local governments.   Financial assistance may take the form of grants given by NPS to state and local governments that help provide outdoor recreation resources and that conduct studies of natural landmarks, national trails, and wild and scenic rivers. Support is also available to both public and private entities to help preserve historic sites, buildings, and objects as well as archeological data and resources.

Records Relating to National Assistance Programs

Include, but are not limited to:
- inventories,
- summaries,
- lists,
- documentation of non-NPS historic and natural resources,
- registers,
- grants and grant applications,
- administrative records,
- project reports,
- drawings,
- photographs, and
- correspondence.

Redacted copies of documentation containing personally identifiable information may be permanent; however, the original documentation containing such information is covered under this subcategory.

Category 8 Records:

If an NPS external program provides assistance to a non-NPS managed resource (cultural or natural), then file the records under Category 8: National Assistance Program
- Example: Regional office NRHP staff assist state agency, private institutions, private individuals, etc. with nomination of historic structures/landscapes (non-NPS) to the National Register of Historic Places.
- Example: Regional office Rivers, Trails and Conservation Assistance Program staff provide technical assistance to communities/organizations who are planning to build/restore non-NPS recreation trails, conservation areas, etc.
- Example: Records related to the Native American Grave Protection and Repatriation Act (NAGPRA) Program to assist museums and other government agencies with management of Native American funerary and sacred objects.

Category 1 Records:

If an NPS external program provides assistance to an NPS managed resource (cultural or natural), then file the records under Category 1: Resource (Cultural/Natural) Management and Lands
- Example: Parks work with external program staff to include park resources in these national programs. For example, program, regional office, and park staff work together to prepare documentation to nominate a park historic structure to the National Register of Historic Places. Record copies are retained by the park, as well as WASO NRHP and regional NRHP offices.
- Example: Parks work with external program staff to nominate park area/resources to the National Natural Landmarks program.
- Example: Parks work with the Native American Graves Protection and Repatriation Act (NAGPRA) Program to assist park museums with Native American funerary and sacred objects in NPS museum collections.

Retention Plan

Records documenting an activity which meets one or more of the following criteria are Permanent:
- policy and procedure for establishing and maintaining National Assistance Programs,
- assistance to tribal organizations,
- the making of significant grants,
- maintaining case records of historic structures,
- documenting the reporting of human remains and funerary objects
- "first of kind" or establishes precedents,
- subject of widespread media attention or Congressional scrutiny

- documentation of <u>non-NPS</u> cultural and natural resources

There are certain records or types of records that are to be retained permanently by both the National Archives and by NPS. *For example, while the whole of a project file is important for NPS, the National Archives is primarily interested in final reports, key decision-making documents, and records documenting how NPS has fulfilled its government missions.* In these cases, there should be two sets of records created (i.e. copies made of existing records), so that one will be transferred to NARA, while the other will remain with NPS. This will be particularly easy to accomplish with electronic data. Most of the NPS copies of external program records will be managed by the associated program, with older records stored at the National Archives for long-term preservation and access.

Category 8 Subcategories

- Subcategory 8.A.1: National Assistance Policy and Procedures
- Subcategory 8.A.2: Significant National Assistance Programs and Grants
- Subcategory 8.A.3: NAGPRA Case Files
- Subcategory 8.A.4: Historic Structures Case Files
- Subcategory 8.B: Grant Files
- Subcategory 8.C: Routine National Assistance Programs and Grants
- Subcategory 8.D: Routine and Supporting Documentation

Subcategory 8.A.1: National Assistance Policy and Procedures
Permanent Records for NARA and NPS

Description

Records that help manage and establish policy and procedures, and meet the criteria listed above.

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event

(such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, National Natural Landmark planning records might be arranged by state, or by whatever is appropriate for your office's needs.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Policy correspondence & historic preservation standards	Planning Files. National Register of Historic Places	8A1	Permanent. Transfer copy to NARA.	WASO NRHP program office
Policy correspondence	Planning Files. American Battlefield Protection Program	8A1	Permanent. Transfer copy of final report to NARA.	American Battlefield Protection Program office files.
Director's Order 56	Guidance for Office of International Affairs	8A1	Permanent. Transfer copy to NARA.	Washington Office. Office of International Affairs
Annual Reports & related correspondence	Enacted Legislation. Wild and Scenic Rivers Program	8A1	Permanent. Transfer copy to NARA.	Regional Office. Wild and Scenic Rivers Program files.
Annual Program	Completed Projects.	8A1	Permanent. Transfer	WASO. Teaching

Reports	Teaching with Historic Places Program		copy to NARA.	with Historic Places Program files.
Annual Reports & related correspondence	Completed Projects. Office of International Affairs	8A1	Permanent. Transfer copy to NARA.	Washington Office. Office of International Affairs
Annual Program Reports/	Private –Public Partnerships. American Battlefield Protection Program	8A1	Permanent. Transfer copy of final report to NARA.	WASO. American Battlefield Protection Program.
Annual Program Reports.	Summary data. Grants-in-Aid to Indian Tribes.	8A1	Permanent. Transfer copy of final report to NARA.	WASO. Grants-in-Aid to Indian Tribes program files.

Subcategory 8.A.2: Significant National Assistance Programs and Grants Permanent Records for NARA and NPS

Description

Records documenting the natural and cultural external programs, and the awarding of grants including the results of the grants and meet the criteria listed above.

Instructions

- These records are permanent. *DO NOT DESTROY*
- Record copy to be retained by the originating office.
- It is *MANDATORY* a *COPY* of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Grants Program Reports	Completed projects 2012. Land and Water Conservation Fund	8.A.2.	Permanent. Transfer copy to NARA.	WASO LWCF grants program office
Completed Projects files	Historic Structure Restoration project files arranged by state.	8.A.2.	Permanent. Transfer copy to NARA.	Federal Historic Preservation Tax Incentives program files.
Approved Projects files for 50 % matching grants 2012	Field trip reports. Land and Water Conservation Fund Grants Program	8.A.2.	Permanent Transfer copy to NARA.	Land and Water Conservation Funds Grants Program
Completed trails project files arranged by state.	Annual Project Files. National Trails System	8.A.2.	Permanent. Transfer copy to NARA	Northeast Region Rivers and Trails Manager's office
Field Trip Reports	Enacted Legislation. Wild and Scenic Rivers Program	8.A.2.	Permanent Transfer copy to NARA.	Regional Rivers and Trails Manager's office
Education Curriculum files	Approved Lesson Plans. Teaching with Historic Places program records.	8.A.2.	Permanent. Transfer copy of final report to NARA.	WASO Teaching with Historic Places program office.
Administration of Interagency projects	Planning & Financial Assistance records. National Trails System.	8.A.2.	Permanent. Transfer copy to NARA.	WASO National Trails System Program office.

Subcategory 8.A.3: NAGPRA Case Files Permanent Records for NARA and NPS

Description

Case files documenting the reporting of human remains and funerary objects by Federal agencies and museums.

Instructions
- These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.

- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
National NAGPRA project records	Completed projects reports 2012.	8.A.3.	Permanent	WASO Museum Mgmt. Program records
Field trip reports	Consultations with Tribes. Confidential – access restricted.	8.A.3.	Permanent	WASO Museum Mgmt. Program records.
Grant Applications	Approved grants 2012	8.A.3.	Permanent	WASO Museum Mgmt. Program records.

Subcategory 8.A.4: Historic Structures Case Files Permanent Records for NARA and NPS

Description

Case files of historic structures and landscapes.

Instructions

- These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is ***MANDATORY*** a ***COPY*** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Natural Landmarks research reports. 2012	Completed projects files 2012	8.A.4.	Permanent	National Natural Landmarks program files.
Historic Structures Research projects.	Historic structures research reports.	8.A.4.	Permanent	WASO National Register of Historic Places Program files.
2012 NHL	Approved applications 2012. National Historic Landmarks.	8.A.4.	Permanent	WASO. NHL Program office
Historic Structures Preservation grants 2012	Completed grant projects reports. Grants-in-Aid to Indian Tribes.	8.A.4.	Permanent	Grants-in Aid to Indian Tribes program files.

Subcategory 8.B: Grant Files
Retention: Permanent for NPS

Description

Records documenting the awarding of grants, including the results of grants, but do not meet the permanent criteria listed above. However, they may meet NPS criteria for long-term preservation. These records are not permanent according to NARA's rules and regulations. However, NPS should retain as long as needed.

> Per NPS Management Policies Section 5.3.5.5.6, DO 28: Cultural Resource Management Guideline, and DO 77: Natural Resource Protection these are records that are significant for the management of NPS external programs but which NARA does not require for its purposes. They may include background files on projects, for which a copy of the final report was transferred to NARA, natural and cultural documentation program files for significant non-NPS resources, national NAGPRA program data, and a variety of other materials. The vast majority of NPS National Assistance Programs (external programs) records will be in this category, and may need to be retained permanently in NPS custody for ongoing program management.

Instructions
- Destroy/Delete records when no longer needed.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
	Reports	8.B.	Permanent	Historian
	Restoration	8.B.	Permanent	

Subcategory 8.C: Routine National Assistance Programs and Grants Temporary Records – 15 years

Description

Routine records dealing with the day to day administration of Assistance programs and grants. Also includes grants that do not meet the criteria listed in Subcategory A.2: Significant National Assistance Grants.

Instructions

Destroy/Delete records 15 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
2012 program reports	Annual Reports from Historic Lighthouse recipients.	8.C.	Close at end of FY. Destroy/ delete 15 years after closure.	Regional Historic Lighthouse Preservation Act Program office.
2012 program records.	Unsuccessful project applications. Historic Structures "Tax Act" program	8.C.	Close at end of FY. Destroy/ delete 15 years after closure.	Regional Office. Federal Historic Preservation Tax Incentives Program office.
Applications for assistance 2012	Unsuccessful project applications. Rivers and Trails program.	8.C.	Close at end of FY. Destroy/ delete 15 years after closure.	Regional Rivers and Trails Program Manager's records

Subcategory 8.D: Routine and Supporting Documentation Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category. Also includes unapproved grant applications.

Instructions

- Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

File Plan Recommendation

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Program background materials.	Outdated lists of business and community organization contacts. Route 66 Corridor Preservation.	8.D.	Close at end of FY. Destroy/ delete 3 years after closure.	Route 66 Corridor Preservation program office.
Historic Structures project files 2012	Original copies of applications for preservation projects.	8.D.	Close at end of FY. Destroy/ delete 3 years after closure. (Shred docs w/ Privacy Act data)	Regional Office. Federal Historic Preservation Tax Incentives Program office.

NPS External Programs

(that NPS conducts or for which NPS provides assistance)

American Battlefield Protection
Certified Local Governments
Cultural Resources Diversity
Cultural Resources Geographic Information Systems
Chesapeake Bay Gateways Network
Discover Our Shared Heritage Travel Itinerary Series
Federal Archaeology
Federal Historic Preservation Tax Incentives
Federal Lands to Parks
Federal Preservation Institute
Grants-in-Aid to Historically Black Colleges and Universities
Grants-in-Aid to Indian Tribes
Grants-in-Aid to Preserve America
Grants-in-Aid to Save America's Treasures
Grants-in-Aid to States and Territories
Historic American Buildings Survey
Historic American Engineering Record
Historic American Landscapes Survey
Historic Preservation Internship Training
Historic Preservation Planning
Historic Surplus Property
Hydropower Recreation Assistance

Japanese American Confinement Sites Grants
Land and Water Conservation Fund State Conservation Grants
Maritime Heritage
National Center for Preservation Technology and Training
National Heritage Areas
National Historic Landmarks
National Historic Lighthouse Preservation
National Native American Graves Protection and Repatriation Act
National Natural Landmarks
National Register of Historic Places
National Trails System
National Underground Railroad Network to Freedom
Office of International Affairs
Rivers, Trails and Conservation Assistance
Route 66 Corridor Preservation
Shared Beringian Heritage
Teaching with Historic Places
Technical Preservation Services
Tribal Preservation
Urban Park and Recreation Grants
Wild and Scenic Rivers
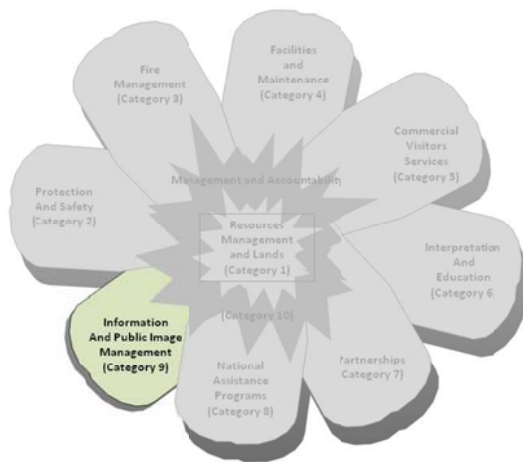
Category 9: Information and Public Image Management

Overview

This category includes two functions:
- Management of NPS data and information resources and
- Public image management. This includes development of graphic standards used to portray a consistent image of the NPS in publications, websites, signs, and uniforms.

Mission Critical Functions

Information "provides the knowledge necessary to make responsible decisions. For others, information about events, people and places identifies where we have been and where we are going as a nation. Some of the information we generate may become a permanent legacy of this Nation's efforts to preserve its natural, cultural, historical and recreational assets. Today the pervasiveness of the Internet gives new meaning and value to information by making it more accessible.

> Information Management is the means by which NPS supports its data and learning activities: identifying information needs, acquiring information, organizing and storing information, developing information products and services, distributing information, and using information. (D.O. 11A)Public Image Management is expressed by the statement: "The National Park Service cares for special places saved by the American people so that all may experience our heritage." D.O. 52A

Whether information communicates status, condition, performance, budget, or ideas – it is a resource that must be managed to ensure quality and usefulness. For many, information is the

most important resource worked with on a day-to-day basis." (D.O. 11A) Public Image Management ensures that the public understands and values the work of the NPS in parks and communities, and becomes better users and stewards of the special places entrusted to the care of NPS. (D.O. 52A)

Records Relating to Information Management

Include, but are not limited to:
- system planning records,
- help desk requests,
- network administration files,
- hardware maintenance,
- software licenses,
- records management documents for scheduling, storage, and transfer of records (SF 115, SF 258, SF 135, and supporting documentation),
- forms management,
- mail management,
- reports management,
- correspondence management,
- policy and procedure files,
- photographs management,
- maps and drawings management,
- electronic records management,
- e-mail messages,
- Freedom of Information Act (FOIA), and
- Privacy Act and Copyright Law management,
- social media.

