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Subject: Final Disposition, Request CBP-2017-085419

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Section 552

(FOIA)

(b)(1) (b)(2) (b)(3) (b)(4) (b)(5) (b)(6)
 (b)(7)(A) (b)(7)(B) (b)(7)(C) (b)(7)(D) (b)(7)(E) (b)(7)(F)
 (b)(3) Statute 49 U.S.C. § 114(s)

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Records Control



CIS HB 2100-05A
January 2001

Office Of Finance

Logistics Division

Information Services Branch

**U.S. Customs Service
Records Handbook
FY 2001**

U.S. Customs Service Records Control Handbook

Customs and all other Federal agencies are required by 44 USC 3301 and 36 CFR 1220.14, to maintain and provide adequate and proper documentation of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decision, procedures, and essential transactions of the agency. In addition, Federal agencies are required to ensure that all information necessary to protect the legal and financial rights of the Government, and of persons directly affected by the agency's activities, is properly maintained.

Information is expensive to create and maintain, and it is captured in forms as well as reports. It is imperative that we manage and share our information more effectively.

The information explosion and advances in technology have changed the way we do business. Effective records control is an essential component of cost-efficient management of information in all media. This includes the proliferation of electronic (machine readable) information, which has resulted in electronic copies of records and nonrecord material existing simultaneously on stand alone workstations, local area networks, and computer system backup tapes.

The *Customs Records Control Handbook* provides guidance on how to manage and operate a records management and disposition program, and includes a National Archives and Records Administration (NARA) approved disposition schedule for records, and a revised *Uniform Filing Guide* for maintenance of Customs paper records.

This *Records Control Handbook* supersedes the *Interim Records Handbook* issued in August 1997.



April 19, 2001

Assistant Commissioner
Office of Finance

Date

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Introduction and Background

As modern business environments develop and use information technologies, new challenges arise in managing the information we generate. Although the full effects of information-intensive environments remain to be seen, today's rapid growth of information technology will alter the internal work process of agencies, change the nature of work place activities, and significantly influence the fundamental use of information as a strategic and valuable resource. At the same time, Customs remains a paper intensive agency.

All Customs employees have specific record processing responsibilities. This Handbook provides instructions on how to process, maintain, preserve and destroy these records in accordance with the Federal guidelines described below in Section B.

Management of information is an integral part of Customs mission environment and mission support structure. Clearly communicated and understood mission and business processes, consistent decision criteria, and well-defined information uses and services must drive planning and resource decisions. Customs is responsible for making measurable improvements in mission performance and service delivery through the strategic application of information technology and the management of its information. Only a coordinated approach to activities of common concern will build on the emerging technology and provide additional benefits across Customs. This Handbook uses such an approach to integrate records, forms and interagency report management.

**RECORDS
MANAGEMENT IS AN
INTEGRAL PART OF
CUSTOMS' MISSION.**

A. Scope and Applicability of Handbook.

This Handbook covers the records and information management program policies, objectives and responsibilities. It includes guidance on the life cycle (creation, use and disposition) of specific categories of Federal records; special issues of electronic records, including electronic mail; maintaining a forms management program; the process for obtaining approval of interagency reports; records requirements for departing employees and political appointees; and records and information management training. This Handbook applies to all Customs employees as well as contractors doing business for the U.S. Customs Service.

**THIS HANDBOOK
APPLIES TO ALL
CUSTOMS
EMPLOYEES.**

B. Legislative and Regulatory References.

The following descriptions summarize the legislative and regulatory references that apply to record management.

**RECORDS
PROGRAM
AUTHORITIES**

The Federal Records Act (as codified at 44 U.S.C. Chapters 29, 31 and 33) requires agencies to make and preserve records containing adequate and proper documentation of their organization, functions, policies, decisions, procedures, and essential transactions requires Customs and designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by Customs activities. It requires agencies to establish and maintain a program for the efficient management of records. Records management programs provide schedules for the disposal of records with approval of the Archivist of the United States.

The Paperwork Reduction Act of 1995 (PRA) (44 U.S.C. 3506(f)), with respect to records management, requires Customs to implement and enforce applicable policies, including requirements for archiving information maintained in electronic format, particularly in the planning, design, and operation of information systems.

Title 18 U.S.C. 2071 establishes criminal penalties for the unlawful removal or destruction of Federal records.

Title 18 U.S.C. 793, 794 and 798 forbid unlawful disclosure of certain information pertaining to national security.

Office of Management and Budget (OMB) Circular A-130 implements the PRA and provides guidance for the integration of record management with other information resources management (IRM) disciplines. It reaffirms that records include information in any form and that agency heads must ensure records management programs provide adequate and proper documentation of Customs activities; ensure the ability to access records regardless of form or medium; establish and obtain approval for retention schedules for Federal records from the Archivist; and provide training and guidance for Customs officials, employees, and contractors regarding their records management responsibilities.

Executive Order (EO) 12958, “Classified National Security Information” prescribes a uniform system for classifying, safeguarding, and declassifying national security information. It promotes proper and effective classification, protection and downgrading of official information in the interest of national security. It also promotes the declassification of information no longer requiring such protection.

The Freedom of Information Act (FOIA), 5 U.S.C. 552, provides that any person has a right to access Federal agency records, unless the records requested are protected from disclosure by one of nine exempt categories of information contained in the Act. The Electronic FOIA Amendments of 1996 (Pub. L. No. 104-231) emphasizes electronic access to records and requires agencies to provide copies of records in electronic form if they are readily reproducible in that form.

The Privacy Act of 1974, 5 U.S.C. 552a, 5 U.S.C. 552a, attempts to balance the Government’s need to maintain information about individuals with the rights of

individuals to be protected against unwarranted invasions of their privacy stemming from an agency's collection, use, maintenance, and disclosure of personal information.

The Government Paperwork Elimination (GPEA), 44 U.S.C. Chapter 17, as amended by Public Law 105-27, mandates that, when possible, Federal agencies should use electronic forms, electronic filing, and electronic signatures to conduct official business with the public by 2003.

C. Responsibilities.

All Customs employees are responsible for the, processing and storage of records. Customs managers, supervisors and records officers have the following specific responsibilities:

The Assistant Commissioner, Office of Finance, has primary responsibility for the Customs records management program and shall develop and issue Customs policies, standards, and procedures to carry out the program objectives.

The Assistant Commissioner, Office of Information and Technology is responsible for providing effective information technology (IT) and information resources management (IRM) practices, policies, and procedures to achieve the requirements of the Clinger-Cohen Act and other statutory mandates. The statutory requirements for which this office is responsible include the Federal Records Act and the Paperwork Reduction Act.

All Managers and supervisors, as it relates to their respective offices and sub-offices have a responsibility to:

- Know their records responsibilities.
- Implement a disposition program.
- Develop internal implementing procedures.
- Remind employees.
- Review nonrecord material.
- Review records periodically.
- Ensure the implementation, and maintenance of a record disposition program.
- Remind all employees annually of Customs recordkeeping policies and sanctions provided for the unlawful removal or destruction of Federal records.
- Ensure that any nonrecord material being removed by an employee is reviewed by a Customs reviewing official (or a designee).

**MANAGERS SHOULD
INCLUDE RECORDS
CONTROL IN THEIR
PROGRAMS.**

Customs Service Records Management Officers are responsible for the coordination of agency-wide records management program. These officers:

- Conduct periodic reviews of records management programs to determine compliance with Federal records regulations.
- Serve as liaisons with NARA and GSA on records management policies matters. Provide leadership and guidance to field record management officers to ensure reasonable uniformity in record management activities throughout

Customs by developing policies, standards, and procedures for record management.

- Conduct periodic reviews of Customs programs to ensure conformance with government-wide and Customs records management standards.
- Develop procedures to ensure that employees do not remove Federal records from Customs custody without appropriate authorization.
- Ensure that adequate recordkeeping requirements are established and implemented for new or revised programs, processes, systems, and procedures.
- Establish procedures to ensure that officials and employees do not remove Records from the custody of Customs without written appropriate authorization.
- Develop and maintain current schedules for all Customs records.
- Review schedules periodically.
- Report to the Assistant Commissioner, Office of Finance, and the program status.

Program Officials are Customs managers who are assigned the primary responsibility for creating, maintaining, using, protecting, and disposing of records in their program areas. These records management program officials:

- Create records systems needed to ensure adequate and proper documentation of their area of responsibility;
- Implement procedures to ensure that records are protected from loss, theft, and unauthorized access;
- Establish filing systems and implement procedures to ensure that records are maintained in a manner that information and documents are readily retrievable;
- Cooperate with Customs and Office records management officers in requests for information and the management of records; and
- Notify Customs records management officers of organization or program changes that result in the establishment of new types of records, the transfer or termination of records no longer required, or an increase or decrease in the retention time of the records.

Customs employees are responsible for creating, maintaining, using, protecting, and disposing of records within their program areas as described in this Handbook.

Records Management Program

A. Records Management Concepts.

The Federal Records Act (as codified at 44 U.S.C. Chapters 29, 31 and 33) requires Customs and Customs employees to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions. Designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities. It requires agencies to establish and maintain a program for the efficient management of records. Records management programs must, among other provisions, provide for schedules proposing the disposal of records for approval by the Archivist of the United States.

CUSTOMS EMPLOYEES ARE REQUIRED TO MAKE AND PRESERVE RECORDS CONTAINING ADEQUATE AND PROPER DOCUMENTATION.

In short, records are the memory of Customs and, as such, must be properly managed to ensure that valuable information is available to support both current operations and historical research. This goal is attainable only through continuous, systematic, and effective controls over the creation or receipt, maintenance, use, and disposition of records in accordance with an established records management program. The following are essential program objectives:

- Efficient management of the creation of records;
- Promotion of effective files maintenance practices;
- Preservation of records of continuing value and transfer of them to the National Archives at the appropriate time as indicated in the records control schedules;
- Removal of noncurrent records from office space, filing equipment and data storage areas to less expensive storage facilities; and
- Destruction of records of temporary value as soon as they have served the purpose for which they were created.

All Customs records are scheduled, regardless of form or media.

Record Management Control. Customs is required to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency (44 U.S.C. 3102). The program, at a minimum, will provide for:

- effective controls over records in the conduct of current business; and
- cooperation with the General Services Administration (GSA) and the Archivist of the United States in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value.

B. Definitions.

Understanding the following definitions is critical to understanding record management.

Records: all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the U.S. 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 the government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included. These latter items are referred to as nonrecord (44 U.S.C. 3301).

Temporary Records are records determined by NARA to be disposable, or nonpermanent. Most Federal records are temporary. NARA approves such records for destruction or occasionally for donation to an eligible person or organization. Many temporary records are eligible for destruction when no longer needed in an office to conduct current business. Others are eligible only later, after storage in an agency holding area or an FRC. Temporary records should normally be disposed of promptly in accordance with a NARA-approved record schedule.

Permanent Records are records sufficiently valuable for historical or other purposes to warrant continued preservation by the Federal Government. Relatively few Federal records are permanent. Customs needs to maintain record sets of processed documents and of publications, including annual and special reports, directives, forms, special studies, brochures, pamphlets, books, handbooks, posters, and maps. The National Archives stores permanent records of primarily national interest at its facilities in the Washington, DC, area and those of primarily regional and local interest at its regional archives located in major metropolitan areas throughout the country.

**CUSTOMS NEEDS TO
MAINTAIN A RECORD
SET OF SPECIFIC
DOCUMENTS AND
PUBLICATIONS AS
PERMANENT
RECORDS.**

Nonrecords are U.S. Government-owned documentary materials excluded from the legal definition of records (44 U.S.C. 3301), either by failing to meet the general conditions of record status already described or by falling under one of three specific categories: extra copies of documents preserved only for convenience of reference; stocks of publications and of processed documents; or library and museum material made or acquired and preserved solely for reference or exhibition purposes. Nonrecord materials should be destroyed when no longer needed for reference. NARA's approval is not required to destroy such materials.

Unidentified or Unscheduled records are those which do not have a disposition schedule approved by NARA. Customs Records Officers work with Process Owners to

obtain NARA approval for the records disposition and publishing the approved disposition instructions in Appendix B of this handbook. Any records that are unclassified may not be disposed of and must be treated as permanent records until their disposition has been determined.

Contractor records, prepared for or stored by a contractor of the U.S. Customs Service, are subject to the same record management requirements as though stored by Customs personnel. Process Owners need to include records management oversight of a contractor's records.

Vital (Emergency Operations Recovery) records are those Customs would use in an emergency. Customs is required to plan for the storage and maintenance of vital records to minimize the disruption of its operations due to a catastrophic event. These records are divided into two categories: (a) records that ensure the survivability of essential operations under a national emergency; and (b) records essential to the legal and financial rights of individual citizens, Customs and the Federal Government. These records include such groups as retirement records, finance and accounting records and valuable personnel research records.

C. Importance of Records Management

Records are the basic administrative tools the government uses to do its work. As every action, decision, and policy is documented, records are created. Without a good records management program Customs offices would be cluttered with records at great cost in space and filing equipment. The congestion would interfere with the efficient administration of programs.

A good records management program helps guard against unauthorized disposal of automated files that contain evidence of financial and legal commitments, which must be preserved to protect the government; or information needed to protect the civic, legal, and property rights of private citizens; or provide continuity of policies, actions, and organizational and procedural patterns for sound administration.

Records are the memory of every Federal agency and contain a wealth of data for scholarly and technical research in almost every field. The problems caused by premature disposal include the need for costly re-creation of automated files; the lack of audit trails to support management and accounting operations or financial statements; and the ability to detect fraud or other potential irregularities.

D. The Records Process

At the local level, the record process is simple, logical and easy to implement. After an initial labor-intensive period, it becomes routine, easy and much less work than not organizing your records. The records process can best be followed by following the steps noted below. These steps correspond to the Records Section of the Management Self-Inspection Checklist.

1. Management designates a Local Records Manager (LRM). When an LRM leaves, a new one is designated and the name of the LRM is forwarded by electronic mail to the records staff in Headquarters.

2. Management issues a letter of support for the records program.
3. The LRM and all other employees with record responsibilities are trained in record management. Training is available from the local FRC and Headquarters.
4. The LRM conduct records inventory annually, and develops file plans, which are a listing of all records by type should be kept by all file containers, should contain sufficient information to document the business of the office. These lists serve to ease record identification, retrieval and disposition.
5. All records are identified regardless of form (including electronic, photographic, audio visual, original posters and engineering or architectural drawings).
6. Eligible temporary records are destroyed in accordance with instructions. Temporary records are disposed of promptly when their retention periods expire, except when the records are the subject of a pending request, appeal, or lawsuit under the Privacy Act, pursuant to GRS 14. Non-records are disposed of when no longer needed for administrative or reference purposes.
7. Eligible permanent records are transferred to NARA.
8. If record storage is unavailable locally, they are stored at an FRC.
9. The Records Handbook is made available to all employees and contractors. In addition, this Handbook can be found on the InfoBase.
10. Records or their containers are labeled with their contents and dispositions. They can then be filed and located and retrieved when needed.
11. Permanent records must be stored separate from temporary records and non-records. Permanent records are identified and preserved, and should be transferred to the National Archives in a timely manner.
12. All correspondence should be organized by Uniform Filing Guide (UFG) codes.
13. The LRM must respond to FRC Notices of Destruction in a timely manner, not more than 2-weeks after receipt.

E. Safekeeping Records.

Customs offices should file their records in accordance with the Uniform Filing Guide, and their maintenance and safekeeping should be checked annually.

Managers proposing to keep records beyond their retention periods for the purposes of audit, court order, litigation, study, or any other administrative purpose must submit an explanation and justification for such action to the Headquarters Records Officer.

LRMs should annually review their records management program to ensure that proper records management standards are adhered to, especially that permanent records are properly maintained and retired to the FRCs on timely basis. A copy of this review shall be forwarded to the Customs Records Officer.

LRMs should also ensure that records stored off-site are maintained in accordance with approved disposition schedules and separated from personal and private papers.

**KEEPING A RECORD
BEYOND ITS DISPOSAL
DATE REQUIRES
AUTHORITY FROM
NARA**

F. Basic File Types for Records.

Customs creates and maintains four types of files: general files, case files, case working papers, and technical reference papers.

General or subject files consist of documents arranged by subject. Correspondence files may include letters, memoranda, reports, studies, and other miscellaneous materials. Most offices set up files of this type for records by subject.

Case files, including project and transaction files, make up the largest single group of records in most Customs offices. This file type contains material on a specific action, event, organization, product, or thing (for example, entries, ROI's, manifests or audits). The documents may cover one subject or many subjects about a case or project.

Case working papers consist of working papers and related short-lived correspondence gathered for a specific case or project. They may include background and support materials, such as work sheets, questionnaires, rough notes, and calculations. They may even include drafts used to prepare or analyze case file official documents. If there are lengthy working papers, file them separately from the case file. Where there are only a few documents, file them in the case file folder. Keep working papers separate from the basic case file documentation by fastening them to the opposite side of the file folder.

Reference materials or technical reference files usually consist of soft-cover publications which have a direct program relationship to the official mission of the office. Required for technical reference, they may include handbooks, brochures, pamphlets, periodicals, special reports or studies, and similar publications. Technical reference files often serve to supplement available library resource materials.

