

Rec'd NCD 16 Apr 80/44

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NCL-331-00-1
DATE RECEIVED	4-15-80
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
Aug 14 81 Date	<i>[Signature]</i> Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Community Services Administration

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

John H. Sowders

5. TEL. EXT.

254-6208

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 86 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <i>4/14/80</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>John H. Sowders</i>	E. TITLE CSA Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Attached is a Comprehensive Records Schedule of the Community Services Administration. <i>Permanent items will be offered to NARS immediately.</i> <i>Items marked with an * may be destroyed immediately</i>		
			<i>443 items</i>

Agency copy sent 8/17/81

Closed Out: K.T.D.

COMMUNITY SERVICES ADMINISTRATION (CSA) RECORDS DISPOSITION SCHEDULES

INTRODUCTION

The following schedules contain identification numbers, titles, description of records and authorized disposition standards to be used throughout CSA. Congress through the General Services Administration (GSA) and National Archives and Records Service (NARS) approved these schedules for mandatory use in CSA. Each disposition standard or instruction is prefaced, first with either Office of Record, Other Offices or All Offices indicating the office where the records are filed; secondly with either Temporary or Permanent indicating temporary records and permanent records. These schedules are intended primarily to cover only record copies. Extra copies of documents used solely for reference are non-record and may be destroyed by the office of record when no longer needed. Subject and case file documents are treated in the same manner as the file of which they are a part. Nine (9) Major Categories of records and their Records Series have been established using the CSA organization structure as a guide. This enhances files management and aids the office of record in the preparation of the Files Maintenance and Disposition Plan. Regardless of the retention period specified, records relating directly to an unsettled claim by or against the United States, current or pending litigation or investigation and exceptions taken by the General Accounting Office, will not be disposed of until final settlement or clearance of the matter. Supervisors of Headquarters and Regional Official Grant Files must inform interested staff offices of any major change to a grant. When a grant is terminated, all offices must be informed and all official grant records consolidated by the official grant supervisor. All other offices may then destroy their duplicate grant files.

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CSA RECORDS SCHEDULE 1

Office Administration Records

These series of records are common to most offices and relate to the performance of administrative operations within offices and not the performance of their function mission. These records usually accumulate in offices of records under the control of an administrative officer or other individual responsible for administrative matters of the office. These files and documents almost always pertain to general administration and support functions records. They are also referred to as housekeeping records.

- *1-1. FILES MAINTENANCE AND DISPOSITION FORMS (CSA FORM 425): Files Maintenance and Disposition Plan and related papers pertaining to their preparation and revision.

ALL OFFICES: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.

- 1-2. DIRECTOR'S CORRESPONDENCE FILE: Copies of all mission correspondence signed in the office of the Director and Deputy Director.

a. Record copy.

OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; transfer to FRC when 3 years old; offer to the National Archives when 10 years old

b. Other copies.

- * OTHER OFFICES: TEMPORARY: Destroy when no longer needed.

Record copies are maintained by the Assistant and Associate Directors

Offices. Annual accumulation is approximately 27 inches and arrangement

is ~~chronologically~~ *alphabetically* by subject *and remainder chronologically*.

- 1-3. GENERAL CORRESPONDENCE: Letters, indorsements, memoranda, reports, and related data and attachments involving a variety of subjects which are not appropriate for filing with other records series.

a. Documents created or received by any office which has CSA-wide policy-making or program-monitoring responsibilities.

ALL OFFICES: PERMANENT: Retire to the FRC after 5 years; offer to the National Archives in 5-year ~~increments~~ *accumulations every 10 years old.*

b. Documents created by any office that relate to the administration and operation of activities.

~~*~~ ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy when 2 years old.

Record copies are maintained primarily by the Assistant(5), Associate(4) and Regional(10) Directors Offices. Annual accumulation is estimated at 60 inches and the arrangement is ~~chronologically~~ *alphabetical* by subject ~~and there-~~ *under chronological.*

~~*~~ 1-4. POLICY AND PRECEDENT FILES: Duplicate copies of documents reflecting the establishment of internal policy or precedent pertinent to current and future procedures within the office. These files are maintained at the operating level. Original or official record copies will not be placed in this file.

ALL OFFICES: TEMPORARY: Destroy when superseded or obsolete.

~~*~~ 1-5. SUSPENSE FILES: Papers arranged in chronological order as a reminder that an action is required on a specific date; a reply to an action is expected and if not received should be traced on a given date. Suspense file folders do not require file numbers nor the papers filed in them. The folders are usually numbered 1 to 31 one for each day of the month. However, offices having a small volume of suspended material may need only two folders numbered 1-15 and 16-31. Additional monthly folders may be used temporarily to house suspended material due in the months ahead fo the current suspense file.

ALL OFFICES: TEMPORARY: Destroy on the date under which suspended if all actions have been cleared and reference is no longer required.

1-6. CHRONOLOGICAL FILES: Copies of outgoing communications, arranged by date, and maintained for periodic review by staff members or for reference.

ALL OFFICES: PERMANENT. ~~Destroy when 1 year old. May destroy earlier.~~
(See 1-3, General Correspondence)

~~X~~1-7. TRANSITORY FILES: Correspondence, messages and other documents maintained for reference, copies of documents which require no official action, letters of transmittal, routine requests for information and replies thereto involving administrative or policy decisions and no special compilation or research.

NOTE: To the maximum extent practicable, transitory papers should be destroyed without filing. File only when needed for more than 30 days.

ALL OFFICES: TEMPORARY: Destroy after 90 days. Earlier destruction authorized.

~~X~~1-8. REFERENCE PAPER FILES: These files relate to varied subject and functions and consist of the following type of documents:

a. Duplicate copies of documents accumulated in offices not responsible for the functions or mission. The record copy is filed in the office responsible for the function. These files should be established only when essential.

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year.

b. Cards, listings, indexes, and similar documents used for facilitating and controlling work.

ALL OFFICES: TEMPORARY: Destroy when no longer needed.

c. Notes, drafts, feeder reports, similar working papers and other materials accumulated for preparation of a communication, a study, an investigation, a survey, an inspection, or other action. This description does not include official recommendations, coordinating actions, and other documents which contribute to or result from preparation of the communication or other record.

ALL OFFICES: TEMPORARY: Destroy on completion of action in each instance, or place into inactive file and destroy after 1 year.

*1-9. OFFICE FINANCIAL FILES: Papers relating to the participation of offices in matters concerning the expenditure of funds incidental to the performance of program functions of the office. Included are travel cost estimates and notifications of availability of funds; receipts for, and other documents regarding the distribution of checks and saving bonds; similar documents; and related papers.

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year.

*1-10. GENERAL SERVICES AND SUPPLY: Documents relating to the acquisition, maintenance, utilization, and control of office equipment, supplies, utilities, and space; and documents relating to telecommunication, transportation, printing, publications, custodial, and other services. Included are requisitions for equipment or services, duplicate copies

of Standard Forms 44, Purchase Orders, and CSA Forms 28, Requisition

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year.

*1-11. TELEPHONE CALL CONTROLS: Telephone call data used to document prior approval for official long distance telephone calls.

ALL OFFICES: TEMPORARY: Destroy after verification of call approved or made.

*1-12. OFFICE EQUIPMENT CONTROL: Documents maintained by offices for equipment used within their area of accountability. Included are cards, lists, receipts, or comparable documents showing equipment charged to an office.

ALL OFFICES: TEMPORARY: Place in inactive file when equipment is removed from office's control. Cutoff inactive file Dec 31; destroy after 2 years.

*1-13. OFFICE PERSONNEL ADMINISTRATION FILES: Documents accumulated by operating officials in administering personnel matters for or about employees in the office. Included are notices of holidays and hours worked; notices about employee unions; notifications and list of employees to receive government medical services, notices and list of individuals to receive training and comparable papers.

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year.

- * 1-14. EMPLOYEE RECORD CARDS: Standard Form 7b which includes employee basic data and supervisor's comments/remarks concerning employee performance. This form is intended for the first line supervisor and its current annotation can displace office personnel information folders.

ALL OFFICES: TEMPORARY: Transfer with the employee within CSA. Destroy on separation of employee.

- * 1-15. INDIVIDUAL PERSONNEL INFORMATION: Documents accumulated on individual employees which are duplicated in, or not appropriate for inclusion in, official personnel folders, the position description file, or the pending personnel action request file. Included are retained copies of reports and other papers concerning individual injuries, letters of appreciation and commendation, papers indicating training received or assigned responsibilities, and comparable papers.

ALL OFFICES: TEMPORARY: Review annually and destroy documents which are superseded or not applicable. Destroy entire file on separation of employee.

- * 1-16. PENDING PERSONNEL ACTIONS: Operating officials' or suspense copies of requests for various personnel actions, such as accession, position changes, pay rate changes, separations, and similar matters.

ALL OFFICES: TEMPORARY: Destroy when action is completed.

- * 1-17. JOB DESCRIPTION FILES: Extra copies of position descriptions of an office which are used in day-to-day supervisory relationships.

ALL OFFICES: TEMPORARY: Destroy when superseded or abolished.

- * 1-18. TIME AND ATTENDANCE RECORDS: Duplicate copies of time and attendance reports and holidays and overtime work reports maintained by operating offices.

ALL OFFICES: TEMPORARY: Destroy when no longer needed.

* 1-19. TRAVEL FILES: Documents concerning official travel of employees but not papers for arrangements, reservations, etc. that are normally filed in the suspense file. Also excluded are "payment" copies accumulated by finance activities. Establish case files for travelers if volume warrants. These are travelers office records.

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year.

* 1-20. JOB VACANCY ANNOUNCEMENTS: Copies of position vacancy announcements and related papers.

ALL OFFICES: TEMPORARY: Destroy when position is filled.

* 1-21. REFERENCE PUBLICATIONS: Copies of publications maintained for reference purposes. Reference publications will be filed and arranged to best meet the needs of the user. NOTE: This file designation is for identification and disposition purpose only. Reference publications need not be placed in file folders.

ALL OFFICES: TEMPORARY: Destroy when superseded, obsolete or no longer needed for reference purposes.

* 1-22. TECHNICAL REFERENCE MATERIAL: Copies of motion pictures, sound recordings, still photographs, maps, graphic, and similar materials maintained for reference purposes.

ALL OFFICES: TEMPORARY: Destroy when superseded or obsolete, EXCEPT accountable or reusable material will be returned to the source of supply.

* 1-23. COMMITTEES, CONFERENCES, AND MEETINGS: Copies of documents pertaining to office participation in, or association with, committees, conferences, meetings, and related activities. Includes correspondence such as notices of meetings, agenda, notes taken during meetings, and information of general nature.

ALL OFFICES: TEMPORARY: Cutoff Dec 31; destroy after 1 year or when purpose has been served.

*1-24. HEALTH, WELFARE, AND CHARITIES: Consists of documents pertaining to various charitable, health, and welfare organizations, including the blood donor program.

ALL OFFICES: TEMPORARY: Destroy when 1 year old or when purpose has been served, whichever is sooner.