Activities Related to Public Image Management

Includes developing standards that help portray a consistent image in publications, uniforms, websites, signs, and all other outreach. Activities also include public affairs such as press releases, media presentations, and related material.

Records Relating to Public Image Management

Include, but are not limited to:
- proof sheets,
- library circulation and administration files,
- standards on use of NPS symbols,
- standards for signs, uniforms, etc.,
- web sites,
- press releases,
- media packages,
- recordings of radio and television appearances by NPS representatives,
- speeches,
- in-house newsletters, and
- posters.

Retention Plan

Records documenting an activity which meets one or more of the following criteria are Permanent:
- policy and procedure for directing Information and Public Image Management,

- communication of the NPS mission, the dissemination of NPS information, and the conveyance of NPS positions and statements,
- documentation of computer systems in any category that contain permanent records,
- creation, history, and development of NPS symbols,
- "first of kind" or establishes precedents,
- the subject of widespread media attention or Congressional scrutiny.

Category 9 Subcategories

- Subcategory 9.A.1: Information and Public Image Direction and Policy
- Subcategory 9.A.2 Communications and Dissemination of Information
- Subcategory 9.B: Information and Public Image
- Subcategory 9.C: Publications, Library, FOIA, and PA Records
- Subcategory 9.D: Routine and Supporting Documentation

Subcategory 9.A.1: Information and Public Image Direction and Policy
Permanent Records for NARA and NPS

Description: Records that help manage and set direction for systems development and public image.

Instructions:
- These records are permanent. DO NOT DESTROY
- Record copy to be retained by the originating office.
- It is MANDATORY a COPY of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Related Records:
- Policy correspondence for TV, radio, and press
- Policy for special media such as Facebook, Wikis, Twitter, etc.

Subcategory 9.A.2: Communications/Dissemination of Information
Permanent Records for NARA and NPS

Description

Records documenting the communication of the NPS mission; the dissemination of NPS information, and the conveyance of NPS positions and statements. These may include press releases, maps, radio and television activities, newsletters, special articles, video, web content, posters, etc.)

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.
- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
NPS Policy	Policy Correspondence for TV, Radio, Press	9A1	Permanent. Transfer copy to NARA.	WASO
News Media	Policy for Social Media (Facebook, Wikis, Twitter, etc.)	9A1	Permanent. Transfer copy to NARA.	WASO
News Media	Press Releases, NPS issuances at level of origin	9A2	Permanent. Transfer copy to NARA.	Public Affairs
Publications	Publications at level of origin describing history, administration, major	9A2	Permanent. Transfer copy to NARA.	Historians

	policies,			
Publications	Posters, Cartoons, & Emblems	9A2	Permanent. Transfer copy to NARA.	Public Affairs
Publications	Free Informational Literature	9A2	Permanent. Transfer copy to NARA.	Outreach
Publications	Websites	9A2	Permanent. Transfer copy to NARA.	Outreach
Park News Releases		9A2	Permanent. Transfer copy to NARA.	

Subcategory 9.B: Information and Public Image Temporary Records – 15 years

Description

Records that document system administration, records management, and public information functions that do not meet the criteria listed above. These records may include supporting information, management policies, guidance on creation of policy and procedures, and similar substantive activity that, while important, is not historically significant.

Instructions

Destroy/Delete records 15 years after file closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Policy and Procedures	Public Relations, with Federal, State, and Local Agencies	9B	Destroy/Delete when 15 years old	Public Affairs
Policy Correspondence	Information Resource Management	9B	Destroy/Delete when 15 years old	Information Management

Policy Correspondence	Paperwork Management, Mail Management	9B	Destroy/Delete when 15 years old	Information Management
Manuscript copies and proof sheets	Free Informational Literature	9B	Destroy/Delete when 15 years old	Public Affairs
Uniform Guidance	Field guidance on when & how to wear uniforms.	9B	Destroy/Delete when 15 years old	Personnel office
Policy Correspondence	Records Management	9B	Destroy/Delete when 15 years old	Information Management
Policy and Procedures	Public Relations, Public Involvement	9B	Destroy/Delete when 15 years old	Public Affairs
Reference Services Graphics Database		9B	Destroy/Delete when 15 years old	

Subcategory 9.C: Publications, Library, FOIA, and PA Temporary Records – 7 years

Description

Records regarding development of publications (i.e., proof sheets and related) and library activities (circulation records) that do not meet the criteria for permanent records listed above. Also includes Freedom of Information Act and Privacy Act requests.

Instructions

Destroy/Delete records 7 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 7 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Requests	Freedom of Information Act (FOIA) and Privacy Act	9C	Destroy/delete when 7 years old.	Information
Libraries & Library Services	Circulation records	9C	Destroy/delete when 7 years old.	Library
Publications	Non record copy.	9C	Destroy/delete when 7 years old.	Library

Subcategory 9.D: Routine and Supporting Documentation Temporary Records

Description

Records dealing with help desk, hardware/software maintenance, meeting arrangements, requests for information, and all other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Instructions

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Public Relations	Arrangements for meetings, events, etc.	9D	Destroy/delete when 3 years old	Public Relations

	with Federal, State, and Local Agencies			
Communications Services	Message registers, long-distance summaries, etc.	9D	Destroy/delete when 3 years old	Information Office
Requests	Routine Information Requests	9D	Destroy/delete when 3 years old	Information Office
Housekeeping	Mail control records,	9D	Destroy/delete when 3 years old	Information Office
Housekeeping	Distribution lists	9D	Destroy/delete when 3 years old	Information Office
Office of Communication & Public Affairs Reference Desk		9D	Destroy/delete when 3 years old	
Information Technology Asset Inventory & Management System		9D	Destroy/delete when 3 years old	
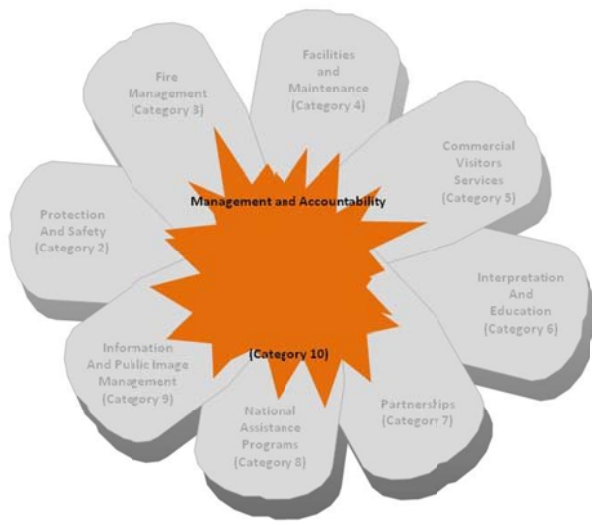
Category 10: Management and Accountability

Overview

This category covers a broad range of tasks involved with the planning, organizing, staffing, directing, internal/external reporting, and controlling of NPS activities that occur routinely across the NPS.