G. File Arrangements.

Once the office files collection is identified and segregated into major file types, the next step is to arrange the contents of each file type for easy location and retrieval of the record information. The four most common methods of filing records are alphabetic/subject, numeric, alphanumeric, and chronological. All other arrangements are simply variations or combinations of these four:

Alphabetic/Subject files are arranged by main subject as well as subdivisions in alphabetical order. Numbers are not used. This filing method has the advantage of being easily understood, and works well for a small number of files and users. The difficulty in maintaining alphabetical files is selecting the same subject each time.

Numeric files are records arranged and referred to by number such as contracts, grants, projects, purchase orders, and similar files.

Alphanumeric files are filed according to a letter code and number. Subjects are broken down into primary, secondary, and tertiary subjects. Examples of file codes are ADS, ADS 1, ADS 1-1, and ADS 2. The alpha element can, in this

**THE FOUR MOST
COMMON METHODS
OF FILING RECORDS
ARE ALPHABETIC/
SUBJECT, NUMERIC,
ALPHANUMERIC, OR
CHRONOLOGICAL.**

manner, indicate the function or part of the organization served by the file. The alphanumeric method permits adding or deleting the primary heading in an alphabetical sequence.

Chronologically arranged files are maintained chronological (time) order when the date is the primary means of reference. Reading files and suspense files are commonly arranged by date.

H. Removal of Records from Customs Custody.

Records and nonrecord materials are the property of the Federal government, not the property of individual employees, and may not be removed from Customs without proper authority. All officers and employees shall maintain records and nonrecord materials separately from one another.

No manager or employee shall allow Customs records or nonrecord materials to leave the custody of Customs, even on a temporary basis, other than as authorized by this Handbook. This restriction does not apply to the authorized release of records or other documents in the conduct of official business.

Records are the property of the Federal government

The responsibility to determine what documentary materials in Customs constitute records, as defined in 44 U.S.C. 3301, rests with the Secretary of the Treasury. In consultation with their Customs legal staff, Customs will work directly with NARA for an initial determination.

No departing officer or employee shall remove any materials, whether records or not, which contain national security information or information of a confidential nature. Questions about national security should be addressed to the Office of Internal Affairs. Questions about other kinds of confidential or protected information should be addressed to Customs legal staff. Conversely, nonrecord materials may be removed by departing officers if their removal is not prohibited.

Customs record management officers shall establish informational programs to ensure that all officers and employees are aware of their record management responsibilities. Periodic memoranda to all employees, briefings, posters, and brochures are suitable techniques for disseminating this information. The following information, at a minimum, should be disseminated:

The concealment, mutilation, obliteration, falsification, or unauthorized removal or destruction of Federal records is against the law. The individual shall be fined or imprisoned not more than three years, or both, and risk forfeiture of his or her position and disqualification from holding any other Federal office (18 U.S.C. 2071(b)).

Employees are required to report any apparent instances of unauthorized disposition to their supervisor and Customs records management officer; managers or supervisors will report to the Customs Records Officer and NARA any unlawful or accidental removal, defacing, alteration, or destruction of Customs records (44 U.S.C. 3106).

I. Donation of Temporary Records.

When the public interest will be served, managers desiring to donate records may propose the transfer of records eligible for disposal to an appropriate person, organization, institution, corporation, or government (including a foreign government) that has requested them. Records will not be transferred without prior written approval of NARA.

Customs shall request the approval of such a transfer by sending a letter to NARA (NWML), 8601 Adelphi Road, College Park, MD, 20740-6001, by following the instructions in Section 1228.60 of Title 36 of the CFR, "Donation of Temporary Records."

J. Retirement or Storage of Records to FRCs.

Acceptance for storage at the Federal Record Centers (FRCs) is referred to as retirement. Consult with your local Federal Record Center to determine specific requirements for boxes, labeling and preparing your records for storage at their facility. FRCs will accept for retirement any records, subject to the following conditions:

- The records are properly scheduled.
- Records are not authorized for immediate disposal, and the transportation costs are not in excess of the resulting savings.
- Facilities for storing and providing reference on the records are available.
- Offices prepare an original and three copies of the SF-135, retain one copy for filing purposes, and send the original and two copies to the FRC to arrive 2 weeks (10 workdays) before the desired date of the records shipment.
- Offices prepare detailed indexes for permanent records and those being retired under an exception letter.

Priority will be given to removal of records from space, from space convertible to office use, from leased space, and from filing equipment that can be reused. The physical retirement of records to a FRC should be accomplished as soon as possible, after Customs has received the annotated copy of the SF 135.

Upon receipt of the records at the center, the cartons will be matched against the copy of the SF 135 submitted with the shipment. A copy of the CF-135 is signed by the officials at the FRC and returned to Customs.

K. Transfer of Records to the National Archives.

Records scheduled, as permanent shall be transferred to the National Archives after the period specified on the SF 115. Transfers of records constituting systems of records subject to the Privacy Act of 1974 (5 U.S.C. 552a) shall be accompanied by the most recent Customs privacy notice covering the records. Records officially transferred to the legal custody of the legal National Archives will be available to Customs employees, if needed, in the course of official business. Officials requiring access to such records shall make their request known to their Customs Records Officer.

L. Destruction of Temporary Records.

Offices are required to follow the regulations issued by the Archivist of the United States governing the method of destroying records.

Paper records to be disposed of normally shall be sold as wastepaper. If the records are national security classified, their disposal is governed by E.O. 12958. If the records are restricted; that is, if laws, including the Privacy Act, or regulations forbid their use by the public, the wastepaper contractor shall be required to pulp, macerate, shred, or otherwise definitely destroy the information contained in the records, and their destruction must be witnessed by a Federal employee or, if authorized by Customs that created the records, by a contractor employee. The contract for sale shall prohibit the resale of all other records for use as records or documents. Records other than paper may be salvaged and sold in the same manner and under the same conditions as paper records.

When records cannot be sold advantageously or otherwise salvaged, the records may be destroyed by burning, pulping, shredding, macerating, or other suitable means.

M. Photographs and Audio Visual Records.

Audio Visual records are Federal records in picture or sound form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions. These materials are considered records in the same way as any letter, memorandum, or case file related to official business, and the basic principles and practices of managing paper records also apply to audio visual records.

Audio Visual records must also be managed to ensure adequate and proper documentation, and appropriate disposition. Establish standards for the physical security of audio visual records and review audio visual recordkeeping practices on a continuing basis to improve procedures.

1. Responsibilities.

The following offices and individuals are assigned responsibility for audio visual records and prescribe the types of records to be created and maintained so that audio visual operations and their products are properly documented:

The Assistant Commissioner, Office of Finance has overall responsibility for management and coordination of the Customs Audio Visual Program.

The Customs Records Officers review the audio visual plans and policies of public affairs activities in Customs. Customs Records Officers provide program guidelines, coordination, technical assistance and serve as a point of contact for audio visual records with OMB and the National Technical Information Service (NTIS).

Customs managers provide an appropriate program for the management of audio visual records, which shall be governed by the following guidelines:

- establish contract specifications which will protect the Government's legal title and control over contract produced audio visual records, such as audio visual media and related documentation; and
- keep inventories indicating the location of all generations of audio visual records, whether in Customs storage, a Federal records center, or in a commercial facility, such as a laboratory or library distribution center.

All Customs employees are responsible for creating, maintaining, using, protecting, and disposing of audio visual records in their program areas.

2. Disposition Audio Visual Records Including Photographs.

The Inventory and scheduling of audio visual records including photographs are especially important because of the fragility of the media. As with other types of records, most audio visual records are not permanent. Audio Visual records should not be evaluated in isolation from other records. The following rules should be used:

- Inventory and schedule photographs, films, and magnetic media at the same time as other Customs records.
- Schedule audio visual records as early as possible in their life cycle. This is important because appraisal decisions made as part of the scheduling process will affect the way in which these records are created and maintained. For example, if a photographic series has been identified as permanent, all negatives in that series should be jacketed individually rather than collectively.
- The disposition of audio visual records will be carried out in the manner as prescribed for other types of records. Erasable media, such as audiotape, should be reused when ever practical.

3. Potentially Permanent Photographs and Audio Visual Records.

The following examples of audio visual records are normally of permanent value and shall be transferred to the National Archives as soon as they become inactive or Customs can not provide proper care and handling:

Official portraits of Customs Officials; photographs produced or collected for use in Customs publications, exhibitions, or other media productions; documentary photographs shot for fact-finding purposes, research and development, or other studies; photographs that depict the program or mission of Customs; and slides of filmstrip programs that depict the program or mission of Customs.

Original artwork of posters distributed Customswide or to the public, and original artwork of unusual or outstanding merit.

Customs sponsored informational, educational, and recruiting films or video or sound recordings intended for public distribution; television news releases or information reports; training programs that explain Customs functions or activities intended for internal or external distribution; and films acquired from outside sources that document

or are used to carry out Customs programs. Administrative training programs; recordings of public meetings or speeches, conferences, guest speakers, and testimony of Customs officials before Congress and at other hearings; and programs acquired from outside sources that document or are used to carry out Customs programs.

4. Management of Audio Visual Records.

Since audio visual records have complex and diverse physical attributes that pose some special handling, storage, and preservation problems, the following practices are recommended. Storage Conditions and Maintenance Operations. For specific requirements on storage conditions and maintenance operations of audio visual records, see NARA regulations 36 CFR Sections 1232.26 and 1232.28 respectively.

5. Cartographic, Architectural and Engineering Records.

Cartographic records are graphic representations drawn to scale of selected cultural and physical features of the earth, of other planetary bodies, and of the atmosphere.

Architectural and engineering drawings, also known as design and construction drawings, are graphic records that depict the proposed and the actual construction of stationary structures, such as buildings, and canals, and movable objects. Closely related records such as indexes and written specifications frequently accompany the drawings.

Maps and charts fall into four types. These are considered PERMANENT records:

- Manuscript maps: printed and processed maps on which manuscript changes, additions, or annotations, have been made for record purposes or which bear manuscript signatures to indicate official approval; and single printed or processed maps that have been attached to or inter-filed with other documents of a record character.
- Master sets of printed or processed maps issued by Customs. A master set should include one copy of each edition.
- Computer related and plotted maps that cannot be reproduced by NARA without the appropriate computer equipment
- Index maps, cards, index lists or other finding aids that may be helpful in using the maps transferred.

Architectural and Related Engineering: There are five general types of engineering drawings.

- Design drawings, preliminary and presentation drawings, and models which document the evolution of the design of a building or structure.
- Master sets of drawings, which document the condition of a building or structure in terms of its initial construction and subsequent alterations. This category includes final working drawings, “as-built” drawings, shop drawings, and repair and alteration drawings.

- Drawings of repetitive or standard details of one or more buildings or structures. “Measured” drawings of existing buildings and original or photocopies of drawings reviewed for approval.
- Related finding aids and specifications to be followed.

N. Micrographic Records

The use of micrographic systems to maintain a system of records requires direct NARA approval. Contact the Headquarters Records Team for instructions and standards.

Electronic Records Including E-Mail.

This section contains policy, standards, and guidelines for managing records and information in electronic form to comply with those established by NARA. It also includes information on scheduling copies of program and administrative records created on electronic mail (e-mail) systems, word processing systems, spreadsheets, and other automation applications.

This section also provides standards for the management of Federal records created or received on electronic mail (e-mail) systems in the Customs Service. Electronic source records of programs and Customs specific administrative records created using e-mail applications which are not covered by GRS should be copied to a recordkeeping system, scheduled by submitting an SF 115 for approval, and deleted from the systems.

A. Objective.

Unless otherwise noted, these requirements apply to all Customs electronic records systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in networked or stand-alone configurations. To ensure that information will be available when needed, and that unneeded information will be properly disposed of, Customs will ensure that their managers, employees, or contractors are aware of the issues surrounding their electronic recordkeeping responsibilities.

The objectives are to ensure the effective and efficient management of electronic records throughout their life cycle from creation and receipt to final disposition; to preserve records needed for fiscal, legal, administrative, or historical purposes; to destroy in a timely manner information no longer needed; to ensure cost effective use of automated data processing equipment, storage media, and other resources; and to ensure electronically stored records can be retrieved. Because of the nature of electronic records, especially their report generation capabilities, a portion of an electronic data base can be edited while leaving the whole intact. This has a significant impact on the potential schedule for retaining data. In such a case as described, both the data base and the edits need to be scheduled. Unless edit data is retained as part of an audit trail data base, it is not necessary to schedule the deletions separately. However, the changed data stored in audit trails must be scheduled.

The electronic mail section of this part does not require the preservation of every e-mail message. Its purpose is to ensure the preservation of those messages that contain information that is necessary for the adequate and proper documentation of Customs policies, programs, and activities. E-mail message creators and recipients must decide whether a particular message is appropriate for preservation. In making these decisions, all personnel should exercise the same judgment they use when determining whether to retain and file paper records. E-mail records, like all Customs records, are subject to disclosure under the Freedom of Information Act.

B. Responsibilities.

The following assigns responsibility for the creation and processing of electronic records.

The Assistant Commissioner, Office of Information and Technology (OIT) is responsible for ensuring that revisions and updates are made to the Data Retention Schedules, as appropriate, to reflect any change in operational policy that impacts the retention time frames outlined in the schedules, and/or other essential procedural and technical changes (including data retention guidelines required for new systems) relative to the overall management of data retention. Complying with the instructions and standards of NARA for disposition or transfer and retirement of electronic records to an FRC is the responsibility of OIT. It has the ultimate responsibility for determining the legal implications of storing data (including data for other government agencies) so that it is immediately available (on-line), available within certain time delays, archived and stored either on-site or off-site at a long-term storage facility, or no longer available (scheduled and disposed of). Costs relating to storage required for carrying out Customs mission-related operational activities would be assigned to other Customs organizations based on formulas derived by OIT.

The Software Development Division (SDD) or its successor organization is responsible for ensuring that data for all systems is properly managed and maintained and that they adhere to the time frames established in the Data Retention Schedules. SDD also ensures operational responsiveness to user needs in the retrieval of stored systems data. This includes developing and implementing archive programs in accordance with the approved Data Retention Schedules, and scheduling these archive programs for execution by the Systems Operations Division.

The Systems Operations Division (SOD) or its successor organization is responsible for the administration, management and of hardware and software required for the storage of historical data in the Automated Information Systems (AIS) data bases, to ensure the systemic responsiveness to user needs for the retrieval of all stored data.

The Director, Office of Internal Affairs, shall, in collaboration with the Office of Finance, establish and implement policies and procedures to guard against the unauthorized destruction, loss, removal, or theft of electronic records. The Office of Internal Affairs is responsible for the overall administration of the Automated Information Systems (AIS) security program, which includes measures to protect electronic recordkeeping systems.

Assistant Commissioners and Chief Counsel ensure that the policies outlined in this Section are executed for their respective operational areas.

Process Owners are responsible for developing proper retention and disposition classifications for the data bases used by Automated Information System (AIS) applications operating in support of their processes. In the case where a data base is used by multiple Process Owners, they must mutually collaborate in the effort of classifying the data base retention and disposition. Each process owner is responsible for conducting data retention and disposition evaluations of all data bases.

Customs Program Managers (system owners) shall oversee the creation and use of records in an information system. Program managers who currently operate an electronic system of records or plan to develop a new system of records are responsible for ensuring that the requirements of this section are implemented for their systems. They are responsible for managing those systems under their functional control and for maintaining those systems in accordance with electronic recordkeeping guidelines. Respective program managers will coordinate electronic record system activity with their Customs record management officer in order to ensure compliance with the Information System Life Cycle Manual:

- Identify the official source of the records being created;
- determine if the data constitutes Federal records;
- determine in what form the official record will be maintained for its life cycle;
- establish procedures for identifying, cataloging, and labeling records at creation;
- provide and verify system description for a information system inventory;
- apply the applicable records guidance in, Information System Life Cycle Manual,
- ensure that adequate system documentation is created and maintained.

Information creators and/or content providers, including contractors doing business with Customs, and automated system and word processor users are responsible for:

- ensuring that all machine-readable and electronic records are properly maintained and disposed of in accordance with the provisions of this section and NARA's GRS;
- notifying a Customs Records Officer when planning a new system or applications;
- determining who is responsible for creating and maintaining records;
- becoming familiar with the requirements of this section;
- identifying and describing the applications supported by automated systems by means of defining their purposes, their information contents, and the main stages through which the data flow;
- determining the length of time the information is needed to support organization operations and protect rights and interests;
- describing the indexing arrangement and, to the extent possible, the internal information structure and search possibilities; and implementing disposition instructions on an approved schedule.

C. Electronic Recordkeeping Concepts.

The management of electronic records is the same as that for paper records. Electronic records that meet the criteria established for Federal records must be maintained and disposed of in accordance with an approved disposition schedules. Electronic recordkeeping technology has greatly increased the methods of creating, editing, maintaining, transmitting, and retrieving Customs records. During the life cycle from creation to disposition, these records may extend beyond the traditional paper form to comprise a variety of media. An example of this trend would be an electronic recordkeeping system in which the original records are generated by a word processor or a personal computer and stored on a magnetic disk. Although paper copies are printed for distribution, the official record copies are retained on a mass storage device. After a specified period of time,

they are erased or transferred to a magnetic tape for eventual transmittal directly to NARA for permanent retention.

Storing electronic records at FRCs: Generally, electronic records are not forwarded to a FRC for retention or disposal because the FRCs might not have specialized equipment to ensure the retention of data on magnetic tape for permanent files. The key to determining the retention of any record, electronic or paper, is the value to its creator. When information exists in both machine-readable and hard-copy formats, including computer output microform (COM), various factors bear on deciding which medium should be retained for archival purposes. Among the factors are the relative costs of storage and preservation, the relative convenience of reference, and the facility with which most hard-copy documents may be regenerated from machine-readable files.