CSA RECORDS SCHEDULE 2

Community Action Records

These records are created in the overall performance, direction and administration of CSA's Title II programs other than Section 221. They relate to program development with emphasis on specific programs including research and demonstration programs; and also regional operations that include grant system management, coordination, training and technical assistance for CSA Headquarters and the ten (10) Regional Offices.

2-1. GRANT CORRESPONDENCE AND SUBJECT FILES:

a. correspondence and/or subject files including memoranda, studies, reports, forms, and other records relating to the legal establishment of the grant program, its policies and basic procedures, and the management and evaluation of grants.

OFFICE OF RECORD: PERMANENT: Cutoff Sept. 30; hold 3 years; retire to FRC; offer to National Archives 10 years after cutoff date.

b. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

* OFFICE OF RECORD: TEMPORARY: Cutoff Sept. 30 and destroy when 2 years old.

Permanent record copies are maintained by the Headquarters Community Action Offices and the ten (10) Regional Offices. Annual accumulation is estimated at 60 inches and arrangement is ~~chronologically~~ ^{alphabetical} by subject ~~and then arranged~~ ^{chronological.}

* 2-2. POLICY DEVELOPMENT AND REVIEW FILES: These records relate to the review,

analysis and development of Community Action policy and guidance that result in it being codified and published in the Federal Register as CSA Rules.

These files are maintained by codification number and rule title and each contains the original copy of the clearance, copy of the rule approved and forwarded to the Federal Register for publication plus all pertinent background documents and related correspondence.

OFFICE OF RECORD: TEMPORARY: Place revised, superseded and obsoleted rules files in the inactive files; retain 3 years and then destroy since the Federal Register contains the record copy.

2-3. PROGRAM DEVELOPMENT AND MANAGEMENT RECORDS: Records of programs established by program managers in support of the CSA Community action Program which include annual program objectives and the manpower, material, and financial resources to achieve the objective. These records also include the methods and procedures for establishment, maintenance, and revision of the Community Action program and the internal and external programs to carry out the assigned responsibilities of the CSA functions

OFFICE OF RECORD: TEMPORARY: Retire to FRC 1 year after file becomes inactive; destroy after 5 years.

~~*~~2-4. GRANT SUMMARY FILES: Summaries of information copies of grant papers which duplicate official record copies. Record copy maintained in official grant file.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept. 30 and destroy after 2 years.

2-5. GRANT APPLICATIONS OR PROPOSALS FILES: Applications, proposals, memoranda, correspondence and other records relating to the decisions to accept or reject grant applications or proposals.

a. Rejected applications or proposals.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after rejection.

b. Accepted applications or proposals.

OFFICE OF RECORD: TEMPORARY: Maintained in the official grant file and dispose of in accordance with Item 4-125.

2-6. FINAL GRANT PRODUCT FILES: Published reports, books, studies, audiovisual materials, or any other final grant product and related records in textual or machine-readable form.

a. OFFICE OF RECORD: PERMANENT: Cutoff Sept. 30; hold 3 years after the grant is terminated then retire to FRC. Offer to National Archives 10 years after the grant is terminated.

~~*~~b. OTHERS OFFICES: TEMPORARY: Destroy information copies when purpose is served or no longer needed.

Record copies are maintained by Headquarters Community Action Offices and the ten (10) Regional Offices. Annual accumulation is estimated at 36 inches and arrangement is ~~subject~~ *alphabetical by subject*.

- 2-7. CSA's NATIONAL EMPHASIS PROGRAMS FILES: These records relate to the development, planning and administering of CSA's National Emphasis

Programs such as Community, Food and Nutrition, Manpower, Housing, Older Americans, Energy and others required by Title II of the EPA. *They include correspondence relating to legislation, administrative guidance, reports and program evaluation documents.*

OFFICE OF RECORD: PERMANENT: Retire to the FRC 1 year after file becomes inactive and offer to the National Archives after 10 years.

Record copies are maintained by Emphasis Programs Teams under the Program Development Office. Annual accumulation is estimated 60 inches and arrangement is ~~chronologically~~ *alphabetical* by subject *and the records chronological.*

- *2-8. DEMONSTRATION PROGRAM FILES: These records relate to the development and design of Headquarters - funded projects in accordance with office's program operating plan. They also relate to the development of office of program development's research and demonstration plan and evaluation criteria for projects funded in program area.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy after 3 years.

- *2-9. REGIONAL OPERATIONS RECORDS: These records relate to the direction, control and operation of the 10 CSA Regional Offices. They deal with all aspects of the operations of the Regional Offices as related to grant system management regional coordination, training and technical assistance.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy after 3 years.

OTHER OFFICES: TEMPORARY: Cutoff Sept 30 and destroy when no longer needed.

- *2-10. GRANT SYSTEM MANAGEMENT FILES: These records relate to grant management systems. These files are developed and created from the planning, application reporting and compliance of the CSA regional grantees; and the monitoring, technical assistance and evaluation of the Regional Offices.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy after 3 years.

*2-11. REGIONAL COORDINATION FILES: These records relate to Regional Director's reports, Regional plans, Grantees audit or inspection reports and directive. These documents constitute the Regional Offices coordination with the CSA Headquarters focal point.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy after 3 years.

*2-12. TRAINING AND TECHNICAL ASSISTANCE FILES: These records relate to training and technical assistance provided the Office of Community Action and Grantee personnel. These files are developed and created from training and technical assistance programs and includes T&TA Packages and Models developed by Contractors.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy after 3 years.

(NOTE: T&TA Packages and Modles which are Audiovisual Records must be coordinated with the Office of Management Training Officer and Office of ~~Public~~ ^{External} Affairs and disposed of in accordance with General Records Schedule 21.)

2-13. OFFICIAL REGIONAL GRANT FILES: Case files arranged by grant number and name of grantee containing eligibility documents and funding request documents submitted by applicant agencies in applying for a CSA grant. This includes grant actions, compliance with special conditions, amendment request correspondence, strategy papers, minutes of board meetings and all other documents and correspondence specifically pertaining to the grantee.

a. OFFICE OF RECORD: TEMPORARY: Cutoff terminated grants and noncurrent FY program papers Sept 30; hold 3 years then retire to FRC. Destroy 10 years after the grant is terminated.

*b. OTHER OFFICES: TEMPORARY: Destroy duplicate grant case files immediately after the grant is terminated or when no longer needed.

*2-14. FIELD REPRESENTATIVE GRANT WORKING FILE: ^{Case} file by grant number and name of grantee containing duplicate copies of minutes of board meetings, strategy papers, newspapers clippings, grant actions, and evaluation reports since the record copy is transferred and maintained in the Official Grant File
OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy when purpose is served or no longer needed.

2-15. GRANTEE RECORDS - CAP SITE: All files maintained by grantee at the local Community Action site.

OFFICE OF RECORD: TEMPORARY: Cutoff inactive file Sept 30; hold 3 years after cutoff date, or until any litigation is settled or audit is cleared, then destroy.

(Grantees must retain records required by 45 Code of Federal Regulations 1068. 3-8. ~~Grantees may retire records to the FRC when needed and desired but Grantees can not be directed to do so since their records are not Federal records. NARS has approved storage of Grantee Records in FRC's because office space used for storage of records is much more expensive than FRC storage space. Grantees must prepare and process SF 135, Records Transmittal and Receipt through the Regional Records Liaison Officer to store Grantee Records in the FRC. Regional Records Liaison Officers will provide Grantees the necessary guidance and assistance.~~)

*2-16. GRANTEE REPORTS: Case files arranged by grant number and name of grantee containing duplicate copies of Program Progress Reports, Narrative Summary Reports and Participant Characteristic Reports and related correspondence since the record copy is transferred and maintained in the Official Grant File.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy when purpose is served or no longer needed.

* 2-17. GRANTEE MONTHLY FINANCIAL REPORT FILE: Case file arranged by grant number and name of grantee containing duplicate copies of CAP Form 15 series and related correspondence since the record copy is transferred and maintained in the central Grant Financial Files.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy when purpose is served or no longer needed.

* 2-18. GRANTEE PERSONNEL POLICIES AND PROCEDURES WORKING FILES: - Case file arranged by grant number and name of grantee containing duplicate copies of the grantee's personnel policies and procedures since the record copy is maintained in the Publication Records Set File or Official Grant File.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy when purpose is served or no longer needed.

* 2-19. GRANTEE OFFICER AND EMPLOYEE BIOGRAPHICAL AND PROFESSIONAL INFORMATION FILES: Current and past officers, board members and employees of grantee organizations funded by CSA. These records include names and addresses of policy advisory member of grantee boards, councils and committees, and biographical information for individuals selected or promoted to fill certain top grantee positions, including place and date of birth, citizenship, professional and educational experience and organizational affiliations. (CSA-14)

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.

Policy, Planning and Evaluation Records

Records that pertain to agency-wide policy, planning and the measurement and evaluation of the impact of poverty-related programs authorized by Title IX of the EOA as amended whether CSA administered or not. These records include short and long-range plans, evaluation research and policy analysis.

3-1. POLICY: The records resulting from the development and implementation of policy pertaining to the organization, mission and functions of the agency, *and include evaluation reports, correspondence, and standards which may result in policy changes.*

a. OFFICE OF RECORD: PERMANENT: Hold 3 years after revision, then retire to FRC; offer to the National Archives 10 years after revision.

*b. OTHER OFFICES: TEMPORARY: Destroy when superseded, recinded, or no longer needed.

Record copies are maintained by the Policy, Planning and Evaluation Office and other Headquarters and Regional Offices as applicable. Annual accumulation is estimated at 72 inches and the arrangement is *alphabetical* by subject and ~~chronologically~~ thereunder *chronological*.

3-2. POLICY ANALYSIS: Records pertaining to the methods of analyzing policy in terms of organizational objective relative to costs, benefits and other alternatives. *This includes correspondence, memorandums, publications, and reports relating to policy.*

a. OFFICE OF RECORD: PERMANENT: Hold 3 years after revision, then retire to FRC; offer to the National Archives 10 years after revision.

*b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

Record copies are maintained by the Policy Analysis Division. Annual accumulation is 36 inches and arrangement is by subject.

3-3. PLANNING: Records pertaining to the methods and results of agency-wide planning in terms of mission, objectives and program alternatives. *These records consist of planning documents which form*

a. OFFICE OF RECORD: PERMANENT: Hold 3 years after revision, then retire to FRC; offer to the National Archives 5 years after revision.

the basis for agency budgetary decisions.

- * b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

Record copies are maintained by Policy, Planning and Evaluation Office and other Headquarters and Regional Offices as applicable. Annual accumulation is estimated at 72 inches and the arrangement is ^{alphabetical} by subject and ~~chronologically~~ thereunder ^{chronological.}

- 3-4. IMPACT EVALUATION: ~~Records pertaining~~ ^{Correspondence, memorandums and reports} to the assessment of the benefits, both direct and indirect, of anti-poverty programs whether CSA administered or not.

- a. OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; hold 3 years, then retire FRC; offer to the National Archives after 10 years.

- * b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

Record copies are maintained by the Evaluation Research Division. Annual accumulation is 36 inches and arrangement is chronologically.