"Management accountability is the expectation that managers protect park resources and provide for visitor use and enjoyment. They are responsible for the quality and timeliness of program performance, increasing productivity, controlling costs and mitigating adverse aspects of agency operations. Further, they assure that programs are managed with integrity and in compliance with applicable laws."
Director's Order 54

"The National Park Service will use planning to bring logic, analysis, public involvement, and accountability into the decision-making process. Park planning and decision-making will be conducted as a continuous, dynamic cycle, from broad visions shared with the public to individual, annual work assignments and evaluations."
Management Policies 2.1.1:

Mission Critical Functions

This category covers data and records documenting and supporting policy formation for all aspects of NPS management. Records address high-level issues in planning, organizing, staffing, directing, reporting, controlling and financial management of the activities and programs of the National Park Service; Congressional relations; budget formulation, expenditures, inspections and reporting for the entire range of NPS programs; NPS participation in international, Interior

Department, interagency, Washington and field office committees, conferences and meetings; and cooperative agreements with federal, state and local agencies and jurisdictions.

The records document "first of kind" or precedent-setting activities, many of which have been the subject of widespread media attention or Congressional scrutiny.

Activities Related to Management and Accountability

Includes establishing agency-wide policy and procedures, creating and administering budgets, finance, legal affairs, aviation and motor vehicles, human resources, and other activities.

Records Relating to Management and Accountability

Include, but are not limited to:

- training materials,
- credit card receipts, logs, and statements,
- policy and procedure documents,
- Directors Orders,
- employee health folders,
- personnel records,
- contracts,
- reports to supervisors and those of a similar nature,
- park annual reports or state of the park reports,
- reports to Congress including the NPS Annual Report,
- travel authorizations and vouchers,
- budget worksheets,
- legal cases,
- vehicle maintenance and use files,
- purchase orders,
- vouchers,
- purchase card statements and card logs,
- time and attendance files, and
- Equal Employment Opportunity files.

> Records Related to Management and Accountability **do not include** contracts relating to work that has an impact upon natural and cultural resources. These are managed under Category 1: Resource Management and Lands.

Retention Plan

Records that document an activity which meets one or more of the following criteria are Permanent:

- policy and procedure development for NPS on local, regional, or national levels,
- documentation of social issues affecting NPS services,
- creating the annual agency budget,
- strategic planning,
- annual reporting,
- NPS achievements that contribute to history of the agency,
- "first of kind" or establishes precedents,

- subject of widespread media attention or Congressional scrutiny.

Category 10 Subcategories

- Subcategory 10.A: National Park Service Direction and Policy
- Subcategory 10.B: Routine Policy Decisions/Planning/Legal/Issues/Operations
- Subcategory 10.C: Routine Fiscal, Contracting, and Purchasing
- Subcategory 10.D: Housekeeping and Supporting Records
- Subcategory 10 E: Personnel Records

Subcategory 10.A: National Park Service Direction and Policy Permanent Records for NARA and NPS

Description

Subjects range across the entire domain of NPS mandates and concerns. Records include internal and external correspondence; policy documents; Congressional correspondence and briefing statements; annual and situational reports; reports and other records relating to conferences and meetings; memoranda of understanding and cooperative agreements; reports of inspections at various levels by the agency or Congress; agency instructions, orders and directives; mission and functional statements; organizational charts and lists; management plans and statements of goals; records of dedications, anniversaries and other observances; and speeches by NPS officials.

This item also includes policy correspondence on financial matters such as audits and fiscal examinations; fees and donations; travel and transportation; volunteer employment; construction and procurement. Topics may include transition of closed military bases to NPS properties; conversion of abandoned rail corridors to trails; conferences involving various stakeholders and interest groups in discussion of environmental stewardship, tourism, and the public lands; NPS interaction with non-Federal advisory bodies regarding land preservation and rehabilitation issues; the impact of such factors as budget shortfalls, increasing public expectations, and deteriorating facilities on the future of National Parks; public reaction and other impacts of park closures during federal budget stalemates; actions of public interest groups and "friends" of parks and other sites; site dedications and special events, some of which are attended by high Federal office holders; military use of NPS sites for training exercises; use of park facilities as alternatives to jail incarceration; fund-raising events; and issues regarding living quarters for staff required to reside on NPS sites.

Instructions

These records are permanent. ***DO NOT DESTROY***
- Record copy to be retained by the originating office.

- It is **MANDATORY** a **COPY** of the record be sent to National Archives and Records Administration (NARA). For guidance, consult Park/Office archivist, historian, curator, records officer.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> These are records that are permanent for both the National Archives and NPS, and copies are to be transferred when three years old for electronic records (with ongoing databases transferred every three years) or special media (non-textual materials). Copies of textual records are to be transferred 15 years after closure. Records are closed at the completion of a project or an event (such as the completion of a study), or at the close of the fiscal year if that is more appropriate. Some records are permanent for both the National Archives and for NPS; when this occurs, copies should be made at time of transfer, so that each agency will have a set.

File Plan Recommendation

Now that you have determined that your records fit into this category, it is time to add these records to your park/division/program file plan. (Your park can have one file plan for all divisions or each division can have their own, but file plans must be coordinated and approved to support access and preservation for ongoing resource management work.) While the records schedule covers all NPS records regardless of where they were created or received, the file plan covers only those records created or received by a (your) specific site or office.

Records should be organized to best meet your own office's business needs: records reflect how your program work is accomplished and how your division uses the records. For example, management records might be arranged by subject, site, or whatever is appropriate for your office's needs.

There is no one file plan that will work for all records at all sites. The records in your office reflect stewardship of the resources in your park and the responsibilities of your center/regional office. Nonetheless, certain kinds of information must be included for your file plan to be the most useful for the needs of you and your co-workers.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Committees	Departmental	10A	Permanent. Transfer copy to NARA.	

Reports, Annual	Superintendents and Regional Directors	10A	Permanent. Transfer copy to NARA.	
Conferences and Meetings	Regional Directors	10A	Permanent. Transfer copy to NARA.	
Conferences and Meetings	Interagency	10A	Permanent. Transfer copy to NARA.	
Organization	List and Directories	10A	Permanent. Transfer copy to NARA.	
Organization	Organizational Charts/Roles & Function Statements	10A	Permanent. Transfer copy to NARA.	
Budget Execution		10A	Permanent. Transfer copy to NARA.	
Policy Correspondence	Travel and Transportation	10A	Permanent. Transfer copy to NARA.	
Policy Correspondence	Donations	10A	Permanent. Transfer copy to NARA.	
Policy Correspondence	Rate Schedules, Utilities	10A	Permanent. Transfer copy to NARA.	

