

§ 1222.48

recordkeeping requirements, the agency so affected shall include these in appropriate directives or other authoritative issuances prescribing its organization, functions, or activities.

§ 1222.48 Data created or received and maintained for the Government by contractors.

(a) Contractors performing Congressionally-mandated program functions are likely to create or receive data necessary to provide adequate and proper documentation of these programs and to manage them effectively. Agencies shall specify the delivery of the Government of all data needed for the adequate and proper documentation of contractor-operated programs in accordance with requirements of the Federal Acquisition Regulation (FAR) and, where applicable, the Defense Federal Acquisition Regulation Supplement (DFARS).

(b) When contracts involve the creation of data for the Government's use, in addition to specifying a final product, agency officials may need to specify the delivery of background data that may have reuse value to the Government. Before specifying the background data that contractors must deliver to the agency, program and contracting officials shall consult with agency records and information managers and historians and, when appropriate, with other Government agencies to ensure that all agency and Government needs are met, especially when the data deliverables support a new agency mission or a new Government program.

(c) Deferred ordering and delivery-of-data clauses and rights-in-data clauses shall be included in contracts whenever necessary to ensure adequate and proper documentation or because the data have reuse value to the Government.

(d) When data deliverables include electronic records, the agency shall require the contractor to deliver sufficient technical documentation to permit the agency or other Government agencies to use the data.

(e) All data created for Government use and delivered to, or falling under the legal control of, the Government are Federal records and shall be managed in accordance with records man-

36 CFR Ch. XII (7-1-01 Edition)

agement legislation as codified at 44 U.S.C. chapters 21, 29, 31, and 33, the Freedom of Information Act (5 U.S.C. 552), and the Privacy Act (5 U.S.C. 552a), and shall be scheduled for disposition in accordance with 36 CFR part 1228.

§ 1222.50 Records maintenance and storage.

(a) Agencies shall prescribe an appropriate records maintenance program so that complete records are filed or otherwise identified and preserved, records can be found when needed, the identification and retention of permanent records are facilitated, and permanent and temporary records are physically segregated or, for electronic records, segregable.

(b) Each Federal agency, in providing for effective controls over the maintenance of records, shall:

(1) Establish and implement standards and procedures for classifying, indexing, and filing records as set forth in GSA and NARA handbooks;

(2) Formally specify official file locations for records in all media and prohibit the maintenance of records at unauthorized locations;

(3) Formally specify which officials are responsible for maintenance and disposition of electronic records and which computer systems are used for recordkeeping;

(4) Standardize reference service procedures to facilitate the finding, charging out, and refiling of paper, audiovisual, and cartographic and architectural records, and to ensure that reference to electronic records minimizes the risk of unauthorized additions, deletions, or alterations;

(5) Make available to all agency employees published standards, guides, and instructions designed for easy reference and revision;

(6) Review its records maintenance program periodically to determine its adequacy; audit a representative sample of its paper, audiovisual, electronic, cartographic, and architectural files for duplication, misclassification, or misfiles;

(7) Maintain microform, audiovisual, and electronic records in accordance with 36 CFR parts 1230, 1232, and 1234, respectively;

(8) Establish and implement procedures for maintaining records and non-record materials separately; ensure that record materials generated electronically are clearly identified as records and protected from unauthorized change or deletion for the length of their scheduled retention period; and

(9) Establish and implement procedures for the separate maintenance of any personal papers in accordance with §1222.36.

(c) Agencies must ensure that:

(1) Records in their legal custody sent for off-site storage are maintained in facilities that meet the standards specified in 36 CFR part 1228, subpart K;

(2) The information requirements specified at 36 CFR 1228.154 are met; and

(3) They remove their records from any records storage facility that does not correct nonconformances with the standards specified in 36 CFR part 1228, subpart K. (A facility is compliant if it does not have to meet the standard until a specific date in the future or compliance has been waived by NARA in accordance with 36 CFR 1228.238.) Agencies must initiate removal of the records from such a center within 6 months of initial discovery of the deficiencies by NARA or the agency and to complete removal of the records within 18 months after initial discovery of the deficiencies.

[55 FR 27423, July 2, 1990, as amended at 60 FR 44640, Aug. 28, 1995; 64 FR 67664, Dec. 2, 1999]

PART 1228—DISPOSITION OF FEDERAL RECORDS

Sec.

1228.1 Scope of part.

Subpart A—Records Disposition Programs

1228.10 Authority.

1228.12 Basic elements of disposition programs.

Subpart B—Scheduling Records

1228.20 Authorities.

1228.22 Developing records schedules.

1228.24 Formulation of agency records schedules.

1228.26 Request for records disposition authority.

1228.28 Scheduling permanent records.

1228.30 Scheduling temporary records.

1228.32 Request to change disposition authority.

Subpart C—General Records Schedules

1228.40 Authority.

1228.42 Applicability.

1228.44 Current schedules.

1228.46 Availability.

Subpart D—Implementing Schedules

1228.50 Application of schedules.

1228.52 Withdrawal of disposal authority.

1228.54 Temporary extension of retention periods.

1228.56 Transfer of permanent records.

1228.58 Destruction of temporary records.

1228.60 Donation of temporary records.

Subpart E—Loan of Permanent and Unscheduled Records

1228.70 Authority.

1228.72 Approval.

1228.74 Agency action.

1228.76 NARA action on request.

1228.78 Retrieval of records.

Subpart F—Emergency Authorization to Destroy Records

1228.90 General provisions.

1228.92 Menaces to human life or health or to property.

1228.94 State of war or threatened war.

Subpart G—Damage to, Alienation, and Unauthorized Destruction of Records

1228.100 Responsibilities.

1228.102 Criminal penalties.

1228.104 Reporting.

1228.106 Exclusions.

Subpart H—Transfer of Records From the Custody of One Executive Agency to Another

1228.120 Authority.

1228.122 Approval.

1228.124 Agency request.

1228.126 Agency concurrences.

1228.128 Records of terminated agencies.

1228.130 Equipment.

1228.132 Costs of transfers.

1228.134 Restrictions on use of records.

1228.136 Exceptions.

Subpart I—Transfer of Records to Records Storage Facilities

1228.150 Where can a Federal agency transfer records for storage?