- 3-5. STRATEGY EVALUATION: ~~Records~~ ^{Published guidance} pertaining to the assessment of alternative methods and procedures for accomplishing agency mission and ^{program} objectives ~~programmatically~~.

- a. OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; hold 3 years, then retire to FRC; offer to the National Archives after 10 years.

- * b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

Record copies are maintained by the Evaluation Research Division. Annual accumulation is 24 inches and the arrangement is chronologically.

- 3-6. GRANTEE EFFECTIVENESS EVALUATION: ~~Records~~ ^{Reports} pertaining to the assessment of performance by individual grantees and contractors.

- a. OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; hold 3 years, then retire to FRC; offer to the National Archives after 10 years.

- * b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

Record copies are maintained by the Evaluation Research Division. Annual accumulation is 36 inches and the arrangement is chronologically.

3-7. METHODS AND TRAINING: Records pertaining to special studies, training materials and research methods associated with policy research and *training conducted on an agency-wide basis.*

a. OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; hold 3 years then retire to FRC; offer to National Archives after 10 years.

*b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served or when no longer needed.

Record copies are maintained by the Evaluation Research Division. Annual accumulation is 36 inches and arrangement is subjectively.

General Management and Administration Records

These records are created in the performance of management and administration functions. They relate specifically to the following functional areas: Information, Management and Systems; Administrative Management and Services; Personnel Management and Controller activities that include Data Processing, Financial Management and Budget Procedures and Program Analysis. The General Management records relate to planning, organization, and direction of CSA and results from the development of Agency plans, policies and programs. The Administrative Management records relate to the administrative management and services functions of the Agency and results from the development of organizational surveys, paperwork management, work measurement, system analysis and other management improvement programs. The Personnel Management records relate to the development and operation of the Agency's personnel program and occupational safety program activities. They are generated by formally organized personnel offices in the development of Agency personnel operations and services, and where indicated, by operating offices in the supervision of employees. The Controller records relate to Data Processing, Budget and Financial Management functions of the Agency. The Data Processing records relate to the Automatic Data Processing services and systems program of the Agency and reflect the plans, policies and procedures governing the transition of manual operations to computer operations. Budget Management records relate to Agencywide format, guidelines, process, and procedures of the CSA budgetary control systems. Financial Management records are accumulated in connection with financial management function of CSA and include fiscal settlements, accounting, payroll and pay administration and financial reporting.

INFORMATION, MANAGEMENT AND SYSTEMS

- 4-1. ORGANIZATIONAL PLANNING AND MANPOWER AUTHORIZATION RECORDS: Documents relating to the establishment of and changes in organization, functions, relationships, and delegations of authority, such as organizational and functional charts, personnel charts indicating grades and ratings, manning documents reflecting the allotment (increase or decrease) of personnel spaces in CSA, with related documents, including Agency-wide manpower studies.
- a. OFFICE OF RECORD: PERMANENT: Retire to the FRC 3 years after no longer required for current operations; offer to the National Archives after 15 years.
- * b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.
- Record copies are maintained by the Information, Management and Systems Staff. Annual accumulation is approximately six inches and the arrangement is chronologically by calendar year.

- 4-2. MANPOWER STUDIES: Documents created in connection with manpower surveys and studies covering personnel authorizations, manning levels, manpower analysis and requirements, with related materials, but not including Agency-wide manpower studies retained in item 4-1.
- a. OFFICE OF RECORD: TEMPORARY: Destroy 5 years after the files become inactive.
- * b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.
- * 4-3. SYSTEMS PROJECT FILES: Case files created as a result of the development, installation and operation of all systems for CSA activities and other activities financed under the Economic Opportunity Act, including request for systems work, the final report, and actions taken as a result of the report.
- a. OFFICE OF RECORD: TEMPORARY: Destroy 3 years after the case is completed or closed or when no longer needed.
- b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.
- * 4-4. STATISTICAL INFORMATION PROJECTS: Case files created as a result of various compilations of statistical information for presentations that results in policy decisions and also includes the development of allocation formula for program areas and implementation of the Economic Opportunity Act.
- a. OFFICE OF RECORD: TEMPORARY: Destroy 3 years after the case is closed or when no longer needed.
- b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.
- * 4-5. COST REDUCTION AND MANAGEMENT IMPROVEMENT: Records which directly contribute to the development and direction of the CSA management improvement program, including basic interpretations, plans, studies, and summary reports. It also includes records copies of management improvement and achievement reports submitted to OMB and related analysis and feeder reports.

DESTROY on site.

a. OFFICE OF RECORD: ~~PERMANENT~~: Cutoff Dec. 31; hold 3 years, retire to FRG; offer to the National Archives after 15 years.

* b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.

Record copies are maintained by the Information, Management and Systems Staff. Annual accumulation is approximately six to twelve inches and the arrangement is ~~by subject and chronologically~~ ^{alphabetical} thereunder ~~chronologically~~ ^{cal.}

* 4-6. IMS STAFF WORKING PAPERS: Background materials, drafts, interim and progress reports, and related papers accumulated in organization planning projects and surveys or related paper pertaining to management surveys or related papers pertaining to systems studies.

OFFICE OF RECORD: TEMPORARY: Destroy six months after final action on project report or three years after completion of report if no final action is taken.

4-7. PRIVACY ACT REQUEST: Files created in the response to request from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all requested records.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy 2 years after date of reply.

(2) Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request NOT appealed.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy 2 years after date of reply.

(b) Request appealed.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with the approved disposition instructions for related subjects individual's record or three years after final adjudication by courts, whichever is later.

(3) Denying access to all or part of the record requested.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy 5 years after date of reply.

(a) Request NOT appealed.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec.31; destroy 5 years after date of reply.

(b) Request appealed.

OFFICE OF RECORD: TEMPORARY: Destroy as authorized under item 4-8

b. Official file copy of requested records.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.

4-8. PRIVACY ACT AMENDMENT CASE FILES: Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

a: Request to amend agreed to by agency. Includes individual's request to amend/and/or review refusal to amend, copies of agency's replies thereto, and related materials.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with the approved disposition instructions for the related subject individual's record or four years after agency's agreement to amend whichever is later.

b. Request to amend refused by agency. Includes individual's request to amend and review refusal to amend, copies of agency's replies thereto, and related materials.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with the approved disposition instructions for the related subject individual's record; four years after final determination by agency; or three years after final adjudication by courts, whichever is later.

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with the approved disposition instructions for related subject individual's record or three years after final adjudication by courts, whichever is later.

4-9. PRIVACY ACT ACCOUNTING OF DISCLOSURE FILES: Files maintained under the provision of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature and purpose of each disclosure of a record to any person or to another agency including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual consent when applicable.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.

4-10. PRIVACY ACT CONTROL FILES: Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor.

a. Registers or listings.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec.31; destroy 5 years after date of last entry.

b. Other files.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec.31; destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

4-11. PRIVACY ACT REPORTS FILES: Recurring reports and one-time information requirement relating to agency implementation, including annual reports to Congress of the United States, the Office of Management and Budget, and the Report on New Systems.

a. Annual reports at agency level.

OFFICE OF RECORD: PERMANENT: Cutoff Dec. 31; retire to FRC when no longer needed; offer to NARS with related agency records approved for permanent retention in agency records control schedule or when 15 years old, whichever is sooner.

Record copies are maintained by the Information, Management and Systems Staff. Annual accumulation is approximately one to three inches and the arrangement is subjectively by calendar year.

b. Other reports.

OTHER OFFICES: TEMPORARY: Cutoff Dec. 31; destroy when 2 years old.

* 4-12. PRIVACY ACT GENERAL ADMINISTRATIVE FILES: Records relating to the general agency implementation of the Privacy Act, including notices, memorands, routine correspondence, and related records.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy when 2 years old or sooner if no longer needed for administrative use.

ADMINISTRATIVE MANAGEMENT AND SERVICES

PROCUREMENT AND PROPERTY MANAGEMENT

4-13. OFFICIAL CONTRACT FILE: Case files arranged by contract number and name of contractor documenting the initiation and administration of procurement transactions, including correspondence and related papers pertaining to negotiation, award, administration, inspection, testing, acceptance and payment.

a. Case files relating to transactions of more than \$10,000 and all construction contracts exceeding \$2,000, dated subsequent to July 25, 1974.

OFFICE OF RECORD: TEMPORARY: Upon on final payment place in inactive file for 2 years then transfer fiscal year block to FRC. Destroy 6 years and 3 months after final payment.

b. Case files relating to transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after final payment. (Close file Sept. 30, retain 3 years and destroy, except that files on which action are pending shall be brought forward to the next fiscal year's files for destruction therewith.)

c. Case files relating to transactions of more than \$2,500 dated prior to July 26, 1974.

OFFICE OF RECORD: TEMPORARY: Destroy 6 years after final payment.

d. Contract working files maintained by operating offices

OTHER OFFICES: TEMPORARY: Destroy 2 years after final payment.

4-14. PURCHASE ORDER FILE: Case files arranged by purchase number and name of company or firm documenting the initiation and administration of procurement transactions, including correspondence and related papers pertaining to negotiation, award, administration, inspection, testing, acceptance and payment.

a. Case files relating to transactions of more than \$10,000 and all construction contracts exceeding \$2,000 dated subsequent to July 25, 1974.

OFFICE OF RECORD: TEMPORARY: Upon final payment place in inactive file for 2 years then transfer fiscal block to FRC. Destroy 6 years and 3 months after final payment.

b. Case files relating to transactions of \$10,000 or less and construction contracts under \$2,000 dated subsequent to July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after final payment. (Close file Sept. 30, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)

c. Case files relating to transactions of more than \$2,500 dated prior to July 26, 1974.

OFFICE OF RECORD: TEMPORARY: Destroy 6 years after final payment.

d. Purchase order working files maintained by operating offices.

OTHER OFFICES: TEMPORARY: Destroy 2 years after final payment.

* 4-15. CONTRACT AND PURCHASE ORDER CONTROL FILES: Indexes, registers, logs or other records relating to the control of assigning numbers to contracts and purchase orders.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or obsolete.

- 4-16. UNSUCCESSFUL BID FILES: Case files of unsuccessful bids received from prospective contractors for supplies, equipment, or services.
- OFFICE OF RECORD: TEMPORARY: Destroy in accordance with provisions in Item 4-14.
- * 4-17. BIDDERS QUALIFICATION FILES: Bidders mailing lists, bidders list applications, reports, financial statements, and related correspondence reflecting bidders qualification.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded or canceled.
- * 4-18. CATALOG FILES: Catalogs, federal supply schedules, and other publications used in procurement operations.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.
- * 4-19. PROPERTY MANAGEMENT REPORT FILES: Reports generated in property management activities.
- OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31 and destroy after 2 years or when no longer needed, whichever is sooner.
- * 4-20. EMPLOYEE PROPERTY ISSUE FILES: Documents, including card files, showing property and equipment charged out to personnel, including employee receipts.
- OFFICE OF RECORD: TEMPORARY: Destroy 6 months after item is returned.
- * 4-21 PROPERTY RECORD RECEIPT FILES: Copies of purchase orders maintained as property record receipts.
- OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31 and destroy after 2 years.
- 4-22. REAL PROPERTY FILES: Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).
- a. Papers for property acquired since January 1, 1921, other than abstract or certificate of title.
- OFFICE OF RECORD: TEMPORARY: Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

b. Abstract or certificate or title.