Subcategory 10.B: Routine Policy Decisions, Planning, Legal Issues, and Operations Records
Temporary Records – 15 years

Description

This item covers commendations regarding NPS, service personnel and concessions that provide a basis for administrative actions. It also covers complaints about NPS, service personnel and concessions that provide a basis for investigations and administrative actions that do not rise to the level of a letter of reprimand. Also included in this item is policy correspondence regarding administrative matters including printing and binding, records management, budgeting and audits. This entry also covers records relating to labor-management relations, and to legal decisions of the Departmental Solicitor, Attorney General, Comptroller General and Chief Counsel.

Instructions

Destroy/Delete records 15 years after file closure.
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal

year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 15 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention*	Office Managing Program or Project
Complaints	Concessions	10B	Destroy/Delete when 15 years old	
Commendations	Service and Personnel	10B	Destroy/Delete when 15 years old	
Budget Formulation		10B	Destroy/Delete when 15 years old	
Appropriation Allotment Files	Construction	10B	Destroy/Delete when 15 years old	
Appropriation Allotment Files	Supplemental	10B	Destroy/Delete when 15 years old	
Audits	General Accounting Office & other Government Agencies	10B	Destroy/Delete when 15 years old	
Labor-Management Relations	Agreements	10B	Destroy/Delete when 15 years old	
Decisions	Solicitor	10B	Destroy/Delete when 15 years old	
Decisions	Chief Counsel	10B	Destroy/Delete when 15 years old	

Subcategory 10.C: Routine Fiscal, Contracting, and Purchasing Temporary Records – 7 years

Description

This item comprises routine administrative records relating to conventions, tours, group visits, public gatherings; religious services; expositions. Topics addressed include policies and procedures regarding display of the flag; professional services (architectural and engineering); administration of contracts; periodic and situational fiscal reports; appropriations and allotment advices, budgetary apportionment, and records relating to cashiers, collection officers and imprest funds.

Copies of contracts and DI-1s dealing with natural and cultural resources should be filed in Category 1: Resource (Cultural/Natural) Management and Lands, depending on the nature of the contract.

Instructions

Destroy/Delete records 7 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 7 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Safety Committees	Meetings	10C	Destroy/Delete when 7 years old	
Contracts	Professional Services (Architecture & Engineering)	10C	Destroy/Delete when 7 years old	
Fiscal Reports	Quarterly	10C	Destroy/Delete when 7 years old	
Accountable Officer's Files	Claims and Payments	10C	Destroy/Delete when 7 years old	
	Travel Authorizations & Vouchers	10C	Destroy/Delete when 7 years old	
Payrolls	Retirement Deduction Designations	10C	Destroy/Delete when 7 years old	
Appointment Requirements and Procedures		10C	Destroy/Delete when 7 years old	
Affirmative Action Plan		10C	Destroy/Delete when 7 years old	
Bills of Lading/Invoices		10C	Destroy/Delete when 7 years old	
Purchase Orders		10C	Destroy/Delete when 7 years old	
Credit Card Records		10C	Destroy/Delete when 7 years old	

Subcategory 10.D: Housekeeping and Supporting Records
Temporary Records – 3 years

Description

All other routine, housekeeping, and supporting documentation not addressed elsewhere in this category.

Instructions

Destroy/Delete records 3 years after closure
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

> Retention is based on the date of closure or cut off of records, such as the date a project is completed, a technical report is submitted, the end of the fiscal year, the granting of a permit, the close of a contract. Records in this subcategory are to be destroyed or deleted 3 years after that closing or cutoff date.

Sample File Plan. Create your own and adjust to accurately reflect your office operations.

Category	Subcategory	Retention Authority	Required Retention	Office Managing Program or Project
Property Reports	Monthly	10D	Destroy/Delete when 3 years old	
Leave	Annual, sick, court, etc.	10D	Destroy/Delete when 3 years old	
Recruitment and Certification		10D	Destroy/Delete when 3 years old	
Maintenance Records		10D	Destroy/Delete when 3 years old	
Procurement	Bidders List	10D	Destroy/Delete when 3 years old	Contracting officer
Personal Property	Automated Equipment Inventory	10D	Destroy/Delete when 3 years old	

Motor Vehicle Operations	Logs, Receipts, and related documentation	10D	Destroy/Delete when 3 years old	
Wage Survey Files		10D	Destroy/Delete when 3 years old	
Property Reports		10D	Destroy/Delete when 3 years old	

Subcategory 10.E.1: Personnel Records
Temporary Records

Description: Official Personnel Folders.

Instructions:
- Cut Off records when employee separates from Federal Service.   Transfer folder to National Personnel Records Center (NPRC), 30 days after latest separation. NPRC will destroy 65 years after separation from Federal Service. (GRS1/1)
- Record copy to be retained by the originating office.
- Additional copies may be required by other NPS offices. For guidance, consult Park/Office archivist, historian, curator, records officer.

Related Records:
- Official personnel folders
- Service record cards

Subcategory 10.E.2: Personnel Records
Temporary Records

Description: Employee Medical Records.

Instructions:
- Cut Off records when employee separates from Federal Service.   Transfer folder to National Personnel Records Center (NPRC), 30 days after latest separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of earliest document in folder, if birth date cannot be ascertained; or 30 years after latest separation, whichever is later. (GRS1/21)
- Record copy to be retained by the originating office.
- Access is restricted for those records containing Privacy Act restricted information.

Related Records:
- Employee medical folder
- Individual employee health files

Implementing and Sustaining Director's Order #11D

The Records and Electronic Information Management (REIM) Guide: *Preserving the NPS Legacy*

Module 4:
Establishing a Local REIM Program

Contents of this Module Introduction

Introduction

This Module provide guidance to senior officials on how to implementing a local REIM program at the Park or divisional level.

Currently this Module is under development and will change considerably over time.

The available document is an actual implementation guides prepared for several major Parks and a WASO Directorate. There is an initiative underway to create similar guides for small, medium, and large Parks, as well as the Regional Offices.

In the meantime, Parks of all sizes are being creative in how they share resources to face REIM challenges. For example, some Administrative Officers at small Parks are banning together to create "inter-Park" REIM Councils, based on the provided guide examples. Some Parks are using the provided guide examples as a starting point for writing their own "implementation guides." Please use these examples anyway you think they can assist your organization. The possibilities are limitless.

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Section 1: Establishing a REIM Program

The NPS has a strong business need for excellent records management, in that the Service's mission is to care for natural, cultural and information resources so that they are left "unimpaired" for future generations. This requirement for managing resources in perpetuity sets a high standard for record keeping, as no resources can be managed well in the future without complete records of how they were managed in the past. Because the NPS manages some of America's most significant cultural and natural resources, the public also has a significant interest in our records. Section 1.9.2 of NPS *Management Policies 2006* states that the future of the Service depends on the availability, management, dissemination, and preservation of information, and directs the agency to implement professional quality programs to manage information resources. (Section 1.3, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 1.3 of Director's Order # 11D, the Superintendent should establish a REIM Program, via an official Charter, staffed by the REIM Council. This organization, as outlined in the Program Charter, should include a "president" or executive officer who is primarily responsible for (1) approving all Council decisions and (2) may if necessary exercise absolute veto over all decisions to facilitate REIM requirements.

