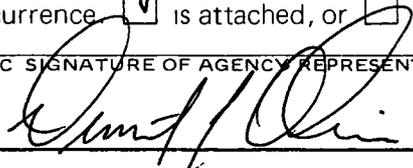


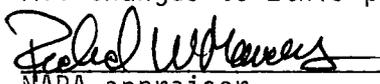
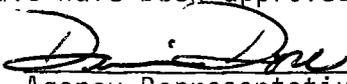
REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-36-86-1	DATE RECEIVED 8-22-86
1 FROM (Agency or establishment) U.S. Customs Service		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Financial Management & Program Analysis		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION Paperwork Management Branch		DATE 11/24/87	ARCHIVIST OF THE UNITED STATES 
4 NAME OF PERSON WITH WHOM TO CONFER Vicki L. Gardner	5 TELEPHONE EXT 566-9181		

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 150 (approx) page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

*A GAO concurrence is attached, or is unnecessary

B DATE 8/19/86	C SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE Chief, Paperwork Management Branch
-------------------	---	---

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	Comprehensive Agency Records Schedule 1986 Newly revised (see attached)		
<p>All changes to this proposed schedule have been approved by:</p> <p> 11/9/89 NARA appraiser date</p> <p> 10/16/89 Agency Representative date</p> <p>* A copy of the U.S. Customs Agency Records Schedule, 1986 (revised) has been sent to GAO for concurrence. The site audit records included in the revised schedule have not been changed and were previously approved by GAO.</p>			

a.) Original - Customs Control Copy.

Transfer to FRC after 2 years on site.

DESTROY when 6 years old.

b.) Duplicate - Statistical Copy.

DESTROY when administrative needs are fulfilled.

c.) Triplicate - Customs Manifest Copy.

DESTROY with records series for manifests.

d.) Quadruplicate - Customs Entry Copy.

DESTROY with entry records series.

e.) Fifth and Sixth copies are for importers/brokers and carriers.

SEE 19 CFR 111.23 for recordkeeping requirements. Similar records are maintained under 19 CFR 6 - Air Commerce.

~~Clearance of Vessels.~~

4/5

Record of Vessels Engaged in Foreign Trade - VES/5/15 CF-1401
 Cleared on Granted Permit to Proceed. CF-1401A*
 (CF-1401, CF-1401A), circa 1901 - present.
 Accumulation: circa 500 cu. ft.; Annual
 accumulation: circa 5 cu. ft. Description
 is similar to Record of Entrances (Series
 4/1) Records are located in Field Offices.

**PERMANENT. Offer to National Archives in 10
 year blocks when 30 years old.**

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Vessel Clearance Records.

4/6

A variety of Customs forms and local and regional paperwork is required for vessel clearance. Some types of forms and information required are entrance/clearance cards, master's oath of vessel in foreign trade, general declaration, cargo declaration, shipper's export declarations (not necessarily filed or required for every clearance) and passenger and crew lists.

VES/3/1	CF-1385*
VES/5/12	CF-1374*
VES/5/9	CF-1301
EXP/4/4	COMM-7525V
VES/9/2	I-418
EXP/4/4	COMM-7525V

a) ~~Pre-1964. Permanent. Transfer to National Archives upon approval of schedule.~~

b) ~~Post-1964. Destroy when 5 years old.~~

Outward Foreign Manifests.

4/7

A variety of Customs Forms and local and regional paperwork is maintained under this description. Records include bills of lading, shipper's export declarations and clearance manifest.

VES/5/9	CF-1301
VES/5/12	CF-1374*
EXP/4/4	COMM-7525V
	COMM-7513

Transfer to FRC after 2 years on site.

DESTROY when 5 years old.

Shipper's Export Declarations.

4/8

This basic form provides information needed for Commerce Department functions and the original is sent to the Bureau of Census. Copies are filed in several Customs series. Customs no longer verifies Shipper's Export Declarations except when Drawback is requested.

EXP/4/5	FTD-13
EXP/4/6	FTD-14
EXP/4/4	COMM-7525-V
	COMM-7513

Separate Series DESTROY when administrative needs are fulfilled.

Retain all other forms according to instructions for each master file retention instructions.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Lading Records.

4/9

Records relating to the lading of in-bond vessel supplies at pier locations, including the sealing of such supplies when necessary. Local and regional forms and sealing reports may be gathered as separate series.

VES/5/4

CF-3203

DESTROY when 1 year old.

Coastwise Procedure

Records Reporting Division of Vessels.

4/10

A change in a vessel's itinerary following its clearance for named ports requires that vessel movement records be corrected. The original form is filed with the vessel clearance series and a copy goes to the port where the vessel was diverted, and a copy is sent to the agent of the vessel. Diversion records may be maintained as a separate series.

VES-8

CF-1301
CF-1302 A&B*
CF-1378
CF-3171

DESTROY when 3 years old.

General.

Records Relating to Yacht Privileges and Obligations.

4/11

Records include locally issued licenses to cruise in the waters of the U.S. without clearing from port to port in the U.S. on to foreign ports. The regulations are explained, including all information required and format of license to be issued, under 19 CFR 4.94.

VES/4/1

NW-221
Dept. of
Justice

DESTROY when 2 years old.

*Indicates Form is Obsolete

Parts 5-6 Reserved

Part 7 - Customs Relations With Possessions and
Guantanamo Bay Naval Station.

Note: No series reported specifically
related to this part.

Parts 8-9 Reserved

Part 10 - Part 10 - Articles Conditionally Free,
Subject to a Reduced Rate, Etc.

Articles Exported and Returned.

Records Relating to the Registration of
American-Made Goods.

10/1

Includes declarations for free entry of
returned American products, certificates of
exportation, and related documents used to
register returned American exports.

CON/3/3

CF-3311

**DESTROY when administrative needs are
fulfilled.**

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Relating to Articles Exported or Imported Articles Exported and Reimported.

10/2

Includes certificates of registration, invoices and packing lists. May also be related 10 CFR 148 - Personal Declarations and Exemptions.

CON/3/1

CF-4455

DESTROY when 3 years old.

Temporary Importations Under Bond.

10/3

Records Relating to Temporary Importations Under Bond.

Entry records may include bond.

ENT/3/1

CF-3461

a.) Entries with bond.

BON/3/1

CF-7501

CF-7563*

DESTROY when 6 years old.

b.) Entries without bond.

DESTROY when 3 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Articles for Institutions.

Records Relating to Declarations of Free Entry.

10/4

Entry records may include bond.

CON/5/2

CF-3321*

a.) Entries with bond.

Transfer after 1 year on site.

DESTROY when 6 years old.

b.) Entries without bond.

DESTROY when administrative needs are fulfilled.

Withdrawals of Supplies and Equipment for Vessels.

10/5

Records Relating to Warehouse Withdrawal Conditionally Free of Duty.

Records may include a bond.

ENT/7/8

CF-7506
CF-3461 ALT
CF-7529*
CF-7505

a.) Records with a bond.

DESTROY when 6 years old.

b.) Records without a bond.

DESTROY when 3 years old.

United States Government Importations

Applications for Immediate Delivery.

10/6

DESTROY when 3 years old.

*Indicates Form is Obsolete

Part 11 - Packing and Stamping; Marking.

Records Relating to Label Approvals.

11/1

Includes application for certification of label approval under Federal Alcohol Administration Act. Records may be associated with warehouse bond.

a.) Records including bond.

DESTROY when 6 years old.

b.) Records without bond.

DESTROY when administrative needs are fulfilled.

Records of Use or Other Disposition of Red Strips Stamps.

11/2

Includes material/information on the use of Red Strips Stamps Program.

MAR-3/4-7	IRS-96
MAR/3/5	IRS-1627A
MAR/3/6	IRS-428
MAR/3/7	IRS-1627

DESTROY when 2 years old.

Part 12 - Special Classes of Merchandise.

Food, Drugs, and Cosmetics, Economic Poisonous Hazardous Substances, and Dangerous Caustic or Corrosive Substances.

Records relating to Disposal of Hazardous Waste.

12/1

Includes an inventory of disposals, correspondence and other records relating to safety guidelines in Customs laboratories. Records may be maintained at Headquarters and in the field.

FAC/11	TC-11
VES/2/14	

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

DESTROY when administrative needs are fulfilled.

Monitored Commodities

Records Relating to Restricted or Prohibited Merchandise - Specific Commodities

12/2

Includes correspondence and other records which may be maintained at Headquarters and in the field.

DESTROY when administrative needs are fulfilled.

RES/2/1-18 ANH-17-29
AIQ-29
FD-772(a)
FD-777
FD-779
Form 31C*
TC-611
USDA-FAS-203
MI-410
HS-7
FD-755
PQ-906
PHS-2963
COMM-611
FD-1

Records Relating to Warehouse Entries of Restricted Merchandise.

12/3

Records include consumption and non-consumption series. There are duplicate copies kept in the in-bond section. Other copies are sent to the Liquidating Division and the Fines and Penalties Staff when the subject is restricted merchandise. Copies relating to marking violations are sent to Commodity Specialist Teams and the Fines and Penalties Staff.

ENT/7/9 CF-7505

DESTROY when 3 years old.

Records Relating to Classification and Value of Medicines, Drugs and Chemicals.

12/4

Records include Food and Drug forms, notices and detention and hearing, affidavits of

RES/2/1-18 Check-12/2
MAI/3/1 CF-3431

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

physicians and patients and notice to importer of shipment.

DESTROY when 2 years old.

Records Relating to Fish and Wildlife Permits.

12/5

The permits granted by the Fish and Wildlife Service for the importation of certain animals. Each transaction is recorded on the permit and Customs entry documents are attached. The permits are returned to Fish and Wildlife upon expiration.

CON/2/2

PW DL-19

Forward upon expiration to Fish and Wildlife Service for disposition in accordance with that agency's records control schedule.

Records Relating to Permits to Import Controlled Substances

12/6

The permits granted by Drug Enforcement Administration are for the importation of materials such as cocoa leaves. One copy of the permit and associated copies of correspondence are retained by Customs, the original is returned to Drug Enforcement Administration (DEA).

ENF/7/9

BUR/NAR-35

DESTROY when 2 years old.

Parts 13-17 Reserved

Part 18 - Transportation In-Bond and Merchandise in Transit.

Records Relating to Transportation Entries and Manifests of Goods.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

18/1

Includes Customs forms and related documents used to control baggage and goods shipped in bond.

a.) Records Maintained by in-bond office.

DESTROY when 2 years old.

b.) Records maintained by other offices.

DESTROY when 1 year old.

TRA/1/2	CF-3499*
TRA/2/1	CF-7524*
TRA/2/2	CF-6049*
TRA/2/3	CF-7520*
TRA/3/1	CF-7512
TRA/4/1	CF-7512
TRA/5/1	CF-7512
TRA/6/1	CF-3499
TRA/7	
TRA/8/1	CF-7512
(DAU)	
TRA/9/1	CF-7512
TRA/10/1-3,	IRS-2150
(DAU)	CF-7512
	IRS-206

Part 19 - Customs Warehouses, Container Stations and Control of Merchandise therein.

Note: No series reported specifically related to this part.

Part 20-23 Reserved

Part 24 - Customs Financial and Accounting Procedure Collection of Customs.

Duties, Taxes, and Other Charges.

Collection Reports.

24/1

Monthly computer printouts of collections and transfers of collections for each port which are used for statistical comparison.

FIS/4/7 RCS-AA-51

DISPOSITION PROCEDURES BEING HELD FOR REVIEW WITH DATA SYSTEMS RECORDS

Bills and Accounts; Receipts.

24/2

~~Accounting Records.~~

~~Accounting records showing daily collection transactions, documents which substantiate money~~

~~FIS/4/124
(DAU)~~

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

~~deposited in the U.S. Treasury, transactions transmitted to Washington, D.C., entry transmittal sheets, cash receipts, informal entry, consumption entry, warehouse or rewarehouse entry duty paid warehouse withdrawal for consumption, applications for overtime services, transportation entry, accompanied baggage declaration, deposit tickets and other dutiable declarations. Records are transmitted to regional offices for processing and returned to the office of region subject to audit by GAO.~~

~~Transfer to FRC after 3 years on site.~~

~~DESTROY 6 years and 3 months after period covered by account. (GRS/6/1a)~~

Confirmed Certificates of Deposit.

24/3

Daily deposit tickets and registers of certificates maintained as separate series.

FIS/4/16

Register 421x

DESTROY when 3 years old.

Debit Vouchers.

24/4

Vouchers received from regional offices with unpaid checks which are used to prepare correspondence requiring payment of the debt.

FIS/5/9B

TOS-5504
CF-241

DESTROY when 2 years old.

Filing Identification Number.

24/5

Lists of importers/brokers with their IRS or Customs assigned numbers.

ENT/1/12
and 13

CF-5102
RCS-AR-
2015(6)

a.) Arranged alphabetically by name of importer/broker.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

b.) Arranged numerically by identification number.

DESTROY when administrative needs are fulfilled.

Salable Customs Forms.

Register of Cash Sales.

~~24/6~~

~~Documentation/Receipts for cash sales.~~

~~FIS/4/124
(DAU)~~

~~**DESTROY 6 years and 3 months after period covered by account. (GRS/6/1a)**~~

Inventory of Salable Forms.

24/7

Listing of Publications received, sold and on hand.

ADM/5/5
FIS/1/1

CF-5102
CF-5112*

DESTROY when 3 years old.

Overtime Services.

Overtime Earnings Statements.

24/8

Includes computer printouts documenting overtime earned by individuals for 2 week periods and registers of reimbursement assignments.

FIS/4/121

RCS-AA-6446

DISPOSITION PROCEDURES BEING HELD FOR REVIEW WITH DATA SYSTEMS RECORDS

Refunds of Excessive Duties, Taxes, Etc.

Records Relating to Refunds.

24/9

Customs forms which record refunds paid including SF 1166A's. Original and duplicate

FIS/5/50
(DAU)

*Indicates Form is Obsolete

sent to the region; duplicate returned to the district.

~~a.) Regional copy.~~

~~DESTROY 6 years and 3 months after period covered by account. (GRS/6/1a)~~

b.) District or other local copy.