OFFICE OF RECORD: TEMPORARY: Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

- 4-23. PROPERTY DISPOSAL CASE FILES: Case files on disposal of surplus real and related personal property.

OFFICE OF RECORD: TEMPORARY: Place in inactive file; hold for 2 years then transfer to FRC. Destroy 6 years after final payment or disposal date.

- 4-24. EXCESS REAL PROPERTY REPORTS.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31 and destroy after 3 years.

- 4-25. EXCESS PERSONAL PROPERTY REPORTS.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31 and destroy after 3 years.

- *4-26. EXCESS AND SURPLUS PROPERTY LISTINGS.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or obsolete.

- 4-27. SURPLUS PROPERTY CASE FILES: Case files on sales of surplus personal property, comprising invitations, bids, acceptances lists of materials, evidence of sales, and related correspondence (other than those covered in other items).

a. Transactions subsequent to July 25, 1974, of more than \$10,000; and transactions prior to July 26, 1974, of more than \$2,500.

OFFICE OF RECORD: TEMPORARY: Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to FRC 2 years thereafter.

b. Transactions subsequent to July 25, 1974, of \$10,000. or less; and transactions prior to July 26, 1974, of \$2,500 or less.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after final payment. (Close file at the end of each FY, retain 3 years, and destroy except that files on which actions are pending will be brought to the next FY's files for disposal therewith.

LIBRARY

- *4-28. SUBSCRIPTION FILES: Library card file arranged alphabetically by name of subscription, containing pertinent information relating to the subscription such as name of person receiving it, cost of subscription, purchase request and purchase order number.
OFFICE OF RECORD: TEMPORARY: Place in an inactive file when subscription expires. Hold 1 year then destroy.
- *4-29. BOOK ORDER FILES: Library card file arranged alphabetically by author of book. Contains price and order information.
OFFICE OF RECORD: TEMPORARY: Retain until superseded or no longer needed then destroy.
- *4-30. LIBRARY CARD CATALOG: Card file arranged by author, title, subject of all books in the CSA Library.
OFFICE OF RECORD: TEMPORARY: Retain until superseded or no longer needed then destroy.
- *4-31. LIBRARY BOOK CIRCULATING FILES: Card file arranged by author's name and name of borrower, used for follow-up.
OFFICE OF RECORD: TEMPORARY: Destroy when cards are full.
- *4-32. INTER-LIBRARY LOAN SYSTEM: Lists arranged chronologically by title, name of borrower, name of lending agency and date due for return.
OFFICE OF RECORD: TEMPORARY: Place in inactive file Dec. 31, hold 1 year then destroy.
- *4-33. RESEARCH REPORTS FILE: File of CSA Forms 180, Research and Demonstration Document Control, arranged chronologically, used to control all CSA Research and Demonstration reports forwarded to the Clearinghouse for Federal Scientific and Technical Information.
OFFICE OF RECORD: TEMPORARY: Retain until no longer needed then destroy.

* 4-34. MACHINE PUNCHED CARDS: These cards are used for transcribing selective items from CSA Form 180 to magnetic tape.

OFFICE OF RECORD: TEMPORARY: Destroy 3 months after purpose has been served.

* 4-35. RESEARCH REPORTS MAGNETIC TAPE RECORD: Magnetic tape record containing report number, subject matter of report and other selective information concerning each report.

OFFICE OF RECORD: TEMPORARY: Retain until no longer needed then destroy.

* 4-36. RESEARCH REPORTS COMPUTER PRINTOUT: Computer listing by title or subject or author of all CSA research reports.

OFFICE OF RECORD: TEMPORARY: Destroy when updated printout is received.

* 4-37. GENERAL INQUIRY FILES: Request to the Library for information, photographs and publications and replies thereto, involving no administrative action or special research, and including acknowledgements and transmittals of inquiries referred elsewhere for reply.

OFFICE OF RECORD: TEMPORARY: Destroy after 1 year or earlier, if purpose is served.

* 4-38. VERTICAL FILE: Documents arranged by subject containing pamphlet information currently of interest to CSA.

OFFICE OF RECORD: TEMPORARY: Destroy after purpose has been served.

PAPERWORK AND PRINTING MANAGEMENT

* 4-39. CORRESPONDENCE MANAGEMENT: Correspondence reflecting the application of management techniques to correspondence practices to increase efficiency, improve quality, and reduce costs.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; hold 1 year; Earlier disposal is authorized. destroy.

4-40. PUBLICATIONS RECORD SET: Case filed record sets of CSA standard publications, such as instructions, manuals, pamphlets or guidances. Includes one printed copy of the numbered publication, the original manuscript or coordination draft, a copy of each form prescribed by the publication, original copies of clearance and approval, and all significant background documents pertinent to the editing and issuance of the publication. Includes also copies of CSA Form 86, Request for Review of Publication and/or Form(s). Record sets of amendments and related background material are filed with the basic publication which they change.

a. OFFICE OF RECORD: PERMANENT: Retire to FRC 1 year after supersession or revision; offer to the National Archives in 5 year ^{accumulations} ~~increments~~ when ^{every} 10 years ~~10~~

* b. OTHER OFFICES: TEMPORARY: Destroy when superseded, rescinded, or no longer needed for reference purpose.

Publications record sets are maintained at Headquarters CSA by the Paperwork Management and Printing Branch and each Regional Office (10). Annual accumulation is estimated at approximately 60 inches. The record sets are arranged numerically by subject/series.

* 4-41. PUBLICATIONS REGISTER: A register form used to record and control the assignment of publication numbers.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, rescinded or no longer needed.

* 4-42. STOCK CONTROL RECORDS: Card files reflecting supply status of CSA publications and blank forms.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after removal from active file

* 4-43. PUBLICATIONS AND/OR FORMS REPLENISHMENT FILES: Documents indicating publications and forms replenishment action.

OFFICE OF RECORD: TEMPORARY: Destroy upon receipt of printed stock of publications and/or forms; or upon official notification that publications or forms will not be reprinted.

* 4-44. DISTRIBUTION MAILING LISTS:

a. Correspondence, request forms, and other records relating to changes to mailing lists.

OFFICE OF RECORD: TEMPORARY: Destroy after 3 months or revision of list, whichever is earlier.

b. Card Lists.

OFFICE OF RECORD: TEMPORARY: Destroy individual cards when canceled or revised.

c. Plate files and standard distribution schedules.

OFFICE OF RECORD: TEMPORARY: Destroy when canceled or revised.

* 4-45. DISTRIBUTION SCHEDULE FILES: Schedules, shipping instructions and related papers used to determine printing quantities for CSA publications and/or forms.

OFFICE OF RECORD: TEMPORARY: Destroy when revised or no longer needed.

* 4-46. STOCK RECEIVING LOG: Documents used to record all stock received.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after cutoff.

4-47. FORMS NUMERICAL FILES: Case files containing a copy of form and revision, request for approval and justifications, copies of prescribing directives, and related correspondence. *PERMANENT. Select a record set.*

OFFICE OF RECORD: ~~TEMPORARY~~: Hold 1 year after discontinuance or obsolescence; retire to FRC; offer to National Archives when 10 years old. Form record sets are maintained at Headquarters CSA by the Paperwork and Printing Branch and each Regional Office (10). Annual accumulation is estimated at approximately 18 inches, and arrangement is numerically.

- * 4-48. FORM CONTROL REGISTER: A register used to record and control the assignment of form numbers.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete or no longer needed.
- * 4-49. REPORTS CONTROL FILES: Case files maintained for each CSA report created, canceled or superseded.
- OFFICE OF RECORD: TEMPORARY: Destroy 2 years after the report is discontinued.
- * 4-50. REPORTS CONTROL INDEX: The register, such as CSA Form 139 used to control the assignment of reports control symbols and numbers.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete or no longer needed.
- * 4-51. JOB OR PROJECT FILES: Requisitions, such as CSA Form 10 or its equivalent, on jobs performed by CSA or GSA printing and Duplicating.
- OFFICE OF RECORD: TEMPORARY: Destroy 1 year after completion of job.
- * 4-52. PRINTING REQUISITION FILE: Case files on jobs performed by the Government Printing Office and procurement request for services obtained from commercial printers. Contains all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.
- OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.
- * 4-53. PRINTING REGISTER: Such as GSA Form 1687 used to assign control numbers to printing requisitions and work orders and the compilation of other printing information as necessary.
- OFFICE OF RECORD: TEMPORARY: Destroy 1 year after close of FY in which compiled or 1 year after filling of register, whichever is applicable.
- * 4-54. JCP REPORTS FILES: Reports to Congress Joint Committee on printing and related records.
- OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

4-55. RECORDS MANAGEMENT FILES: Reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the management of records in CSA. Includes the management of files, forms, correspondence, mail, reports, microfilm, automatic data processing, vital records, and related records not covered elsewhere in this schedule.

OFFICE OF RECORD: TEMPORARY: Destroy when 6 years old.

*4-56. RECORDS HOLDINGS FILES: Statistical reports of CSA records holdings, SF 136, required by the General Services Administration, including feeder reports, CSA Form 208, from all offices and data on the volume of records disposed of by destruction or transfer.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

*4-57. RECORDS DISPOSITION FILES: Descriptive inventories, disposal authorizations, schedules and reports, including SF 115, Request for Records Disposition Authority.

OFFICE OF RECORD: TEMPORARY: Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.

4-58. RECORDS RETIREMENT AND/OR TRANSFER: Copies of Records Transmittal and Receipt (SF 135) and related correspondence reflecting the retirement of records to FRC, transfer within CSA, or other agencies, maintained for reference of future service requests.

OFFICE OF RECORD: TEMPORARY: Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.

*4-59. RECORDS MANAGEMENT STUDIES AND SURVEYS: Documents created as a result of management studies and surveys in the review, appraisal and/or analysis of CSA elements relating to records holdings, equipment, supplies, microfilming applications, information storage and retrieval systems, forms, and correspondence.

ALL OFFICES: TEMPORARY: Destroy when no longer needed.

* 4-60. VITAL RECORDS PROGRAM FILES: The current, governing directive, policy memorandums, procedures, reports, copies of inventories listing vital records deposited for safekeeping and related correspondence.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; hold 2 years then destroy after transferring appropriate documents to the publication record set.

4-61. FREEDOM OF INFORMATION ACT (FOIA) REQUEST FILES: Files created in response to requests for information under the FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record^{or} copy thereof. (CSA-6)
a. Correspondence and supporting document (EXCLUDING) the official file copy of the records requested if filed herein.

(1) Granting access to all requested records.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after date of reply.

(2) Responding to request for nonexistence records; to requestors who provide inadequate descriptions; and to those who fail to pay CSA reproduction fees.

(a) Request NOT appealed.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after date of reply

(b) Request appealed.