2) The REIM Council, as outlined in the Program Charter, should be designated as the coordinating organization for all Park REIM. Non-executive members, as outlined in the Charter, should be (1) a coordinator, (2) the Park Archivist, (3) the Information Technology Officer and (4) one current employee from each Division (e.g. Maintenance). These Divisional members should be solicited via voluntary basis by each Division chief. Once selected, each member shall coordinate the REIM responsibilities necessary for their respective organizations.

3) The Superintendent should expect the REIM Council to develop an incremental DO11D Implementation Plan in consultation with the Park Management Team, the Park Archivist, the Park Information Technology Officer, and if necessary the National Records Officer.

4) The Superintendent should expect the National Records Officer, upon request, to be either a permanent contributing member of the REIM Council or an "as needed" consultant.

5) The REIM Council coordinator, consistent with the chartered National REIM Council, shall be a member of the Parks Committee with the following responsibilities:
   a) Advise the National Records Officer when necessary on Park REIM issues and concerns

   b) Review and approve REIM directive and guidance created by the National Records Officer.

Section 2: Identifying and Protecting Resource Management Records

Resource management records are those records and data sets that are most necessary for fulfillment of the NPS mission. Resource management records are NPS mission critical records, required for the management of cultural and natural resources, which will eventually become archival records. They will receive the highest priority for information preservation management activities and resources. Resource management records deserve archival care as soon as practical in the life of the record. (Section 5.1, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with the Servicewide Records Schedule, all resource management records, regardless of Division, should be filed according to Category 1, Items A.1, A.2, B, C, and D.

2) Consistent with Section 5.1 of Director's Order # 11D, the Superintendent should expect the REIM Council to identify, protect, and transfer resource management records to the Park archivist as soon as possible or when necessary and appropriate. Resource management records may also be, upon request by the Park archivist, transferred to the nearest National Archives' Federal Records Center via the SF135 process.

3) The Superintendent should expect the Park Archivist, the REIM Council coordinator, and the National Records Officer to supplement the REIM Council through the creation of discretionary Records Disposition Team(s). These teams, whose members should be senior NPS REIM subject matter experts, will assist in protecting, identifying and accessioning appropriate information into the Park Archives or assisting in the transfer of this information to the nearest National Archives' Federal Records Center for long term storage. Membership invitations to these discretionary Records Disposition Team(s) may be drafted by the REIM Council, but solicited by the Superintendent via the appropriate supervisors, Park, Regional, or WASO officials.

Section 3: Designate A TIC Liaison

The Denver Service Center's Technical Information Center (TIC) is the central repository for all planning, design, and construction products. TIC's scope of collection also includes drawings, maps, plans, and related technical reports produced during educational, visitor use, and natural and cultural resource studies that result in draft review or final reports as referenced in Director's Order #6: Interpretation and Education, Director's Order #17: National Park Service Tourism, Director's Order #28: Cultural Resource Management, Director's Order #77: Natural Resource Protection, or Director's Order #78: Social Science, and associated reference materials.

Offices, parks and centers will provide TIC with records fitting within the scope of collection. Original paper records submitted to TIC for processing remain the property of the originating NPS unit. TIC can provide electronic copies of NPS information products as requested to

facilitate the maintenance of original materials in NPS units. (Section 4.8, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 4.8 of Director's Order # 11D, the Superintendent should expect the REIM Council to coordinate the transfer of all planning, design, and construction products to The Denver Service Center's Technical Information Center (TIC).

2) The REIM Council, in coordination with each Division, should identify and manage the transferal of drawings, maps, plans, and related technical reports produced during educational, visitor use, and natural and cultural resource studies that result in draft review or final reports as referenced in Director's Order #6: Interpretation and Education, Director's Order #17: National Park Service Tourism, Director's Order #28: Cultural Resource Management, Director's Order #77: Natural Resource Protection, or Director's Order #78: Social Science, and associated reference materials to the Denver Service Center's Technical Information Center (TIC).

3) Consistent with Section 4.10 of Director's Order # 11D, the Superintendent should expect the REIM Council to complete and file all necessary chain of custody forms, if the original paper records submitted to TIC will not remain the property of the originating CR Program Office.

Section 4: REIM Training

An increasing number of documents are being produced entirely in electronic format. Every NPS employee will: (A) be familiar with basic records management responsibilities, including the difference between personal and Government records; (B) follow the basic records management processes of their office, ensuring the integrity of the records; and (C) complete regularly scheduled records management training at least annually.

Recommendation(s);

1) Consistent with Section 3.7 of Director's Order # 11D, the Superintendent should expect the REIM Council members, in coordination with possibly the National Records Officer, to hold annual REIM training sessions to familiarize employees with basic records management responsibilities and the SRS-based Park Standard Recordkeeping System.

2) The Superintendent should expect the REIM Council members, or at least the Council coordinator, to attend basic federal government records management training at regional United States National Archives facilities.

3) The Superintendent should expect the National Records Officer, upon request, to host advanced NPS REIM training at the WASO National REIM Program for all REIM Council members, or at least the Council coordinator.

4) The Superintendent should expect the National Records Officer, upon request, to host advanced NPS REIM training at the Park for either the REIM Council members or all employees.

5) The Superintendent should expect the National Records Officer to answer, in a timely manner, all REIM questions, comments, and concerns from all Park employees.

6) The Superintendent should expect the REIM Council to brief the Park Management Team, as soon as possible, on the 21st Recordkeeping System, the planned pilot project, and the expectations of each Division chief (soliciting volunteers for membership to the REIM Council).

7) The Superintendent should expect the REIM Council to brief the Park Management Team, as frequently as necessary, on the pilot project's progress and developments, as well as the incremental DO11D Implementation Plan.

Section 5: Establishing REIM Procedures for Department Employees

Every office, park and center must have a briefing or check out procedure for departing employees to ensure agency records retention by the Service. Personal papers and/or copies of records may not be removed from Government control by such employees unless approved by records management program staff or other designated officials. (Section 4.5, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 4.5 of Director's Order # 11D, the Superintendent should expect the REIM Council to establish a records briefing or check out procedures for departing employees.

2) The REIM Council, or the appropriate Workforce Management representative, should complete a records briefing or check out procedures for departing employees.

3) The REIM Council should retain copies of all records briefings or check out procedures for departing employees according to Item 9, Sub Item B of the Servicewide Records Schedule.

Section 6: Establishing a Standard Recordkeeping System

An increasing number of documents are being produced entirely in electronic format. Many of these documents will be records needed to demonstrate the activities of the Service. Heretofore, the NPS and many other Federal agencies have adhered to a "print to file" rule, where such electronic records are transferred to paper, and the paper is then filed away. That model is

increasingly unsustainable, and the National Archives and Records Administration (NARA) has informed Congress that the Federal Government *must* move toward electronic management of electronic records. Indeed, legislation has been introduced in both the 111th and 112th Congresses to require Federal agencies to do so.