**DO NOT SEND
TEMPORARY
ELECTRONIC
RECORDS TO FRC.**

D. Creation and Receipt of Electronic Records.

The widespread introduction of microcomputers into the environment has encouraged a reevaluation of the traditional approaches to records management. Word processing is the most common office computer application. These powerful, easy-to-use systems allow administrative, technical, and professional personnel to create and store documents more frequently, and to share and revise the documents more easily than in the traditional paper-based office operation. Information created in or received by the Customs Service in carrying out its mission constitutes a Federal record. How long the record needs to be kept to facilitate the work of the Customs Service and the degree to which it needs to be controlled, are functions of its value to the mission of Customs, and its legal requirements. Some products of traditional office work (e.g., letters, memoranda, reports) created on a computer may have no value after the product is printed and a copy is filed in the official file station. Such documents as directives, standard operating procedures, etc., will be kept on disk in a master library to preclude retyping an entire document to incorporate a small number of changes.

Life cycle of records

In establishing a system of electronic records, the full life cycle of the records maintained in the system must be considered. System designers should contact a Customs Records Officer in the planning phase. This will enable the designers to correctly determine and incorporate disposition requirements into the system design, development, and programming, thereby avoiding potentially costly changes after the system is established. Early involvement of the record management officer is especially critical in the case of major systems that may contain permanent records. Originators of electronic data systems must ensure that adequate and up-to-date technical and security documentation for each system is maintained. Please refer to the Customs Life Cycle Manual.

**INVOLVING CUSTOMS
RECORDS OFFICERS
EARLY IN THE
PLANNING STAGE
CAN SAVE TIME.**

Within Customs, there are two broad categories of electronic records:

Records generated in our central ADP facility: These are created and used by data input personnel, computer operators, programmers, analysts, systems administrators, and remote users connected via local area networks. They may include files required to manage system housekeeping, performance tuning, system usage, log-in and password control, and audit trail files.

All files included in this category must be individually appraised for permanent or long-term value, particularly those data bases created for action officers and/or offices that may contain significant sets of statistical or analytical data not duplicated in paper records. Where an electronic file duplicates a paper one, the electronic version may not be required to be retained as long as the hard copy, but it must be included in the record schedule.

Records created in an office setting: examples are word processing, spreadsheet, and data base files; e-mail and message files; electronic calendars; appointment, telephone, trip and visit logs; finding or tracking aids, and other “helpers” employed to enhance the effectiveness of the system.

Mission-related data bases, as distinct from those purely administrative files, must be scheduled as long-term or permanent records. System owners must pay particular attention to data bases that contain significant statistical data or information related to policymaking functions, and schedule them.

Storage Files needed often for the conduct of business should be stored conveniently for immediate access. Those less frequently needed should be stored on tape, disk, or other media, for retrieval when required. Files not requiring long-term retention or not needed to document the business of Customs, such as draft versions of documents, should be deleted from the storage media in accordance with the appropriate Customs disposition schedules.

E. Security of Electronic Records.

Special precautions may need to be taken to ensure the security of data stored electronically. Before developing solutions, however, each system owner should determine the degree of risk. This can be done by following established risk-management techniques, keeping a reasonable ratio between the cost of the risk management study and the likely risk to be identified.

F. Maintenance of Electronic Records.

In practice, there is no difference between managing electronic and paper records. The contents of the computer’s directory or the sum of all electronic “folders” equates to the traditional file drawer. Each computer data subdirectory or electronic “folder” is the equivalent of a paper file folder, and files in directories or “folders” are individual “documents” in

**IDENTIFY
DOCUMENTS TO
ENABLE RETRIEVAL
AND LEGAL
DISPOSAL.**

the folder. Directory or “folder” names are like file folder labels in that they identify the broad functional category of the information contained in them. File names are like the filing instructions written on papers before they are filed. Documents contained in electronic form must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out their disposition.

Diskette maintenance: Information stored on disks/diskettes has a relatively short life expectancy, estimated from one to five years. Consequently, such information should be converted to another medium to ensure its continued use and readability.

Office correspondence: Letters, memoranda, reports, and similar correspondence should always be printed out in hard copy form so that a copy may be filed in the office files. In addition, the legend on this file copy should include an identification of the disk/diskette on which the document is located. This will assist in retrieval of the disk/diskette copy in case the document must be revised.

File conversion: Other long-term records stored on disks/diskettes should be converted to magnetic tape, paper, CD-ROM, or microform. Conversion to magnetic tape is the best alternative.

G. Retrieval of Electronic Records.

Employees should be able to easily retrieve electronically stored records until their final disposition. This requirement is important when an existing automated system is upgraded or replaced with a new one. Records stored on the old system should be converted, or the new system should be designed so that these records continue to be usable until their authorized disposition date.

H. Inventory of Electronic Records.

Inventorying and scheduling the information within a system are the most effective ways to ensure that employees save important data and delete disposable data when no longer needed. Typically, the first step in the disposition process for electronic records is to prepare an inventory of what information systems exist, what they do and what they contain. Offices have already inventoried one or more information systems, either in response to requirements of oversight agencies, such as OMB and GSA, or as part of sound management of information resources.

If a comprehensive inventory of the Customs Automated Information System is maintained, use that inventory to develop a record schedule for the information in all automated systems. If the inventory has not been completed, use NARA Form 14028 to develop and maintain a system inventory. NARA uses the elements in italics on the back of the form to make an initial appraisal of the information system. Customs managers should use the inventory to begin controlling electronic records.

I. Identifying Permanent Electronic Records.

Given the enormous variety of information stored in computer files, it is impossible to compile a comprehensive list of potentially permanent electronic records. The following examples, provided by NARA, are very selective and intended merely to suggest the variety.

Permanent electronic records that replace records scheduled as permanent in another form, such as reports or indexes.

Administrative data that have unusually broad coverage or significance, such as the budgets of entire Offices.

Emergency operations data that document military or civilian operations during the times of war, civil emergency, or natural disaster.

Political, survey, or judicial data related to such topics as elections, special investigations, or court proceedings.

National security and international relations data that document such activities as strategic or foreign policy assessments, intelligence collection, foreign public opinion, or international negotiations.

Additional examples of permanent records can be found in NARA's handbook [Disposition of Federal Records](#). A copy of this document may be found under the Financial Management section of Customs InfoBase.

J. Retention of Electronic Records.

The fact that information is created or stored electronically has no bearing upon whether that information is a record or nonrecord. Record status is determined by the same criteria for all information, regardless of the medium on which it is created or stored. But, ensuring the retention of records stored electronically is not as simple as ensuring the retention of records stored on microform or paper. The ease with which electronically stored records can be erased or changed increases the risk of unauthorized destruction of official documentation and information. Since electronic records are official records of the Federal government, they may not be destroyed without proper authorization from NARA.

K. Disposition of Electronic Records.

Disposition means the actions taken regarding records when they are no longer needed for current government business and includes transfer of permanent records to NARA, and disposal of temporary records. Securing disposition authority for electronic records is similar for information stored on any other medium, such as paper or microfilm.

**SECURING
DISPOSITION
AUTHORITY FOR
ELECTRONIC
RECORDS IS SIMILAR
TO THE PROCESS FOR
SCHEDULING PAPER
RECORDS.**

Storage: All disposition of Federal electronic records requires the prior authorization of the Archivist. This means that no Federal electronic records may be destroyed without the approval of the Archivist. The Archivist grants approval by signing a SF 115, “Request for Records Disposition Authority.”

Archivist approval: As a result of scheduling, all records are identified as either temporary or permanent. Temporary records are those the Archivist approves for disposal, either immediately or after a specified retention period. Records are those the Archivist appraises as having sufficient value to warrant continued preservation by the government as part of the National Archives. The disposition authority for all Customs unique electronic records (potentially permanent records) must be reviewed and approved by NARA. For all Customs electronic records or systems that are not covered by an approved NARA disposition schedule, users should furnish the NARA Form 14028 or an equivalent form to Customs records staff. The form is designed especially for collection of the information needed to appraise the value of electronic records. Upon receipt of the form, the records management staff will prepare SF 115 and forward it to NARA for approval.

L. Scheduling of Electronic Records.

After identifying existing electronic information systems, the value of the information in each system must be determined.

Legal considerations: The first step in this appraisal process is for the system owner, in conjunction with system users, to decide how long Customs will need to keep the information (and in what form) for operational, legal, administrative, or fiscal purposes. The office of primary responsibility, system managers, and the users can best judge the usefulness of electronic records for current or future operations. NARA appraisers review the retention recommendation and determine whether any of the records have enough potential value to warrant permanent preservation in the National Archives.

The General Records Schedule (GRS): The first step in drafting a schedule for the disposition of temporary electronic records is to determine whether they are already covered by the GRS. The GRS lists temporary records, which excludes program records, that are common to most Federal agencies. They give Federal agencies the authority to dispose of such records.

Electronic Mail Systems (E-Mail).

All Customs employees are responsible for managing the creation and retention of documents created or transmitted on electronic mail systems. Each user must decide whether a particular message is appropriate for electronic transmission. Employees are encouraged to use electronic mail because it is a cost-effective communications tool.

Users of Customs electronic mail systems will not alter or improperly dispose of any electronic mail message, record

IF AN E-MAIL MEETS THE DEFINITION OF A RECORD AND IF IT WERE CREATED ON PAPER, IT IS CONSIDERED A RECORD.

of transmission and receipt date, or attachment (such as a document) which meets the definition of a Federal record received or created on these systems.

Electronic mail systems are for official use only by authorized personnel. The information in these systems is not personal. Therefore, use of these systems for other than official, authorized purposes is prohibited, and no expectation of privacy or confidentiality applies.

An electronic mail message can become a record when created by the sender or when received and acted on by the recipient, if the message contains substantive information that is necessary to adequately and properly document the activities and functions of Customs. It should be preserved as an official record.

Preservation: is a way of distinguishing Between Record and Nonrecord Electronic Mail Documents. Users of electronic mail systems should become familiar with the concepts and practices of distinguishing between record and nonrecord materials, and take the appropriate filing, retention and disposal actions.

Non-unique electronic messages and attachments that are nonrecord are not subject to the Federal Records Act, and should be deleted by the user from the system when no longer needed. Electronic mail documents are nonrecord when they provide no evidence of Customs functions and activities, lack information of value on Customs activities, duplicate information documented in existing or subsequent records, and therefore are not unique. Some categories of electronic mail messages that would be defined as nonrecord material include documents that do not serve as the basis of official actions, such as notices of meetings, bond campaigns, transmittals, and similar correspondence. These documents may be deleted from the electronic mail system as soon as they have served their purpose.

If an electronic mail item, either sent or received, is a Federal record, it is the responsibility of the Customs employee to ensure that a copy is preserved by making it a part of the official files of Customs.

Records/Information Management Training and Program Publicity

To ensure that the Customs records management program remains viable and is effectively carried out, it is very important that all Customs employees are aware of the program and have adequate training to perform records and information management duties as required. This can be accomplished by having an active and comprehensive training and a publicity program. The guidance listed below will aid you in carrying out essential training requirements.

A. Classroom Training.

Records management training courses are available in the Washington, D.C., area from the National Archives and Records Administration (NARA), Office of Records Services, Agency Services Staff. NARA's Office of Regional Services also offers training opportunities, both in the Washington, D.C., area and in the field. NARA publishes schedules of records management classes each fiscal year. Copies of these schedules are available by contacting your Customs Records Officer. The Association of Records Managers and Administrators (ARMA) offer a select number of records and information management courses.

B. Orientation Training.

All employees should receive a record management orientation briefing by record management personnel.

New employees should be trained as part of an overall "new employee" orientation program or individually if the number of new employees does not warrant such a program. Since all employees will eventually be involved with some aspect of record management, it is important that all individuals be properly briefed.

The briefing should encompass such items as the need to have a file plan, use of the General Records Schedule and Customs Records Schedule, names of local records management liaisons, plus a general outline of the methods used to properly dispose of records (packaging, destruction, or transfer to a local staging area, Federal Records Center or transfer to the National Archives). Differentiating between permanent and temporary records, the need to update records schedules, and instructions on how to maintain and cut off files are part of the briefing. Emphasis should also be placed on the fact that, if records are not identified on an approved schedule, they may not be destroyed and must be considered to be permanent records until they are properly scheduled. In addition to the subjects listed, others may be added as deemed appropriate.

C. Publicizing the Records Management.

In addition to training courses and orientation sessions, other means of publicizing the program and reminding employees of their record management responsibilities should be employed. Some of the items that may be used include:

Posters and flyers. Appropriate posters are available for display on wall or in hallways. You may contact NARA's Agency Services Staff for copies of the posters that they have available.

Memoranda. At least annually, the heads of offices should issue a memorandum reminding all employees of their records management responsibilities.

NARA Bulletins. Make NARA Bulletins or the information contained therein available to Customs employees as deemed necessary.

D. NARA Instructional Guide Series; Pamphlets and Guides.

NARA publishes the pamphlets listed below and other publications that offer guidance pertaining to specific record management activities and can be of great value in conducting records management program.

- Disposition Of Federal Records—A Records Management Handbook
- Managing Electronic Records
- Managing The Records Of Temporary Commissions
- Managing Audio Visual Records
- Managing Cartographic and Architectural
- Personal Paper Of Executive Branch Officials
- Agency Recordkeeping Requirements
- Records Management Self-Evaluation Guide

Records Checklist and Contacting the Customs Records Officers

The record process is simple, logical and easy to implement. After an initial labor-intensive period, it becomes routine, easy and actually less work than not organizing your records. The following is summary of the Customs records process. These steps correspond to the Records Section of the Management Self Inspection Checklist and is described in detail in Part 2 Section D, above.

- Management designates a Local Records Manager (LRM).
- The LRM and employees with record responsibilities are trained in records management.
- The LRM conducts a records inventory annually.
- The Records Handbook is made available to employees.
- Records or their containers are labeled.
- Correspondence is organized by Uniform Filing Guide (UFG) codes.
- The LRM responds to FRC notices of destruction in a timely manner (2 wks).

CONTACTING THE CUSTOMS RECORDS OFFICERS

1. Telephone: Customs records staff can be reached via telephone at

<u>Name:</u>	<u>Telephone:</u>
J. Edgar Nichols	(202) 927-1426
John O. Roach	(202) 927-0529
Laverne Williams	(202) 927-0229

2. E-mail:

J.Edgar.Nichols@customs.treas.gov
 John.O.Roach@customs.treas.gov
 LaVerne.T.Williams@customs.treas.gov

3. FAX: (202) 927-1450

Uniform Filing Guide (UFG)

Information contained in records, especially correspondence, is useful only if it can be accessed and retrieved.

This Uniform Filing Guide (UFG) has been designed to facilitate the retrieval of correspondence. Customs records should be sorted into approved categories and the uniform filing codes recorded on the document to facilitate information storage and retrieval.

The following is a detailed listing of the UFG categories and definitions, which should be used by Customs employees on all correspondence. Employees should review their records and:

- Group similar records together and place them in a logical order. These are then placed in order by the way they are processed and retrieved.
- Classify and label these records as to subject and determine an appropriate UFG Code, with subcategory code for the series by consulting this UFG.
- UFG codes should also be placed on all correspondence.
- Documents should also be cross-referenced to other appropriate file codes.

Uniform Filing Guide

File Code	Subject	Page
ADM	Administration	33
APP	Appraisal and Classification	34
AUD	Audit	35
BUD	Budget	36
CMP	Compliance	37-38
CUS	Custodial	39
DIS	Disclosure of Information	40
EDP	Electronic Data Processing	41
ENF	Enforcement	42-43
ENT	Entry Processing	44-46
EXP	Export Control	47
FAC	Facilities and Property	48
FIS	Fiscal	49
INS	Inspections	50-51
INO	International Operations	52
IPR	Intellectual Property Rights	53
INT	Intelligence	54
INV	Investigations	55-56
MAN	Management	57-58
NAT	National Defense	59
PER	Personnel	60-61
PIN	Public Information	62
SEC	Security	63

ADMINISTRATION (ADM)

Use the Administrative categories for material relating to general administration services, functions, and activities common to all Customs offices. [Also see Budget (BUD), Disclosure of Information (DIS), Facilities/Property (FAC), Fiscal (FIS), and Personnel (PER)].

- ADM 1 General: Material relating to general administrative services, functions, and activities common to all Customs offices, i.e., material not covered by any other secondary subjects under this primary category.
- ADM 2 Correspondence Management: Material on correspondence preparation, procedures and routing controls; priority correspondence; transmission of classified material; mailing procedures.
- ADM 3 Files and Records Management: Material on files, record creation, maintenance and disposition controls and procedures; and on vital record management. Also includes procedural material on the creation, maintenance, alteration and abolishment of forms within the Customs Service.
- ADM 4 Office Supplies and Equipment: Includes papers and files involved in obtaining expendable goods and non-personal services, controlling expendable stock inventories, reporting procurement needs, and related daily supply and procurement operations other than staff or policy functions.
- ADM 5 Printing and Reproduction: Material on requests for services, control, production and distribution of individual jobs or projects.
- ADM 6 Publications and Directives Management: Includes record copies of publications and directives, i.e., operating procedures, policy manuals, regulations, decisions, hearings, digests, price lists, and other agency clearances.
- ADM 7 Correspondence of Customs Executive Staff: Includes all correspondence prepared by Customs Executive Staff.