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after final determination by CSA or 3 years after final adjudication by courts, whichever is later.

(3) Denying access to all or part of the records requested.

(a) Request NOT appealed.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after date of reply.

(b) Request appealed.

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after final determination by CSA or 3 years after final adjudication by courts, whichever is later.

b. Official file copy of requested records.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with approved CSA disposition instructions for the related records, or with the related FOIA requests whichever is later.

4-62. FOIA APPEALS FILES: Files created in responding to administrative appeals under the FOIA for release of information denied by CSA consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof. (CSA-6)

a. Correspondence and supporting documents (EXCLUDING the official file copy of records under appeal if filed herein).

OFFICE OF RECORD:TEMPORARY: Destroy 4 years after final determination by CSA or 3 years after final adjudication by courts, whichever is later.

b. Official file copy of records under appeal.

OFFICE OF RECORD: TEMPORARY: Dispose of in accordance with approved CSA disposition instructions for related records, or with the related FOIA requests, whichever is later.

4-63. FOIA CONTROL FILES: Files maintained for control purposes in responding to requests, including registers and similar records listing data, nature and purpose of request, and name and address of requestor.

a. Registers or listing.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after date of last entry.

b. Other files.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final action by CSA or after final adjudication by courts, whichever is later.

4-64. FOIA REPORTS FILES: Recurring reports and one-time information requirements relating to CSA's implementation of the FOIA, including annual reports to Congress.

a. CSA Annual FOIA reports to Congress.

OFFICE OF RECORD: PERMANENT: Offer to NARS with related CSA records approved for permanent retention in CSA records control schedule or when 15 years old, whichever is sooner.

b. Other reports.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old or sooner if no longer needed for administrative use.

Record copies of CSA Annual FOIA reports to Congress are maintained by the Paperwork and Printing Management Branch. Annual accumulation is approximately 3 inches and arrangement is chronologically by calendar year.

4-65. FOIA ADMINISTRATIVE FILES: Records relating to the general CSA implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old or sooner if no longer needed for administrative use.

OFFICE SERVICES SUPPORT

* 4-66. INCOMING CORRESPONDENCE CONTROL FILES: Documents such as CSA Form 98, Communication Control and CSA Form 98a, Executive Secretariat Communication Control.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy when 2 years old.

* 4-67. POSTAL RECORDS: Post Office forms and supporting papers including records relating to incoming or outgoing registered mail pouches, registered, certified, insured and special delivery mail including receipts and return receipts. Application for postal registration and certificates of declared value of matter subject to postal surcharge. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

* 4-68. MAIL AND DELIVERY SERVICE CONTROL FILES:

a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item 4-67 and those used as indexes to correspondence files.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, certified, and parcel post or packages over 4 pounds).

OFFICE OF RECORD: TEMPORARY: Destroy when 6 months old.

c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

OFFICE OF RECORD: TEMPORARY: Destroy when 6 months old.

d. Statistical reports and data relating to handling of mail and volume work performed.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

e. Records relating to checks, cash, stamps, money orders or any other valuables remitted to CSA by mail.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

OFFICE OF RECORD: TEMPORARY: Destroy when 6 months old.

g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

h. . Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

OFFICE OF RECORD: TEMPORARY: Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.

4-69. PENALTY MAIL REPORT FILES: Official penalty mail reports and all related papers.

OFFICE OF RECORD: TEMPORARY: Destroy when 6 ^{years} ~~months~~ old.

4-70. POSTAL IRREGULARITIES FILE: Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after completion of investigation.

* 4-71. EMPLOYEE LOCATOR FILES.

OFFICE OF RECORD: TEMPORARY: Destroy 5 months after separation or transfer of employee from activity or when obsolete, whichever is applicable.

* 4-72. MESSENGER SERVICE FILES: Daily logs, assignment records, dispatch records delivery receipts, route schedule and related papers.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 months old.

4-73. TELECOMMUNICATION FILES:

a. Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

b. Telecommunications statistical reports including cost and volume data.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

c. Telecommunications reference voucher files.

(1) Reference copies of vouchers, bills, invoices, and servicing equipment.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 fiscal year old.

(2) Records relating to installation, change, removal, and servicing of equipment.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after audit or when 3 years old, whichever is sooner.

d. Copies of agreements with background data and other records relating to agreements for telecommunications services.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after expiration or cancellation of agreement.

4-74. TELECOMMUNICATIONS OPERATIONAL FILES:

a. Message registers, logs, performance reports, daily load reports, and related and similar records.

OFFICE OF RECORD: TEMPORARY: Destroy when 6 months old.

b. Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Message.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 months old.

c. Machine copies (hard copies), discs, and tapes of outgoing messages.

OFFICE OF RECORD: TEMPORARY: Destroy 48 hours after transmission.

* 4-75. SUMMARIES OF LONG DISTANCE TELEPHONE REPORTS: These reports are used to indicate authorized use of telephone service as well as to audit expense voucher.

OFFICE OF RECORD: TEMPORARY: Destroy after close of fiscal year in which audited.

* 4-76. TELEPHONE DIRECTORY FILES: Correspondence, forms and other records relating to the compilation of telephone listings and directories.

OFFICE OF RECORD: TEMPORARY: Destroy 3 months after issuance of directory hold record copy of CSA Telephone Directory 2 years after being superseded and then destroy.

* 4-77. TELEPHONE SERVICE REQUEST (SF 145-b).

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after work is performed or requisition cancelled.

* 4-78. OFFICE SERVICES FILES: Documents such as CSA Form 28 or its equivalent, requesting office equipment, supplies, or services.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after requisition filled or cancelled.

* 4-79. INVENTORY FILES:

a. Inventory lists.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years from date of list.

b. Inventory cards.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new cards or recorded under new classification, or 2 years after equipment is removed from agency control.

c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in these schedules.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after date of survey action or date of posting medium.

* 4-80. PLANT AND STORES ACCOUNT FILES: Documents recording characteristics and worth of items of equipment.

a. Inventory equipment and plant account cards and ledgers used for equipment purposes.

OFFICE OF RECORD: TEMPORARY: Destroy after 3 years.

b. Work papers used in accumulating stores accounting data.

OFFICE OF RECORD: TEMPORARY: Destroy after 2 years.

4-81. MOTOR VEHICLE MANAGEMENT FILES: Documents relating to the management, operation and maintenance of motor vehicles.

* a. Motor Vehicle Operating Files.

ALL OFFICES: TEMPORARY: Destroy when 3 months old.

* b. Motor Vehicle Maintenance Files.

ALL OFFICES: TEMPORARY: Destroy when 1 year old.

c. Motor Vehicle Reports Files. (other than accident, operating and maintenance reports).

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after date of report.

d. Motor Vehicle Accident Files. (CSA-11)

OFFICE OF RECORD: TEMPORARY: Destroy 6 years after case is closed.

e. Vehicle Release and Transfer Files.

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after vehicle leaves agency custody.

4-82. EMPLOYEE TRAVEL FILES: Copy of travel authorization, itineraries, and routine trip reports maintained by travel administration unit, exclusive of records maintained for accounting purposes.

OFFICE OF RECORD: TEMPORARY: Destroy after 2 years.

4-83. TRANSPORTATION REQUEST: These are accountability records documenting the issue or receipt of accountable papers involved in the travel and transportation functions, such as Standard Form 1120.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after all entries on the records are cleared.

4-84. FILES COVERING FREIGHT TRANSACTIONS:

a. Bills of Lading Records. Documents relating to inbound and outbound shipments, consisting of property received and property shipped bills of lading, freight bills, shipping documents and similar and related documents.

(1) Issuing office copy.

OFFICE OF RECORD: TEMPORARY: Destroy after 3 years.

(2) All other copies.

OFFICE OF RECORD: TEMPORARY: Destroy after 1 year.

b. Bills of Lading Registers.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

* 4-85. SPACE FILES: Records relating to the allocation, utilization, and release of space under CSA control, and related reports to GSA.

a. Building plan files and related CSA records utilized in space planning, assignment, and adjustment.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.

b. Correspondence with and reports to staff and regional offices relating to CSA space holdings and requirements.

(1) CSA records to GSA regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia", and relate papers.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

(2) Copies in subordinate reporting units and related work papers.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

* 4-86. BUILDING AND EQUIPMENT SERVICE FILES: Request for building and equipment maintenance service, excluding fiscal copies.

OFFICE OF RECORD: TEMPORARY: Destroy 3 months after work performed or requisition cancelled.

PERSONNEL MANAGEMENT

STAFFING AND EMPLOYEE RELATIONS

- * 4-87. PERSONNEL MANAGEMENT PROJECT FILES: Case files resulting from studies and surveys of personnel management activities and functions.
- OFFICE OF RECORD: TEMPORARY: Destroy 3 years after case is completed or closed or when no longer needed.
- * 4-88. PERSONNEL MANAGEMENT PROJECT WORKING FILES: Background material, notes, rough drafts, interim and progress reports summarized in the final reports and related papers.
- OFFICE OF RECORD: TEMPORARY: Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.
- 4-89. OFFICIAL PERSONNEL FOLDERS: Case files documenting official employment history. (CSA-3)
- OFFICE OF RECORD: TEMPORARY: Employees separated from the Federal Government transfer folder to National Personnel Records Center (CPR) St. Louis, Missouri, 30 days after separation. Folders of employees transferred to another agency will be forwarded in accordance with the instructions in the Federal Personnel Manual (FPM). Folders of persons who appeal separation actions will be retained until the appeal has been resolved. Folders of consultants will be retained as long as needed then disposed in accordance with the FPM.
- * 4-90. TEMPORARY INDIVIDUAL EMPLOYEE RECORDS: All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with FPM, Chapter 293, and Supplement 293-31.
- OFFICE OF RECORD: TEMPORARY: Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.

* 4-91. DUPLICATE DOCUMENTATION AND PERSONNEL FILES MAINTAINED OUTSIDE PERSONNEL OFFICES:

a. Supervisor's Personnel Files. Correspondence, memoranda, forms and other records relating to positions, authorizations, pending action; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

OFFICE OF RECORD: TEMPORARY: Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.

b. Duplicate Documentation. Other copies of documents duplicated in Official Personnel Folder not provided for elsewhere in this schedule.

OFFICE OF RECORD: TEMPORARY: Destroy 6 months after date of last entry.

* 4-92. SERVICE RECORD CARDS: Standard Form 7 or its equivalent that provides an official summary of an employee's employment history.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after separation or transfer of employee. If employee returns before this time, place the card back into the current file.

* 4-93. PERSONNEL OPERATIONS STATISTICAL REPORTS: Statistical reports in the operating office and subordinate units relating to personnel.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

* 4-94. OFFERS OF EMPLOYMENT FILES: Correspondence, letters, and telegrams offering appointments to potential employees.

a. Accepted offers.

OFFICE OF RECORD: TEMPORARY: Destroy immediately

b. Declined offers.

(1) When name is received from certificate of eligibles.

OFFICE OF RECORD: TEMPORARY: Return to Office Personnel Management with reply and application.

(2) Temporary or excepted appointment.

OFFICE OF RECORD: TEMPORARY: File inside application (see item 4-96).