To meet this challenge, the NPS has worked proactively with NARA to create a new Servicewide Records Schedule (SRS) which gives all units the ability to retain records in electronic formats (e.g., SharePoint, network drives, etc.), while permitting migration to traditional media (e.g., paper, microfilm, etc.) when such migration is possible and deemed necessary. This Director's Order gives effect to that new system. This electronic recordkeeping system is also predicated on a valid and secure digital signature process in order to maintain a standard level of legal validity for those electronic records requiring authentication. This Director's Order establishes requirements to ensure such a process. (Sections 1.4 and 4.2, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) The Superintendent should expect the REIM Council, possibly in consultation with the National Records Officer, to conduct an applied test of the SRS-based Park Standard Recordkeeping System, via a pilot project.

2) Upon successful completion of this applied test, consistent with Sections 1.4 and 4.2 of Director's Order # 11D, the Superintendent should mandate each Division to file records and electronic information according to the SRS.

3) The Superintendent should mandate each Division to save records according to the SRS-based Park Standard Recordkeeping System.

4) The REIM Council, possibly in consultation with the National Records Officer, should be responsible for implementation and long term maintenance of the SRS Recordkeeping System via training on, and distribution of, the REIM Guide.

Section 7: Instituting File Plans

Each office, park, and center will provide, annually, a records file plan and a summary of all facilities used to store their records to the NRO, in the format prescribed by him/her. Summary information will be posted on the Intranet for all resource management records, and all records of any type that are owned or managed by the NPS, but are stored outside of NPS facilities. (Section 9.2, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 9.2 of Director's Order # 11D, the Superintendent should expect the REIM Council to create and manage a file plan annually for his/her immediate office. NOTE: File plans are created as records are created and not necessarily instituted immediately.

2) The REIM Council should ensure creation and maintenance of Division file plans whenever necessary. NOTE: File plans are created as records are created and not necessarily instituted immediately.

3) The REIM Council should transfer all appropriate file plans to the National Records Officer annually after full implementation of DO11D.

Section 8: Mandating the National Archives' Federal Records Centers

Offices, parks and centers may obtain records and electronic information management, reproduction and storage services from other Government agencies (including the National Archives), or from private vendors, as long as those services meet all minimum National Archives standards and requirements. (Section 4.4, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 4.4 of Director's Order # 11D, if space demands, the Superintendent should mandate all non-working files (less than 15 years old) and appropriate working files be stored at the closest National Archives' Federal Records Center for the following reasons;

   a) All National Archives standards and requirements for storing records are met.

   b) The cost of this offsite storage is paid for by the Office of Information Resources.

   c) If the annual budget for this offsite storage option is inadequate the National Archives will restrict access to the NPS but must maintain storage and future accessibility via the Federal Records Acts. NOTE: If a private vendor is secured for offsite records storage payment for this service must be met by the interested CR Program Office. If the annual budget for this third party offsite storage is inadequate the third party vendor is not obligated to maintain storage and future accessibility of records.

2) The REIM Council, in consultation with the National Records Officer, should facilitate the retirement of all non-working files (less than 15 years old) and appropriate working files to the nearest National Archives' Federal Records Center.

3) The REIM Council, in consultation with the National Records Officer, should be responsible for maintaining records of all transfers for all Divisions.

4) The REIM Council, in consultation with the National Records Officer, should be responsible for training each Division on how to prepare records for retirement to the nearest National Archives' Federal Records Center.

5) The REIM Council, in consultation with the National Records Officer, should be responsible for coordinating the physical transfer of all records the closest National Archives' Federal Records Center.

6) The REIM Council members, in consultation with the National Records Officer, should designate ARCIS users for all Divisions and shall designate, if appropriate, one ARCIS user for each Division to coordinate reference requests and records retrievals from the nearest National Archives' Federal Records Center.

Section 9: Managing Electronic Recordkeeping Systems

Electronic records will be managed primarily by a recordkeeping system under the following circumstances: (1) when the records in the system are, or can be made, software and hardware independent and meet current NARA format standards for electronic records; (2) born digital records (i.e., those that are inherently electronic) where there is little practical choice (e.g., geo-spatial data and web pages); and (3) if the records are temporary, with a retention period of more than 3 years, then records management functions must be incorporated into system functionality (including migration to future versions of the system). These records have a retention period less than the projected life-cycle of the system and must be expunged from the system in accordance with the NPS retention schedule. (Section 6.1, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 6.1 of Director's Order # 11D, the Superintendent should expect the REIM Council to certify that records in an electronic recordkeeping system are, or can be made software and hardware independent and meet current National Archives' format standards for electronic records.

2) The REIM Council should certify that REIM functions are incorporated into system functionalities (including migration to future versions of the system).
3) The REIM Council should periodically delete all eligible records and electronic information according to the Servicewide Records Schedule from the Park share drive.

4) The REIM Council should be responsible for recording all deleted records onto a Records Disposition Report; the REIM Council should be responsible for retaining and filing the each Records Disposition Report according to Item 9, Sub Item B of the Servicewide Records Schedule.

Section 10: Protecting Against Technological Obsolescence

Records in electronic recordkeeping systems, including permanent special media (e.g., digital photographs) must be retrievable and usable for as long as needed to conduct Service business (i.e., for their NARA-approved retention period). Offices, parks and centers using electronic recordkeeping systems must design and implement migration strategies to counteract hardware and software dependencies of electronic records whenever the records must be maintained and used beyond the life of the information system, in which the records are originally created or captured.

All new electronic information management systems, and major revisions of existing systems, must address records management requirements in their system functional requirements and implementation, according to guidance provided by NARA, DOI and NPS. Permanent special records must be kept in accepted media formats (list available upon request) that meet standards set forth in NPS and DOI guidance, and NARA regulations. Electronic records requiring long-term retention may be transferred to traditional media (i.e., paper, photographic materials, microfilm, or other media which meet NARA-established archival storage requirements) when such transferral is possible and deemed necessary. (Sections 6.2 and 6.3, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Sections 6.2 and 6.3 of Director's Order # 11D, the Superintendent should expect the REIM Council to design and implement migration strategies to counteract hardware and software dependencies of electronic records whenever the records must be maintained and used beyond the life of the information system, in which the records are originally created or captured.

2) The REIM Council should address records management requirements in the functional requirements of all new electronic information management systems, and major revisions of existing systems.

3) The REIM Council should determine which electronic records requiring long-term retention require transference to traditional media (i.e. paper).

Section 11: Capturing Records/Electronic Information Generated Under a Contract

Records and data collected, created or generated by other organizations or by individuals working for the NPS under contracts, interagency agreements, cooperative agreements or other agreement instruments with the NPS, are considered NPS records unless the contract or agreement specifically states otherwise. All partnership agreements, contracts or other agreement instruments will clearly state this.

Copies or originals of all project documents and data generated under these agreements will be obtained and retained by the NPS office managing the project. Additionally, any data produced while working under an agreement on NPS lands that is not turned over to the NPS within the agreed upon time period could adversely affect that organization's access to any Federal lands for future permitted use. (Section 4.1, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 4.1 of Director's Order # 11D, the Superintendent should expect the REIM Council, in coordination with each Division, to obtain copies or originals of all project documents and data generated under organizations or by individuals working for the NPS under contracts, interagency agreements, cooperative agreements or other agreement instruments with the NPS.