APPRAISEMENT AND CLASSIFICATION (APP)

Use the Appraisal and Classification category for material relating to the appropriate assessment of duty on imported merchandise, including free merchandise, but not the liquidation, drawback and protest portion of the process [also see Entry Processing (ENT)].

- APP 1 General: Material on requirements and procedures for appraisal, valuation and classification of imported merchandise relating to the tariff. Included are case and project inventories, articles entered conditionally free, and legal precedent cross references not covered by any other secondary subjects under this primary category.
- APP 2 Appraisal—Antidumping and Countervailing Duty: Material on such matters as antidumping and countervailing procedures, dumping reports, determination of duties and fair value of antidumping cases.
- APP 3 Valuation—Material on requirements, procedures, computed value and activities, definitions, and interpretations of terminology and procedures common to appraisal or standards under trade agreements or the Tariff Act as amended.
- APP 4 Valuation—Inquiries: Includes materials related to inquiries on requirements, procedures and activities.
- APP 5 Appraisal—Examination of Merchandise: Material covering examination of merchandise outside the limits of Customs operational entities not by Customs inspection staff; invoices on American goods returned; damaged, shortage, and samples retained; examination and release at importers' premises, public stores.
- APP 6 Classification—Commodity Classification: Material relating to commodities classified per Harmonized Tariff Schedules.
- APP 7 Classification—Trade Agreements and Tariff Reports: Material relating to reciprocal trade agreements, trade agreements affecting classification of merchandise, trade agreements, and tariff information summary reports.

AUDIT (AUD)

Use the Audit category for material relating to external audits conducted by the Inspector Generals Office and GAO. This category also covers the Annual Financial Audit and the Regulatory Audit function.

- AUD 1 General: Material concerned with audit policies, audit administration and audit reports not covered by any other secondary subjects under this primary category.
- AUD 2 Internal check and control files: Material relating to internal check and control files subject to, or expected to be parts of an audit, as well as responses.
- AUD 3 Annual Financial Audit: Material relating to required annual audits of Customs used to prepare Customs Annual Report.
- AUD 4 GAO and Inspector General Reports: Material relating to GAO and Inspector General Reports, including responses or resolutions.
- AUD 5 Regulatory Audit Reports: Material relating to regulatory audit company and other reports used either for appraisalment, selectivity, or other activity.

BUDGET (BUD)

Use of the Budget categories for material relating to budget policy and administration.

- BUD 1 General: Material concerned with budget policies, budget administration and employment reports not covered by any other secondary subjects under this primary category.
- BUD 2 Allotments: Material relating to registers of allotment transactions, requests for and advice on allotments and financial plans, and analyses of financial plans.
- BUD 3 Appropriations: Material concerning appropriations ledgers, position allocations, appropriations symbols, and appropriations policies and procedures.
- BUD 4 Estimates and Justifications: Material concerning the use of budget estimates for planning, and the use of field estimates.
- BUD 5 Reports: Material concerning reports and summary reports on authorized Headquarters, field positions and trust fund employees; projections of salary increases; pay period and year-to-date action reports, and employees in special grade categories.
- BUD 6 Special Budgets: Material concerning fund for inspection for the Department of Agriculture, export control budgets and reimbursable budgets.

COMPLIANCE (CMP)

Use the Compliance categories for material related to strategic trade, regulatory audits, compliance measurement, development, marking, and compliance enforcement for other government agencies. Included is the development of strategies, and tactical programs concerning program goals. Material concerning auditing policy requirement schedules, and itineraries under legislative, departmental and internal Customs control programs. [When a direct enforcement violation is suspected or identified, use the appropriate Enforcement (ENF) category.]

- CMP 1 General: Material on strategic trade, regulatory audits, compliance, compliance measurement, development, marking, methodologies, statistics and compliance enforcement for other government agencies, including related routine correspondence.
- CMP 2 Data Collection: Includes procedures, plans requirements, and goals related to the collection of data, and the evaluation of data used for compliance and compliance measurement.
- CMP 3 Systems development and operations research: Includes procedures, plans, requirements, goals and the collection, review and evaluation related to systems development and operations research.
- CMP 4 External Audits, Evaluations: Material covering the handling of General Accounting Office (GAO) and Inspector General (IG) clearances and material which documents and responds to such clearances, and IG or GAO recommendations for changes and improvements.
- CMP 5 Management Inspection Audits, Evaluations: Material covering schedules, requirements and procedures for audits of the Headquarters of the Customs Service.
- CMP 6 Internal check and control files: Material relative to requirements and procedures concerned with areas covered by audit, and with the frequency of the conduct of internal or external office audits; includes tracking and control systems for internal responses.
- CMP 7 Marking, labeling, packing, and stamping of merchandise: Includes procedures, plans requirements, goals and the collection, review and evaluation related to marking, labeling, packing, and stamping of merchandise and related correspondence not specific to an entry or penalty.
- CMP 8 Regulatory Audit Program: Includes procedures, plans, requirements, goals and evaluations related to the program as well as reports, findings and background data related to program audits.
- CMP 9 Other Government Agency (OGA) compliance (sort by agency): Includes all records related to compliance with other agencies, except specific enforcement actions covered under Enforcement (ENF).

- CMP 10 Quota—specific quotas by commodity and/or country: Material relating to administrative and operating procedures for entry of merchandise subject to quota, quota priorities, proclamations and reports, tariff rates and trade agreements as well as material concerning individual commodities for which specific quotas have been established.
- CMP 11 VISAs: Material on export control documentation based on individual agreements, such as category, the date of importation, quantity and quota restrictions, if any.

CUSTODIAL (CUS)

Use the Custodial categories for material related to programs where the Customs Service maintains control over cargo storage, cargo transportation or cargo processing prior to entry.

- CUS 1 General program records, relating to control over cargo prior to entry not covered by other subsections of this category.
- CUS 2 Container and Central Examination Stations: Material relating to requirements and procedures for establishing, identifying and operating container and central examination stations; and for controls for de-vanning, inspecting, releasing, and forwarding of containerized cargo.
- CUS 3 Container Convention: Material relating to the temporary admission of containers and their technical specifications.
- CUS 4 Cartage, Cartmen and Lightermen Procedures: Material relating to procedures and reporting matters pertaining to cartage, lighterage, and/or Customs licensed Cartmen or Lightermen. Included is material relating to licensing suspension and revocation of licenses; identification of Cartmen and Lightermen; the marking of vehicles and lighters; and control procedures for the movement of cartage and lighterage vehicles, including government cartage.
- CUS 5 Foreign Trade Zones (FTZ): Material relating to Customs control of merchandise in FTZ including: control provisions for FTZ, i.e., entry, admission, exportation, destruction, manipulation, manufacture, and exhibition of merchandise in zones; zone-restricted merchandise; and privileged/non-privileged domestic/foreign merchandise; and establishment of zones.
- CUS 6 Warehouses and Duty Free Stores: Material on Customs bonded warehouses; proprietor record keeping; manipulation and manufacturing; classes of warehouses; duty free stores; warehouse and withdrawals for transportation and exportation; and warehouse entries and withdrawals.
- CUS 7 Transportation in Bond: Material relating to entry, withdrawal of merchandise, baggage, and household effects for transportation; immediate transportation without appraisal; special manifest; transportation and exportation; exportation of merchandise; material relating to withdrawals of goods for transportation to another port for entry, or for direct exportation or transportation in bond to another port for exportation.

DISCLOSURE OF INFORMATION (DIS)

Use the Disclosure of Information categories for material relating to information received requested in reference to the Freedom of Information and Privacy Act.

- DIS 1 General: Includes all matters within the purview of the Freedom of Information Act (FOIA) and the Privacy Act (PA); responses to summonses, subpoenas and discovery, and disclosure of information to governmental entities.
- DIS 2 Initial Freedom of Information Act, Privacy Act decision concerning request for records.
- DIS 3 Freedom of Information Act appeal decision (personal records)
- DIS 4 Headquarters authorization of Disclosure of Information
- DIS 5 Requests or instructions for summonses and subpoenas
- DIS 6 Expungement or amendment of records
- DIS 7 Freedom of Information Act and Privacy Act Litigation

ELECTRONIC DATA PROCESSING (EDP)

Use the Electronic Data Processing categories for material on electronic or automatic data processing and information systems.

- EDP 1 General: Material on electronic or automatic data processing and information systems, for those subjects not covered by another appropriate primary or secondary heading in this guide.

- EDP 2 Electronic Data Processing Projects: Includes correspondence concerning EDP projects systems, studies, reports, and all other EDP life cycle topics, such as requests for service, development, program testing, acquisition of support, operational processing and implementation.

- EDP 3 Standards and Guidelines: Electronic Data Processing standards and guidelines related to this category.

- EDP 4 Database Management: Includes correspondence concerning EDP management, security, EDP contracts, support, hardware and software, and emergency data recovery operations.

ENFORCEMENT (ENF)

Use the Enforcement categories for material relating to enforcement procedures and techniques. [See also Intelligence (INT), Investigations (INV), and Compliance (CMP).]

- ENF 1 General: Materials relating to Enforcement procedures and techniques not covered by any other secondary subject under this primary category.
- ENF 2 Sources of Information: Material concerning records of information received, purchased from informers, compensation claims and awards for original information, and requests for identity of sources.
- ENF 3 Anti-smuggling Inspectional Enforcement: Plans and statistics relating to enforcement procedures, techniques, policies, and requirements applicable to Inspectors, Canine Enforcement Officers, Customs Examination Teams (CET), Operational Enforcement Analysts, and other Inspection personnel related to specific Customs inspectional anti-smuggling efforts, other than routine inspections [See Inspections (INS)].
- ENF 4 Fines, Penalties, Forfeitures: Appraisalment of property subject to forfeiture, compromised claims, petitions for relief, remissions of fines, penalties, forfeitures, abandonment and assent to forfeiture of prohibited or seized merchandise, intent to forfeit, penalty dispositions, and offers in compromise.
- ENF 5 Searches and Seizures: Material on enforcement of laws for searches, seizures of property (gold, alcoholic beverages, vehicles, vessels, aircraft, arms, munitions of war, etc.); and relates to search procedures, documentation and; inventory, disposition, distribution, and claims of seized property.
- ENF 6 Suspect Lists: Material on suspect look-out lists, soundex system, detention orders, actions taken in regard to Customs suspects, requests to pick up passports and fugitives, National Crime Information Center, and major criminal index.
- ENF 7 Electronic Monitoring: Material relating to Title III electronic monitoring for telephone conversations, Department of Justice reporting and disclosure of information.
- ENF 8 Violations: Material on enforcement of laws relating to false declarations, invoicing, manifesting, marking of merchandise, and on fraudulent documents.
- ENF 9 Cargo Security: Material relating to security of international cargo at docks, airports and other areas. Contains information regarding violations, i.e., the illegal removal of such cargo from lading, unloading, or storage areas.
- ENF 10 Fraud: Material on fraud investigations under Section 592, 19 U.S.C.

- ENF 11 Commercial Compliance: Material relating to commercial compliance (e.g., marking, trademarks, and other requirements governing the admission of merchandise).
- ENF 12 Customs Aviation: Includes all operational records related to the Customs Aviation program.
- ENF 13 Enforcement for Other Agencies: Material related to Customs enforcement efforts for other Government agencies.

ENTRY PROCESSING (ENT)

Use the Entry of Merchandise categories for material relating to the process of entering compliant merchandise into the United States, including, but not limited to bonds, brokers, drawback, liquidation, mail, and protests, not related to appraisement, classification, and conditionally free merchandise processing. [See also Appraisement (APP).]

- ENT 1 General: Material on requirements and procedures for informal and mail entries, drawback, liquidation, and protest entry of merchandise not covered by any other secondary subject under this primary category.
- ENT 2 Entries—Free and Dutiable Consumption: Material relating to the entry of merchandise which is unconditionally free of duty and not subject to any quota or internal tax. The category includes articles: exported and returned; exported for exhibition; articles for institutions; products of American fisheries; rescue and relief equipment; strategic materials obtained by barter or exchange; theatrical effects, motion picture films, and commercial travelers samples; trade fairs; U.S. Government importation's; aircraft, vessel supplies and equipment withdrawals; and articles assembled abroad of fabricated components of U.S. origin, but not temporary importation's under bond, North American Free Trade Agreement (NAFTA) and other items entered under a free trade agreement.
- ENT 3 Liquidation, Reliquidation and Verification of Liquidation: Material relating to liquidation of entries for merchandise imported into the U.S. not covered by any other secondary subject under this primary category including: articles conditionally free of subject to reduced rate; conversion of currency; countervailing and dumping duties [also see Compliance (CMP)]; manipulation; restricted merchandise; not legally marked; violations; relief from duties (allowances, damage applications, casualty abatements, refunds, etc., in cases of merchandise which is lost, stolen, destroyed, injured, abandoned, or short shipped); special procedures for certain types of merchandise (Philippine articles, Cuban imports, commodities subject to Foreign Assets Control); and suspended liquidation. Also includes items related to reliquidation procedures due to changes in duty rates, errors, excessive duty or tax paid, fraud, review or protest, re-warehousing decisions, inadmissibility of goods, and refund procedures as well as material relating to the statistical verification procedures.
- ENT 4 Entries, including Informal and Mail Entries: Material concerned with the entry of merchandise on any type of entry, including informal or mail entry documents or declarations, processing of foreign mail and parcels, formal entry requirements, value of shipment, notice of formal entry, splitting of shipments, sealed parcels containing articles of value and Notices to U.S. Postal Service.

- ENT 5 Drawback: Material on provisions of drawback allowances or payment such as: claims and verification of claims, certifications of delivery, importation, exportation, refunds of import tax, disposition, records of drawback entries and liquidations; articles manufactured or produced from imported or substituted merchandise; extracts and preparations. Material related to drawback on distilled spirits and beer exported, on flavoring extracts, on medicinal and toilet preparations. Material related to merchandise exported without having been used in the U.S. prior to its exportation or destruction; rejected merchandise; petroleum or petroleum derivatives manufactured/produced in the U.S.; drawback privileges; and the drawback compliance program.
- ENT 6 Excise taxes on Wines, Distilled Spirits, and Malt Beverages: Material relating to excise taxes and compensating taxes and the computation of revenue taxes on wines, distilled spirits, and malt beverages.
- ENT 7 Liquidation—Other Special Duties: Material relating to special duties imposed by Presidential Proclamation, i.e., discriminating duties surtaxes, false antiquity claims, etc.
- ENT 8 Generalized Systems of Preferences (GSP): Material relating to the GSP not related to a specific entry.
- ENT 9 ATA Convention Procedures: Material on Temporary Admission Of Goods Convention covering goods temporarily moving into the United States or from the United States into another country.
- ENT 10 North American Free Trade Agreement (NAFTA): Material relating to processing NAFTA items not related to a specific entry.
- ENT 11 Protest: Material relating to protest, i.e., reports of information relative to protests, powers of attorney to file protests and stipulations, including protests on value (Material relative to protest on value of merchandise, notices of advance, formal appeals, indices of appeals, notices of appraisement).
- ENT 12 Customs Court Litigation: Material relating to requirements, procedures, form and limitations on filing applications for review, appeals and protests; i.e., administrative review, judicial review, limits on discussion, stipulations.
- ENT 13 Restricted Merchandise: Material relating to the restriction or prohibition of importations or exportations of articles, commodities, or merchandise including, but not limited to: convict or forced labor; Commodity Credit Corporation exports; discriminating countries, merchandise from; mail conveyed contrary to law; mutual defense agreements, exportations under; merchandise involved in unfair competition or subject to Foreign Assets Control regulations; obscene or seditious material; merchandise or publications which may be obscene, immoral, seditious or treasonous; prohibited articles; disposition of forfeited obscene material, and contested cases; liquor, firearms, and ammunition; explosives and explosive devices.

- ENT 14 Special Procedures for Processing Merchandise: Material relating to the entry sampling, weighing testing techniques, etc., of the specified commodities including, but not limited to: cotton, ores, and crude metals; petroleum; coffee; wool and hair; sugars, syrups, and molasses.
- ENT 15 Bonds: Material concerning Customs bonds and bonding matters, other than transportation in bond. [See Custodial (CUS) for the movement of bonded merchandise]
- ENT 16 Brokers, Agents and Attorneys: Material relating to licensing and regulation of Customhouse Brokers, Agents; and Attorney licensing and regulation of Customhouse brokers, and to Customs relationships with Customhouse brokers, agents, and attorneys. Including material relating to broker course syllabus, examinations and examination results. [See Investigations (INV)]
- ENT 17 Laboratory Facilities and Operations: Material relating to laboratory facilities and operations including measuring, gauging, sampling, weighing merchandise including, but not limited to: Customs laboratory reports, imports sample testing, workload analysis, technical information on equipment, and instrument bottling tank inventories, emission spectrograph samples and product formulae.

EXPORT CONTROL (EXP)

Use of Export Control categories for material relating to the administration and enforcement of the Export Control laws. [See also Entry Processing (ENT) for material relating to arms and munitions of war, atomic energy materials, gold, mutual defense exportations, and narcotics].

- EXP 1 General: Materials on administration and enforcement of Export Control laws not covered by any other secondary subject under this primary category.
- EXP 2 Licenses: Includes information regarding procedures and policies relating to all types of Export Control licenses.
- EXP 3 Outward Manifests: Includes all material related to the filing of outward manifests.
- EXP 4 Export Clearance and Destination Control: Material that encompasses information relating to the portion of the Export Program dealing with control on the destination of cargo after departure from the port of entry.
- EXP 5 Reports of Export Control Activities: Material relating to periodic reports of Export Control activities.