(3) All others.

OFFICE OF RECORD: TEMPORARY: Destroy immediately.

* 4-95. CERTIFICATES OF ELIGIBLES FILES: Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

* 4-96. EMPLOYMENT APPLICATIONS: Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 4-89).

OFFICE OF RECORD: TEMPORARY: Destroy upon receipt of Office Personnel Management inspection report or when 2 years old, whichever is earlier, providing the requirements of the FPM, Chapter 333, Section A-4 are observed

4-97. NOTIFICATION OF PERSONNEL ACTION FILES: Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.

a. Chronological file copies, including fact sheets, maintained in personnel offices.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

b. All other copies maintained in personnel offices.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

* 4-98. INTERNAL PROMOTION PLAN FILES: Announcements, bids, copies of resistance and selection papers maintained by personnel offices.

OFFICE OF RECORD: TEMPORARY: Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, providing requirements of FPM are observed.

* 4-99. POSITION VACANCY ANNOUNCEMENT FILES: Copies of promotion plan, position vacancy notices maintained by the personnel offices.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

* 4-100. RETENTION REGISTERS:

a. Registers from which reduction-in-force actions have been taken.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

b. Registers from which no reduction-in-force actions have been taken.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or obsolete.

* 4-101. EMPLOYEE INCENTIVE AWARD FILES: Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to CSA sponsored cash and non-cash awards such as within-grade merit increases, employee suggestion system, and outstanding performance. (CSA-4)

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after approval or disapproval.

* 4-102. INCENTIVE AWARDS PROGRAM REPORTS: Reports pertaining to the operation of the Incentive Awards Program.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

* 4-103. EMPLOYEE INTERVIEW RECORDS: Correspondence, reports and other records relating to interviews with employees.

OFFICE OF RECORD: TEMPORARY: Destroy 6 months after transfer or separation of employee.

*4-104. IDENTIFICATION CARDS FILES: Correspondence related to the issuance of identification cards, such as CSA Form 18.

OFFICE OF RECORD: TEMPORARY: Destroy immediately upon being turned in to Personnel office because of being superseded or transfer and separation of employee.

4-105. CONFLICT OF INTEREST CASE FILES: Statement of employment and financial interests, documents such as CSA Form 183 and 184 or their equivalent and related records. (CSA-15)

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after separation of employee or 2 years after employee leaves the position for which the statement is required.

4-106. GRIEVANCE, DISCIPLINARY AND ADVERSE ACTION FILES:

a. Grievance, Appeals Files (5 CFR 771). Records originating in the review of grievance and appeals raised by CSA employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after case is closed.

b. Adverse Action Files (5 CFR 752). Cases files and related records created in reviewing and adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after case is closed.

4-107. PERSONAL INJURY FILES: Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old.

* 4-108. SAFETY AND HEALTH INSPECTION FILES: Inspection checklists, and related correspondence documenting results of safety, health, and fire hazard inspections and any corrective action taken.

OFFICE OF RECORD: TEMPORARY: Destroy records of negative findings immediately. Destroy records of deficiencies after corrective action is taken.

* 4-109. RETIREMENT ASSISTANCE FILES: Documents created in providing instructions regarding matters pertaining to retirement, including matters such as benefits, eligibility, type of annuities and retirements.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old or when no longer needed, whichever is sooner.

POSITION CLASSIFICATION AND CAREER DEVELOPMENT

4-110. POSITION CLASSIFICATION FILES:

a. Position Classification Standard Files.

(1) Standards. OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after position is abolished or description is superseded.

(2) Development. Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to CSA and OPM approval or disapproval.

(a) Case File.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after position is abolished or description is superseded.

(b) Review File.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

b. Position Descriptions. Files describing established positions including information on title, series, grade, duties and responsibilities.

(1) Record Copy.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after position is abolished or description superseded.

(2) All other copies.

ALL OTHER OFFICES: TEMPORARY: Destroy when position is abolished or description superseded.

c. Survey Files.

(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Supergrade Position Report.

(a) Office of origin.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old or 2 years after regular inspection whichever is sooner.

(b) Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.

OFFICE OF RECORD: TEMPORARY: Destroy when obsolete or superseded.

d. Appeals Files. Case files relating to classification appeals.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after the case is closed.

* 4-111.. POSITION IDENTIFICATION STRIPS: Strips such as Standard Form 7D used to provide summary data on each position occupied.

OFFICE OF RECORD: TEMPORARY: Destroy when position is cancelled or new strip is prepared.

4-112. TRAINING RECORDS:

a. Training Aids.

(1) One copy of each manual, syllabus, textbook, and other training aid developed by CSA.

OFFICE OF RECORD: TEMPORARY: Place record copy in publication set to be offered to National Archives as permanent documents. Use General Records Schedule 21 for the disposition of permanent audio-visual records such as the TTA Modules. Destroy all other documents when no longer needed.

(2) Training aids from other agencies or private institutions.

OFFICE OF RECORD: TEMPORARY: Destroy when obsolete or superseded.

b. General file of CSA-sponsored training.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans and objectives relating to the establishment and operation of training, courses and conferences.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old or 5 years after completion of a specific training program.

(2) Background and workpapers.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

c. Employee training.

(1) Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

(2) Employee applicants for CSA Upward Mobility Program. Case files containing CSA employee application for crossover positions such as CSA Form 92, schedules, certificates, reports of attendance and progress and related documents accumulated reflecting the training of the individual employees. (CSA-1)

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after separation or transfer of employee.

d. Course Announcement Files. Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or obsolete.

LABOR MANAGEMENT RELATIONS

4-113. LABOR MANAGEMENT RELATION RECORDS:

a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups:

(1) Office negotiating agreement.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old.

(2) Other offices.

ALL OTHER OFFICES: TEMPORARY: Destroy when superseded or obsolete.

b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases. Case files created in response to labor relation grievances and unfair labor practices as outlined in Section 19 Executive Order 11491 as amended. These files contain correspondence, original supporting documents originating the grievance and depicts the grievance process and its resolution; the rights of employees and the obligations of management and unions.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final resolution of ca.

CONTROLLER

DATA PROCESSING RECORDS

- 4-114. DATA AUTOMATION RECORDS: (Planning Documents) Master plan, with associated charts and drawings, supporting data (such as correspondence, studies, reports, and other data that reflect on the data automation activity), graphic, narrative, tabular information relating to the present and/or planned ADP composition and/or requirements of the data automation activity

OFFICE OF RECORD: TEMPORARY: Transfer to FRC 1 year after documents are superseded; destroy after 5 years.

- 4-115. SPECIFIC DATA SYSTEMS RECORDS: Request for establishment of a data system authorizing directives, detailed studies which reflect comparison of present and proposed systems, cost analysis, equipment requirements, tangible benefits, expected savings, priority schedules, system specifications, logic charts test runs, design plans, and equipment resources.

a. Approved systems.

OFFICE OF RECORD: TEMPORARY: When discontinued transfer the records of the implemented system to the FRC; destroy after 5 years.

b. Disapproved systems.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after final actions.

- 4-116. DATA SYSTEM PROJECTS:

a. Case files created as a result of ADP surveys and feasibility studies, such as the request to conduct the survey, the finished report, and actions taken as a result of the survey.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after file becomes inactive or when no longer needed, whichever is sooner.

b. Working files that contains background material, notes, rough drafts, interim and progress reports that are summarized in final reports, the finished report, and action taken as a result of the survey.

OFFICE OF RECORD: TEMPORARY: Destroy 6 months after final action on survey report or 3 years after completion of report if no final action is taken.

4-117. DATA PROCESSING REPORTS FILES: Record copies of CSA reports consisting of inventories, utilization and of automatic data processing that are submitted to OMB.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old or when no longer needed, whichever is sooner.

4-118. SYSTEMS OPERATIONAL PROCEDURES: Finalized documents containing detailed operating procedures for implementation of a specific data system, including policies, instructions, details of computer technique, logic charts, input/output document flow data.

OFFICE OF RECORD: TEMPORARY: Transfer to FRC 1 year after superseded; destroy after 5 years.

4-119. ANALYSIS SOURCE DATA: Test decks of cards, tapes, deficiency reports, statistical listings, element codes, diagrams, drafts, worksheets, and similar operational records.

OFFICE OF RECORD: TEMPORARY: Destroy when purpose has been served.

* 4-120. STATISTICAL DATA REQUESTS: Forms and related correspondence initiated to establish or revise statistical data programs from an approved data system, providing ADP centers background for the program file, and to control the work flow.

a. Approve requests.

OFFICE OF RECORD: TEMPORARY: Destroy upon discontinuance of program.

b. Disapproved requests.

OFFICE OF RECORD: TEMPORARY: Destroy after 3 months.

4-121. AUTOMATIC DATA PROCESSING EQUIPMENT (ADPE) UTILIZATION: Original forms or cards which equipment operators have completed for purchased ADPE or leased ADPE rented on an unlimited use basis. Daily detail cards, intermediate summary decks, related magnetic tape files, and machine listing created from the basic documents and used for daily management of operations and accumulation of data for monthly cost, utilization, and related management summaries.

OFFICE OF RECORD: TEMPORARY: Destroy after 90 days, provided any adjustments to accounts have been made and source documents are no longer required for resolution of any claim discrepancy.

4-122. ADPE UTILIZATION:

a. Magnetic tapes containing detail log data for systems having internal logs.

OFFICE OF RECORD: TEMPORARY: Destroy after 1 year, provided any adjustments to accounts have been made and source documents are no longer required for resolution of any claim discrepancy.

b. Original forms or cards which equipment operators have completed for leased ADPE subject to extra use rental charges and relative to ADPE maintenance for purchased and leased ADPE.

OFFICE OF RECORD: TEMPORARY: Destroy after 1 year, provided any adjustment to accounts have been made and source documents are no longer required for resolution of any claim discrepancy.

c. Monthly summaries of ADPE cost and utilization report and EDPS by application and hours of use report which are card decks, tape files, and associated machine listing maintained at data processing center level.

OFFICE OF RECORD: TEMPORARY: Destroy after 2 years.

4-123. ADPE REQUEST AND ACCOUNTABILITY: Related documents concerning the management of ADPE which are original records maintained at data processing centers.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years following the date which the equipment is discontinued and dropped from data processing inventory.

4-124. COST INCURRED FOR USE OF ADPE: Contractor's invoices for rental and other charges incurred for the use of ADPE.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; destroy after 3 years.