DESTROY when 3 years old.

Statements of Advance Funds.

24/10

Treasury and Customs forms used to verify amount of money advanced and amount on hand; performed annually as requested by regional headquarters after period covered by account.

FIS/5/50
(DAU)

~~a.) Regional copy.~~

~~DESTROY 6 years and 3 months after period covered by account. (GRS/6/1a)~~

b.) District or other local copy.

DESTROY when 3 years old.

Report of Cash Accountability.

24/11

Documentation/reports for cash account.

FIS/5/50
(DAU)

~~a.) Cashiers copy.~~

~~DESTROY 6 years and 3 months after period covered by account. (GRS/6/1a)~~

b.) Duplicate copies.

DESTROY when 3 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Internal Check and Control Files

24/12

Records relating to all internal checks performed at the district, port, and station levels and safeguard the Government's revenues and assets.

AUD/4/2

CF-5313*

DESTROY when superseded or obsolete.

Parts 25-53 Reserved

Part 54 - Certain Importations Temporarily Free of Duty.

Note: No series reported specifically related to this part.

Parts 55-100 Reserved

Part 101 - General Provisions.

Note: No series reported specifically related to this part. See GRS 18 for series related to identification cards.

Part 102 - Reserved

Part 103 - Availability of Information.

Note: No series reported specifically related to part series. See GRS 14 for FOIA/Privacy Act series.

Parts 104-110 - Reserved

Part 111 - Customhouse Brokers.

Records Relating to Customhouse Brokers.

111/1

Records include information on license application, examinations, duties and responsibilities, cancellation, suspension or revocation of license.

BRO/3/3

CF-3123*
CF-3125*
CF-3143*
CF-3079*
CF-3124

*Indicates Form is Obsolete

a.) Headquarters files of the Chief Counsel Office's which relate to the proposed suspension or revocation of a customhouse broker's license.

Maintain revocation of license at location in case new application is applied for by applicant.

Transfer to FRC after death of broker.

DESTROY 6 years after death of broker.

b.) Field office file for individual brokers.

Transfer to FRC after death of broker.

DESTROY 6 years after death of broker or revocation of license.

Records Relating to Customhouse Broker's Examination.

111/2

Records used to prepare examinations of persons who have applied for a license.

BRO/3/3

CF-3123*
CF-3125*
CF-3124

a.) Background information used for preparation of examination.

Transfer to FRC after 2 years on site.

DESTROY when 6 years old.

b.) Original examination and answer sheets used by applicants.

c.) Correspondence related to request for copies of the examination, responses to questions concerning examination.

DESTROY when 6 months old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

d.) Records related to syllabus for
customhouse brokers.

Transfer to FRC after 2 years on site.

DESTROY when 6 years old.

Part 112 - Carriers, Cartmen and Lightermen.

Correspondence Relating to Bonds, Licenses
and Similar Documents for Bonded Warehouse-
men, Cartmen, and Carriers.

112/1

Arranged alphabetically by name of person
licensed. Do not retire to FRC until death
of licensee or revocation of license.

CF-3078

**Transfer to FRC after death or revocation of
license.**

**DESTROY 6 years after death of licensee or
revocation of license.**

Part 113 - Bond Records

A variety of bonds are executed to provide
security required by law to protect the
revenue or insure legal compliance.

BON/3/1

CF-301

There are two classes of bonds:

1.) Those approved by the Director, Carriers,
Drawback and Bonds Division, and the Director
of Entries, Procedures and Penalties
Division, both offices at Headquarters, who
obtain the record copy of the approved bond
on behalf of the Commissioner.

CF-3173
CF-3581*
CF-3583*
CF-3587*
CF-3588*
CF-4615*
CF-7303
CF-7547*
CF-7550*
CF-7551*
CF-7553*
CF-7557*
CF-7559*
CF-7561*
CF-7563*
CF-7563A*

2.) Those approved by the district director.
In the case of the Bond for Accelerated
Payment of Drawback, the district director
obtains the concurrence of the regional

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

commissioner before acceptance. The record copy is kept at the field office. National use bonds will be kept as separate series and available to the district director. Examples of national use bonds are: Carrier's Bond (CF 3587), Bond for the Control of Certain Instruments of International Traffic CF-7587, Bond for Control of Identified Shipping Containers (Section 10.41 CFR 19), Air Carrier Blanket Bond (CF 7605) and General Term Bond for Entry of Merchandise (CF 7595). Whenever possible, bonds should be kept separate from other series which are routinely destroyed on an earlier basis. Bonds are described in section 113.13 and 14 CFR 19.

CF-7581*
CF-7587*
CF-7591*
CF-7593*
CF-7595*
CF-7597*
CF-7599*
CF-7601*
CF-7603*
CF-7605*
CF-7609*

a.) Bonds approved at Headquarters, national use bonds approved by district directors, and term bonds.

Transfer to FRC after 3 years on site.

DESTROY 6 years from the date of termination, final liquidation, or reliquidation whichever is sooner.

b.) Bonds for single entries which are normally filed with the entry papers series.

DESTROY as follows: Temporary Importations Under Bond (TIB) entry, destroy when 10 years old; Consumption Entries, destroy when 8 years old; Appraisement Entries, destroy when 8 years old; Warehouse Entries, destroy when 6 years old.

Records for Corporate Surety Power of Attorney.

113/2

Certain corporations are authorized to act as sureties on bonds with the amount in which each may be accepted specified in the record.

BRO/4/2

CF 5297*

*Indicates Form is Obsolete

A specific Customs form is required and the authorization may not be limited to single part.

a.) The original of the Power of Attorney shall be sent to the Customs Data Center.

DESTROY 3 years after being superseded or made obsolete.

b.) A copy is maintained at the port where the power was filed until the first computer printout reflecting the document is received.

DESTROY when superseded by computer printout.

c.) Customs forms revoking a power of attorney.

DESTROY when superseded by computer printout.

Note: See also, Power of Attorney, 141.41 (See Item 141.2 of this schedule).

Part 114 - Carnets

Note: No series reported specifically related to this part.

Parts 115-121 Reserved

Part 122 - Air Commerce Regulations.

Air Transaction Log.

122/1

Logs maintained separately for arrivals and departures include data on aircraft registration, type of aircraft, airline name, time of arrival, number of passengers and crew, number of bags examined, and destination.

AIR/4/2/3 CF-5905/5905A
CF-3078

DESTROY when 3 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Aircraft, Manifests and Declarations.

122/2

Customs forms used to control entry and departure of aircraft for foreign or other U.S. port while under Customs control. Information includes data on registration, number of passengers and crew, itinerary, owner, pilot's signature, and cargo. Information may also be used to record entries in the PAIRS system of the Treasury Enforcement Communications System and also used for INS reports on private aircraft arrivals into the U.S. PAIRS and INS reports are not required to be kept as a part of this series. (See TECS, .162 and CRS/20).

AIR/4/1
and 4

CF-7509
CF-7507
CF- 178

DESTROY when 3 years old.

Discrepancy Report and Declaration Records.

122/3

Customs form may be used to record information similar to that of shortages/overages for aircraft cargo which documents an importer's claim. This series will not accumulate in a large volume.

VES/1/1

CF-5931

a.) Original - Customs Control copy.

Transfer to FRC after 3 years on site.

DESTROY when 6 years old.

b.) Duplicate - Statistical copy.

DESTROY when information recorded.

c.) Triplicate - Customs manifest copy.

DESTROY with records series for manifest.

d.) Quadruplicate - Customs entry copy.

DESTROY with entry records series.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

e.) Fifth and sixth copies are for importers/brokers and carriers.

See 19 CFR 111.23 for recordkeeping requirements.

Shipper's Export Declarations

122/4

Records information needed for Commerce Functions. The original is sent to the Bureau of Census.

EXP/4/5
EXP/4/6

FTD-13/COMM
FTD-14/COMM

DESTROY when administrative needs are fulfilled.

Part 123 - Customs Relations with Canada and Mexico.

Inward Foreign Manifest for Vehicles or Vessels under Five Tons.

123/1

- a.) For merchandise free of duty;
- b.) For dutiable merchandise not exceeding \$250 in value;
- c.) For shipments not exceeding \$250 in value of articles of American origin;
- d.) For baggage arriving in baggage cars.

BOR/7/1
VES/5/11

CF-7533
CF-7533
CF 3093

DESTROY when no longer needed.

Part 124 Reserved

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Part 125 - Cartage and Lighterage of Merchandise.

Note: No series reported specifically related to this part.

Part 126 Reserved

Part 127 - General Order, Unclaimed, and Abandoned Merchandise.

General Order Merchandise.

General Order Control Files.

127/1

Invoices, liens, ledger sheets and related documents used for control of merchandise entered and withdrawn from General Order Warehouse.

ENF/8/8
BAG/8/1
INS/2/7

CF-5209
CF-5209

DESTROY 1 year after closing file.

Unclaimed and Abandoned Merchandise.

Seizure Inventory Records.

127/2

Shows listing of seized property and merchandise.

ENF/8/18

Register
441x

DESTROY 1 year after end of fiscal year in which the register was closed.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Sale of Unclaimed and Abandoned Merchandise.

Records Relating to the Transfer of Merchandise for Sale.

127/3

Forms and other records maintained by field offices such as Merchandise Control/Public Auctions units.

CAR/4/2
INS/2/4
TEC/4/5

CF-6043
CF-6043
CF-6415

DESTROY when 3 years old.

~~Records Relating to the Sale of Merchandise.~~

~~127/4~~

~~Forms and other records maintained by field offices such as Sales and Seizures units. Records include Certificate of Release of a Vehicle, Advertising Orders, Seizure Report, and regional office forms, which are not included in the current Customs Records Control Handbook.~~

~~INS/3/7
INS/3/4
CAR/4/2
INS/2/4
BAG/8/2~~

~~CF-5163
CF-4613
CF-6043
CF-6043
CF-5163~~

~~**Transfer after 3 years on site.**~~

~~**DESTROY 6 years and 3 months after period covered by account. (GRS 6/1a)**~~

Records of the Disposition of Property.

127/5

Forms and other records maintained by field office including Government Bill of Lading, Order to Transfer Merchandise for Public Auction (sale), Transportation Entry and Manifest of Goods Subject to Customs Inspection and Permit, Carriers Certificate and Release Order, Lien Notice, Order to Destroy and Record of Destruction of Forfeited, Abandoned or Unclaimed Merchandise, Appraisal of Seized Merchandise, Notice of Refusal of Admission and other regional office forms. Report and Assignment of

FIS/5/46
INS/3/4
TRA/3/1
ENT/1/4
ENT/1/16
INS/3/4
RES/2/9

SF-1103 & A
CF-4613
CF-7512
CF-7529*
CF-3485
CF-4613
FD-772 (A)

*Indicates Form is Obsolete

Voluntarily Abandoned and Forfeited Property may document other actions including use by Customs of certain forfeited property.

DESTROY when 3 years old.

Parts 128-131 - Reserved

Part 132 - Quotas.

Records Relating to the Administration of Quotas by Headquarters.

132/1

QUO/1/1
(DAU)

CF-3161

Quotas administered by Headquarters include: merchandise subject to a duty-free or tariff-rate quota; merchandise subject to an obsolete quota, other than textiles and textile products, by country. The Customs form "Report of Commodities Imported Under the Quota Provisions of Trade Agreements" is used.

1.) Original Customs forms received by the Headquarters unit.

DESTROY when 3 years old.

2.) Record copies produced by reporting unit using Customs forms.

DESTROY when superseded or obsolete.

3.) Reports received by the headquarters unit by way of the teletypewriter and telephone.

DESTROY when superseded or obsolete.

4.) Weekly Quota Status Reports produced by reporting units.

DESTROY when no longer needed.

Records Relating to Mail Importation of Absolute Quota Merchandise.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

132/2

Customs forms include notice of addressee of arrival of mail shipment when quota is filled and mail is returned to sender as undeliverable, or when only part of a delivery can be made under quota restrictions.

MAI/6/2

CF-3509

DESTROY when 2 years old.

Part 133 - Trademarks, Tradenames and Copyrights.

133/1

Records relating to claimed infringements by importers. Includes data acquired monitoring specific importers by Headquarters and field laboratories.

DESTROY when no longer needed.

Note: See Section 177 for records produced in making administrative rulings.

Part 134 - Country of Origin Marking.

Records Relating to Marking Compliance.

Files for closed marking compliance cases include Customs form "Notice of Redelivery, Markings, etc." and correspondence requesting release of unmarked requirements. One copy of the Customs form is attached to the entry.

MAR/1/2

CF-4647

134/1

"Redelivery, Markings, etc." and correspondence requesting release of unmarked requirements. One copy of the Customs form is attached to the entry.

DESTROY when no longer needed.

Note: See Section 145 for records related to marking requirements for mail importations.

Parts 135-140 - Reserved

*Indicates Form is Obsolete

Part 141 - Entry of Merchandise.

Civil Aircraft Agreement Blanket Declaration.

141/1

Trade agreements accepted by the President which specify that importers, manufacturers, or users of imported aircraft parts intend to use these items only in civil aircraft.

New Series

DESTROY when superseded or obsolete.

Powers of Attorney.

Records for Power of Attorney.

141/2

Customs form for Power of Attorney to be used to transact Customs business, shows the company's name, and name of persons authorized to sign entries and bonds.

BRO/4/5

CF-5291

DESTROY when superseded or obsolete.

Note: See Section 113.37 for Corporate Surety Power of Attorney

Presentation of Entry Papers.

Entry Records.

141/3

A Customs form is filed with each consumption or warehouse entry summary and with each appraisalment, vessel/aircraft repair, or drawback entry. Entry summaries, and accompanying documentation will be an appropriate Customs forms.

ENT/1/9

CF-5101*

Transfer to FRC after 1 year on site.

DESTROY when 6 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Release of Merchandise.

Records Relating to Recall of Merchandise Released from Customs Custody.

141/4

Entry documentation related to violations of regulations and assessment of penalties received by units responsible for fines, penalties, and forfeitures. Customs form "Notice of Penalty" is part of series.