2) The REIM Council, in coordination with each Division, should be responsible for filing these records according to the central filing system established in Section 2 of this report.

Section 12: Capturing Records Documenting Copyright

Contracts, interagency agreements, volunteer services agreements, cooperative agreements and similar agreement instruments will address copyright issues of any material produced under the agreement. Copyright is not necessarily vested with the NPS unless specifically obtained under the terms of the contract or other agreement. (Section 4.5, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 4.5 of Director's Order # 11D, the Superintendent should expect the REIM Council to identify and retain, in the Park standard recordkeeping system, any and all records related to copyright created under contracts, interagency agreements, volunteer services agreements, cooperative agreements and similar agreement instruments

Section 13: REIM Audits

Employees with records management responsibilities are required to conduct periodic reviews, audits or inspections of their office, park or center records. These audits will include recommendations for correcting or improving records management practices and procedures. Follow-up activities to the audit include reporting on and implementing such recommendations. (Section 17.1, Director's Order #11D: Records and Electronic Information Management (REIM))

Recommendation(s)

1) Consistent with Section 9.2 of Director's Order # 11D, the Superintendent should expect and authorize the REIM Council to, upon request, conduct periodic reviews, audits or inspections of each Division.

2) The REIM Council will include recommendations for correcting or improving records management practices and procedures.

3) The REIM Council should complete follow-up activities to the audit which include reporting on and implementing such recommendations.

REIM Glossary

Administrative Records

Records related to budget, personnel, supply, and similar housekeeping or facilitative functions common to most agencies, in contrast to program and decision-making records.

The Administrative Record

The "paper trail" that documents an agency's decision-making process and the basis for the agency's decision. It includes all materials directly or indirectly considered by persons involved in the decision-making process, including opinions or information considered but rejected. These are the documents that a judge will review to determine whether the process and the resulting agency decision were proper, and that future managers will use to understand the evolution of the issue(s) and how decisions were reached and made. (DO-88)

Associated Records

Associated records are a subset of resource management records essential for the control and use of related museum objects. They include all documentation generated by the activity of collecting and analyzing artifacts, specimens, or other resources that are (or subsequently may be) designated as part of a park's museum collection. Examples include but are not limited to analytical study data; artifact or specimen inventories; computer documentation and data; conservation treatment records; daily journals; drawings; field notes; manuscripts; maps; photographic negatives, prints, and slides; and reports generated by archeological and scientific investigations. All associated records must be managed as part of the museum collection. (DO - 28)

Case Files

Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction case files. Examples include: historic restoration projects; land acquisition case files; scientific research investigations; environmental projects; general management plans. All records for each project or case should be maintained as a distinct set of records.

Category

Large functional grouping of series of records.   Categories are based on one or more NPS programs or functions.

Closure/Cut-off

Breaking, or ending, files at regular intervals, usually at the close of the fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are usually cut off at the end of the year in which the case

is closed.   A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. Ex.: time sheets for FY 2010, public comments on draft GMP 2010.

Database

Computer-based information that is typically atomized into fields, records, and tables. Databases may be designed to conform with data structure standards to facilitate the interchange of information or to conform to best practice. Information may be entered into a database in accordance with data content standards or data value standards to increase the consistency and quality.

Disposition

Actions taken with regard to non-current records, including transfer of permanent materials to museum archives and to the National Archives, and disposal of temporary materials when their retention period has been met.

File Plan

Plan designating location at which agency files are maintained, specific types of files to be maintained, and organizational elements having custodial responsibility. Also, document containing identifying number, title or description, and disposition authority of files held in an office.

Media Neutral

Applicable to all records regardless of media format, i.e. what is valuable in paper is equally valuable in electronic format. For example, a map on paper has the same value and retention as a GIS record.

Museum Object

A material thing possessing functional, aesthetic, cultural, symbolic, and/or scientific value, usually movable by nature or design. Museum objects include prehistoric and historic objects, artifacts, works of art, archival material, and natural history specimens that are part of a museum collection. Structural components may be designated museum objects when removed from their associated structures.

Non-Record

Agency information materials that do not meet the legal definition of records, such as extra copies of records kept for convenience, stocks of publications and processed documents, library materials intended solely for reference.

Project Files

See Case Files

Records

Federal Records Act: "Includes 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 date in them." OR

All recorded information, regardless of media or characteristics, made or received and maintained by an office or program of NPS.

Resource Management Records

Any record regardless of media that documents an NPS cultural, natural, or informational resource.

Retention

Length of time records are required to be kept after closure/cut-off, before transfer of permanent records to National Archives and to NPS museum archives, or of temporary records for disposal.

Schedule

Document listing all records created by an agency and providing mandatory instructions for what to do with records no longer needed for current Government business, with provision of authority for final disposition. The Servicewide Records Schedule (SRS) is the current schedule for NPS.

Series

File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use.

Stewardship

The cultural and natural resource protection ethic of employing the most effective concepts, techniques, equipment, and technology to prevent, avoid, or mitigate unacceptable impacts.

Special Media

Types of records different from textual/paper records and electronic records because of physical form or characteristics. Include audiovisual, microform, cartographic, architectural and engineering drawings, card records, posters.

Textual

Manuscript and typescript paper records, including original, photocopy, scanned copy, etc.

Working Files/Papers

Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents.

Appendix A: REIM SOP 1 Preview

Subject: **<u>DRAFT</u>** SOP: Information Resources Management and Protection for Senior
Officials.

Approved: _____   **Date:** _____
             Director, National Park Service

Purpose

The purpose of this standard operating procedure (SOP) is to establish criteria for managing the records
and electronic information of senior officials. The criteria of this SOP are based on and fulfill the
requirements of Director's Oder #11D. The elements of this SOP will define and identify:

- Information Resources,
- a record and electronic information,
- senior officials,
- the types of records created by senior officials,
- the record creating responsibilities of senior officials,
- the decisions senior officials are expected to make about records and electronic information
  management, and the
- benefits of effective records and electronic information management.

Information Resources

Information Resources is defined as the body of records and electronic information, either created in the
past or being created in the present that documents the preservation of natural and cultural resources and
values of the National Park Service.

Records and Electronic Information

Director's Order #11D establishes the policies all employees are expected to follow to guarantee the
integrity of Information Resources through effective records and electronic information management. A
record is identified as any recorded information, created or received, documenting activities of all federal
government employees. The agency-specific Servicewide Records Schedule, signed by the Archivist of
the United States, is the authority by which records are identified, organized, and retained.

Electronic information is identified as any record in a digital format, accessed via a machine, such as a
computer. Director's Order #11D modernizes traditional recordkeeping requirements to ensure
Information Resources, in digital formats, are identified, managed, and protected just as vigorously as
Information Resources in traditional formats, such as paper. The Associate Director of Information
Resources, as directed by the Deputy Director of Operations, has established the National Records and
Electronic Information Management ([REIM](#)) Program to develop the tools needed to implement and
sustain effective Information Resource protection.