FINANCIAL MANAGEMENT

FISCAL SETTLEMENTS

Central file of Grant and Financial records

- 4-125. OFFICIAL GRANT FILES: Case files arranged by grant number and name of grantee containing eligibility documents and funding request documents submitted by applicant agencies in applying for CSA grants. This includes grant actions, compliance with special conditions, amendment request correspondence, strategy papers, minutes of board meetings and all other documents and correspondence specifically pertaining to the grantee.
- a. OFFICE OF RECORD: TEMPORARY: Cutoff terminated grants and noncurrent FY program papers Sept. 30: hold 3 years then retire to FRC; destroy 10 years after cutoff date.
- b. OTHER OFFICES: TEMPORARY: Destroy duplicate grant case files immediately after grant is terminated or when no longer needed.
- 4-126. GRANT FINANCIAL FILES: Case files arranged by grant number and grantee consisting of the financial history of grants.
- a. OFFICE OF RECORD: TEMPORARY:
- (1) Records created prior to FY 76 (July 1, 1975): Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old which ever is sooner; then retire to FRC. Destroy 10 years, 3 months, after period covered by account.
- (2) Records created after FY 75 (June 30, 1975): Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old which ever is sooner; then retire to FRC. Destroy 6 years, 3 months, after period covered by account.
- b. OTHER OFFICES: TEMPORARY: Destroy duplicate grant financial case files upon becoming inactive or when no longer needed.

4-127.. GRANT CONTROL FILES: Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects, applications and grants.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or obsolete.

4-128. GRANT HISTORY FILE: Annual printouts of OEO/CSA Grants and Grantees from 1964 to the present. *contains name of grantee, grant title and appropriation*

OFFICE OF RECORD: PERMANENT: Offer to National Archives in 10 year increments when 20 years old.

Record copies are maintained by the Fiscal Settlement Branch. Annual accumulation is three inches and the arrangement is chronologically by fiscal year.

4-129. GRANT CHECK PAYMENT SCHECULES: Printouts that depicts the Grant check payment schedules to Grantees.

a. Records created prior to FY 76 (July 1, 1975).

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old whichever is sooner; then retire to FRC. Destroy 10 years, 3 months, after period covered by account.

b. Records created after FY 75 (June 30, 1975).

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old whichever is sooner; then retire to FRC. Destroy 6 years, 3 months, after period covered by account.

ACCOUNTING OPERATIONS

4-130. ACCOUNTABLE OFFICERS' FILES: Original or ribbon copy of accountable officers' accounts maintained in the agency for SITE AUDIT BY GAO AUDITORS, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records or payroll records. Site audit records include, but

are not limited to, the appropriate Standard Forms. Included also are equivalent agency forms which document the basic financial transaction as described above.

a. Records created prior to FY 76 (July 1, 1975).

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old whichever is sooner; then retire to FRC. Destroy 10 years, 3 months, after period covered by account.

b. Records created after FY 75 (June 30, 1975).

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept 30; hold until GAO audit or when 3 years old whichever is sooner; then retire to FRC. Destroy 6 years, 3 months, after period covered by account.

4-131. ACCOUNTING OFFICER DESIGNEE FILES: Records reflecting the designation and revocation of accountable officers.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after revocation provided account is cleared.

4-132. GAO EXCEPTIONS FILES: General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after exception has been reported as cleared by GAO.

4-133. CERTIFICATES SETTLEMENT FILES: Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.

a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after date of settlement.

b. Certificates covering periodic settlements.

OFFICE OF RECORD: TEMPORARY: Destroy when subsequent certificate of settlement is received.

4-134. GENERAL FUND FILES: Records relating to availability, collection, custody and desposit of funds including appropriation warrants and certificates of desposit (SF 201, 209, and 219) and related papers; records of cash remittances received; transcripts, tabulations, and reports prepared by the Treasury Department advising the status of Agency funds available (such as SF 520, 523 and 526); and related records.
OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

4-135. FEDERAL PERSONNEL SURETY BOND FILES:

a. Official copies of bond and attached powers of attorney.

(1) Bonds purchased prior to January 1, 1956.

OFFICE OF RECORD: TEMPORARY: Destroy 15 years after bond becomes inactive.

(2) Bonds purchased after December 31, 1955.

OFFICE OF RECORD: TEMPORARY: Destroy 15 years after the end of the bond premium period.

b. Other bond files, including other copies of bonds and related papers.

OFFICE OF RECORD: TEMPORARY: Destroy when bond becomes inactive or after the end of the bond premium period.

4-136. GASOLINE SALES TICKETS: Hard copies of sales tickets filed in support of paid invoice for credit card purchases of gasoline.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

4-137. TELEPHONE TOLL TICKETS: Original and copies of toll tickets filed in support of telephone toll call payments.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

4-138. TELEGRAMS: Originals and copies of telegrams filed in support of telegraph bills.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

4-139. GENERAL ACCOUNTING LEDGERS (ADP): General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary, and detailed accounts(ADP) showing status of obligations under each authorized appropriation.

OFFICE OF RECORD: TEMPORARY: Destroy 10 years after the close of the FY involved.

4-140. APPROPRIATION ALLOTMENT FILES: Allotment records showing status of obligations and allotments under each authorized appropriation. Documents from CSA Headquarters to Regions making specific funds available for obligation and obligation documents originating within the Regions, cash blotters or comparable documents reflecting transactions and status of funds.

OFFICE OF RECORD: TEMPORARY: Destroy 10 years after the close of the FY involved.

4-141. EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES: Records used as posting and control media, subsidiary to the general and allotment ledgers and detailed accounts(ADP) such as journal vouchers (SF-107g) and similar internal control documents used to support account entries.

a. Original records.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

b. Other copies.

OTHER OFFICES: TEMPORARY: Destroy when 2 years old.

4-142. GAO TRANSPORTATION FILES: Original vouchers and supporting documents covering payments to carrier for transportation services, and original contracts for freight or passenger rates or services.

a. Record created prior to FY 76 (July 1, 1979)..

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept. 30; hold until GAO audit or when 3 years old whichever is sooner; then retire to FRC. Destroy 10 years, 3 months, after period covered by account.

b. Records created after FY 75 (June 30, 1975).

OFFICE OF RECORD: TEMPORARY: Cutoff inactive files Sept. 30; hold until GAO AUDIT or when 3 years old whichever is sooner; then retire to FRC. Destroy 6 years, 3 months, after period covered by account.

4-143. PASSENGER TRANSPORTATION FILES: Memorandum copies of vouchers (SF 113A), memorandum copies of transportation request (SF 1169), travel authorization transportation request register, and all supporting papers.

a. Issuing office memorandum copy.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

b. Obligation copy.

OFFICE OF RECORD: TEMPORARY: Destroy when funds are obligated.

c. Unused ticket redemption forms, such as SF 1170.

OFFICE OF RECORD: TEMPORARY: Destroy when no longer needed for administrative use.

4-144. PASSENGER REIMBURSEMENT FILES: Records relating to reimbursing individual such as travel orders, per diem vouchers, transportation request, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel. (GSA-5)

a. Travel administrative office files.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

b. Obligation copies.

OFFICE OF RECORD: TEMPORARY: Destroy when funds are obligated.

PAYROLL

4-145. INDIVIDUAL AUTHORIZED ALLOTMENTS FILES:

a. U. S. Savings Bond Authorization, Standard Form 1192 or equivalent, and authorization for individual allotment to combined Federal Campaigns.

(1) If record is maintained on earning record card.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or after separation of employee. If employee transfers within an agency or between agencies, these authorizations must also be transferred. See Treasury Fiscal Requirements Manual, para. 6020.20e for instructions relating to saving bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions relating to CFC authorizations.

(2) If record is not maintained elsewhere.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after supersession or 3 years after separation of employee. See (1) above for transfer instructions.

b. All other authorizations, including union dues and savings'

(1) If record is maintained on earning record card.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded or after transfer or separation of employee.

(2) If record is not maintained elsewhere.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after supersession or 3 years after transfer or separation of employee.

4-146. INDIVIDUAL ACCOUNTS FILES: Individual earning and service cards, such as Standard Form 1127 or equivalent, CSA Form 84a

OFFICE OF RECORD: TEMPORARY: Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. (a) If filed in the Official Personnel Folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF. (b) If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.

4-147. EMPLOYEE PAYROLL RECORDS: Case files of pay documents on each employee consisting of payroll change slips, such as SF 1126; personnel action, SF 50; record of leave data transferred, such as SF 1150; overtime authority report, such as CSA Form 21; withholding tax exemption certificates, such as Internal Revenue Form W-4, Internal Revenue 0-4. Internal Revenue D-4A; tax levy and garnishment files; Health Benefits Registration Form, such as SF 2809 and 2810; and Election, Declination, or Waiver of Life Insurance Coverage, such as SF 175-T. (CSA-2)

OFFICE OF RECORD: TEMPORARY: Destroy transferred or separated employee files after GAO audit or when 3 years old, whichever is sooner.

4-148. TIME AND ATTENDANCE REPORT FILES: Forms such as SF 1130 and CSA Form 83 or equivalent. (CSA-2)

a. Payroll preparation and processing copy.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or When 3 years old, whichever is sooner.

b. All other copies.

OTHER OFFICES: TEMPORARY: Destroy 6 months after the end of the pay period

4-149. LEAVE APPLICATION FILES: Application for leave, SF 71, or equivalent, and supporting papers relating to requests for approval of taking leave. (CSA-2)

a. If timecard has been initialed by the employee.

OFFICE OF RECORD: TEMPORARY: Destroy at the end of the applicable pay period.

b. If timecard has not been initialed by the employee.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

* 4-150. BUDGET AUTHORIZATION REFERENCE FILES: Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded.

4-151. PAYROLL FILES: Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents.

a. If earning record card is maintained.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

b. If earning record card is not maintained.

OFFICE OF RECORD: TEMPORARY: Transfer to NPRC, St. Louis, Missouri when 3 years old. Destroy when 10 years old.

4-152. PAYROLL CONTROL FILES: Payroll control registers such as SF 1125A.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

4-153. PAYROLL CHANGE FILES: Payroll change slips, exclusive of those of the OFF, such as SF 1126.

a. Copy used in GAO audit.

OFFICE OF RECORD: TEMPORARY: Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.

b. Disbursing officer copy used in preparing checks.

OFFICE OF RECORD: TEMPORARY: Destroy after preparation of check.

c. All other copies.

OTHER OFFICES: TEMPORARY: Destroy 1 month after end of the pay period.

4-154. FISCAL SCHEDULES FILES: Memorandum copies of fiscal schedules used in the payroll process.

a. Copy used in GAO audit.

OFFICE OF RECORD: TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.

b. All other copies.

OTHER OFFICES: TEMPORARY: Destroy 1 month after the end of the pay period

4-155. ADMINISTRATIVE PAYROLL REPORT FILES: Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.

a. Reports and data used for workload and personnel management purposes.

OFFICE OF RECORD: TEMPORARY: Destroy when 2 years old.

b. All other reports and data.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

4-156. TAX FILES:

a. Withholding tax exemption certificates, such as IRS Form W-4 and similar state tax exemption forms.

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after form is superseded or obsolete.

b. Returns on income taxes such as IRS Form W-2.

OFFICE OF RECORD: TEMPORARY: Destroy when 4 years old.

c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.

OFFICE OF RECORD: TEMPORARY: Destroy when 4 years old.

4-157. RETIREMENT FILES:

a. Reports and registers. Reports, register or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

b. Assistance Files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

OFFICE OF RECORD: TEMPORARY: Destroy when 1 year old.

c. Deduction Files. SF 2806 or equivalent and other records used to document retirement deductions of individual employees.

OFFICE OF RECORD: TEMPORARY: File in Official Personnel Folder.