FACILITIES/PROPERTY (FAC)

Use the Facilities categories for services and materials relating to procurement, nonexpendable property, safety, vehicles seized, personal property, and the operation, maintenance, engineering, and services of land and buildings.

- FAC 1 General Facilities: Material on facilities management maintenance and building operations not covered by any other secondary subject under this primary category. Includes engineering drawings and supporting documentation for Customs facilities construction projects.
- FAC 2 Telecommunications Management: Material regarding policies and service information on communication facilities supporting the Customs mission. These facilities include telephone, data, facsimile, audio, video, and other corollary items installed, or in planning status.
- FAC 3 Equipment Usage: Material related to the use of aircraft, vessels and vehicles.
- FAC 4 Real Property and Utilization: Material on real estate acquisition, disposal, inventory, rentals; reports of Federal property holdings; inventory, reviews of real property; and land value estimates of land with negligible acquisition cost, rent and utilities for Customs occupied facilities.
- FAC 5 Mail: Includes all material related to the management of mail within the Customs Service.
- FAC 6 Printing and Distribution: Includes all material related to the management of printing and the distribution of printed Material within the Customs Service.
- FAC 7 Contracts and Procurement: Material on requirements and procedures for procurement of property and services required by Customs; including the advertising for bids, and the awarding of contracts.
- FAC 8 Personal Property: Material on acquisition, disposition, transfer, inventory, utilization of personal property; excess or surplus personal property; maintenance, mileage, disposition, reports of motor vehicles; communication equipment, boats, aircraft, badges, and technical investigative equipment and vehicles.
- FAC 9 Uniforms: Material on uniform reports, allowances, revisions, and inventory; and on maintenance, distribution, and return of Customs employee's uniforms.
- FAC 10 Safety: Material on all aspects of safety related to Customs personnel and equipment.
- FAC 11 Seized, Forfeited or Abandoned Property Program: Material on control and maintenance of seized, forfeited or abandoned property.

FISCAL (FIS)

Use the Fiscal categories for material relating to collections, disbursements, and accounts of Customs duties and taxes; user fees, navigation fees and changes; and appropriated funds.

- FIS 1 General: Material relating to fiscal matters not covered by any other secondary subjects under this primary category.
- FIS 2 Appropriation: Material on appropriated funds and accounting controls; i.e., accrued expenditures, allotment, budget obligations, seized property controls; appropriation reports; general ledgers, registers, reimbursements; summaries; and transaction statements.
- FIS 3 Claims: Material on injury, damage, tort claims, bankruptcy, beneficiary designations, unpaid compensation claims, examinations of claimants, torts, instruction for filing claims, public creditors' claims, and freight loss records.
- FIS 4 Collections and Deposits: Material relating to the collection of monies; i.e., duties, taxes, fees, charges, penalties, and all other funds; the control, accounting for and deposit of monies; and the records relating to these.
- FIS 5 Payments and Disbursements: Material on all Customs payments, disbursements; i.e., employee wages, allowances; advertising; pay differentials; foreign allowances, applications, grants; refunds; overseas expenditures, currency conversions; imprest fund; savings bonds; unvouchered travel expenses.
- FIS 6 Employees Compensation: Includes documents used for processing overtime wages and salaries of Customs employees for nonreimbursable assignments. Includes documents used for processing reimbursable overtime wages and salaries of Customs employees.
- FIS 7 Other Revenue Accounting: Includes computer printouts and other tools of the automated revenue system used for liquidating, correcting, issuing and collecting bills.
- FIS 8 Travel and Transportation: Material on travel authorizations, vouchers, estimates of travel expenses including foreign travel applications, accounts for advance of funds, refunds of unused transportation requests, transportation requests accountability record, and government losses.

INSPECTION (INS)

Use the Inspection categories for material relating to the landing, entry, declaration, examination, operation and clearance of carriers (air, land or sea), cargo and persons, including household effects, and similar articles including coastwise trades and the fisheries. [Also see: Compliance (CMP) and special processing requirements noted in Entry Processing (ENT)].

- INS 1 General: Material on matters concerned with the landing, entry, declaration, examination, and clearance of passengers, crews, baggage, and cargo effects, and similar articles not covered by any other secondary subjects under this primary category.
- INS 2 Carriers: Material on entry, movement, clearance and departure of government-owned or private carriers (air, land and sea), and its cargo not covered by any other secondary subjects under this primary category or [Compliance (CMP)].
- INS 3 Lading and Unlading: Material on requirements for lading or unlading of merchandise, baggage and passengers, i.e., special licenses, delivery tickets, general order file or ledgers, delayed discharge, cargo diversion, releases, transshipments, wrecked vessel, and derelict cargo.
- INS 4 Unclaimed and Abandoned Merchandise: Material relating to notices, catalogs, proceeds of sale of seized, unclaimed and abandoned merchandise; detention of and hearing on merchandise; destruction, transfer, and storage of forfeited, abandoned and unclaimed merchandise.
- INS 5 Legislation and Waivers: Material relating to legislation and waivers as they refer to this activity.
- INS 6 Coastwise Trade: Material on vessels or aircraft entitled to engage in coastwise trade, and requirements/controls of coastwise trade including yachts and pleasure boats in U.S. waters.
- INS 7 International Carrier Treaties and Agreements: Material relating to international carrier treaties and agreements.
- INS 8 Fisheries: Material relating to the activity of foreign-flag fishing vessels in U.S. waters and their entry into the U.S. ports.
- INS 9 Passengers and Crew: Material relating to passengers and crewmen of vessels or aircraft.
- INS 10 Salvage, Dredging, and Towing: Material relating to the salvage, dredging and towing of foreign-flag or foreign-built vessels while they are in U.S. territory.
- INS 11 Tonnage Tax and User Fees: Material relating to payment of, exemptions from, and applications for refund of tonnage tax; user fees; and bills and receipts for navigation fees and light money.

INS 12 Dutiability of Carrier Equipment of Repairs: Material relating to the Dutiability of equipment or repairs, the dutiability of which has not been determined and the dutiability of equipment purchases for, or repairs made in a foreign country upon commercial American carriers and refund for remission of duty.

INTERNATIONAL OPERATIONS (INO)

Use the International Operations categories for material relating to International Affairs.

- INO 1 General: Material relating to International Operations other than border operations not covered by any secondary subject under this primary category.
- INO 2 World Customs Organization (WCO): Covers material relating to the World Customs Organization including meetings.
- INO 3 International Relations: Material related to bilateral relations, technical assistance, interagency committees and conferences on International Affairs.
- INO 4 International Training: Material related to international training and observation programs.
- INO 5 International Organizations: Material relating to international organizations, including the United Nations, its organizations and meetings.
- INO 6 International Assistance Programs: Material on International Assistance Programs.

INTELLECTUAL PROPERTY RIGHTS (IPR)

Use this category for material relating to the administration and enforcement of copyright laws; patent laws; and the use of trademarks and trade names for materials relating to certification marks, collective marks, and service marks.

- IPR 1 General: Includes all material relating to Intellectual Property Rights not covered by any other secondary subject under this category.
- IPR 2 Recordation, renewal, or cancellation (follow-up information) of trademark, trade names and patents.
- IPR 3 Piratical Copying
- IPR 4 Unfair Competition (Exclusion orders).

INTELLIGENCE (INT)

Use the Intelligence categories for material relating to Intelligence operations.

- INT 1 General: Material concerning intelligence operations not covered by any other secondary subject under this primary category.
- INT 2 (TECS) Treasury Enforcement Communications System: Material relating to the inputs, outputs, and operational aspects of this automated intelligence communications network.
- INT 3 Intelligence Analysis: Material concerning procedures and documentation of the analysis of intelligence inputs and outputs.
- INT 4 Narcotics Intelligence: Includes all categories of correspondence related to intelligence activities involving narcotics and dangerous drugs. These activities include correspondence pertaining to collection, production, and dissemination of drug intelligence products as well as strategic, operational, and tactical coordination and support.
- INT 5 Terrorism: Material concerning terrorism and counter-terrorism activities.
- INT 6 Intelligence Liaison: Material concerning contacts, relationships and exchanges of information in support of the intelligence and enforcement effort.
- INT 7 Commercial Intelligence: Material relating to intelligence on export and import matters.
- INT 8 Financial Intelligence: Includes all categories of correspondence related to activities involving financial intelligence. These activities include correspondence pertaining to collection, production, and dissemination of financial intelligence products as well as strategic, operational, and tactical coordination and support.

INVESTIGATIONS (INV)

Use the investigative categories for materials relating to Customs involvement in investigations.

- INV 1 Material concerning investigative operations not covered by any other secondary subject under this primary category.
- INV 2 Classification and Market Value: Material on classification and market value investigations, investigative cases relating to classification and market value.
- INV 3 Currency: Material relating to Financial Record Keeping and Currency and Foreign Transactions Reporting Act (Bank Secrecy Act, Public Law 91-508). Materials on investigations and investigative cases relating to organized crime, racketeering, and petitions for relief. Correspondence related to strike forces.
- INV 4 Illegal Exports: Material on the regulations and requirements of the Material Security Act of 1954. Materials on investigations and investigative cases relating to relief, ammunition, arms, and implements of war.
- INV 5 Theft, Loss, Damage, and Shortage: Material on investigations and investigative cases relating to theft, loss, damage, and shortage; merchandise in “bad-order,” partial shipments and discrepancy reports; organized crime, racketeering, and petitions for relief relating to such operations not warranting case credit. Correspondence related to strike forces.
- INV 6 Organized Crime Strike Forces. Material on investigations and investigative cases relating to organized crime and racketeering, and related strike forces.
- INV 7 Criminal, All Other: Material on investigations and investigative material on license applications by Cartmen, Lightermen, and for carriers, petitions for relief, organized crime and racketeering. Correspondence related to strike forces.
- INV 8 Smuggling: Material on investigations and investigative material on prohibited importations, baggage declarations, including diamonds, jewelry, liquor, narcotics, etc., organized crime and racketeering, petitions for relief, anti-terrorism, and export of stolen vehicles.
- INV 9 Fraud: Material on investigations and investigative cases relating to drawback, undervaluation and false invoicing, prohibited importations, marking of merchandise (country or origin), baggage declaration violations, foreign repairs to vessels, vehicles and aircraft, organized crime and racketeering, petition for relief, textile transshipments, health and safety issues, intellectual property rights, trade agreements, and forced labor issues.
- INV 10 Foreign and Domestic Cooperation: Material on investigative assistance to various U.S. departments and agencies; Foreign Assets Control and Foreign

Trade Zones; INTERPOL inquiries, actions, cooperation with state, local enforcement agencies, and foreign agencies.

- INV 11 Customhouse Brokers Licenses: Material on investigations of Customhouse brokers and Customs attorneys, organized crime and racketeering, material relating to such operations not warranting case credit, and correspondence on strike forces.
- INV 12 Navigation Violations: Material on investigations and investigative cases relating to navigation, airplane, and vehicle violations, organized crime and racketeering and petitions for relief.
- INV 13 Regulatory Compliance: Material on investigations and investigative cases relating to Organized crime, Customs bonds, dereliction's personnel violations of 18 U.S.C., personnel conduct investigations, penalties, organized crime and racketeering.

MANAGEMENT (MAN)

Use the management categories for material relating to the organization and management of Customs activities and programs.

- MAN 1 General: Material relating to organization and management of Customs activities and programs not covered by any other subject under this primary category.
- MAN 2 Customs Plans and Programs: Material relating to the evaluation of Customs plans and programs, field program standards, and reports of annual plans and goals and provisions for the collection, review and evaluation of related data. Includes materials relating to procedures, requirements, goals, reports of the planning system and provisions for the collection, review and evaluation of data, including performance data.
- MAN 3 Methods and Procedures Studies: Materials relating to studies of the methods and procedures of Customs programs and operations and the collection, review and evaluation of data in Customs.
- MAN 4 Management Surveys: Material relating to field surveys and inspections, and operations officers' survey reports, relating to the use of the scientific methods and especially mathematical models to solve operational problems in Customs.
- MAN 5 Statistics: Material on all Customs consolidated statistical reports, i.e., activity, operations, foreign trade, protests, appeals, seizures, carrier movement, drawback payments, carrier and passenger entry, entry and liquidation transaction reports; trade zone activity and personnel statistics.
- MAN 6 Legislation and Legislative Liaison: Material relating to bills before Congress, and appearances as witness before Congress.
- MAN 7 Management Improvement: Material concerning cost reduction, management improvement, field inputs and reports to Treasury as outputs.
- MAN 8 Relationships with Other Agencies: Material on U.S. AID activity, progress reports, disaster planning, Federal Executive Council matters, Immigration and Naturalization Service workload reports, minutes of conferences, meetings with other agencies, and management of programs for other government agencies.
- MAN 9 Organization and Position Management: Material relating to organization charts and reports, functional statements and staffing charts, reorganizations, changes in field offices/boundaries, and position management, including material relating to abolishment of positions, work assignment schedules, and establishment of additional positions.

MAN 10 Delegations of Authority: Includes all correspondence, directives, and significant documents relating to the process of delegation at all levels of the Customs Service for authority to appoint persons to certain positions, sign documents, make organizational changes, procure, travel and perform duties in other areas of responsibility.

NATIONAL DEFENSE/SECURITY (NAT)

Use the National Defense categories for material relating to National Defense, Emergency Preparedness, and Security Programs.

- NAT 1 General: Material relating to national defense, emergency preparedness matters not covered by any other secondary subject under this primary category.
- NAT 2 Other Defense Restrictions: Material relating to the Atomic Weapons Materials Act, strategic information, and shipments to offices and personnel in Soviet bloc countries.
- NAT 3 Civilian Defense: Material relating to civil defense identification cards, vehicle civil defense markers, and alerts.
- NAT 4 Classified Devices for Examining Cargo and Baggage: Material relating to classified devices used in examining baggage, cargo, and persons.
- NAT 5 Classified Information: Material relating to classified information, authority to classify information, security of classified information, and logs of classified material.
- NAT 6 Port Security Program: Material relating to matters of physical security of port, i.e., fences, gates, buildings, equipment, building contents, protective personnel and devices.
- NAT 7 Emergency Preparedness Relocation Program: Material on mobilization matters, relocation cadres, emergency preparedness, vital record protection, and emergency registration.

PERSONNEL (PER)

Use the Personnel categories for material relating to the administration and operations of the Customs personnel program including payroll, benefits, staffing, labor relations, training and awards.

- PER 1 General: Material on all administration and operational matters of the Customs personnel program not covered by any other secondary subject under this primary category.
- PER 2 Conduct and Suitability: Material on complaints against Customs personnel, confidential statements of employee financial interests, adverse actions, appeals, outside employment, nonsensitive position investigations, and prohibited activities.
- PER 3 Employee Development: Material on the needs assessment, development, delivery, and evaluation of the specialized, technical, and all other training course programs. Also covered are the policies, plans, and other supporting items for training administration.
- PER 4 Employee Relations and Services: Material on health, life insurance, injury, unemployment, disability compensation, employee management cooperation, reemployment rights, Veterans' Preference, retirement, social security, professional societies, and associations.
- PER 5 In-service Placement: Material on Merit Promotion Plan, economic and educational opportunity programs, mutual transfers, internal placements, vacancies, selection notices, and promotion examinations and registers.
- PER 6 Leave: Material on various types of leave requirements, procedures, reports and documentation, i.e., administrative, sick, annual, compensatory, advance, court leave, leave without pay, applications, records of leave, leave itinerary and time and attendance records.
- PER 7 Performance Evaluation Program: Material relating to ratings, appeals to performance evaluation ratings, and personnel evaluation profiles.
- PER 8 Personnel Management: Material relating to evaluation of field personnel operations, personnel management evaluations plans and progress reports.
- PER 9 Personnel Needs Force Requirements: Materials relating to positions and to ceiling authorizations.
- PER 10 Personnel Records and Reports: Material on accessions, separations, vacancies, salary distribution, grade structure overtime, women employees, youth opportunity, personnel background, histories, evaluation files, and medical examinations.
- PER 11 Personnel Actions, Except In-Service Placement: Material on collective actions, notifications of request or personnel action, retirement reports, Presidential Appointments, reduction-in-force, separations, Written

Amendment policies and instructions. (Also see PER 5 for more specific reference on certain internal personnel activities.)

- PER 12 Recruitment and Selection, Except In-Service Placement: Material on information for new employees, i.e., qualifications, requirements, testing, certification of eligibility, applications, veterans readjustment appointments, reemployment reserve lists, recruitment sources, drives, literature, Office of Personnel Management list of active registers.
- PER 13 Special Incentives and Awards: Material on letters of appreciation, commendations, employee suggestions, performance, length of service, retirement awards, and special awards and citations.
- PER 14 Pay Administration: Material relating to pay adjustments, premium pay, pay roll coding, tax checks, compensation payments, allowances and differentials, pay rates and systems, salary limitations, and uniform allowance payments.
- PER 15 Classification of Positions: Material relating to position descriptions, position description maintenance reviews, senior executive service positions, General Schedule, wage systems, administrative pay plans, foreign service local positions, and classifications under other systems.
- PER 16 Equal Employment Opportunity (EEO) Program: Material relating to contract compliance and to EEO Program reports.
- PER 17 Labor-Management Relations: Material relating to employee organizations and union matters such as: unit recognition, representation, officials, election procedures, negotiated rights, benefits, etc.
- PER 18 Special Emphasis Programs: Material relating to individual programs with special employment procedures prescribed by the Office of Personnel Management and by Executive Orders.

