

LEGISLATIVE AND LEGAL

Use this category for material dealing with legislation of interest to the Agency; cooperative agreements with other agencies, States, countries, or other parties; legal opinions, and determinations made pursuant to legislation; relations with the Congress and its committees, and congressional hearings and investigations relating to Agency activities (exclusive of hearings on Agency budget); development and preparation of regulations and dockets; and similar subjects of a legal nature.

1. LEGISLATIVE AND LEGAL

Material too broad to file in secondaries below.

Disposition: Temporary

Recordkeeping Copies: Destroy when 3 years old.

Disposition Authority: [NC1-310-77-2, item 159a]

2. POLICY

Policy and guidelines covering all subjects included under this primary subject. If needed, subdivide by type or subject or policy and cross-reference to appropriate subject category. **EXCEPT:** Published instructions or directives which are filed in binders according to established Agency custom.

Disposition: Temporary

Recordkeeping Copies: Retire to Federal Records Center (FRC) when 10 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 160a]

3. REPORTS AND STATISTICS

Reports covering all subjects included under this primary subject. Case file special or recurring reports as needed.

- a. Record copy of substantive reports, such as annual summaries and comprehensive nonrecurring reports. Case file special or one-time reports as needed.

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 10 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 161a]

- b. Agency copy of above reports

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 10 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 162a]

- c. All other reports

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 10 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 163a]

4. COMMITTEES, MEETINGS

See [General Administration / Boards and Committees](#)

5. COOPERATION

- a. General correspondence relating to cooperative interagency and interagency relations, including transactions with foreign countries.

Disposition: Temporary

Recordkeeping Copies: Destroy when 3 years old.

Disposition Authority: [NC1-310-77-2, item 167a]

- b. Cooperative Agreements

Memorandum of Understanding and Cooperative Agreements reflecting cooperation with other Federal agencies, foreign governments, and private companies. Case file as necessary.

Disposition: Temporary

Recordkeeping Copies: MICROFILM COPY: Destroy in Agency 5 years after declared obsolete. Destroy original paper copy after microfilm has been reviewed and found satisfactory.

Disposition Authority: [NC1-463-83-2, item 168a(1)]

c. Federal-State Relations

Cooperative Agreements, amendments, and Memorandums of Understanding relating to programs conducted in cooperation with the State governments.

EXCEPT: Survey evaluations, reviews, and other material relating to specific subjects or cases. See appropriate subject.

Disposition: Temporary

Recordkeeping Copies: MICROFILM COPY: Destroy in Agency 5 years after declared obsolete. Destroy original paper copy after microfilm has been reviewed and found satisfactory.

Disposition Authority: [NC1-463-83-2, item 169a(1)]

6. LAWS AND REGULATIONS

a. General material on laws and regulations.

Disposition: Temporary

Recordkeeping Copies: Destroy when 3 years old.

Disposition Authority: [NC1-310-77-2, item 172a]

b. Development of proposed laws and regulations, and revisions thereto, not relating to specific Agency programs. Includes copy of final enacted law or promulgated regulations, as applicable.

Disposition: PERMANENT

Recordkeeping Copies: Retire to FRC when 10 years old. Transfer to National Archives and Records Administration (NARA) when 15 years old.

Disposition Authority: [NC1-310-77-2, item 170a]

- c. Copies of laws and regulations relating to Agency programs.

[Note: File laws and regulations for specific programs under the appropriate primary subject]

Disposition: Temporary

Recordkeeping Copies: Destroy 2 years after superseded or obsolete.

Disposition Authority: [NC1-310-77-2, item 171a]

- d. Hearings

- (1) Case file of hearings and material related to quasi-judicial proceedings involving testimony and arguments which are concerned with proposed or existing legislation, executive orders, Agency regulations, rules, and the like.

Disposition: PERMANENT

Recordkeeping Copies: Retire to FRC when 10 years old. Offer to NARA when 15 years old.

Disposition Authority: [NC1-310-310-77-2, item 173a]

- (2) Case files of all other subjects.

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 10 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 173-1a]

- e. Dockets

- (1) General material on dockets for publication in the Federal Register. Includes clearances and supporting material.

Disposition: Temporary

Recordkeeping Copies: Destroy when 3 years old.

Disposition Authority: [NC1-310-77-2, item 174a]

- (2) Official docket folders, including copy of regulation published in Federal Register and other essential documentation.

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 6 years old. Destroy when 20 years old.

Disposition Authority: [NC1-310-77-2, item 175a]

f. Legal Opinions

Legal opinions and decisions on laws, regulations, and executive orders. If necessary, case file by source, such as Attorney General, General Counsel, and Comptroller General decisions.

Disposition: PERMANENT

Recordkeeping Copies: Retire to FRC when 10 years old. Transfer to NARA when 15 years old.

Disposition Authority: [NC1-310-77-2, item 176a]

g. Constraints

Includes material on external and internal constraints. Cross-reference to appropriate subject, if necessary.

Disposition: Temporary

Recordkeeping Copies: Retire to FRC when 10 years old. Destroy when 15 years old.

Disposition Authority: [NC1-310-77-2, item 177a]

7. CONGRESSIONAL CORRESPONDENCE

Material on, and correspondence with the Congress, both committees and individual members, involving statements of policy and explanation of policy decisions, administrative action, and special research and compilation. Subdivide, if necessary, by name of Committee or member of Congress. Includes replies to congressional requests for pamphlets. Indicate on the white copy the file code under which the yellow copy is filed.

Set up separate folders if needed by name of committee or member of Congress.

File white copy of correspondence with the Congress (individual members of the House or Senate), including committees here

File the yellow copy of the correspondence, with attached incoming congressional correspondence, by the subject involved.

Disposition: Temporary

Recordkeeping Copies: Destroy when 5 years old.

Disposition Authority: [NC1-310-77-2, item 178a]

8. PATENT APPLICATIONS

Material on patent applications, Form OGC-3(7-75) on invention reporting and ownership, combined declaration for patent application and power of attorney, description of device, correspondence, and examiners; action Form PTOL-326 (Rev. 9-89). Material should include the entire patent application.

Case file by patent number or inventor's name.

Disposition: Temporary

Recordkeeping Copies: Patent applications should be destroyed 3 years after notification is received from the Patent and Trademark Office or when the file is no longer needed, whichever is longer.

Disposition Authority: [NC1-310-77-2, item 3004a]