ENF/4/4

CF-5955-A

MAR/1/2

CF-4647

Transfer after 1 year on site.

DESTROY when 3 years old.

Part 142 - Entry Process.

Entry Documentation.

Records of Immediate Delivery Applications.

142/1

Entry documentation/record for the processing of immediate delivery on merchandise being imported into the U.S..

ENT/3/1

CF-3461

DESTROY when 3 years old.

Status Reports of Formal Entries.

142/2

Reports of entries open in the district office containing information such as title of entry, money paid out, withdrawal amounts, importer of record, and printouts of data.

FIS/4/102

RCS-A-5701
CF-5106

DESTROY when 3 months old.

Error Reports.

142/3

Consolidated listing of errors made in the entry process.

FIS/4/36/
37

RCS-AR-0301
RCS-AA-53E

DESTROY when 1 year old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Relating to Unliquidated Entry Statistics.

142/4

Includes printouts which are used as a record of unliquidated entries.

Listings of errors in the system which are used in making corrections of erroneous serial and entry numbers.

New Series

FIS/4/36	RCS→AR→0301
FIS/4/37	RCS→AA→53E
FIS/4/102	RCS→AR→7501

DESTROY when 1 year old.

Part 143 → Consumption, Appraisal, and Informal Entries.

Records Relating to Free Consumption and Liquidated Consumption Entries.

143/1

The records include information pertaining to the importation of merchandise such as amount of duty levied, description of goods, noted receipts of inspection, bond noting insurance of merchandise duty payments, invoices of exporting country and forms showing delivery of merchandise. Customs and other agency forms include consumption entry, consumption entry permit, immediate delivery application, consumption entry continuation, entry record, special Customs invoice, commercial invoice and packing lists, transportation entry and manifest of goods subject to Customs inspection and permit, carrier's release and order, immediate delivery and consumption entry bond, bill of lading, importation of motor vehicles and equipment subject to safety standards and air pollution regulations, declaration for importation or exportation of fish or wildlife, laboratory report, notice to addressee of arrival of mail shipment, invoice detail for footwear, permit to

FIS/4/124	CF→19
ENT/3/1	CF→3461
ENT/3/2	CF→7501/B*
ENT/1/9	CF→5101*
ENT/1/22	CF→5515*
CON/11/1	CF→7512
TRA/8/1	CF→7512
BON/3/1	CF→7529*
RES/2/6	HS→7
RES/2/2	ANH→17→29
TEC/4/5	CF→6415
MAI/6/2	CF→5523
ENT/1/15	CF→5523
ENF/7	CF→3145*
RES/2	ANH→17→29
CON/3/3	CF→3311
EXP/4	CF→7525→V*
BAG/1/3	CF→4455
MAR/1/2	CF→4647
INS/2/4	CF→6043
CAR/4/2	CF→6043
TEC/2/7	CF→6423

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

export, petroleum licensing system posting and coding sheets, declaration for free entry of returned American products/certification of exportation, foreign shippers declaration, certificate of registration, notice of redelivery - markings, etc., delivery ticket, notice of damage, shortage or samples retained, shipper's export declaration, certificate of origin, invoice details for cotton fabrics and linens, certificate of age and origin (spirits and wine), application for manipulation and protest. Not all records are filed with every entry, some forms are transmitted to other Government agencies. Many of the forms are duplicates with GAO audit copies under Part 24 - Customs Financial and Accounting Procedure and drawback records under Part 191 - Drawback.

LIQ/8/4
APP/5/1
EXP/4/4
RES/12
CLA/3/1
SPE/2/5
ENT/1/4
WAR/3/1
CON/1/1
ENT/6/1
EXP/4/4

CF-6423
CF-6423
COMM-7525-V

CF-3229
CF-5519*
CF-7529*
CF-3499
CF-7523
CF-7551*
COMM-7513

Transfer to the FRC after 1 year on site.

DESTROY when 8 years old.

Records Relating to Appraisement Entry.

143/2

Merchandise eligible for appraisement is described in 19 CFR 143.11 and application is made on the Customs form designed for that purpose.

ENT/2/1

CF-7500*

Transfer to the FRC after 1 year on site.

DESTROY when 6 years old.

Records Relating to Informal Entry.

143/3

Merchandise eligible for informal entry described in 19 CFR 143.21 may be entered on the Customs form provided for that purpose or on another type of documentation permitted by the district director.

ENT/4/1
FIS/4/124
(DAU)

CF-5119A

*Indicates Form is Obsolete

a.) Copy of informal entry documentation used for immediate release.

Destroy 30 days after entry is made.

b.) Copy of informal entry document used for evaluating merchandise admitted free of duty.

**Transfer to FRC after 1 year on site.
DESTROY when 3 years old.**

c.) Copy of informal entry documentation used for evaluating merchandise on which duty is paid.

**Transfer to FRC after 1 year on site.
DESTROY when 6 years and 3 months old.**

Part 144 - Warehouse and Reworkhouse Entries and Withdrawals.

Records Relating to Warehouse Entry.

144/1

Merchandise eligible for warehouse entry is described in 19 CFR 144.1. Customs and other agency forms include warehouse entry and continuation sheet, transportation entry and manifest of goods subject to Customs inspection and permit, a special Customs invoice, commercial invoice - certificate of age or origin, warehouse entry permit, duty paid warehouse withdrawal for consumption, duty paid warehouse for consumption (permit), entry record carrier's certificate and release order, warehouse entry bond, record of bonded merchandise received, permitted, and delivered from warehouse, certificate for spirits exported to USA, report of warehouse withdrawals, and immediate delivery application.

a.) Merchandise subject to drawback.

See item 191/2

b.) All other warehouse entry records.

Transfer 90 days after entries have been withdrawn.

DESTROY when 6 years old.

FOR/2/4	CF-7502*
ENT/7/5	CF-7502/B*
(DAU)	
TRA/3/1	CF-7512
TRA/4/1	CF-7512
TRA/8/1	CF-7512
TRA/9/1	CF-7512
TRA/10/1	IRS-2150
ENT/1/22	CF-5515*
ENT/7/7	CF-7502/B*
(DAU)	
RES/2/1-18	
ENT/3/1	CF-3461
FOR/2/5	CF-7505
ENT/7/9	CF-7505
ENT/7/2	CF-7505
(DAU)	
ENT/1/9	CF-5101*
(DAU)	
ENT/1/4	CF7529*
BON/3/1	See 113/1
	CF-7571*
ENT/1/14	CF-5519*
MAR/3-1	IRS-487/B
MAR/3-2	IRS-1689
MAR/3-3	IRS-1631
MAR/3-4	IRS-96

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

All entry records permanently recalled from FRC for drawback purposes are to be returned to FRC under new accession #, using 191/2 disposal authority.

MAR/3-5
MAR/3-6
FIS/4/95
TRA/3/1

IRS-1627-A
IRS-428
RCS-AB-7028
CF-7512

Records Relating to Transportation Entry.

144/2

Withdrawal from warehouse for either direct or indirect exportation or for transportation to another port of entry is filed on Customs form for transportation entry and manifest of goods subject to Customs inspection and permit.

TRA/5/1
TRA/6/1
TRA/8/1
TRA/9/1

CF-7512
CF-7512
CF-7512
CF-7512

DESTROY when 2 years old.

Records Relating to Withdrawal from Warehouse Tobacco or Tobacco Related.

144/3

Information gathered on ATF forms for that agency's use and information of suppliers.

CON/13/4
CON/13/5
EXP/1/2
TRA/10/1

IRS-1582-B
IRS-2150
CF-3495
IRS-2150

DESTROY when 3 years old.

Part 145 - Mail Importations Requirements and Procedures.

Records Relating to Mail Importation Entry.

145/1

Entry of merchandise is described under 19 CFR 145.12. Customs forms may include mail entry, entry and manifest of merchandise free of duty, carriers certificate and release, declaration for free entry of unaccompanied articles, declaration for free entry of returned American products and/or certificate of exportation, declarations for institu-

MAI/9/9
CON/1/1
ENT/6/1
BAG/1/5
CON/3/3
BAG/1/4
CON/5/2

CF-3419
CF-7523
CF-7523
CF-3299
CF-3311
CF-6061*
CF-3321*

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

a.) Records relating to mail importations which result in the collection of duties.

DESTROY 6 years and 3 months after period covered by account.

b.) All other records.

DESTROY when 3 years old.

Notices of Mail Entry Arrivals.

145/2

These records include notices of formal entry requirements to addressees and marking requirements.

MAR/1/1

CF-3475

DESTROY when 2 years old.

Note: For items related to absolute quota merchandise, see Part 132, Item 2.

Administrative Review of Mail Entries.

Records Relating Mail Entry Claims.

145/3

Correspondence and Customs forms concerning overpayment of duties including duplicate mail entry and regional office forms.

MAI/9/9

CF-3419

DESTROY when 3 years old.

Note: For records of protests, see .174.

Records Relating to Detention of Mail Entries.

145/4

Customs forms and other agency forms concerning the clearance of mail shipments of diplomats, trademarked merchandise, other marking requirement, value of merchandise,

MAR/1/2

CF-4647

MAI/3/1

CF-3431

MAI/9/9

CF-3419

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

foreign assets control, firearms, liquor and other special, restricted or prohibited categories.

DESTROY when 2 years old.

Records Concerning Enforcement Activities.

145/5

Customs forms and other records of enforcement accomplished by dog handlers and personnel assigned to mail entry activities.

New Series CF-151

DESTROY when 3 years old.

Part 146 - Foreign Trade Zones.

Records of Applications for Foreign Trade Zone Admission and/or State Designation.

146/1

Documents in support of an application vary depending on whether merchandise is transported through Customs territory, or merchandise is unladen directly from the importing carrier.

New Series
FOR/2/1 CF-3171

DESTROY when 3 years old.

Part 147 - Trade Fairs.

Note: No series reported specifically related to this part.

Part 148 - Personal Declarations and Exemptions.

Records Relating to Passenger and Cargo Processing.

148/1

- a.) Headquarter's Program Records for Air/Sea Inspection which includes such programs as CAPIS (Customs Accelerated Passenger Inspection System).

BAG/2/1 CF-6051
 BAG/2/2 CF-6021 A&B*
 CF-3189
 CF-3171

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

DESTROY when 15 years old. Do not transfer to Federal Records Center.

b.) Headquarter's Program Records for Border Inspection.

BAG/2

CF-6005*
CF-6043
CF-5209
CF-6051
CF-6021 A&B*

DESTROY when 5 years old.

INS/2

BAG/2

CF-6051
CF-6051 A&B*

c.) Headquarters' Program Records for Pre-Arrival Inspection.

MAN/10/3

DESTROY when 5 years old.

Advisory Program.

d.) Program Records for the Cargo Processing of Articles Related to Diplomatic Privileges and Immunities.

DESTROY when 5 years old.

Records Relating to Temporary Importations on Returning Residents' Certificates.

148/2

Customs forms include certificates of registration, invoices and packing records documenting exemptions from duties.

BAG/1/3

CON/3/1

CON/3/2

CF-4455
CF-4455
CF-3321*
CF-3311

DESTROY when 3 years old.

Declarations.

Records Related to Oral Declaration and Payment of Duty.

148/3

Customs form for cash receipt.

FIS/4/13

CF-5104

a.) Records kept by Fines, Penalties, and Forfeiture unit.

DESTROY when 1 year old.

*Indicates Form is Obsolete

b.) Records kept by cashier's branch is separate from accountable offices records.

DESTROY when 3 years old.

~~c.) Records of Accountable Officers.~~

~~Transfer to the FRC after 1 year.~~

~~DESTROY 6 years and 3 months after period covered by account. (GRS 6/1a)~~

Records of Baggage Declarations.

148/4

~~a.) Dutiable Ships or Air Commerce.~~

BAG/1/1&2
BAG/2

CF-6059B
CF-6051
CF-6021 A&B*

~~DESTROY 6 years and 3 months after period covered by account. (GSR 6/1a)~~

FIS/4/124
(DAU)

b.) Free Ships or Air Commerce Declarations.

Transfer to the FRC after 1 year on site.

DESTROY when 2 years old.

c.) Free Baggage Declarations for Crew members or U.S. Military Passengers.

DESTROY when 2 years old.

Records of Ships and Air Inspection Activity.

148/5

Field office records of baggage clearance and assignment of Customs personnel.

New Series

DESTROY when 2 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Exemptions.

Records Relating to Informal, Free Entry.

148/6

Customs forms include declaration for free entry of articles not accompanying a resident or non-resident, declaration for free entry of returned American products and/or certificate of exportation, entry and manifest of merchandise free of duty, carriers certificate and release order, transportation entry, invoices, packing lists, bills of lading, and special Customs invoice all forms are found in every entry, some records are of private origin.

BAG/1/5	CF-3299
CON/3/3	CF-3311
ENT/6/1	CF-7523
CON/1/1	CF-7523
ENT/1/4	CF-7529*
CON/11/1	CF-5515*
ENT/1/22	CF-5515*
BAG/1/4	CF-6061*
BAG/5/4	CF-6061*

DESTROY when 3 years old.

Records Relating to Release of Diplomatic Cargo.

148/7

Forms include State Department issuances for Foreign Personnel and U.S. Personnel assigned to United Nations.

BAG/5/3	DS-1504
---------	---------

DESTROY when 3 years old.

Parts 149-50 Reserved

Part 151 - Examination, Sampling, and Testing of Merchandise.

Records of Laboratory Operations.

151/1

a.) Copies of monthly and annual reports of field laboratories.

TEC/4/3&4	TS-8
-----------	------

DESTROY when administrative needs are fulfilled.

b.) Monthly reports submitted to Headquarters.

DESTROY when 3 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

c.) Annual Report compiled by Headquarters from laboratory reports submitted periodically.

DESTROY when 3 years old.

Records Related to Methods for Monitoring and Analyzing Committees.

151/2

Correspondence and other records concerning such commodities as sugar, petroleum, fruit juices, fluorspar and ferrochrome.

SPE/2

CF-7531A*
CF-7531B*
CF-4470*
CF-4469*
CF-5519*
CF-6451
CF-6469
CF-7531A*

DESTROY when administrative needs are fulfilled.