PUBLIC INFORMATION (PIN)

Public Information categories for material relating to news releases, speeches, TV, radio, newspaper publicity, exhibits and displays to the public, VIP instructions, and information service projects.

- PIN 1 General: Material relating to public information matters not covered by any other secondary subjects under this category.
- PIN 2 Media Contacts: Material relating to all contacts with the news media.
- PIN 3 Audio Visual: Master copies of all audio visual material prepared for, or documenting, the release of information to the public. Includes all material regardless of format, including, but not limited to, digitized photos, tape recordings, videos, stills, slides, and motion pictures.
- PIN 4 Information Service Projects: Includes background material and clippings on major current Customs information activities and informational publications.

SECURITY (SEC)

Use the Security categories for material relating to the security responsibilities of the U.S. Customs Service, except: for emergency preparedness and national defense [see National Defense. (NAT)]

- SEC 1 General: Material relating to Customs security and the transmission, handling, and safeguarding of classified material; guard assignment, service control, and emergency plans not covered by any other subject under this primary category.
- SEC 2 National Security Clearance: Material on the reassignment, suspension, and termination of Customs personnel as a result of security considerations. Material relating to confidential information, authority to classify information, security of classified information, and logs of classified material.
- SEC 3 Reassignment, Suspension, Termination: Material on the reassignment, suspension, and termination of Customs personnel as a result of security considerations.
- SEC 4 Internal Security Investigations: Material relating to investigations conducted in personnel listings, personnel securities, and tort claims.
- SEC 5 Security Inspections: Material concerning the inspection of Customs facilities and property for security purposes and the investigation of fires, accidents, and explosions.
- SEC 6 Polygraph Examinations: Includes materials pertaining to the administration and oversight of polygraph examinations conducted by offices throughout the service including integrity investigations, investigations conducted by the Office of Enforcement, and investigations relating to unlawful disclosure of national security classified information.

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

U.S. Customs Records Schedules

U.S. Customs Records Disposition Schedules are subdivided into the following 16 general categories:

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Disposition explanations:

Destroy when no longer needed: This disposition generally applies to nonrecord copies of documents. Nonrecords may be destroyed at any time provided it has been decided that they are no longer needed.

Destroy when no longer needed for administrative or record purposes: This disposition generally applies to records which have limited, or short term value.

PERMANENT: This disposition applies to all records deemed by the National Archives as having historical value.

Destroy when __ years old: This disposition applies to records whose preservation is of temporary value to the Federal government. The disposition is applied at the end of the fiscal period.

Storage at a FRC is authorized: In general nonrecords or temporary records whose disposition term is less than one year away should not be sent to an FRC for storage. Note that at the end of the disposition period, the FRC will request authority to destroy the records.

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

1. Administrative Records

Information relating to the maintenance and disposition of administrative records may be found in the General Records Schedule (GRS) chapter: Personnel (1), Payroll (2), Procurement (3), Property (4), Budget (5), Accountable Records (6), Accounting (8), Travel (9), Vehicles (10), Space (11), Communications (12), Printing (13), Disclosure (14), Administration (16), and Maps (17).

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence relating to the categories above, except for executive correspondence.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Committee and conference reports, internal committees.	Destroy 2 years after termination of committee.	Destroy when no longer needed.	B10a
3	Internal working groups, copies for the sponsor or secretariat.	Destroy when no longer needed. For reference.	Destroy when no longer needed.	B10b1a
4	Internal working groups, copies not for the sponsor.	Destroy when 3 years old. Storage at FRC approved after 1 year on site.	Destroy when no longer needed.	B10b1b
5	Budget estimates and justification files.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	B6a
6	Budget policy files, budget administration and procedures.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed	B5
7	Excess real property reports reports SF-118 & SF-118A.	Destroy 3 years after disposal of property.	Destroy when no longer needed.	B4
8	Property disposal record, surplus property, precedent case files.	Destroy 3 years after final payment	Destroy when no longer needed.	B3.1
9	Customs aircraft utilization.	Destroy when 3 years old.	Destroy when no longer needed.	162.5
10	Debit vouchers.	Destroy when 2 years old.	Destroy when no longer needed.	24.4
11	List of publications sold and on hand.	Destroy when 3 years old.	Destroy when no longer needed.	24.7
12	Congressional hearings and testimony.	Destroy when 5 years old. Storage at FRC approved after 1 year.	Destroy when no longer needed.	A15

Records Disposition Schedule *NARA Authority is N1-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
13	Position retirement file, positions granted early retirement under 5 USC 8336c.	Destroy when superseded or obsolete.	Destroy when no longer needed.	A8
14	Federal income tax reporting.	Destroy when one year old.	Destroy when no longer needed.	A7
15	Training records, one copy of each training manual and training aids maintained at Glynco.	Destroy when obsolete or superseded	Destroy when no longer needed.	B1
16	Cross designation of Customs officers empowered to act for other agencies.	Destroy when separated or transferred.	Destroy when no longer needed.	A5
17	Small arms qualification.	Destroy when 1 year old.	Destroy when no longer needed.	A4
18	Investigations of applicants and employees of Customs. Included are background investigations, fingerprint charts, medical checks, and national agency checks. (Also see Schedule 15)	Destroy 15 years after the end of FY in which the file is closed. Storage at FRC approved 1 year after case is closed	Destroy when no longer needed.	N1-36-92-1, Item 1
19	Informational services records: Office of Public Affairs.	Destroy when 5 years old. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	B7

Schedule 2 Management Records

This series contains records relating to the management of the U.S. Customs Service.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to the management of the Customs Service.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Executive correspondence. Correspondence of senior Customs officials.	PERMANENT. Transfer to NARA in 5 year blocks when 30 years old. Earlier retirement is authorized.	Destroy when no longer needed.	A1a
3	Published and unpublished management reports.	PERMANENT. Offer to National Archives in 5 year blocks when 30 years old.	Destroy when no longer needed.	B8.1a
4	Published and unpublished management reports. Case files, working papers and background material by producing office.	Destroy when related publication is superseded or cancelled.	Destroy when no longer needed.	B8.1b
5	Management improvement reports.	Destroy when superseded or cancelled.	Destroy when no longer needed.	B9
6	Internal check and control files, to safeguard revenue and assets.	Destroy when superseded or obsolete.	Destroy when no longer needed.	24.12

Schedule 3 Legal and Regulations

This series contains records relating to records of the Chief Counsel, legal determinations and regulations applicable to statutes of law enforced by the U.S. Customs Service.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to laws and other legal requirements.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Published notices.	Destroy when superseded or obsolete.	Destroy when no longer needed.	177.24
3	Legal determinations; includes publication form, expurgated and unexpurgated copy of ruling and Customs decisions.	Destroy when superseded or obsolete.	Destroy when no longer needed.	177.25 177.22
4	Customs regulations, case files.	PERMANENT. Transfer to NARA in 5 year blocks when 20 years old. Earlier retirement is authorized.	Destroy when no longer needed.	177.21b
5	Federal tort claims files (Chief Counsel and excluding OI cases INV-15).	Destroy when 5 years old. Storage at FRC approved after 1 year on site.	Destroy when no longer needed.	A12
6	Intellectual Property Rights (IPR) (Trademarks, tradenames and patents) circulars from Headquarters.	Destroy when cancelled or obsolete.	Destroy when no longer needed.	177.16
7	Intellectual Property Rights (IPR) (Trademarks, tradenames and patents) index.	Destroy when no longer needed.	Destroy when no longer needed.	177.15
8	Intellectual Property Rights (IPR) (Trademarks, tradenames and patents) related to claimed infringements.	Destroy when administrative needs are fulfilled	Destroy when no longer needed.	133.1

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
9	Legal precedent retrieval system (LPRS), rulings since November 1976, issued by Office of Regulations & Rulings (OR&R) judicial ruling and precedents concerning value.	PERMANENT. Transfer a copy of updates to NARA annually.	Destroy when no longer needed.	177.28a .28b .28c
10	Administrative rulings, precedent cases.	PERMANENT. Transfer to NARA 15 years after the end of FY in which the file is closed.	Destroy when no longer needed.	177.1a
11	Administrative ruling, decision cases.	Destroy when administrative needs are fulfilled or no longer needed for reference.	Destroy when no longer needed.	177.1b
12	Administrative rulings, general cases.	Destroy 3 years after the end of FY in which the file is closed.	Destroy when no longer needed.	177.1c
13	Administrative rulings commercial fraud and negligence, and miscellaneous cases.	Destory 15 years after the end of FY in which the case is closed.	Destroy when no longer needed.	177.1d

Schedule 4 Appraisalment and Classification Records

This series contains records relating to the appraisalment and valuation of merchandise by the U.S. Customs Service.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to appraisalment of merchandise.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Classification and valuation rulings maintained in NY.	Destroy when 5 years old. Storage at FRC approved after 1 year.	Destroy when no longer needed.	177.6a
3	Classification and valuation rulings maintained in NY CIE, differences.	Destroy when 5 years old. Storage at FRC approved after 1 year on site.	Destroy when no longer needed.	177.6b
4	Valuation cases for foreign manufacturers.	Destroy when file is inactive for 5 years.	Destroy when no longer needed.	177.7
5	Classification and valuation rulings maintained in places other than NY.	Destroy when administrative needs are fulfilled or no longer needed for reference.	Destroy when no longer needed.	177.5
6	Case files relating to duty free entry under section 851 TSUS.	Destroy when no longer needed for reference.	Destroy when no longer needed.	177.11
7	Protests, approved.	Destroy 1 year after approval date.	Destroy when no longer needed.	174.1a
8	Protests, denied.	Destroy 1 year after liquidation date.	Destroy when no longer needed.	174.1b
9	Protests, summoned.	Destroy 6 months after final court action.	Destroy when no longer needed.	174.1c
10	Protests, if not summoned.	Destroy 6 months after summons period has expired.	Destroy when no longer needed.	174.1d
11	Protest and summons information report, local office.	Destroy 6 months after court decision.	Destroy when no longer needed.	174.2a

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
12	Customs Information Exchange (CIE), protests for further review Chief Counsel. a. precedent cases, b. Ruling/Decision Cases, c. General Cases, d. Closed commercial fraud and Negligence Branch Cases.	a. PERMANENT. Transfer to NARA 15 years after case is closed. b. Destroy when no longer needed for reference. c. Destroy 3 years after case is closed. d. Transfer to FRC 5 years after case is closed.	Destroy when no longer needed.	CIE-8b Refer back to 177/1a-1d
13	Customs Information Exchange (CIE), protest case file for further review, CIE copy.	Destroy when superseded or obsolete.	Destroy when no longer needed.	CIE-8a
14	Appraisalment entry.	Store at FRC when 1 year old. Destroy when 6 years old.	Destroy when no longer needed.	143.2
15	Rulings under section 313(a) T.A. of 1930 (manufacturing drawback).	Destroy 5 years after cancellation of contract.	Destroy when no longer needed.	177.8
16	Drawback rates.	Destroy at contract expiration or when no longer needed for reference.	Destroy when no longer needed.	191.1
17	Requests for entry data retrieval.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.34

Schedule 5 Compliance Records

This series contains records relating to compliance with U.S. Customs Service Customs regulations. See also Entry, Custodial, Inspection, and Investigations.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to compliance.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Regulatory audit subject files.	Destroy when 3 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.1
3	Regulatory audit company reports; records of company organization, officers, etc.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.2a
4	Regulatory audit, reports and records; company findings.	Destroy when 10 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.2b
5	Restricted or prohibited merchandise, specific commodities.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	12.2
6	Country of origin marking, correspondence requesting release of unmarked items.	Attach one copy to entry; destroy other copies when no longer needed.	Destroy when no longer needed.	134.1
7	Aircraft parts, civil aircraft blanket agreement on Importation and use.	Destroy when superseded or obsolete.	Destroy when no longer needed.	141.1

Schedule 6 Custody of Merchandise Records

This series contains records relating to custodial responsibility for merchandise of the U.S. Customs Service. See also compliance and Inspection.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to custodial responsibility for merchandise.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Bonds and licenses for warehouses, brokers, cartmen and carriers.	Destroy 6 years after death of licensee or revocation. Store at FRC after death or revocation of license.	Destroy when no longer needed.	112.1
3	Carrier controls, development of laws and regulations for entry and carrier controls.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.10
4	Carrier controls, merchandise under Customs control (FTZs, warehouses, etc); storage and accountability.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.11
5	Customhouse brokers, background information for exam preparation.	Destroy when 6 years old. Store at FRC after 2 years on site.	Destroy when no longer needed.	111.2a
6	Customhouse brokers, original examination and answer sheets of applicants.	Destroy when 6 months old.	Destroy when no longer needed.	111.2b
7	Customhouse brokers, correspondence related to examinations.	Destroy when 6 months old.	Destroy when no longer needed.	111.2c
8	Customhouse brokers, syllabus for exam.	Destroy when 6 years old. Store at FRC after 2 years on site.	Destroy when no longer needed.	111.2d
9	Transportation entries, withdrawal from	Destroy when 2 years old.	Destroy when no longer needed.	144.2
10	Cargo processing management, quantity control, carrier accountability.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.8

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
11	Foreign Trade Zones (FTZs). Records of applications for foreign trade zone administration and/or state designation. Documents in support of an application vary depending on whether merchandise is transported through Customs territory.	Destroy when 3 years old.	Destroy when no longer needed.	146.1
12	Disposal of hazardous waste inventory of disposals, correspondence, safety guidelines in Customs laboratories.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	12.1
13	Laboratory operations, monthly reports submitted to Headquarters.	Destroy when 3 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	151.1b
14	Customhouse brokers, license application, duties and responsibilities, or suspension revocation; records of the Chief Counsel relating to proposed suspension or revocation of license.	Destroy 6 years after death of broker.	Destroy when no longer needed.	111.1a 111.1b 177.13
15	Baggage and goods shipped in bond control documents, Inbond office copies.	Destroy when 2 years old.	Destroy when no longer needed.	18.1a
16	General order, unclaimed and abandoned goods, control files; invoices, liens, ledger sheets and related documents.	Destroy 1 year after the end of FY in which the file is closed.	Destroy when no longer needed.	127.1
17	General order; unclaimed and abandoned goods, sale or transfer records, for public auctions.	Destroy when 3 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	127.3

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Schedule 7 Data Processing

All material detailing the processing of electronic information customs-wide which is scheduled separately by subject. This category excludes the information contained in the data bases as these are scheduled separately.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to electronic data processing.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Duty Collection EDP programs.	Destroy when superseded or obsolete.	Destroy when no longer needed.	152.1a
3	Duty collection EDP programs, updates.	Destroy when 3 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	152.1b
4	Duty collection EDP programs release documents.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	152.3
5	Duty collection EDP programs, test case data.	Destroy when 1 year old.	Destroy when no longer needed.	152.2
6	Records related to the determination for value.	Destroy when superseded or obsolete.	Destroy when no longer needed.	152.4
7	Inspection management records, enforcement systems requirements.	Destroy when 10 years old. Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	162.5
8	Statistical reports relating to CLEAR. Monthly and quarterly reports used to produce management information.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.23
9	Records relating to Customs Law Enforcement Activity Reporting System (CLEAR). Reports and correspondence relating to enforcement.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.22
10	Report from the archive system.	Destroy when 1 year old.	Destroy when no longer needed.	162.24

Schedule 8 Enforcement Records

This series includes all material relating to enforcement procedures and techniques. See also Inspections and Investigations.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to enforcement procedures.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Informant compensation. Monetary payment, consists of MOIR and related data.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	161.8
3	Informant card file. Cards developed by investigations unit on each confidential informant.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	161.9
4	Narcotics inventory.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.14
5	Search and seizure, field office records.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.15c
6	Search and seizure maintained by inspection units to establish enforcement patterns, field office records.	Destroy when 2 years old.	Destroy when no longer needed	162.15c
7	Penalty case files, search and seizures, field office records.	Destroy 3 years after close of case. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	162.15c
8	Search and seizure: classification and value investigations, field office records.	Destroy after penalty determination and notification.	Destroy when no longer needed.	162.15c
9	Fines, penalties & forfeitures (FP&F) case file copies for targeting purposes.	Destroy 3 years after close of case.	Destroy when no longer needed.	171.3
10	Fines, penalties and forfeiture (FP&F) claim for liquidated damages case files.	Destroy 2 years after close of case.	Destroy when no longer needed.	172.1

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
11	Targeting profiles characteristics, aliases, identifying data.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	161.10
12	Mail importations, detentions.	Destroy when 2 years old.	Destroy when no longer needed.	145.4
13	Mail importations, canine enforcement activities.	Destroy when 3 years old.	Destroy when no longer needed.	145.5
14	Mutual assistance agreements, formal agreements.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.28
15	Air/Marine program strategy, Headquarters copy.	Destroy when 3 years old.	Destroy when no longer needed.	162.48
16	Special operations plans, local.	Destroy when 10 years old. Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	162.60
17	Air/Marine Branch activity reports, Headquarters copy.	Destroy when 3 years old.	Destroy when no longer needed.	162.55a
18	Air/Marine Branch activity reports, non-Headquarters copies.	Destroy when 1 year old.	Destroy when no longer needed.	162.55b
19	Aviation operations report. Report is completed on each Customs aircraft mission; original report is sent to Headquarters for analysis.	a. Original record at Headquarters. Destroy when 3 years old. b. Other copies. Destroy when 1 year old.	Destroy when no longer needed.	162.56a 162.56b