Reports of the National Commodity Sampling Information System (NCSIS).

151/3

Contains information on regional sampling rates, clearance of duty rate related to laboratory analyses.

Disposal not authorized at this time.

Records Related to Sampling Commodities.

151/4

Customs forms include notice of damage, shortage, or samples retained and notice to call for samples.

APP/5/1
LIQ/8/4
TEC/2/7
TEC/2/8

CF-6423

a.) Records maintained by commodity teams.

DESTROY when 1 year old, at end of FY, or at the end of the calendar year whichever is later.

*Indicates Form is Obsolete

b.) Copy sent with sample to storage and sales units.

DESTROY when 3 years old.

c.) Copies attached to entry records. Since entry must be made in 10 days, retrieval of sample records from entry records can be made from commodity team records.

DESTROY in accordance with disposition instructions for the type of entry record.

Part 152 - Classification and Appraisal of Merchandise Program.

Records of Duty Assessment Division.

Records of Operational Programs.

Includes current copy of program and all changes to each program for a period of 3 years.

ADP/2

152/1

a.) Current copy of program.

DESTROY when superseded or obsolete.

b.) Changes to current program.

DESTROY when 3 years old.

Test Case Data.

152/2

Includes all test data for each system enhancement.

ADP/2/10

DESTROY when 1 year old.

*Indicates Form is Obsolete

Release Documents.

152/3

Includes copy of all enhancements to operations systems used for background and research benefit of the division.

ADP/2

DESTROY when administrative needs are fulfilled.

Records Related to the Determination for Value.

152/4

Includes invoices, catalogs, price lists, and quota information used by import specialists for current business.

New Series

DESTROY when superseded or obsolete.

CI - Records Relating to Currency Investigations. (31 CFR 103).

Currency Investigations Management Records.

CI-1

Headquarters management related to policy and program development, monitoring enforcement and compliance of the Bank Secrecy Act. Selected investigative and legal files are included. Hold until processed.

MAN/2
MAN/3

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

Indexes to Currency on Monetary Instruments Reports.

CI-2

a.) Index Cards, 1972-75

New Series

DESTROY when administrative needs are fulfilled.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

b.) Alphabetical name listings reproduced on microfiche.

DESTROY when superseded or obsolete.

Report of International Transportation of Currency on Monetary Instruments.

CI-3

Includes Customs form required to be filed by persons transporting substantial amounts of currency, etc. into or out of the U.S..

a.) Original forms received by field offices.

MAN/2/3

CF-4790

DESTROY when 1 year old.

b.) Copies transmitted to Customs Data Center.

INV/32/1

CF-4790

DESTROY when information is verified in machine readable form.

c.) Forms received by Headquarters' Currency Investigation unit.

DESTROY when 10 years old.

d.) Forms received by Headquarters' Inspection unit including original forms received (9900).

DESTROY when administrative needs are fulfilled.

Records of Financial Information.

CI-4

Includes IRS, Customs, and Treasury Department forms filed under the Bank Secrecy Act. Records are arranged by Headquarters' Currency Investigations unit numerically by document number, thereunder chronologically

*Indicates Form is Obsolete

by calendar year, and thereunder
alphabetically by name of entity.

a.) Original forms.

**DESTROY when administrative needs are
fulfilled.**

b.) Microfiche copies. No longer reduced
to microfiche.

**DESTROY former microfiche copies when
administrative needs are fulfilled.**

Lists of Entities Exempt from Reporting under
Bank Secrecy Act.

CI-5

Includes lists and various suspect and
financial information files checks.

a.) Original lists maintained by
Headquarter's Currency Investigation unit.

b.) Duplicate lists maintained by Deputy
Assistant Secretary of the Treasury
(Enforcement).

**DESTROY when administrative needs are
fulfilled.**

Parts 153-157 Reserved

**Part 158 - Relief from Duties on Merchandise Lost,
Damaged, Abandoned, or Exported.**

See Section 4, Item 4 of the schedule.

Part 159 - Liquidation Of Duties.

Records of Notice of Entries Liquidated.

159/1

Customs forms include bulletin notice of
liquidation for dutiable entries, free

LIQ-1/1
(DAU)
LIQ/1/3

CF-4333
CF-4333A
CF-4335

*Indicates Form is Obsolete

and courtesy notices are published as weekly issuance in booklet form.

a.) Record copy.

LIQ/1/7
(DAU)

DESTROY when 3 years old.

b.) All other copies.

DESTROY when 1 year old.

Record of Importation - Antidumping Act.

159/2

Records and function transferred to Commerce Department in 1980. Reports produced in the pre-entry review process by Customs personnel are forwarded to Commerce Department.

DESTROY when no longer needed for administrative needs.

Part 160 - Reserved

Part 161 - General Enforcement Provisions.

Records Related to Intelligence Alerts.

161/1

a.) Files arranged numerically by bulletin.

New Series

DESTROY when no longer required for administrative needs.

b.) Intelligence products backup files.

DESTROY when superseded or obsolete.

161/2 - Reserved

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Investigative Case Files

161/3

a.) Cases arranged by date.

b.) Investigative Cases arranged by case number.

INV-7

c.) Investigative Cases arranged by regional symbol and last four digits of case number, 1974-75.

INV-22/2

CF-4603
CF-3115

d.) Title 1 (formerly Title 3) Investigative consisting of memoranda, and other documents.

Transfer to the FRC after 10 years on site.

DESTROY when 20 years old. (a-c)

DESTROY when 10 years old or hold until no longer required for administrative needs. (d)

Records Related to Enforcement for Other Agencies.

161/4

a.) Foreign Excess Property Authorizations.

RES/5

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Investigative Case Files

161/3

a.) Smuggling Cases arranged by date.

b.) Investigative Cases arranged by case number.

INV-7

c.) Investigative Cases arranged by regional symbol and last four digits of case number, 1974-75.

INV-22/2

CF-4603
CF-3115

d.) Title 3 Investigative consisting of memoranda, and other documents.

Transfer to the FRC after 10 years on site.

DESTROY when 20 years old. (a-c)

DESTROY when 10 years old or hold until no longer required for administrative needs. (d)

Records Related to Enforcement for Other Agencies.

161/4

a.) Foreign Excess Property Authorizations.

RES/5

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

b.) Supervised Exportation of Aircraft.
Consist of outward general declarations lists
of parts, and other supporting documents.

New Series

**DESTROY when no longer required for
administrative needs.**

c.) INTERPOL Conference Reports. Consists
of memoranda, formal reports and published
reports of conferences.

DESTROY 5 years after close of conference.

Records of Court Decisions for Violation of
Customs Laws.

161/5

Documentation on court proceedings/decisions
for the violation of Customs laws.

ENF/3/3

**DESTROY when administrative needs are met.
Keep no longer than 10 yrs.**

161/6 - Reserved

Patrol Cases, 1974-75.

161/7

Customs forms include memorandum of
information received and records which
support TECS.

ENF/2/2

CF-4621

**DESTROY when no longer required for
administrative needs.**

Informant Compensation.

Monetary Payment File.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

161/8

Consists of memorandum of information received, memoranda, and other records.

ENF/2/2

CF-4621
CF-293
CF-23
CF-4623
CF-151

DESTROY when no longer needed for administrative needs.

Informant Card File.

161/9

Cards developed by investigations unit on each confidential informant.

ENF/2/2

CF-4621

DESTROY when no longer required for administrative needs.

Records Relating to Smuggler Profiles.

161/10

Consist of memorandums of information received including general narrative about the smuggler, aliases, personal characteristics and other identifying data.

ENF/19

CF-4596
CF-4596-A

Transfer to FRC after 10 years on site.

DESTROY when 20 years old.

Part 162 - Recordkeeping Inspection, Search and Seizure.

Regulatory Audit Records.

162/1

Subject Files, 1974-present. Arranged by year according to Uniform Filing Guide.

New Series

Destroy when 3 years old.

*Indicates Form is Obsolete

Part 162 - Records Relating to Regional Regulatory Audit.

162/1 - Reserved

162/2

Includes reports and related working papers and correspondence. New Series

a.) Company audit papers including information on the formation of the company, by laws, identity of officers, minutes of board of directors, and other records.

DESTROY when no longer required for administrative needs.

b.) Regional Regulatory Audit Reports and related working papers.

Transfer to FRC 5 years after audit is closed.

DESTROY when 10 years old.

Administrative Regional Audit Reports.

162/3

Includes related working papers reviewed and analyzed for adherence to National Audit Program and Management Reporting. New Series

a.) Closed cases.

Transfer to FRC 2 years after case is closed.

DESTROY when 5 years old.

b.) Other cases which are under investigation or review.

DESTROY when no longer required for administrative needs.

*Indicates Form is Obsolete

Inspection Management Records.

Enforcement Coordination Records.

162/4

Headquarters management of coordination of enforcement of Customs and related laws in conjunction with other Federal agencies. Same agencies are DEA, FBI, and CIA. Records include precedents and policy determinations in the form of reports, correspondence and other records.

MAN/1
New Series

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

Enforcement Systems Records.

162/5

Identifies inspection and control enforcement needs for TECS programs and equipment, intelligence, communications, and detection equipment. Coordinates development or procurement of programs and equipment with support groups such as Law Enforcement Systems Division. Records include reports and correspondence pertaining to precedents and policy determinations.

New Series
ENT/1/9 CF-5102

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

Canine Enforcement Records.

162/6

Develops and evaluates the Detector Dog Program and the application of canine enforcement techniques to the enforcement programs of Customs. Coordinates and develops international training efforts of the Detector Dog Program. Records include reports and correspondence relating to precedents and policy determinations.

New Series

161/7 - Reserved

*Indicates Form is Obsolete

DESTROY when 5 years old.

Cargo Processing Management Records.

Imported Merchandise Quality Control Records.

162/8

Develops and monitors programs to assure carrier accountability for accurately manifesting imported merchandise including petrochemicals, carrier importations, and in-bond movements. Records include reports and correspondence, legal opinions, and surveys relating to the establishment of precedents.

New Series

DESTROY when no longer required for administrative needs.

Cargo Movement and Control Records.

162/9

Develops and monitors systems to give documentary control of merchandise for Customs and other agencies. Some systems are transportation in bond, cargo inventory control, and automation of cargo control functions. Records include reports, correspondence, legal opinions and surveys relating to the establishment of precedents.

INS/1

DESTROY when no longer required for administrative needs.

Carrier Control Records.

162/10

Develops and monitors systems to give control of carriers through enforcement of laws and regulations for entry and clearance of vessels, vehicles, and aircraft including residual cargo, cargo diversion, and instruments of international traffic. Records include reports, correspondence, legal opinions, and surveys relating to the establishment of precedents.

BOR/2

DESTROY when no longer required for administrative needs.

*Indicates Form is Obsolete

162/11

Develops and monitors systems to give best procedures insuring proper storage and strict accountability of all merchandise and cargo. Includes documentary controls and procedures for merchandise storage in general order warehouses, duty free shops, bonded warehouses, and foreign trade zones. Records include reports, correspondence, legal opinions and surveys establishing precedents.

ENF/12

DESTROY when no longer required for administrative needs.

Cargo Examination and Inspection Records.

162/12

Develops and monitors programs to give best means of examination and inspection of cargo with respect to duty assessment and enforcement of Customs and other agency laws including export control and statistical verification. Records include reports, correspondence, legal opinions and surveys establishing precedents.

INS/1/1

DESTROY when no longer required for administrative needs.

Technical Records for Controlled Substances, Narcotics and Marijuana.

Detector System and Special Programs Records.

162/13

Records include reports and data gathered on narcotic detection devices which show current research in the subject area.

ENF/7

DESTROY when no longer required for administrative needs.

Narcotics Inventory.

162/14

Record lists of all narcotics obtained, used and destroyed for or in detection programs and shows all activities involving narcotics.

ENF/7

*Indicates Form is Obsolete

DESTROY when no longer required for administrative needs.

Search and Seizure Records.

Search/Arrest/Seizure Records.

162/15

Principal record form is a six part carbonless set widely used throughout Customs. Authority for the record is established under Circular ENF/8/E: IX ADM/5, 6/28/74. This form replaces CF-43, 3424-V, 4622 and 5955. Other forms which may form a case file are chain of custody for seizure to be used as a court exhibit in criminal cases, declaration for importation of wildlife, lab report, seizure report, receipt for seized goods, delivery ticket, various court and legal documents, and inventory record of seized conveyance. Small value seizure records may include Summons to Appear form. Other types of records which may be included are entry record, transportation entry and manifest of goods subject to Customs inspection and permit, vehicle inventory and receipt, report of investigation, theft information report and memorandum of information received. Similar records are maintained at several levels of Headquarters and field offices and same subseries are subject to statute of limitations on claims (19 U.S.C. 1621).

ENF/2/2	CF-4621
ENF/8/10	CF-4655*
ENF/8/19	CF-5955*
ENF/8/4	CF-4622*
ENF/3/5	CF-4603
RES/2	
TEC/4/5	CF-6415
CAR/4/2	CF-6043
INS/2/4	CF-6043
ENT/1/9B	CF-5101*
TRA/3/1	CF-7512
TRA/8/1	CF-7512
ENF/4/1	CF-257
ENF/4/2	CF-5113*
ENF/4/3	CF-4607
ENF/4/4	CF-5955A
ENF/4/5	
ENF/4/6	Mar/Adm-267 A
ENF/4/7	Mar/Adm-267 A
ENF/4/8	CF-4609
ENF/4/9	CF-5211
	CF-151
	CF-9

a.) Records maintained at Headquarters offices for information and intelligence purposes. Forms include search/arrest/seizure reports, report of investigation, memorandum of information received, and seizure reports.

- 1) Records that have been microfilmed.

DESTROY paper copy when certified and verified.

- 2) Microfilmed copies.

DESTROY when administrative needs are fulfilled.

*Indicates Form is Obsolete

b.) Records which are put into machine readable form under TECS or other programs.

Disposal not authorized at this time.

c.) Records maintained at field office levels for various legal, fiscal, or administrative purposes.

1) Case files maintained by patrol units to reveal smuggling trends, action areas, etc.

DESTROY when administrative needs are fulfilled.

2) Enforcement activity records maintained by inspection units to help establish patterns and profiles of smuggling activity.

DESTROY when 2 years old.

3) Case files maintained by fines, penalties and forfeiture units.

DESTROY 3 years after close of case.

4) Case files maintained by classification and value units.

DESTROY immediately after penalty determination and notification is received from inspection and control.

Significant Enforcement Activity Reports.

162/16

Report records details of significant or unusual seizures or arrests.

ENF/8/14
ENF/8/3

CF-4622*
CF-3067*
CF-151

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

1) Monthly reports submitted to Headquarters.

DESTROY when no longer needed.

Daily Activity Reports for Patrol Officers.

162/17

Record provides detailed descriptions of work activities for individual officers.

ENF/1/1

CF-6005*

DESTROY when 2 years old.

Textual Records Which Support Treasury Enforcement Communications System (TECS).

Index of Violators.

162/18

Card file of individuals violating Customs laws and regulations maintained by Fines, Penalties, and Forfeiture Units.

New Series

TECS Log.

162/19

Paper record of information in TECS system which shows incoming and outgoing transactions. Record is retained to show deletion of information under Privacy Act.

New Series

DESTROY when administrative needs are fulfilled.

Records relating to ES 22 System, 1973-74.

162/20

Supporting documentation for TECS system.

Disposal not authorized at this time.

INT/2

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Supporting Private Aircraft
Inspection Reporting System (PAIRS), 1974-78.

162/21

Customs form, Private Aircraft Inspection
Report, reproduced on microfiche.

CF-178

**DESTROY when administrative needs are
fulfilled.**

Records Relating to Customs Law Enforcement
Activity Reporting System (CLEAR).

162/22

Reports and correspondence relating to
enforcement.

**DESTROY when administrative needs are
fulfilled.**

Statistical Reports Relating to CLEAR.

162/23

Monthly and quarterly reports used to produce
management information.

ENF/8

**DESTROY when administrative needs are
fulfilled.**

Report from the Archive System.

162/24

Paper record which shows time, date and place
a person or vehicle license plate was entered
in the computer system. Record is maintained
at the Customs Data Center.

New Series

DESTROY when 1 year old.

*Indicates Form is Obsolete

Special Investigations Reports.

Country Files.

162/25

General information on various countries of interest to Headquarters personnel in relation to overseas assignment and investigations.

DESTROY when administrative needs are fulfilled.

Cable Communications.

162/26

a.) Copies of cable traffic to and from foreign offices maintained by Headquarters.

DESTROY when 6 months old.

b.) Copies of incoming and originals of outgoing cables maintained by Headquarters Communication Center.

DESTROY when 3 months old.

162/27 - Reserved

Records Relating to Mutual Assistance Agreements.

162/28

Files include formal agreements and supporting briefing memoranda and reports for each country.

ENF/7

DESTROY when administrative needs are fulfilled.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Relating to Telephone Consensual Authorities.

162/29

Records include materials relating to Telephone Consensual Authorizations.

INV/34/3

Transfer to FRC after microfilming.

DESTROY the original after microfilm has been verified and certified.

DESTROY microfilm when 20 years old.

Annual Report to the Attorney General on Non-Telephone Consensual Interceptions.

162/30

Documentation and support of the annual report on Non-Telephone Consensual Interceptions.

DESTROY when 5 years old.

Records Relating to Non-Telephone Consensual Authorities.

ENF/3

162/31

Records include materials relating to Non-Telephone Consensual Authorizations.

DESTROY the originals after microfilm has been verified and certified.

DESTROY microfiche when 10 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Fraud Investigations Records.

162/32

a.) Arranged chronologically by date of request and entered in notebook.

ENF/13

b.) Arranged numerically by TSUSA number.

DESTROY when administrative needs are fulfilled.

Navigations Violations.

162/33

Records/documentation on Navigations violations.

INV/11

Transfer to the FRC after 5 years on site.

DESTROY when 20 years old.

Requests from Field Offices for Entry Data Retrieval Information.

162/34

Documentation from field offices for entry data retrieval information.

ENF/13

DESTROY when administrative needs are fulfilled.

Entry Date Retrieval Reports.

162/35

Computer printouts of ordinary commercial information used for investigative work.

ENF/13

DESTROY when 6 months old.

Index to Reports of Investigations.

162/36

Card file arranged alphabetically by name of violator (usually importer) which identifies

INV/1-12

*Indicates Form is Obsolete

numerical sequence of reports concerning criminal prosecution or civil penalty action.

DESTROY when administrative needs are fulfilled.

Theft Investigative Files.

162/37

Documentation on theft investigations.

INV/4

DESTROY when administrative needs are fulfilled.

Neutrality Investigative Files.

162/38

Documentation on neutrality investigative files.

INV/3

a) Files maintained in field offices.

Permanent. Transfer to FRC 5 years after case closed. Transfer to National Archives 15 years after case closed.

b) Files maintained at Headquarters.

Permanent. Transfer to FRC 5 years after case closed. Transfer to National Archives 15 years after case closed.

Records Relating to Investigations.

162/39

Includes reports of investigations, memoranda of information received, letters, memoranda, cablegrams, and other records. Subjects include drawback, classification, market value, country of origin marking, Customs bonds, Customs procedures, collection of duties and penalties, cooperation and trademark investigations. Arranged chronologically.

INV/1
INV/8
INV/9
INV/12
INV/19/1
INV/20/1
INV/22/1
INV/25/1

a.) Copies of records maintained at Headquarters.

DESTROY when administrative needs are fulfilled.

*Indicates Form is Obsolete

b.) Original records filed at the district director or Office of Investigations field offices.

1) Drawback cases.

DESTROY when 8 years old.

2) Classification cases. (Series 172)

DESTROY when 5 years old.

3) Market value cases.

Transfer to the FRC after 5 years on site.

DESTROY when 10 years old.

4) Country of origin marking, Customs bonds, Customs procedures, and collections cases.

DESTROY when 5 years old.

5) Cooperation with other Departments, Bureaus, etc.

Transfer to the FRC after 5 years on site.

DESTROY when 20 years old.

6) Trademark cases.

Transfer to the FRC after 5 years on site.

DESTROY when 20 years old.

Records Relating to Market Value Investigations.

162/40

Documentation on records relating to market value investigations.

INV/1

*Indicates Form is Obsolete

Arranged alphabetically by country of origin.

DESTROY when administrative needs are fulfilled.

Records Relating to Dumping and Countervailing Duty Investigations.

162/41

Includes reports of investigation, memoranda of information received, correspondence, cables and other records.

INV/8
INV/31/1

- a.) Dumping investigations.
- b.) "Fast-track" dumping investigations.
- c.) Television fraud cases related to evasion of dumping duties applicable to TV's from Japan.

DESTROY when 5 years old. (Items a-c)

- d.) Illegal Exports.

Transfer to the FRC after 10 years on site.

DESTROY when 20 years old.

- e.) All other Criminal Cases.

Transfer to the Federal Record Center after 10 years on site.

DESTROY when 15 years old.

f.) Gilmore Steel dumping investigation concerning carbon steel plate from Japan.

- g.) Countervailing duty investigations.

Copies of records are maintained at Customs, function transferred with original files to Commerce in 1980.

DESTROY when 5 years old.

*Indicates Form is Obsolete

Records Relating to Textile Quota Fraud Investigations.

162/42

Copies of records are maintained at Headquarters, original files are at local office of investigations.

New Series

a.) Records at Headquarters.

DESTROY 5 years after close of case.

b.) Original records at local office.

Transfer to FRC after 5 years on site.

DESTROY when 25 years old.

Records Relating to Civil Fraud Penalty Cases.

162/43

Copies of records are maintained at headquarters, original files are at local Office of Investigations.

INV/8

a.) Records at Headquarters.

DESTROY 5 years after close of case.

b.) Original records at local office.

Transfer to FRC after 5 years on site.

DESTROY when 20 years old.

Records Relating to Criminal Fraud Investigations.

162/44

Includes criminal syllabus reports submitted to U.S. attorneys, news articles, significant activity reports, and other typical records for this function.

INV/8

*Indicates Form is Obsolete

a.) Copies of records at Headquarters.

DESTROY 5 years after close of case.

b.) Original records at local Office of Investigations.

Transfer to FRC after 10 years on site.

DESTROY when 25 years old.

162/45

Records Relating to Customs Violations

Includes narrative reports (report of investigation), exhibits, attachments and related records concerning the investigation of Customs violations. Copies of cases are maintained at Headquarters' Office of Investigations. Records are used for reference on repeat violations at local offices such as Fines, Penalties, and Forfeiture Units. Statute for assessment of penalties is 5 years from date of violation (19 U.S.C. 1592).

New Series CF-151
CF-153*

a.) Headquarters' copies.

DESTROY in accordance with preceding dispositions provided in this section.

b.) Local office copies.

DESTROY when 5 years old.

c.) Original case files at local office level.

DESTROY in accordance with preceding dispositions provided in this section.

162/46

Records Relating to the Theft Information System (TIS) (part of TECS).

TIS is designed to collect data on cargo theft to meet requirements of the Department of Commerce. The Theft Reporting Form

New Series

*Indicates Form is Obsolete

(CF 153) and Search/Arrest/Seizure Report (CF 151) are used for input. Off-line processing results in reports published and circulated on a need-to-know basis. The information is used by Office of Investigations and Patrol personnel to help identify trends in theft activity and to measure the effectiveness of various security programs.

Disposal not authorized at this time.

Records Relating to the Theft Information Report.

162/47

Records may also include copies of search/arrest/seizure forms and other records related to the case. The principal record form is a five part carbonless set widely used throughout Customs. Authority for the record is established under Handbook 3900-02 of 1978. New Series

a.) Records maintained at Headquarters' offices. After data from the report is captured at the Customs Data Center, the EDP copy (1st copy) is forwarded to Headquarters. The record is microfiched and a referenced number is assigned and noted on the form.

1) Microfilmed copy. (See also series 171/2 for search and seizure records.)

DESTROY when administrative needs are fulfilled.

2) EDP (1st copy) form.

DESTROY immediately after microfiche is verified.

b.) Records maintained at local offices.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

1) Original form retained by originating office.

DESTROY 2 months after submission to Customs Data Center.

2) Regional Cargo Security Office (second copy)

DESTROY 2 months after submission to Customs Data Center.

Records Relating to Strategy of the Air Program.

162/48

Record accumulates annually and is duplicated at the level of Headquarters' Air Division. MAN/1
MAN/2

DESTROY when 3 years old.

El Paso Intelligence Center (EPIC) Analyses Source Guide.

162/49

Record accumulates twice a year and is duplicated at the El Paso Intelligence Center, a multiagency, fact gathering and intelligence-providing agency of the U.S. Department of Justice, Drug Enforcement Administration. ENF/7

DESTROY when 5 years old.

El Paso Intelligence Center (EPIC) Special Reports.

162/50

Record accumulates six times a year and is duplicated at EPIC. ENF/7

DESTROY when 5 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Relating to the Customs Relationship
with U.S. Coast Guard for Marine
Interdiction.

162/51

Record accumulates annually and is duplicated
at other Headquarters offices.

MAN/11
INV/9

a.) Original record at Headquarters.

DESTROY when 3 years old.

Records Relating to the Domestic Enforcement
Working Group for S.E. Asia Heroin.

162/52

Record accumulates three times a year and is
duplicated in the records of the Assistant
Commissioner.

ENF/1

a.) Original record.

DESTROY when 3 years old.

b.) Other copies.

DESTROY when 1 year old.

*Indicates Form is Obsolete

Records Relating to Operation Cuba.

162/53

Records and documentation on information relating to Customs operations in Cuba.

DESTROY 3 years after close of operation.

Monthly Reports of Customs Aircraft Utilization.

162/54

Records have accumulated since 1976 and are created by a private contractor, Serv-Air. FAC/9

DESTROY when 3 years old.

Air Branch Activity Reports.

162/55

Record includes information on staff hours utilized, radar/detection net monitoring, work schedules, C-3 reports, sighting reports, air support services. AIR/5
MAN/5
INV/34/1

a.) Original record at Headquarters.

DESTROY when 3 years old.

b.) Other copies.

DESTROY when 1 year old.

Aviation Operations Report.

162/56

Report is completed for each Customs aircraft mission; original report is sent to Headquarters for analysis. New Series

*Indicates Form is Obsolete

a.) Original record at Headquarters.

DESTROY when 3 years old.

b.) Other copies.

DESTROY when 1 year old.

Marine Branch Activity Reports.

162/57

Periodic reports received from local offices and compiled into weekly and monthly reports. BOR/1

a.) Monthly consolidated Boat Reports produced at Headquarters for each region.

1) Original Headquarters' copy.

DESTROY when 2 years old.

2) Other copies.

DESTROY when administrative needs are fulfilled.

b.) Weekly activity reports produced at Headquarters and local offices.

1) Original record copy.

DESTROY when 1 year old.

2) Other copies.

DESTROY when administrative needs are fulfilled.

162/58 - Reserved

162/59 - Reserved

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Local Branch Special Operations Plans.

162/60

Records of plans for task forces, special cases, tests of special equipment and other operations including suggested plans, required personnel, equipment, funding and final evaluation.

MAN/3/1

DESTROY when 10 years old.

Parts 163-170 Reserved

Part 171 - Fines, Penalties, and Forfeitures.

Records of Fines, Penalties, and Forfeitures.

171/1

Customs forms show importer of record, law violated, entry number and amount of liquidated damage. The disposition of the claim is given showing whether paid or cancelled. If paid, the receipt number is given.

ENF/4/9

CF-5211

Transfer to FRC after 3 years on site.

DESTROY when 6 years and 3 months old.

Penalty Cases.