Records Disposition Schedule *NARA Authority is N1-36-86-1 unless otherwise noted*

Schedule 9 Entry Processing

This series includes all material relating to the process of entering compliant merchandise into the U.S., including, but not limited to bonds. Also see Appraisal, Compliance, Custodial, and Inspection.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to entry processing.	Destroy when 3 years old. Longer needed.	Destroy when no longer needed.	A2
2	United States Government importation applications for Immediate Delivery.	Destroy when 3 years old.	Destroy when no longer needed.	10.6
3	Entry of merchandise, Immediate Delivery (ID) entry process.	Destroy when 3 years old.	Destroy when no longer needed.	142.1
4	Mail importations, entry resulting in duty.	Destroy when 6 years and 3 months old.	Destroy when no longer needed.	145.1a
5	Mail importations, entry not resulting in duty.	Destroy when 3 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	145.1b
6	Mail importations, entry claims.	Destroy when 3 years old. Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	145.3
7	Quota administration, mail, undeliverable or restricted.	Destroy when 2 years old.	Destroy when no longer needed.	132.2
8	Corporate surety power of attorney, original attorney.	Destroy 3 years after superseded or obsolete.	Destroy when no longer needed.	113.2a
9	Corporate surety power of attorney, port copy.	Destroy when superseded by computer printout.	Destroy when no longer needed.	113.2b
10	Consumption entry, powers of attorney.	Destroy when superseded or obsolete.	Destroy when no longer needed.	141.2 113.2c
11	Bond records, approved by Headquarters.	Destroy 3 years after termination, or final liquidation.	Destroy when no longer needed.	113.1a
12	Bond records (TIB, etc.), approved by local port for single entry.	Destroy TIB bonds after 10 years; entry bonds after 8 years and warehouse entries after 6 years.	Destroy when no longer needed.	113.1b

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
13	Consumption entries and related documentation which have been liquidated.	Destroy when 8 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	143.1
14	Liquidation of duties, notices.	Destroy when 3 years old. Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	159.1a

Schedule 10 Export and Export Control

This series includes all material relating to the process of entering compliant merchandise into the U.S., including, but not limited to bonds. Also see Inspection and Compliance.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to exports control.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Outward foreign manifest, vessels; includes bills of lading, SEDs and clearance manifest.	Destroy when 5 years old. Store at FRC after 2 years on site.	Destroy when 1 year old.	4.7
3	Shippers Export Declaration (SED) not attached to a manifest.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	4.8
4	Lading records; export cargo declarations, outward foreign manifests, inbond vessel supplies.	Destroy when 1 year old.	Destroy when no longer needed.	4.9
5	Enforcement for other agencies supervision of outbound/export aircraft.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	161.4b

Schedule 11 Inspection Records

This series includes all material relating to the lading, unloading, and disposition of cargo and passengers. Also see Compliance, Custodial, and Entry.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to inspection of incoming persons and cargo.	Destroy when 3 years old.	Nonrecord. Destroy when all administrative and reference requirements have expired.	A2
2	Vessels clearance forms, pre 1964.	PERMANENT. Transfer to NARA immediately.	Destroy when no longer needed.	4.6a
3	Vessels clearance forms 1964, includes clearance cards, masters oath, general declaration, passenger and crew lists.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	4.6b
4	Reporting diversion of vessels; change in a vessel's itinerary following clearance for named ports.	Destroy when 3 years old.	Destroy when no longer needed.	4.10
5	Manifests, inward foreign, cargo declaration, Carrier Control Branch copy (Vessel Entrance Manifests).	Destroy when 6 years old.	Destroy when no longer needed.	4.3b
6	Manifests and declarations for aircraft, used to control entry and departure of aircraft for foreign or U.S. port while under Customs control.	Destroy when 3 years old. Storage at FRC is authorized after 3 months.	Destroy when no longer needed.	122.2
7	Air transaction log.	Destroy when 3 years old or when no longer needed. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	122.1
8	Preclearance, Headquarters.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	148.1c
9	Border inspections, Headquarters systems.	Destroy when 5 years old. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	148.1b

Records Disposition Schedule *NARA Authority is N1-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
10	Baggage declarations, free vessel, crew, military or aircraft passenger declarations.	Destroy when 6 months old or when no longer needed.	Destroy when no longer needed.	N1-36-97-1/1A.
11	Inspection management records, canine enforcement system records; coordination of international training.	Destroy when 5 years old. Storage at FRC is approved after 1 year on site.	Destroy when no longer needed.	162.6
13	Withdrawal of supplies and equipment for vessels, with bond.	Destroy when 6 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	10.5a
14	Withdrawal of supplies and equipment for vessels, without bond.	Destroy when 3 years old. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	10.5b
15	Temporary importation under bond, entries with bond.	Destroy when 6 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	10.3a
16	Vessel entry records, vessels in foreign and domestic trade, 1964 to present.	Destroy when 5 years old. Storage at FRC approved after 3 months.	Destroy when no longer needed.	4.2b
17	Cargo examination and inspection records; development of programs for improvement.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.12
18	Detector systems and special programs; reports and current research.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.13
19	Cargo movement and control records, includes bond, inventory, and automation requirements.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.9
20	Inspection activity, air and sea assignment of Customs personnel.	Destroy when 2 years old.	Destroy when no longer needed.	148.5
21	Diplomatic cargo release.	Destroy when 3 years old.	Destroy when no longer needed.	148.7

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
22	Enforcement coordination with other agencies, inspection management records.	Destroy when 10 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.4
23	PAIRS, Private Aircraft Inspection Reporting System.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.21

Schedule 12 Intelligence Records

This series includes all material relating to Intelligence operations. Also see Enforcement, Inspections and Investigation.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to intelligence.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Intelligence alerts, numerically.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	161.1a
3	Intelligence alerts, backup files.	Destroy when superseded or obsolete.	Destroy when no longer needed.	161.1b
4	El Paso Intelligence Center (EPIC) analyses source guide and special reports.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.49 162.50

Schedule 13 International Organizations Records

This series includes all material relating to International Affairs other than investigations. Also see investigations.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to international affairs.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Security classified correspondence a. country files. b. other correspondence files.	a. Destroy when no longer needed for reference. b. Destroy when no longer needed for reference.	Destroy when no longer needed.	A3c1, A3c2
3	Administrative records relating to personnel applications of Customs personnel to obtain passports and visas for official business.	Destroy when 3 years old.	Destroy when no longer needed.	A3e
4	Foreign mutual assistant agreements, country files.	Provide original agreement to country. Destroy Headquarters copy when no longer needed for reference.	Destroy when no longer needed.	A3a1
5	Records relating to foreign mutual assistance agreements programs. Relating to general mutual assistance programs, 1965-present.	Provide original agreement to country. Destroy Headquarters copy when no longer needed for reference.	Destroy when no longer needed for reference.	A3a2
6	Correspondence relating to narcotics enforcement training program, 1965-present.	Transfer original to State Department at the end of each program. Destroy Customs copy when 1 year old or when no longer needed for reference.	Destroy when no longer needed for reference.	A3a3
7	Working papers, notes, drafts, and chronological or reading files for Foreign Mutual Assistance/Agreements, training and trade affairs.	Destroy when 1 year old or when no longer needed for reference.	Destroy when no longer needed.	A3a4, A3b5

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
8	Records of the Saudi Arabian programs, 1978 - present.	Originals are transferred to the Saudi Arabian Government. Destroy Customs copy when no longer needed for reference.	Destroy when no longer needed.	A3a5
9	International organizations and trade affairs Saudi Arabian programs.	Destroy Customs copies when no longer needed for reference. Originals are sent to Saudi reference. Originals are sent to Saudi Arabia.	Destroy when no longer needed.	A3b1
10	Records of the Customs Attaché Brussels, Belgium. a. Records relating to foreign Mutual assistance agreements and training programs. b. Records relating to international organizations and trade affairs from 1970-present.	Destroy when no longer needed for reference.	Destroy when no longer needed.	A3a6, A3b2
11	Advisory Program, diplomatic privileges. Program records for the cargo processing of articles related to diplomatic privileges and immunities.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	148.1d
12	Records relating to the World Customs Organization Brussels, Belgium 1970-present. Includes briefing, background, and position papers and copies of documents received from Brussels, Belgium.	Destroy when no longer needed for reference.	Destroy when no longer needed.	A3b4
13	Correspondence concerning Agreements between Customs Service to facilitate trade from 1965-present.	Destroy when no longer needed for reference.	Destroy when no longer needed.	A3b.3

Schedule 14 Investigation Records

This series includes all records relating to Customs involvement in investigations. Also see Schedule 8 (Enforcement) and Schedule 12 (Intelligence).

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to investigations.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Neutrality investigations.	PERMANENT. Transfer to NARA 15 years after the end of the FY in which the file is closed. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.38a
3	Investigative case files, arranged by date.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	161.3a
4	Investigative case files, arranged by case number.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	161.3b
5	Investigative case files, arranged by regional symbol and investigation number.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	161.3c
6	Investigative case files, Title I.	Destroy when 10 years old or hold until no longer required for administrative needs.	Destroy when no longer needed.	161.3d
7	Enforcement for other agencies, e.g.: INTERPOL conference reports consisting of memoranda, forms, reports and unpublished reports.	Destroy 5 years after close of conference.	Destroy when no longer needed.	161.4c
8	Special investigations, country files, for overseas assignment and investigations.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.25
9	Telephone consensual authorities, microfilm.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.29

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
10	Non-telephone consensual interceptions annual report.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.30
11	Non-telephone consensual authorities, records, microfiche.	Destroy when 10 years old. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	162.31
12	Navigation violations.	Destroy when 20 years old. Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	162.33
13	Theft investigations.	Destroy when administrative needs are fulfilled.	Destroy when no longer needed.	162.37
14	Drawback investigations.	Destroy when 8 years old.	Destroy when no longer needed.	162.39b1
15	Classification investigations.	Destroy when 5 years old. Storage at FRC authorized after 1 year.	Destroy when no longer needed.	162.39b2
16	Market value investigations, field office records.	Destroy when 10 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.39b3
17	Marking bonds, procedural, and collection investigations.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.39b4
18	Cooperative investigations with other agencies.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.39b5
19	Trademark violations.	Destroy when 20 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.39b6
20	Dumping duty investigations.	Destroy when 20 years old. Storage at FRC is authorized Storage at FRC authorized after 1 year on site.	Destroy when no longer needed.	162.41a

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
21	Fast-track dumping investigations.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.41b
22	Illegal exports investigations.	Destroy when 20 years old. Storage at FRC is authorized Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	162.41d
23	Countervailing duty investigations.	Destroy when 5 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	162.41g
24	Textile quota fraud investigations. Copies of records are maintained at Headquarters. Records: a. Headquarters records. b. Original records at field offices.	a. Destroy when 5 years old. Storage at FRC is authorized after 1 year. b. Retire to FRC after 5 years on site. Destroy when 25 years old.	Destroy when no longer needed.	162.42a 162.42b
25	Civil fraud investigations. Includes criminal syllabus reports submitted to U.S. attorneys, news articles, significant activity reports and related records. a. Headquarters records. b. Field records	a. Destroy 5 years after close of case. Storage at FRC is authorized after 1 year. b. Store at FRC after 5 years on site. Destroy when 20 years old.	Destroy when no longer needed.	162.43a 162.43b
26	Criminal fraud investigations:	Retire to FRC after 10 years on site. Destroy when 20 years old.	Destroy when no longer needed.	162.44a 162.44b
27	Customs violations, investigations, original and local case copies.	Retire to FRC after 10 years on Site. Destroy when 25 years old.	Destroy when no longer needed.	162.45c
28	Coast Guard—Customs marine interdiction, relations with, Headquarters copy.	Destroy when 3 years old.	Destroy when no longer needed.	162.51a

Records Disposition Schedule *NARA Authority is NI-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
29	Petroleum gauger investigative.	Destroy after cancellation of bond.	Destroy when no longer needed.	177.14
30	Restricted merchandise investigations.	Review annually. Destroy when no longer needed for reference, no earlier than 15 years after case is closed. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	177.17
31	Federal tort claims investigative files.	Storage at FRC is authorized after 1 year on site. Destroy when 5 years old. Longer if needed.	Destroy when no longer needed.	A6
32	Currency investigations, management records; policy and procedures to enforce the Bank Secrecy Act.	Destroy when 10 years old. Storage at FRC is authorized after 1 year on site.	Destroy when no longer needed.	CI-1

Schedule 15 Security Records

This series includes all material relating to the security responsibilities of the U.S. Customs Service. Additional information relating to security may be found in General Records Schedule 18.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General Correspondence related to security, including national security.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Misconduct files; criminal investigations conducted on CUSTOMS employees.	Destroy 25 years after case is closed. Storage at FRC is authorized after 1 year.	Destroy when no longer needed.	NI-36-92-1, Item 2
3	Security classified correspondence logs.	Destroy when 1 year old.	Destroy when no longer needed.	A3d
4	Security policy correspondence.	Destroy when superseded, obsolete or when no longer needed.	Destroy when no longer needed.	B11.2
5	Broker identification cards and licenses.	Destroy when no longer needed for reference.	Destroy when no longer needed.	177.12

Records Disposition Schedule *NARA Authority is N1-36-86-1 unless otherwise noted*

Schedule 16 Non-Textual Items

Items such as photographs, videos, negatives, sound recording, digital, electronic and other non-textual items which document the activities of the Customs Service.

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
1	General correspondence related to non-textual records.	Destroy when 3 years old.	Destroy when no longer needed.	A2
2	Historically significant photographs of verification, search, inspection, seizure arrest, and other mission related to the operations involving aircraft, ships and automobiles at border and port stations throughout the country.	Original slide, negatives, contact sheets and 2 copies: PERMANENT. Transfer to NARA with all aids and captions identification in 8 year blocks when oldest image in block is 10 years old. Ensure records are appropriately labeled. Earlier retirement is authorized.	Destroy when no longer needed.	N1-36-98-5/IA1b, 1d, 1f
3	Photos of senior agency officials including coverage of press conferences and speeches.	Original slide, negatives, contact sheets and 2 copies: PERMANENT. Transfer to NARA with all aids and caption identification in 8 year block when oldest image in block is 10 years old. Ensure records are appropriately labeled. Earlier retirement is authorized.	Destroy when no longer needed.	N1-36-95/IA1b8-, 1d, 1f
4	Photographic logbooks with recording date, subject, photographer and assignment, numbers for each coverage.	PERMANENT: Cut off at end of CY in 8 year blocks. Transfer with corresponding block of permanent still photographers to NARA.	Destroy when no longer needed.	N1-36-98-5, IB2
5	Routine still photographs. Contains still photographs relating to routine subjects.	Destroy when 1 year old or when no longer needed for agency business.	Destroy when no longer needed.	N1-36-9a, 2b, 2c8-5, IA, 2

Records Disposition Schedule *NARA Authority is N1-36-86-1 unless otherwise noted*

Item	Record Series	Record Copy Disposition	Duplicate/Convenience Copy Disposition	Authority
6	Select subject slides from 1997-present, arranged by subject slide arranged by assignment categories (with duplicate set of number) and accompanied by its slide list matching each item with assigned subject category.	PERMANENT. Cut off at end of calendar year. Transfer in 8 year blocks either slide set, along with each item with its Slide List matching.	Destroy when no longer needed for agency business.	N1-36-9. 8-5, IC2
7	Selected subject: Print file officials and enforcement pursuits.	PERMANENT. Transfer to NARA when oldest item in block is 10 years old. NARA immediately upon this schedule.	Destroy when no longer needed.	N1-36-98-5, ID
8	Historically significant posters. Posters depicting Customs officials, facilities, operations, achievements, historical commemorations and other mission-related subjects.	PERMANENT. Transfer 2 copies to NARA Still Picture Branch upon publication by adding the branch to the distribution list.	Destroy when no longer needed.	N1-36-98-05, IIA
9	Routine pictures: relating to routine events and subjects common to most agencies such as savings bonds, CFC campaigns, blood drives, and/or health and safety programs.	Destroy when no longer needed for agency business.	Destroy when no longer needed for agency.	N1-36-98-05, IIB
10	Poster production materials.	Destroy when no longer needed for agency business.	Destroy when no longer needed for agency business.	N1-36-98-05, IIC
11	Sound recordings.	Destroy when no longer needed for agency business.	Destroy when no longer needed for agency business.	B14
12	Design and construction drawings and related records.	PERMANENT. Transfer to NARA within 5 years after completion of project. Earlier retirement is authorized.	Destroy when no longer needed for agency business.	B15