171/2

Records maintained by local fines, penalties, and forfeiture units include the following Customs forms: Notice of Penalty or Liquidated Damages Incurred and Demand for Payment, General Declaration, Transportation Entry and Manifest of Goods Subject to Customs Inspection and Permit, Airway bill, Invoice, Special Customs Invoice, Carrier's Certificate and Release Order. The key record is the notice of penalty, which is distributed as follows: original to

ENF/4/4
AIR/4/4
TRA/3/1
TRA/8/1
ENT/1/4
CON/11/1
ENT/1/22

CF-5955A
CF-7507
CF-7512
CF-7512
CF-7529A*
CF-5515*
CF-5515*

*Indicates Form is Obsolete

violator, copies to Fines, Penalties, and Forfeiture Units of the regional office, Customs Data Center, surety company, penalty case file, and accumulated notice of penalty, forms file.

a.) Penalty cases maintained at local offices.

DESTROY 2 years after case closed.

b.) Customs Data Center copy.

DESTROY immediately after data is verified in computer data file.

c.) Regional Office copy.

DESTROY 1 year after receipt.

d.) Local office chronological file.

DESTROY when 1 year old.

Penalties and Liquidated Damage Cases.

171/3

Records maintained by local Fines, Penalties and Forfeiture Units include the following Customs forms: Declaration for Free Entry of Returned American Products and or Certificate of Exportation, Immediate Delivery Application, Certificate of Registration, Notice of Redelivery - Marking, etc.; Entry Record, Notice of Penalty or Liquidated Damages Incurred and Demand for Payment, Discrepancy Report and Declaration, Consumption Entry, Transportation Entry, and Manifest of Goods Subject to Customs Inspection and Permit, Entry and Manifest of Merchandise Free of Duty, Carriers Certificate and Release, Inward Cargo Manifest for Vessel Under Five Tons, etc.	CON/3/3 ENT/3/1 BAG/1/3 (DAU) CON/3/1 MAR/1/2 ENT/1/9 ENT/8/7 ENF/4/4 (DAU) VES/1/1 VES/5/7 FIS/4/124 (DAU) TRA/8/1 CON/1/1 ENT/6/1 BOR/7/1 VES/5/11	CF-3311 CF-3461 CF-4455 CF-4455 CF-4647 CF-5101* CF-5955 CF-5955A CF-5931 CF-5931 CF-7323* CF-7512 CF-7512 CF-7323* CF-7523 CF-7533 CF-7533
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DESTROY 3 years after close of case.

*Indicates Form is Obsolete

Part 172 - Liquidated Damages.

Claims for Liquidated Damages.

172/1

Includes Customs forms and all correspondence, arranged numerically, and maintained by local Fines, Penalties, and Forfeiture Units. Case content may be one of the following: payment of liquidated damages, payment of nuligated liquidated damages, or cancellation of liquidated damages.

ENF/4/4
(DAU)

CF-5955A

DESTROY 2 years after close of case.

Part 173 - Administrative Review in General.

Note: No series reported specifically related to this part.

Part 174 - Protests.

Protest Cases.

174/1

Includes local or regional forms, and protest forms, applications for further review of protests and other related forms or correspondence. Records are maintained by local Classification and Value or Duty Assessment units.

PRO/2/3
PRO/4/1

CF-19
CF-20*

a.) If protest is approved,

DESTROY 1 year after approval date.

b.) If protest is denied,

DESTROY 1 year after liquidation date.

c.) If case is summoned,

DESTROY 6 months after final court action.

*Indicates Form is Obsolete

d.) If case is not summoned,

DESTROY 6 months after summons period has expired.

Protest and Summons Information Report Cases.

174/2

Includes Customs form protest and summons information report and other documents maintained by local Duty Assessment Units. Files are sent to Customs Court with denied protests.

PRO/2/2
(DAU)

CF-6445

a.) Cases at local office level.

DESTROY 6 months after court decision.

b.) Copies of cases at regional office level.

DESTROY when administrative needs are fulfilled.

Part 175 - Petitions by Domestic Interested Parties.

Note: No series reported specifically related to this part.

Part 176 - Proceedings in the Customs Court.

Note: No series reported specifically related to this part.

Part 177 - Administrative Rulings.

RULING CASES: NATIONAL OFFICE

Case files are included for the following Divisions: Classification and Value; Regulations and Control and Disclosure Law Entry Procedures, and Penalties; and, Carriers, Drawback, and Bonds.

*Indicates Form is Obsolete

The records are scheduled by the importance of the case: a) precedent cases in the following types: Internal Advice, Protest Review Decision, Difference Cases, Treasury Decisions, Legal Determinations, Customs Service Decisions, Change in Practice, First Ruling on New Commodity; b) ruling on decision cases, generally in the form of letter rulings, based on precedent files and used for reference and identifying general practice policies; c) general correspondence usually in the form of routine letters, forwarding publications, or making general responses to information requests.

Arranged numerically by six-digit number. Volume on hand for all Headquarters divisions in circa 1100 cu. ft.; average annual accumulation is circa 200 cu. ft.; average annual accumulation of precedent cases is circa 25 cu. ft. Date span is 1960-present with some records dating from the 1920's through the 1950's.

ENF/4/8
ENF/4/9

CF-4609
CF-5211

177/1

a.) Precedent Cases
Permanent.
Transfer to NARA 15 years after case is closed.

ADM/9/9

b.) Ruling/Decision Cases

Review annually. Destroy when no longer needed for reference.

c.) General Cases

DESTROY 3 years after case is closed.

d.) Closed Commercial Fraud and Negligence Branch cases and Miscellaneous Penalties Branch cases (Red tab on case file folder).

Transfer to FRC 5 years after case is closed.

DESTROY 15 years after case is closed.

177/2 - Reserved

177/3 - Reserved

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

RULING CASES: FIELD OFFICE (CLASSIFICATION AND VALUE)

Classification Cases Arranged By Six-Digit Control Number.

177/4

The Classification and Value Office, New York Region, has been assigned the 800,000 series of numbers. Index is maintained at National Office. No other field office creates such cases. These records date from 1981-present. There are no precedent cases (blue tabs) in the regional office files; field cases are routine rulings (red or yellow tabs).

New Series
LIQ/1/8
Rec. (P)
LIQ/1/2
Rec. (T)
RCM AR 7713
CLA/2/1B
Ref. (T)

Review annually. DESTROY when no longer needed for reference.

Classification Cases arranged alphabetically by name of manufacturer and/or country and there under by tariff schedule number.

177/5

Files with similar information are maintained in several locations: Administrative Programs, and, Commodity Teams, Classification and Value Office.

LIQ/1/2 RCS/AR/7713

DESTROY when obsolete. Do not retire to Federal Record Center.

Records of Classification and Value at Customs Information Exchange, New York, NY.

177/6

Arranged chronologically by year of ruling, thereunder by CST number.

New Series

a.) Reports of Classification and Value and associated documents relating to an agreement between field import specialist and National Import Specialist at NY, NY.

DESTROY when 5 years old.

*Indicates Form is Obsolete

DESTROY when 5 years old.

b.) Reports of Differences in Classification and Value and associated documents relating to an agreement between field import specialist and National Import Specialist at NY, NY.

DESTROY when 5 years old.

Valuation Cases for Foreign Manufacturers (Exporters).

177/7

Arranged alphabetically by name of manufacturer.

New Series

Includes copies of orders, sales contracts, price lists, telex price offers and confirmation of orders, addresses of importers, copies of importer interviews, copies of CIE reports on the exporter, and historical notes on the exporters.

DESTROY when file is inactive for 5 years.

Drawback Cases: Regional Commissioner's Office

Rulings issued under Section 313 (a), T.A. of 1930.

177/8

Includes copies of the contract between the importer and the Regional Commissioner for return of duties for articles made from imported merchandise for export.

DESTROY 5 years after cancellation of contract.

177/9 - Reserved

177/10 - Reserved

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Records Relating to Entry and Licensing

Case Files Relating to Duty Free Entry Under 851.60 TSUS. 1979-present. 3 cu. ft.

177/11

Arranged by annual docket number. Contains request for duty free consideration of art work, museum exhibits, and other materials for exhibitions or expositions in coordination with U.S. Immigration Service. The items are later shipped out of the U.S..

New Series

Review annually. DESTROY when no longer needed for reference.

Records Relating to Licenses and Identification Cards.

Index to Licenses and Identification Cards Issued. No date, 1 cu. ft.

177/12

Arranged alphabetically.

New Series

DESTROY when no longer needed for reference.

CF-3078

Licensing Files of Customhouse Brokers, Licensing and Bonding of Cartmen and Lightermen and Container Station Operators. No date, 260 cu. ft.

177/13

Arranged alphabetically.

DESTROY 6 years after revocation of license or death of broker.

Investigative Files Relating to Petroleum Gaugers. No date 1 cu. ft.

177/14

Arranged alphabetically.

New Series

DESTROY after cancellation of bond.

*Indicates Form is Obsolete

Records Relating To Trademarks, Tradenames, Copyrights, and Patents.

Index to Case Files for Trademarks, Tradenames and Patents, 1920 to present. 4.5 cu. ft.

New Series

177/15

Arranged alphabetically.

DESTROY when no longer needed for reference. Do not retire to Federal Record Center.

Copyright, Patent Survey, Trademark, and Tradename Case Files, 1920-present. 57 cu. ft.

177/16

Arranged alphabetically by name of owner. Includes applications, recordation, letter of approval of recordation, copy of Customs circular advising field offices of recordation requests for approval of renewals.

COP/4/2	Rec. (P)
COP/2/1	Rec. (P)
COP/5/1	Rec. (P)
COP/3/1	Rec. (P)

Trademarks and Tradenames are protected for 20 years and can be renewed indefinitely for 20 year periods. Copyrights are protected for 28 years and can be renewed indefinitely for 28 year periods.

Patent surveys are effective for periods of 2, 4, or 6 months and can be renewed continuously for a 17 year period. Patent survey files date from 1960. (Maintained at program division level.)

DESTROY when cancelled or expired.

Records Relating to Restricted Merchandise.

Entry of merchandise under the Convict Labor Statute.

*Indicates Form is Obsolete

177/17

Arranged by 6 digit control number. Files are established on a calendar year basis and each file is marked with the year. The cases are further identified by colored tabs which show the relative importance of the decision. Classification file numbers are in the 700,000 series.

New Series

Review annually. DESTROY when no longer needed for reference, no earlier than 15 years after case is closed.

177/18 - Reserved

Regulations and Information Records.

177/19

Regulations which are of interest to the public, a guide to proper observance of the Customs Laws are contained in C.F.R., Title 19, Chapter 1, also known as Customs Regulations.

New Series

Permanent.

- 1) Transfer current record set to National Archives upon approval of schedule.
- 2) Updates and changes; Transfer to National Archive in 5 year blocks when 5 years old.

*Indicates Form is Obsolete

amendment proposals; drafting and publication of joint regulations and procedures; preparation of revisions and amendments to the Appendix of the Customs Regulations; preparation or review of notices, circulars, and other directives instructing and guiding Customs personnel in the proper application of the laws and regulations administered by Customs; review of documents and materials submitted by other Federal agencies or by Customs Headquarters offices to ensure their consistency with the laws and regulations administered by Customs; drafting and review of issuances for inclusion in the Policies and Procedures Manual System.

Records Relating to Amendments and Revisions of Customs Manual. 1970-79. 1 cu. ft. rate of accumulation is nil.

177/20

Arranged numerically by chapter number.

Permanent.

- a) Case files 1970-79. Transfer to National Archives at close of FY 1999.
- b) 1980-Present. Transfer to National Archives in 5 year blocks when 20 years old.

ADM/9/3
Ref (P)
Amend. (P)
Ref. (T)

Records Relating to Customs Regulation
1966-present. 25 cu. ft. Rate of annual accumulation: 1 cu. ft.

177/21

Arranged numerically by section number.

Permanent.

- a) Case files 1966-79. Transfer to National Archives at close of FY 1999.
- b) 1980-Present. Transfer to National Archives in 5 year blocks when 20 years old.

ADM/9/4
Rec. (P)
Ref. (T)

Records Relating to Customs Service
Decisions. 1978-present. 1 cu. ft. Rate of accumulation: nil.

New Series

*Indicates Form is Obsolete

177/22

Arranged numerically by Customs Service decision number.

DESTROY when superseded or obsolete.

177/23 - Reserved

Records relating to Published Notices.
1977-present. 2 cu. ft. Rate of accumulation: nil.

177/24

Arranged alphabetically. Contains socially or culturally interesting records on American manufacturer's petitions, change of procedures, and public comments on various issues.

ADM/9/5
Rec. (P)

DESTROY when superseded or obsolete. Do not retire to Federal Record Center.

Records relating to Legal Determinations.
1977-present. 9 cu. ft. Rate of annual accumulation: 2 cu. ft.

177/25

Arranged numerically by Legal Determination Number. Contains Publication Determination form, unexpurgated copy of ruling, expurgated copy of ruling, and copy of published legal determination.

New Series

DESTROY when superseded or obsolete.
~~177/26 - Reserved.~~

Freedom of Information Requests for Rulings on Decisions. 1979-present. 1 cu. ft.

177/27

Arranged numerically. Information copies, record copies are kept in another program office.

New Series

DESTROY when 2 years old.

Legal precedent Retrieval System (LPRS) keyword directory. 1 cu. ft. Rate of annual accumulation: nil

*Indicates Form is Obsolete

177/28

Arranged alphabetically in keyword format. Under each subject, the index provides the document identification number in the form of a six-digit control number, TD number, CIE number, or BWD (Brussels Working Document) number.

New Series

The Keyword Directory references the following types of material.

a.) All precedential rulings issued by the Office of Regulations and Rulings since November 1976.

b.) Most tariff classification rulings issued by the Office of Regulations and Rulings which have been published and/or circulated to Customs officers and unpublished classification letter rulings issued since January 1974.

c.) Selected judicial decisions concerning tariff classification.

d.) Precedents concerning the valuation of imported merchandise.

e.) Older rulings of a precedential nature are also being identified and indexed within the system. These rulings cover all areas for which the Office of Regulations and Rulings issues decisions. Approximately 25 percent of all older drawback cases have been indexed as well as cases dealing with aircraft bond notices, common carrier bonds (notices of approval and discontinuance), and bonds for the control instruments of international traffic (notices of approval and discontinuance).

Reproduced in the form of computer output microfiche. The directory is continuously updated and since each update is cumulative, outdated sets of microfiche should be destroyed.