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Appraisalment Entry	72	Customs Violations	91
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Intelligence Alerts	86	Passports	87
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International Organizations	87	Personnel	68
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Investigation Records	89	Position Retirement File	68
Investigation Of Applicants	68	Posters	95
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Form No	Title	File in\with
1	Forms action request	See GRS 16
8	Notice to addressee mail package detained by Customs (trademark)	Attach to case file
9	Case assignment record	Attach to case file
9A	Subject index	Attach to case file
9B	Case chronology & review form	Attach to case file
16C	Transactions report—land	Destroy after data entered in computer
19	Protest	Attach to entry
23	Report of investigations	Attach to case file
23A	Report of investigation continuation	Attach to case file
23B	Identifying data worksheet	Attach to case file
23C	Identifying data worksheet continuation	Attach to case file
26	Report of diversion	Attach to case file
28	Request for information	Attach to entry
29	Notice of action	Attach to entry
33	Property transfer action	See GRS 4
48	Vacancy announcement	Attach to selection register
52	Report of property for survey	See GRS 4
55	Designation, Customs officer (excepted)	See GRS 1
58	Vehicle/vessel/aircraft inventory and receipt	See GRS 10
59	Customs fugitive report	Attach to case file
61	Merit promotion selection(s)	Attach to selection register
62A	Evaluation board rating sheet	Attach to selection register
62	Evaluation board rating sheet continuation	Attach to selection register
69	Notification to applicant	Non-record
70	Merit promotion selection register	Attach to selection register
108	One year individual development plan	See GRS 1
116	Facilities evaluation report	See GRS 4
120	Payroll adjustment request and problem report	See GRS 2
128	Incident reporting log	Destroy after data entered in computer
143	Importer/broker/consignee bond file update	See USCS Schedule 6
148	Request for property or services	See GRS 4
148A	Request for property or services continuation sheet	See GRS 4
151	Search/arrest/seizure report	See USCS Schedule 8
151A	Search/arrest/seizure negative report (and worksheet)	See USCS Schedule 6
151ALT	Search/arrest/seizure report	See USCS Schedule 8
151C	Consolidated seizure report	See USCS Schedule 8
173	Vehicle inventory report	See GRS 10
177	Vehicle operation report	See GRS 10
177A	Vehicle operation report continuation sheet	See GRS 10

Form No	Title	File in\with
178	Private aircraft enforcement system arrival report	Destroy after data entered in computer
187	Panel interview rating form	Attach to selection register
188A	Performance management program employee proficiency review (for non-supervisory employees)	See GRS 1
188B	Performance management program performance agreement (for managers and supervisors)	See GRS 1
191	Privacy act disclosure record	See GRS 14
196	Aircraft accident/incident telephonic report	Attach to incident file
198	Probationary follow-up and evaluation	See GRS 1
200	Employee skills and interest survey (cade program)	See GRS 1
203	Administratively uncontrollable overtime report	See GRS 2
205	Printing and distribution services request	See GRS 13
212	Medical information and records release	See GRS 1
213	Importer's premises visit/significant importation report	Destroy after entry into ACS is confirmed.
214	Application for foreign trade zone admission and/or status designation	See USCS Schedule 6
214A, B, C	Application for foreign trade zone admission and/or status designation (statistical copy)	See USCS Schedule 6
216	Application for foreign trade zone activity permit	See USCS Schedule 6
225	Residence change of official station expense reimbursement application	See GRS 9
226	Record of vessel foreign repair or equipment purchase	See USCS Schedule 11
231	Radio site data sheet	See GRS 4
232C-K	Customs directive	Non-record
236	Interagency agreement	See GRS 3
237	Table of organization	See GRS 16
238	High speed pursuit incident report form	Attach to case file
239	Warning label (seized or detained property)	Non-record
240	Canine enforcement team utilization report	See USCS Schedule 11.11
241	Separation clearance certification	Attach to OPF
246	Record of letter class mail opened by U.S. Customs	See USCS Schedule 8
247	Cost submission	See GRS 3
250	Request for publication in Federal Register/Customs bulletin	See GRS 13
251	Detector dog training record	Destroy after data entered in computer
255	Declaration of unaccompanied articles	See USCS Schedule 11
257	Financial statement	See GRS 2
259	Personal clothing and equipment record	See GRS 4
262	Request for brochures	See GRS 13
263	Counsel file folder	Non-record

Form No	Title	File in/with
266	Senior executive service performance plan and assessment	See GRS 1
280	Official grievance form	Attach to case file
281	Performance plan and appraisal	See GRS 1
290	Contractor's release	Attach to case file
291	Contractor inventory schedule	Attach to case file
292	Contractor's assignment of refund, rebates, credits, and other amounts	Attach to case file
293	Confidential expenses transaction receipt	See GRS 6 GRS 7
294	Export detention warning label	Non-record
296	Blanket purchase arrangement	See GRS 3
300	Bonded warehouse proprietor's submission	See USCS Schedule 6
301	Customs bond	See USCS Schedule 6
303	Delegation order	See GRS 16
305	Aircraft tracking device report	Attach to case file
306	Appraisal for promotional opportunities	Attach to selection register
307	Supplemental qualifications statement	Attach to selection register
309	Electronic monitoring equipment log	Attach to case file
312	Detector dog team performance evaluation	Destroy after data entered in computer
313	Uniform allowance authorization	See GRS 6
314	Support weapons log	See GRS 3
315	Firearms inventory control sheet	See GRS 3
316A	Ammunition inventory control sheet	See GRS 3
316B	Ammunitions use log	See GRS 3
316C	Chemical agent inventory control sheet	See GRS 3
316D	Diversionary device inventory control sheet	See GRS 3
317	Firearms qualification & certification	See GRS 1
320	Intelligence report	See USCS Schedule 12
321	Request and approval for new printed or audiovisual product	See USCS Schedule 16
322	Summons documentation transmittal	Attach to case file
323	B.P.A. call sheet	Attach to case file
324	Audited sample voucher report	See GRS 9
326	Contract investigator credential	See GRS 11
327	Monthly vessel report	See USCS Schedule 11
330	Forms inventory record card	See GRS 3
330A	Salable forms inventory record card	See GRS 3
332	Firearm repair service request	See GRS 3
333A	Authorization for home-to-work use of official vehicles	See GRS 10
333B	Vehicle usage log	See GRS 10
333C	Review of continuing home-to-work use of official vehicles	See GRS 10

Form No	Title	File in\with
334	Employee relocation expenses authorization (domestic)	See GRS 9
334B	Claim for temporary quarters subsistence expense reimbursement	See GRS 9
334C	Employment agreement	Attach to OPF
336	Relocation income tax allowance certification	See GRS 9
337	Customs export enforcement subpoena	Attach to case file
338	Entry/summary label	Attach to entry
339A-V	Annual user fee decal request	Destroy after entry into system and verified
341	Order for supplies or services	See GRS 3
341A	Order for supplies or services/schedule—continuation	See GRS 3
342	Customhouse broker permit	See USCS Schedule 6
346	Physical security access control card	See USCS Schedule 15
347	Shooting incident report	Attach to case file
348	Batch filing system charge-out card	Non-record
349	Harbor maintenance fee quarterly summary report	See GRS 6
350	Harbor maintenance fee amended quarterly summary report	See GRS 6
354	Record of narcotic training aids issued	See GRS 3
355	U.S./Canada free trade agreement vehicle averaging election	Attach to entry
356	Vehicle cost report (quarterly)	See GRS 10
357	Vehicle cost report (annual)	See GRS 10
358	Summons to appear (vessel)	Attach to entry
361	Confidential report of family member employment	See GRS 1
362	Race and national origin identification	See GRS 1
363	Collections transmittal	See GRS 6
363A	Collections transmittal continuation sheet	See GRS 6
364	Notice of seizure of a conveyance for personal use quantities of controlled substances	Attach to case file
365	General purpose 2-insert mailer	Non-record
366	Evidence label	Non-record
368	Collection receipt or informal entry	See GRS 6
368A	Collection receipt or informal entry	See GRS 6
368B	Issuance control record for CF-368a (unit set) serial numbered forms	See GRS 3
369	Career package for supervisory Customs inspector	Non-record
370	Career package for supervisory criminal investigator	Non-record
372	Record of custody of CF 368 (pad) serial numbered forms	Attach to case
373A	Serial forms error list (ARO601) transmittal for voided/lost/stolen CF-368 & CF-368a	See GRS 3
373B	Serial forms error list (ar0601) transmittal for transposition and input errors	See GRS 3

Form No	Title	File in\with
374	Forms control officer designation request	See GRS 16
375	Audit finding sheet	See USCS Schedule 5
376	Audit review sheet	See USCS Schedule 5
377	Record of discussions	See USCS Schedule 5
378	Referencing worksheet	See USCS Schedule 5
379	Reviewer's checklist	See USCS Schedule 5
380	Master index	See USCS Schedule 4
381	Auditor performance appraisal	See GRS-1
382	Auditor's checklist	See USCS Schedule 5
383	Change making funds transfer receipt	See GRS 2
384	Report of cash availability change making funds	See GRS 6
385	Record of audit resolution	Attach to audit file
386	Report of corrective action taken	Attach to audit file
387	Request for assistance on issues in audit report	Attach to audit file
389	Controlled substances enforcement subpoena	Attach to case
393	Internal affairs information nondisclosure agreement	Attach to case file
394	Annual internal affairs information nondisclosure reminder	Attach to case file
395	Termination of employment or service—internal affairs information	Attach to OPF
396	Health history background questionnaire	See GRS 1
409	Public transportation incentive program (ptip) application	See GRS 1
410	Monthly certification of eligibility	See GRS 1
411	Federal information processing (fip) resources accommodation assessment report	See USCS Schedule 11
413	User fee decal program decal sales log sheet	See GRS 6
414	User fee decal program decal allocation request	See GRS 6
415	User fee decal program monthly report of decals issued	See GRS 6
416	User fee decal program monthly report of decals replaced	See GRS 6
417	User fee decal program annual year-end report	See GRS 6
418	Boat manufacturer questionnaire	Attach to file
419	L6061 COMSEC material record	See USCS Schedule 15
420	Signature card	See schedule 15
423	AIS information sensitivity designation	See GRS 23
425	Notice of selection for random drug testing	See GRS 1
429	Project code registration	See GRS 7
431	Vendor file maintenance request	See GRS 3
434	North American free trade agreement certificate of origin	Attach to entry
434A	North American free trade agreement certificate of origin continuation sheet	Attach to entry
436	Records inventory report	See GRS 3
440	Request for form review	See GRS 16

Form No	Title	File in\with
441	Medical certification/exemption	See GRS 1
442	Application for general aviation telephonic entry program	See USCS Schedule 11
443	COBRA equipment request	See GRS 3
444	Cobra personnel request	See GRS 5
446	NAFTA verification of origin questionnaire	Attach to entry
447	North American free trade agreement motor vehicle averaging election	Attach to entry
457	Customs recruitment survey form	See GRS 1
461	Quics message	See GRS 1
1002	Certificate or payment of tonnage tax	Non-record
1300	Master's oath on entry of vessel in foreign trade	See USCS Schedule 11
1301	General declaration	See USCS Schedule 11
1302	Cargo declaration	See USCS Schedule 11
1302A	Cargo declaration (outward with commercial forms)	See USCS Schedule 11
1303	Ship's stores declaration	See USCS Schedule 11
1304	Crew's effects declaration	See USCS Schedule 11
1378	Clearance of vessel to a foreign port	See USCS Schedule 11
1379	Permit to touch and trade	See USCS Schedule 11
1400	Record of vessels engaged in foreign trade-entered or arrived under permit to proceed	See USCS Schedule 11
1401	Record of vessels engaged in foreign trade-cleared or granted permit to proceed	See USCS Schedule 11
3039	Request for Customs form, publications and other printed matter	See GRS 13
3078	Application for identification card of	See GRS 11
3107	Transmittal and routing slip	Attach to file
3115	Summons to appear and/or produce records	Attach to case file
3115A	Summons to appear and/or produce records (Customs file copy with certificates of service of summons and notice printed on back)	Attach to case file
3115B	Summons notice	Attach to case file
3124	Application for Customs broker license or permit	See USCS Schedule 6
3130	Identification top card	See GRS 11
3130A	Identification top card for Customs employee	See GRS 11
3130B	Identification top card for office of enforcement	See GRS 11
3131	License for Customs broker	See USCS Schedule 6
3137	Identification card—Customs officer	See GRS 11
3138	Identification card—patrol officers and inspectors authorized to carry firearms	See GRS 11
3138A	Identification card—seized property custodian	See GRS 11
3139	Identification card—inspectors not authorized to carry firearm	See GRS 11
3140	Identification card—canine enforcement officer	See GRS 11

Form No	Title	File in\with
3143	Identification card of licensed Customs broker	See USCS Schedule 15
3171	Application-permit-special license-unlading-lading-overtime services	Attach to entry documents
3173	Application for extension of bond for temporary importation	Attach to entry documents
3203	Inspector's certificate of sealing of vessel's stores and certificate of release from under seal	Non-record
3227	Certificate of disposition of imported merchandise	Attach to entry
3229	Certificate of origin	Attach to entry
3299	Declaration for free entry of unaccompanied articles	Attach to entry
3311	Declaration for free entry of returned American products	Attach to entry
3347	Declaration of owner	Attach to entry
3347A	Declaration of consignee when entry is made by an agent	Attach to entry
3419A	Mail entry	See USCS Schedule 9
3420	Mail entry void and error correction card	See USCS Schedule 9
3461	Entry/immediate delivery	Attach to entry
3461ALT	Entry/immediate delivery	Attach to entry
3475	Merchandise marking requirements	Non-record
3485	Lien notice	See GRS 6
3495	Application for exportation of articles under special bond	See USCS Schedule 10
3499	Application and approval to manipulate, examine, sample, or transfer goods	Attach to entry
3500A11	Body imaging personal search consent form	See USCS Schedules 5, 8, 11
3579	Affidavit by individual surety	Attach to entry
3857	Customhouse license	See USCS Schedule 6
4315	Application for allowance in duties	Attach to entry
4333	Bulletin of entries liquidated	Three years
4602A-C	Consent to search	Attach to case file
4604A-C	Affidavit	Attach to case file
4605	Currency/monetary instrument seizure inventory	See GRS 3
4606	Personal history report	Attach to case file
4607	Notice of abandonment and assent to forfeiture of prohibited or seized merchandise and certificate of destruction	See USCS Schedule 10 or attach to case file
4608	Request for polygraph examination	Attach to case file
4609	Petition for remission or mitigation of forfeitures and penalties incurred	Place in case file
4610	Operational plan	See USCS Schedule 14
4611	Waiver of rights under 5(a) of the Federal rules of criminal	Attach to case file
4612	Statement of rights	Attach to case file

Form No	Title	File in\with
4613	Order to destroy and record of destruction of forfeited, abandoned or unclaimed merchandise	See GRS 4
4614	Patient treatment form	Attach to case file
4615	Statistical data casualty report form	Attach to case file
4616	Refusal of care form	Attach to case file
4617	Risk assessment sheet for establishing and maintaining special response teams (SRT's)	See USCS Schedule 11
4618	Request for use of an SRT under sensitive circumstances	Attach to case file
4619	Clinical activity documentation form	See PER-1
4620	Medical threat assessment	See PER-1
4621	Hospital survey form	See PER-1
4623	Claim for and award of compensation for original information	See GRS 6
4647	Notice to mark and/or notice to redeliver	Attach to entry file
4790	All Report of international transportation of currency or monetary instruments, keep local copy until entered into computer	Send to data center for entry
4809	Tabulation sheet of offers submitted for supplies, services, etc	See GRS 3
4811	Special address notification	Attach to audit file
4835	Travel authorization	Destroy after data entered in computer
4911	Account of salable Customs forms	See GRS 6
5102	Forms issue/transfer record	See GRS 16
5105	Register of cash sales of Customs forms	See GRS 6
5106	Importer identification input record	See USCS Schedule 11.11
5115	Register of cash sales of government publications (other than Customs forms)	See GRS 6
5125	Application for withdrawal of bonded stores for fishing vessel and certificate of use	See USCS Schedule 6
5129	Crew member's declaration	See USCS Schedule 11
5211	Fines, penalties and forfeitures	See USCS Schedule 9
5251ALT	Order to transfer merchandise for public auction (sale)	See USCS Schedule 9
5291	Power of attorney	See USCS Schedule 9
5297	Corporate surety power of attorney	See USCS Schedule 9
5523	Invoice details for footwear	Attach to entry
5905	Air transaction log—arrivals	See USCS Schedule 11
5905A	Air transactionl log—departures	See USCS Schedule 11
5955A	Notice of penalty or liquidated damages incurred and demand for payment	See USCS Schedule 8
6001	Report of weight, gauge, or measure	Attach to entry papers
6043ALT	Delivery ticket	See USCS Schedule 11

Form No	Title	File in\with
6051A	Custody receipt for retained or seized merchandise continuation sheet	Attach to case file
6059A11	Customs declaration	See USCS Schedule 11
6082	Work ticket	See GRS 2
6084	U.S. Customs service bill	Non-record
6415A,B	Laboratory report	Attach to entry
6423	Notice of damage, shortage, or samples retained	Attach to entry
6431	Report of classification and value worksheet	Attach to entry
6431A	Report of classification and value general purpose form worksheet	Attach to entry
6432	Report of importation—antidumping act	Attach to entry
6445A	Customs protest and summons information report	Attach to entry
6479	Laboratory sample label	Non-record
7501A	Entry summary	Attach to entry
7507	General declaration (outward/inward)	Attach to manifest
7509	Air cargo manifest	See USCS Schedule 11
7512A-B	Transportation entry and manifest of goods subject to Customs inspection and permit	See USCS Schedule 11
7514	Drawback notice (lading/foreign trade zone transfer)	See USCS Schedule 4
7523	Entry and manifest of merchandise free of duty carriers certificate of release	See USCS Schedule 11
7533C	U.S. Customs in-transit manifest	See USCS Schedule 11
7537	Request for records of importation	See USCS Schedule 11
7551	Drawback entry	See USCS Schedule 4
7552	Delivery certificate for purposes of drawback	Attach to drawback entry
7553	Notice of intent to export, destroy or return merchandise for purposes of drawback	Attach to drawback entry