*Indicates Form is Obsolete

Permanent.

- a) Transfer record copy to National Archives upon approval of schedule.
- b) Updates: Transfer to National Archives upon issuance.
- c) All other copies: Destroy when obsolete or updated.

Part 191 - Records Related To Drawback.

191/1

Records for the Establishment of Drawback Rates.

Includes statements from the manufacturer or producer of articles intended for exportation with drawback proposals or specific drawback contract. Articles must be exported within 5 years after the importation of ~~duty-paid~~ merchandise. Drawback contracts expire 15 years from the date of issuance on approval unless renewal by contract holder. Drawback proposals may be filed at more than one regional office.

DRA/1/9
(DAU)

DRA/1/1

CF-4477*

Transfer to FRC not authorized. Maintain for active period of drawback period.

DESTROY at contract expiration or when no longer needed for reference.

Records Relating to Drawbacks.

191/2

Includes drawback entries and associated records, charges against import entries notices of exportation of articles with benefit of drawback, certificates of manufacture for exported articles, and other records related to articles manufactured or produced from imported or substituted merchandise. Drawback may be claimed on articles exported within 5 years after importation. After exportation, 3 years are allowed for filing for drawback (19 U.S.C. 1313, 19 CFR 22.13).

DRA/2/6
(DAU)DRA/2/3
(DAU)

DRA/1/2

DRA/1/3

DRA/1/5

DRA/1/8
(DAU)

DRA/1/7

DRA/2/1

DRA/2/2

CF-7511/A&B

CF-7575/A&B*

CF-7545*

CF-7543*

CF-7515*

COMM-549*

CF-4497*

CF-7543*

CF-7577/A&B*

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

Note: CF 331 has replaced CFs 7543, 7545, 7575 A, 7575 B, 7577 A, 7577 B, 7579, and 7585.

DRA/2/4
DRA/2/5
DRA/2/7
DRA/7/1
DRA/3/1

CF-7573*
CF-4537
CF-7537
CF-7539
CF-7585*

Transfer to FRC after 5 years on site.

DESTROY when 8 years old.

Records Relating to Drawback Statistics.

191/3

Includes materials and documentation on statistics relating to drawback claims.

MAN/5/1

DESTROY when 2 years old.

Customs Information Exchange System (CIES)

Note: See Customs Issuance MS-2126-01, 6/8/81.

The CIES is a nationwide information coordination network designed to promote the uniform interpretation and application of the Tariff Act and Customs Regulations at all Commerical Compliance locations. Information is introduced into the system by transaction reports prepared by import specialists. CIES is the organizational and functional title of the internal information network which collects and disseminates technical tariff and trade information that directly supports the classification, appraisement, admissibility, and statistical verification functions administered by the import specialists.

*Indicates Form is Obsolete

Technical and trade information following through the nationwide CIES is obtained from transaction data supplied by field import specialists as well as other information developed by the national import specialist through interaction with trade and industry sources, and the correlation and analysis of trade reports and documents.

General Directives and Circulars Relating to CIE.

CIE/1

Published on processed documents including the following types: TSUSA Circulars, Statistical Circulars, General Headquarters Circulars, GSP Circulars, and TAA letters. The issuances may be produced at Headquarters (e.g., Commercial Compliance Division) or at C.I.E. located at Region New York, New York.

- a.) Record copy located at C.I.E.

DESTROY when administrative needs are fulfilled.

- b.) Other copies.

Transfer to FRC after 5 years on site.

DESTROY when 15 years old.

ADM/9/6

Records relating to U.S. Currency Rates as Compared to Foreign Exchange. ("C" Series)

*Indicates Form is Obsolete

b.) Other copies.

Transfer to FRC after 5 years on site.

DESTROY when 15 years old.

Records relating to U.S. Currency Rates as Compared to Foreign Exchange. ("C" Series)

CIE 2

These rates are used in valuing imports on major and minor trading partners.

ADM/9/6
LIQ/3/2

a.) Record copy located at C.I.E.

DESTROY when administrative needs are fulfilled.

b.) Other copies.

DESTROY when 3 years old.

Periodic Monthly Listing Related to C.I.E. ("N" Series).

CIE 3

A variety of periodic or monthly listings on fraud, countervailing duty, antidumping, requests for information, requests for internal advice, difference in classification and value submitted to Headquarters, Japanese plywood list and others.

ADM/9/6

a.) Record copy located at C.I.E.

DESTROY when 1 year old.

b.) Other copies.

DESTROY when 1 year old.

*Indicates Form is Obsolete

Records Relating to Classification and Appraisalment.

CIE/4

Includes local forms and Customs forms such as transmittal sheets, mailing lists, price lists, classification guides, importer's premises visit, significant information reports, master lists, and other miscellaneous information.

- a.) C.I.E. records arranged by CST number.

DESTROY when 2 years old.

- b.) Other records.

DESTROY when 1 year old.

Records Relating to Foreign Inquiries.

CIE/5

Includes local forms and Customs forms such as request for information, memorandum of information received, report of investigation, analysis of inquiring report, request for analysis, difference in value, and other materials necessary to complete a formal investigation.

APP/6/14
(DAU)
CIE-8
APP/6/13
(DAU)
CIE-47

- a.) Requesting office.

DESTROY when administrative needs are fulfilled.

- b.) Investigation Office. (See Series 140.)

DESTROY when 5 years old.

- c.) Central files of CIE.

DESTROY when 5 years old.

*Indicates Form is Obsolete

Records Relating to Informal Inquiries.

CIE/6

Includes local forms and Customs forms such as informal request for information, memorandum of information received, and report of investigation.

- a.) Requesting office

DESTROY when administrative needs are fulfilled.

- b.) Investigative office.

DESTROY when 3 years old.

- c.) Central files of C.I.E.

DESTROY when 3 years old.

Records Relating to Internal Advice Requests.

CIE/7

Includes local correspondence and Customs forms such as memorandum requesting internal advice outlining issues, letter to the district director from an importer, memorandum to Headquarters from a district director stating Customs position and the importer's position, memorandum to assist the Chief Counsel from Customs Information Exchange, New York Seaport's opinion of the issue, and a ruling on the issue from Headquarters.

APP/6/3

- a.) Record copy of C.I.E.

DESTROY when obsolete or superseded.

- b.) Copies at Office of the Assistant Chief Counsel, and Director, Headquarters'

*Indicates Form is Obsolete

Classification and Value Division, and Headquarters' Office of Regulations and Rulings.

DESTROY in accordance with Item 1-3 of Section 117.

Records Relating to Protest for Further Review.

CIE/8

Concerns protests which have been denied by the district director and a further review by Headquarters has been requested and approved. Customs forms include Customs Protest and Summons Information Report, detailed reasons for protest and/or further review, application for further review of protest, memorandum to district director with entries, protest and related documents, memorandum to regional office with recommendations, memorandum transmitting entire file to Chief, C.I.E., other memorandums submitted from seaport or commodity team.

PRO/2/2
(DAU)

CF-6445

a.) Record copy of C.I.E.

DESTROY when superseded or obsolete.

b.) Copies at office of the Assistant Chief Counsel, Director, Headquarters, Classification and Value Division, Office of Regulations and Rulings and Headquarters'.

DESTROY in accordance with Item 1-3 of Section 177.

c.) Microfiche copies.

DESTROY when administrative needs are fulfilled.

*Indicates Form is Obsolete

Administrative Management Records.

These series of records do not fall under one of the existing series in the General Records Schedules. These series are not easily placed under one of the functional categories of the Customs Regulations (CFR 19) and they are grouped loosely by subject. With few exceptions, personnel records are scheduled under GRS/1 Civilian Personnel Records or GRS/2, Payrolling and Pay Administration Records. The various principal reports of the Headquarters records series are scheduled under GRS/16/2A and will be retained as part of the correspondence files of the senior officials.

A1 General Correspondence, 1973-present.

Accumulation in Headquarters' offices, circa 2600 cu. ft.; annual accumulation, ca. 300 cu. ft..

ADM/2/7
(DAU)

Arranged by subject in accordance with the Customs Uniform Filing Handbook. Includes record copy of correspondence, memoranda, telegrams, and reports; directives and other issuances; and other materials related to specific functions of the office. Chronological, or reading files, and reference materials which are extra copies are considered nonrecord material.

- a. Correspondence of senior officials, 1973-present. Accumulation in Headquarters' offices, circa 120 cu. ft.; annual accumulation, circa 12 cu. ft..

Includes records of the Commissioner, Deputy Commissioner, and the Chief Counsel.

PERMANENT, offer to the National Archives in 5 year blocks when 30 years old.

*Indicates Form is Obsolete

- b. Priority Correspondence Control System
1978-present.

Regulates the flow of written communication between senior Customs officials and the Executive Office of the President, Treasury Officials, members of Congress and Congressional Committees, Governors of States, other Cabinet Officers and other dignitaries when the content of the correspondence is judged to be of a sensitive nature.

- 1) Paper copies of letters sent.
- a) Nonrecord copies received from Headquarters and field offices.

DESTROY when microfilm is verified.

- 2) Microfiche copies.
- b) Record copies of letters sent.

RETURN to office of origin. Follow disposition instructions contained in item A1.a.

- 3) Paper copies of computer output controlling paperwork flow and accountability.

DESTROY when administrative needs have been fulfilled.

A2 Correspondence Maintained At All Other Office Levels, 1973-present.

Includes all Headquarters and field offices at office level and below except International Affairs. Annual and other periodic unpublished reports of administrative

*Indicates Form is Obsolete

management activities are preserved under the provisions of GRS/16/2A at the Headquarters level. Field office reports are covered under GRS/16/2B. All important consolidated reports will be processed at the service officials office. Reports at other administrative levels can be kept as long as administrative needs require.

DESTROY when 3 years old.

A3 International Affairs Organization.

The U.S. Customs Service has been engaged in international Customs matters since 1965. A cadre of Customs offices was prepared to serve as public administrative advisors to foreign governments. When the United States became a member of the Customs Cooperation Council in 1970, the Department of State designated the U.S. Customs Service as the lead agency in representing U.S. interests. In 1972, the U.S. Customs Service began cooperation with the Department of State in the establishment of U.S. Customs International Narcotics Control programs. The policy of providing continuing reimbursed advisory programs began with Abu Dhabi advisory programing in 1974. In 1978, the U.S. Custom's Advisory Program for Saudi Arabia, reimbursed by the Saudi Arabian Government, was implemented in Customs. The Headquarters office provides functional oversight supervision of Customs Attaches and Senior Customs Representatives as well as the Saudi Arabian program. The various functions began in 1965 and are continuing today in their essential form.

INO/1

- a. Records Relating to Foreign Assistance Mutual Agreements and Training Programs. 1965-present. Accumulation in Headquarters offices: circa 30 cu. ft. annual accumulation: ca. 2 cu. ft.

- 1) Country Files, 1965-present.

Arranged alphabetically by name of country.

*Indicates Form is Obsolete

Correspondence, reports, memoranda, telegrams or cables, directives and other issuances and other materials related to international Customs related affairs. Includes background information on the history, Customs policies, and socio-economic conditions of the foreign governments. Same files may include security classified information.

Original copy to be provided to country of agreement for audit purposes. Copy maintained at Headquarters, DESTROY when no longer needed for reference.

- 2) Correspondence Relating to General Mutual Assistance programs, 1965-present.

Arranged by Customs Uniform Filing Handbook.

Records related to any international Customs functions other than narcotics enforcement. If not funded by U.S. Customs, funding is provided by reimburseable agreements with the recipient country, or funding is provided by AID. Records concern negotiations, findings, and exchange of personnel, and various participating agency agreements.

Original copy to be provided to country of agreement for audit purposes. Copy maintained at Headquarters, DESTROY when no longer needed for reference.

- 3) Correspondence Relating to Narcotics Enforcement Training Programs, 1965-present.

Arranged by Customs Uniform Filing Handbook and thereunder by an alphanumeric code which may be separate and unique to the office.

Includes records concerning foreign Customs narcotics training which is budgeted through the U.S. State Department. Programs provided

*Indicates Form is Obsolete

are executive observation programs, mid-management seminars, trainer workshops for foreign instructors, overseas training U.S. Customs Service offices as instructors and managers of overseas training, foreign agency assessment by U.S.C.S. offices, and evaluation of interdiction capability by U.S.C.S. offices. Also concerns development, implementation, and coordination of specialized training and developmental assistance programs for foreign Customs services.

Originals are transferred to the State Department at the end of each program.

DESTROY Customs copy when 1 year old or no longer needed for reference, whichever is sooner.

- 4) Working papers, notes, drafts, and chronological or reading files.

DESTROY when 1 year old or no longer needed for reference, whichever is sooner.

- 5) 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.

- 6) Records of the Office of Customs Attache, Brussels, Belgium, circa 1970-present.

DESTROY when no longer needed for reference.

- b. Records Relating to International Organizations and Trade Affairs. 1965-present. Accumulation in Headquarters offices: 18 cu. ft.; annual accumulation: circa 1 cu. ft.

Arranged by U.S.C.S. Uniform Filing Handbook. Records include correspondence, briefing, background, and position papers relating to intercustoms service trade affairs and enforcement and bilateral foreign Customs agreements as well as

*Indicates Form is Obsolete

interaction between international organizations and other U.S. agencies in matters of interest to the U.S.C.S. Some files may include security classified information. Records also document visa and passports obtained for official business.

- 1) Records of the Saudi Arabian Programs, 1978-present.

DESTROY Customs copies when no longer needed for reference. Originals are sent to Saudi Arabia. Originals are sent to Saudi Arabia.

- 2) Records of the Office of the Customs Attache, Brussels, Belgium. Circa 1970-present.

DESTROY when no longer needed for reference.

- 3) Correspondence Concerning Agreements Between Customs Services to Facilitate Trade. 1965-present.

Arranged alphabetically by review/country.

DESTROY when no longer needed for reference.

- 4) Records Relating to the Customs Cooperation Council, Brussels, Belgium. 1970-present.

Arranged by U.S. Customs Service Uniform Filing Handbook.

Includes briefing, background, and position papers and copies of documents received from the Customs cooperation Council in Belgium.

DESTROY when no longer needed for reference.

- 5) Working file, drafts, notes, and chronological files.

DESTROY when 1 year old or no longer needed for reference whichever comes sooner.

*Indicates Form is Obsolete

c. Security Classified Correspondence.
1965-present. Accumulation in Headquarters: Circa 10 cu. ft. Annual accumulation: Circa 1 cu. ft.
Information received from and sent to U.S. embassies and foreign governments concerning general and narcotics enforcement assistance programs, and activities of the Customs Cooperation Council (CCC) and other international organizations, e.g., GATT.

1) Country files.

Arranged alphabetically by name of country.

DESTROY when no longer needed for response.

2) Other correspondence files.

Arranged by U.S. Customs Service Uniform Filing Handbook.

DESTROY when no longer needed for reference.

d. Correspondence Logs

Includes all methods of controlling receipt and response to Customs mail.

DESTROY when 1 year old.

Note: For security classified correspondence, see GRS 18, Classified Information and Control Records.

e. Administrative Records Relating to Personnel Applications of Customs Personnel to Obtain Passports and Visas for Official Business.

Arranged alphabetically by name of applicant.

DESTROY when 3 years old.

*Indicates Form is Obsolete

SCHEDULES

RCN

FORM NO.

A4 Small Arms Qualification Record for Headquarters Personnel.

Arranged alphabetically by name of qualifying agent.

INV/34/5
PER/3/8

DESTROY when 1 year old.

A5 Cross Designation of Record of Customs Offices Empowered to Act for Other Agencies.

Arranged alphabetically by name of effect.

DESTROY when employee is separated or transferred.

A6 Federal Tort Claims Investigative Files.

Arranged alphabetically by name of employee.

INV/28/1

DESTROY when 5 years old.

A7 Federal Income Tax Reporting Record.

Arranged chronologically.

PER/2/12 TD-4002
PER/14/10 TD-4002

DESTROY when 1 year old.

A8 Position Retirement File.

Arranged alphabetically by name of position. Records concern positions granted early law enforcement retirement by Personnel Manual under 5 USC 8336(c).

DESTROY when superseded or obsolete.

Records of Legal Opinions, Case Files, and legislation. These records are accumulated in the Office of the Chief Counsel.

A9 Reserved for records of the Office of the Chief Counsel.

A10 Reserved

*Indicates Form is Obsolete

A11 Records Relating to the Tariff Act of 1930, 1947-79.

Accumulation: 13 cu. ft. Annual
Accumulation: 5 cu. ft.

Arranged numerically by section number of the Tariff Act of 1930.

Includes correspondence, memoranda and copies of court decisions of the U.S. Customs Court for use and other type of Customs cases.

DESTROY when administrative, reference or legal values are exhausted.

A12 Federal Tort Claims Case Files, 1975-present.

Accumulation: 10 cu. ft. Annual
Accumulation: 2 cu. ft.

Arranged numerically by type of claim and thereunder alphabetically by case name. See similar case files maintained by the Office of Investigations.

DESTROY when 5 years old.

A13 Records Relating to Legislation, 1970-80.

Arranged by Congress, thereunder by bill number.

DESTROY when no longer needed for reference.

A14 Records Relating to Proposed Legislation, 1970-80.

Arranged alphabetically by subject.

DESTROY when no longer needed.

*Indicates Form is Obsolete

A15 Records of Congressional Hearings and Testimony. 1972-present.

Arranged alphabetically by name of subcommittee and committee.

DESTROY when 5 years old.

Miscellaneous Records

~~**A16 Artifacts and Related Records.**~~

No date accumulation in office: 40 cu. ft.;
Annual accumulation: nil.

1) Artifacts Related To Customs Operations With Servicewide Application.

Those items which are judged to have servicewide historical interest should be kept in Washington, D.C.

Offer to the Smithsonian Institution with related identifying data, files and correspondence.

2) Certifacts Related to Customs Operations in a Particular Region of the Service.

Those items which are of value to local or regional historical interests should be located in those areas.

Return to Customs ports, districts or regional offices for preservation with related identifying data, files and correspondence.

3) Other Artifacts and Records.

Those items judged not to have sufficient historical interest for preservation at the Smithsonian Institute or other appropriate site.

*Indicates Form is Obsolete

4) All Customs Procedural/Policy Manuals, Digests, etc.

a) Record copy, and files documenting amendments.

Maintain until superseded and then destroy.

b) Superseded editions and reference copies.

Maintain until superseded and then destroy.

A17 Shelf List of U.S. Customs Service Library 1975-present.

List is maintained on 3 x 5 inch cards that serve as an inventory of library holdings.

DESTROY when related work no longer has research value.

A18 Catalog of U.S. Customs Service Library 1975-present.

Catalog is maintained in 3x5 inch index cards using the Library of Congress classification number.

DESTROY when related work no longer will be of value.

*Indicates Form is Obsolete

The following items were previously included in the General Records Schedule (GRS) series. While they are no longer covered under GRS, they are still valid and therefore, separate schedules have been developed.

B1 Civilian Personnel Records Training Records.

One copy of each manual, handbook, syllabus, textbook or lesson developed for supervisory Customs Inspector Seminars, Senior Inspector Seminars, Customs Inspector basic and refresher courses and the Detector Dog Program courses, and any other course which requires expertise of Inspection and Control personnel. All training aids are maintained in Glynco, Georgia, with the exception of the Dog Program courses that are maintained in Front Royal, Virginia.

PER/3/10

DESTROY when obsolete or superseded.

B2 Real Property Files

Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange or otherwise).

FAC/4

- a) Papers for property acquired prior to January 1, 1921.

PERMANENT. Offer to the National Archives when no longer needed for administrative or legal purposes.

(NOTE: Other Real Property files can be found in GRS 4.)

B3 Property Disposal Records Surplus Property

1) Precedential Case Files

Case files on sales of surplus personal property (as described in item 6, below) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.

FAC/9

DESTROY 3 years after final payment.

*Indicates Form is Obsolete

2) Property Disposal Case Files.

Case files on disposal of surplus real and related personal property.

- a) Files for property acquired prior to January 1, 1921.

FAC/4/6

GSA-1100

PERMANENT. Offer to the National Archives when no longer needed for administrative or legal purposes.

- b) Files for property acquired since January 1, 1921.

DESTROY 3 years after disposal of property.

B4 Excess Real Property Reports

Among relevant Standard Forms, the following apply: SF 118, Report of Excess Real Property; SF 118A, Buildings, Structures, Utilities, and Miscellaneous Facilities; SF 118B, Fraud - Schedule B - Supplement to Report of Excess Real Property.

DESTROY when 3 years after disposal of property.

(NOTE: Other Real Property records can be found in GRS 4.)

B5 Budget Policy Files

Correspondence on subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

BUD/4/1
(DAU)

BUD/4/6
(DAU)

BUD/5/3

DESTROY when 5 years old.

*Indicates Form is Obsolete

B6 Budget Estimates and Justifications Files

- a) Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau level. Included are appropriations language sheets, narrative statements, and related schedules and data.

BUD/4/1

DESTROY when 5 years old.**(NOTE: Other Budget records can be found in GRS 5.)****B7 Informational Services Records Informational Files**

Information Subject Files.

Subject on resource files of the Public Affairs Office or its equivalent at the bureau level containing correspondence, memoranda, reports and reference materials on such subjects as Customhouses, Customs Service history, U.S. ports, and other subjects concerning Customs functions.

Destroy when 5 years old.**B8 Publications and Unpublished Management Reports**

Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published relating to management projects.

- 1) Records maintained at the Headquarters level.
- a) Record copy of publication or last manuscript report, not otherwise provided for under GRS/14/1 or produced by Public Printer, maintained by producing office.

PERMANENT. Offer to National Archives in 5 year blocks when 30 years old.

*Indicates Form is Obsolete

- b) Case files, working papers and background material maintained by producing office.

PER/16/1
 PLA/2/1
 (DAU)
 TEC/4/3
 MAN/5

DESTROY when related publication other field office reports.

- 2) Records maintained at field office level.

- a) Record copy of publication other field office reports.

DESTROY when superseded or obsolete.

- b) Case files, working papers, and background material maintained by office producing publication.

DESTROY when related publication is discontinued, superseded, or cancelled.

B9 Management Improvement Reports

Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.

MAN/7/1
 MAN/7/2
 MAN/16/1
 MAN/16/2

DESTROY when superseded or obsolete.

B10 Committee and Conference Records

- a) Internal Committees.

DESTROY 2 years after termination of committee.

- b) Records created by internal working groups.

1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees.

- a) Records of the sponsor or secretariat.

DESTROY when no longer needed for reference.

*Indicates Form is Obsolete

b) All other copies

DESTROY when 3 years old or when no longer needed for reference.

B11 Security Policy Files

1) Manuals and directive reflecting policies and procedures developed in the administratio and direction of security and protective services programs at the bureau level.

ADM/9/1&6
SEC/1/1
ADM/9/7

Destroy when superseded or obsolete.

2) Correspondence, reports and plans reflecting policies and procedures developed in the administration and direction of security and protective services, programs at the bureau and field office levels.

DESTROY when superseded or obsolete.

3) Manuals, directives, and other publications reflecting policies and procedures developed in the administration and direction of security and protective services programs at the field office level.

DESTROY when superseded or obsolete.

B12 Audiovisual Records Still Photography

Official photos of senior agency officials at the bureau or field level (e.g., Commissioner, Assistant Commissioner, Regional Commissioner).

PERMANENT. Offer to NARS in 5 year blocks when 20 years old.

B13 Graphic Arts

a) Routine artwork for handbills, flyers, posters, letterhead and other graphics.

DESTROY 1 year after final publication or when no longer needed.

*Indicates Form is Obsolete

- b) Original artwork of unusual or outstanding merit.

PERMANENT. Offer to NARS when superseded or obsolete.

B14 Audiovisual Records

Sound Recordings

Recording of routine public meetings or speeches, award ceremonies, and testimonies.

DESTROYED when no longer needed.

B15 Design and Construction Drawings and Related Records. Federal Structures Design Files

Preliminary and presentation drawings of Federal Structures.

Files selected for architectural significance (Drawings).

PERMANENT. Offer to NARS within 5 years after completion of project.

*Indicates Form is Obsolete

The General Records Schedule series described in this section of the Customs Records Control Handbook are those series descriptions which have been tailored to the needs of the U.S. Customs Service. The series described in this section are also indexed in the RCS index. For the rest of G.R.S. series descriptions, and index entries, see the General Records Schedules published by NARA attached to this schedule as Section VI.

GRS/18 Security and Protective Services Records,
22 Personnel Security Clearance Records,
Felonious Security Violation Files

Case files relating to investigations of alleged security violations of a sufficiently serious nature to be closed as felonies.

NAT/7/2
MAN/11/2

DESTROY 10 years after completion of final corrective or disciplinary action.

*Indicates Form is Obsolete

Section IV - U.S. CUSTOMS GENERAL RECORDS SCHEDULES

SCHEDULES

RCN

FORM NO.

Parts 1-3 Reserved

Part 4 - Vessels in Foreign and Domestic Trades.

~~Arrival and Entry of Vessels.~~

Entry Records.

4/1

Records of vessels engaged in foreign trade entered on arrival under permit to proceed (CF 1400, CF 1400 A), circa. 1901 - present. Accumulation: circa. 500 cu. ft.; Annual accumulation: circa. 5 cu. ft. Information includes name of vessel, origin, nationality, type of cargo, number of crew, manifest number, and net tonnage. Records are currently located in field offices. Record is of limited utility for reference purposes in 20th Century research.

VES/5/16

~~PERMANENT. Offer to National Archives in 10 year blocks when 30 years old.~~

Vessel Entrance Records.

4/2

A variety of Customs forms and local and regional paperwork is required for a vessel entrance. Types of forms and information required are permit for unloading, crew list for INS, and passenger list if necessary, general declaration, clearance from last port, ships stores, bunker reports, crew declarations and cargo declaration. Other records are masters oath of vessel in foreign trade, certificate of tonnage tax and sealing reports. Some records may also be arranged as inward foreign manifests which consist of the formal entrance papers of vessels loading and unloading merchandise.

VES/5/10	CF-7527 A&B*
INS/2/2	CF-3171
FOR/2/1	CF-3171
VES/9/2	I-418
VES/5/9	CF-1301
VES/5/10	CF-7527 A&B*
VES/5/9	CF-1301
VES/9/1	CF-1304
VES/5/17	CF-1301
CON/13/3	COMM-563
CON/13/4	IRS-1582-B
CON/13/5	IRS-2150
EXP/1/2	IRS-2150
TRA/10/1	IRS-2150
VES/5/4	CF-3203
VES/11/2	CF-1002

* Indicates Form is Obsolete.

Pre-1964. Pemanent. Transfer to National Archives upon approval of schedule.

Post-1964. Destroy when 5 years old.

Inward Foreign Manifests.

4/3

A variety of Customs forms and local and regional paperwork is maintained under this title. The records are consolidated under Vessel Entrance Manifests title. Some of the types of forms and information are Master's Oath of Vessel in Foreign Trade, General Declaration, Application-Permit-Unlading (clearance from last port), Ship's Stores, Crew Declarations, Crew and Passenger Lists, Carqo Declarations Manifests.

VES/3/1	CF-1385*
VES/5/9	CF-1301
INS/2/2	CF-3171
FOR/2/1	CF-3171
VES/5/17	CF-1303
VES/9/1	CF-1304
VES/9/2	I-418
VES/5/10	CF-7527 A&B*
	CF-1302 A&B

a.) Inspector's copy.

Incorporate into Vessel Entrance Records 1 month after arrival.

b.) Carrier Control Branch copy.

Transfer to FRC after 2 years on site.

DESTROY when 6 years old.

Discrepancy Report and Declaration Records.

4/4

Customs forms and other documents concerning cargo security used to record shortage/overage of imported merchandise. This is the basic series used to assess penalties or amend manifests. This six part form is distributed as follows:

VES/1/1	CF-5931
VES/5/7 (DAU)	CF-5931

*Indicates Form is Obsolete