4-158. INSURANCE DEDUCTION FILES: Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.
OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

4-159. LEVY AND GARNISHMENT FILES: Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

*4-160. WAGE SURVEY FILES: Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).
OFFICE OF RECORD: TEMPORARY: Destroy after completion of second succeeding wage survey.

BUDGET PROCEDURES AND PROGRAM ANALYSIS

BUDGET: Relates to the budget preparation, presentation, review and execution.

4-161. BUDGET (GENERAL): Documents relating to the administration of budget matter which, due to their general nature, cannot be logically filed elsewhere.

ALL OFFICES: TEMPORARY: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.

4-162. BUDGET POLICY FILES: Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs; analysis and interpretations of Executive Orders; statutes; OMB and other agency policies, regulations,

instructions, correspondence, reports, and related documents which affect budgetary responsibilities.

a. OFFICE OF RECORD: PERMANENT: Cutoff Sept. 30; hold 5 years; transfer to FRC; offer to the National Archives when 15 years old.

b. OTHER OFFICES: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.

Record copies are maintained by the Budget Procedures and Program Analysis Division. Annual accumulation is approximately 18 inches

and the arrangement is ^{alphabetical} ~~chronologically~~ by subject and ~~thereunder~~ ^{chronological.}

4-163. BUDGET ESTIMATES AND JUSTIFICATION FILES:

a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at agency or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data

OFFICE OF RECORD: TEMPORARY: Cutoff Sept. 30; hold 5 years; ~~destroy~~.

b. Working papers and background materials.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after the close of the FY covered by the budget.

* 4-164. BUDGET BACKGROUND RECORDS: Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described item 4-163.

OFFICE OF RECORD: TEMPORARY: Destroy 1 year after the close of the FY covered by the budget.

BUDGET PROGRAM DATA: Documents accumulated in support of preparation and submission of budget estimates.

4-165. BUDGET PROGRAM DATA (GENERAL): Documents relating to the administration of budget program data matters which, due to their general nature, cannot be logically filed elsewhere. Includes program element list, program

element summary data, submission, objective memoranda, related guidance and program change requests and decisions.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.

4-166. WORKLOAD AND PERFORMANCE: Documents relating to workload factors, output measurements, audit workload and performance reports, audit cognizance transfer, and audit of workload data for other agencies.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.

BUDGET FORMULATION AND REVIEW: Documents relating to the formulation, and review by higher authority, of the CSA budget.

4-167. BUDGET FORMULATION AND REVIEW (GENERAL): Documents relating to the administration of budget formulation and review matters which, due to their general nature, cannot be logically filed elsewhere.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.

4-168. OMB BUDGET ESTIMATE SUBMISSIONS: Documents relating to OMB budget estimate submissions, including workpapers and hearing backup data, supplemental budget data, and duplicate copies of records.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-169. PRESIDENT'S BUDGET SUBMISSION: Documents relating to the President's budget submissions and supplemental data to OMB and the Congress.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-170. CONGRESSIONAL HEARING BACKUP DATA: Documentation consisting of correspondence, budgetary statements, and form reports, with related backup material that are, or reflect upon, data furnished to the Congressional Appropriations Committee during budgetary hearings, budget estimate review records, and copies of House and Senate testimony.

a. OFFICE OF RECORD: TEMPORARY: Destroy material NOT published by House or Senate after 5 years.

b. OFFICE OF RECORD: TEMPORARY: Destroy published material when no longer needed.

BUDGET EXECUTION: Documents reflecting the apportionment and allocation of budget items, including financial plans and operating budget.

4-171. BUDGET EXECUTION (GENERAL): Documents relating to the administration of budget execution matters which, due to their general nature, cannot be logically filed elsewhere.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, as appropriate.

4-172. TREASURY APPROPRIATION WARRANT: Documents establishing funds in agency accounts for future operations.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-173. BUDGET APPORTIONMENT FILES: Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after the close of the FY.

4-174. FINANCIAL OPERATING PLAN: Documents relating to the CSA operating budget received from OMB.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-175. ADVICE OF ALLOTMENTS: Documents relating to financial operating plans of CSA Headquarters and Regions.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-176. ADVICE OF ALLOWANCES: Documents relating to financial operating plans of CSA Headquarters only.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-177. QUARTERLY OPERATING PLAN: Operating plan workpapers reflecting quarterly status and operating budget plans.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-178. OPERATING PLAN REQUESTS AND ESTIMATE: Documents reflecting operating plan requests for current FY, and estimate for the following FY.

OFFICE OF RECORD: TEMPORARY: Destroy 3 years after close of FY involved.

4-179. FINANCIAL MANAGEMENT REPORT: Quarterly report prepared for management purposes.

a. OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; destroy after 3 years.

b. OTHER OFFICES: TEMPORARY: Destroy when no longer needed.

* 4-180. BUDGET EXECUTION BACKGROUND DATA: Extra copies of documents used as backup and workpapers regarding budget execution. Included are copies of Analysis of Financial Operations, Statement of Financial Transaction Summaries, Budget Execution Forecasts, Pay Increase Costs, Training Travel, Communication Cost, and other documents of similar nature duplicated elsewhere in functional files.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or no longer needed for reference.

BUDGET RECURRING REPORTS: Reports prepared by the budget office.

4-181. BUDGET REPORTS FILES: Includes reports submitted by Headquarters CSA to Higher Authority such as Expenditure Forecasts and Deviations, Expenditure Forecast Data, Minor Construction, Obligations by State, Man-year, and Cost. Includes also periodic reports on the status of appropriation accounts and apportionment.

a. Annual report (end of FY).

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; destroy when 5 years old.

b. All other reports.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; destroy 3 years after the end of FY.

CSA RECORDS SCHEDULE 5

Legal Affairs and General Counsel Records

These records relate to all legal activities and actions involved in Agency management and operations, litigations and negotiations, claims, court actions and interpretations of statutes, decisions, executive orders, administrative rulings and directives. They pertain to these specific legal areas: General Law, Litigation, Labor Management and Personnel, and Human Rights.

General Law

- 5-1. LEGAL ADVICE AND COUNSEL FILES: These files relate to documents that provide advice and counsel on CSA and related legislation, agency policies, procedures and programs.
OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy when purpose has been served or when no longer needed.
- * 5-2. LEGAL DOCUMENTS AND INSTRUMENTS FILES: Papers relating to advice provided to program officials in the preparation of legal documents and instruments.
OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy when purpose has been served or after 2 years, whichever is sooner.
- * 5-3. GRANTS AND CONTRACTS REVIEW FILES: These documents pertain to the review of grants and contract for legal sufficiency and agency contracting processes.
OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 after the grants and contracts have been finalized and destroy 1 years after the cutoff date.
- * 5-4. CSA PENDING LEGISLATION FILE: This file contains amendment drafts to the CSA Act, reports on pending legislation for OMB and Congressional committees and other related correspondence.
OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy 3 years after completed action or cutoff date, whichever is sooner.
- * 5-5. GENERAL COUNSEL LAW LIBRARY: These records consist of law books, CSA legislation history and other reference documents pertaining to CSA Legal Affairs and General Counsel activities.

OFFICE OF RECORD: TEMPORARY: Destroy or transfer to another facility when superseded, obsolete, or no longer needed.

- 5-6. LEGAL COUNSELING FILES: Papers relating to legal counsel on political activities involving CSA employees and Grantees on conflict of interest, Freedom of Information and Privacy Act cases, claims on other than grants and contracts, enforcement proceedings, court action or cases of probable involvements of law enforcement agencies, audit deficiencies, suspensions or terminations of grants and other matters which may lead to litigation.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy 2 years after completed action.

Litigation

- 5-7. LEGAL REPRESENTATION AND LITIGATION FILES: Documents relating to litigation cases which legal representation was provided in litigation on CSA programs and activities.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy 6 years after litigation case is resolved.

Labor Management and Personnel

- 5-8. LEGAL OPINION FILES: These files pertain to legal advice given to the Human Rights and other Management offices on personnel administration and equal employment opportunity policies.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy when purpose has been served.

* 5-9. UNION-MANAGEMENT AGREEMENT FILES: These files pertain to the documented counsel provided in interpretation of laws and executive orders on Union-Management agreements.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy 2 years after resolution of agreement.

* 5-10. AGENCY REPRESENTATION FILES: These records accumulate when the Agency is represented in a grievance at the arbitration state or when the Personnel Division is represented or counseled on arbitration strategies and correspondence.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31 and destroy 2 years after final decision.

Removed to Schedule 9

Human Rights

5-11. EQUAL EMPLOYMENT OPPORTUNITIES RECORDS:

a. Official Discrimination Complaint Case Files: Complaint with related correspondence, reports, exhibits, withdrawal notices, copies of decisions records of hearings and meetings, and other records as described by CFR 713.222.

(1) CSA employee cases resolved within the agency. (CSA-12)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(2) CSA employee cases resolved by the Office Personnel Management or U. S. Court.

OFFICE OF RECORD: TEMPORARY: Files are controlled by the Office Personnel Management's disposition schedule.

(3) Contract employee cases resolved within the agency. (CSA-9)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(4) Contract employee cases resolved by a U.S. Court or other means.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final resolution by courts or other means, whichever is later.

(5) Grantee employee cases resolved within the agency. (CSA-13)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(6) Grantee employee cases resolved by U.S. Court or other means.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final resolution by courts or by other means, whichever is later.

b. Copies of Complaint Case Files: Duplicate case files or documents pertaining to case files retained in official File Discrimination Complaint Case File.

OTHER OFFICES: TEMPORARY: Destroy 1 year after resolution of case.

c. Background Files: Background records not filed in the Official Discrimination Complaint Case Files.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after final resolution of

d. Compliance Records:

(1) Compliance Review Records: Reviews, background papers and correspondence relating to contractor employment practices.

OFFICE OF RECORD: TEMPORARY: Destroy when 7 years old.

(2) EEO Compliance Reports

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old.

e. Employment Statistics Files: Employment statistics relating to race and sex.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old.

f. EEO General Files: General correspondence and documents relating to overall policies and procedures of the Equal Employment Opportunity program and copies of regulations with related records pertaining to Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent future legislation; and EEO Committee meetings and records including minutes and reports.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

g: EEO Affirmative Action Plans (AAP):

(1) Agency copy of Consolidated AAP(s).

OFFICE OF RECORD: TEMPORARY: Destroy 5 years from date of plan.

(2) Agency feeder plan to consolidate AAP(s).

OFFICE OF RECORD: TEMPORARY: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

Inspector General Records

These records are created in the performance of the Inspection and External/Internal Audit functions under the overall direction and administration of the CSA Inspector General. They relate to the investigations of CSA programs and activities such as allegations of misuse of funds, equipment, or facilities; charges of programmatic or organizational deficiencies or activities in CSA funded projects, and formal complaints of discrimination on the basis of race, sex, national origin, religion, age and political affiliation. They also relate to the development and direction of an Agency Audit program to appraise the financial integrity of CSA controls and programs.

- * 6-1. INSPECTOR GENERAL INSPECTIONS: Documents relating to planning and conducting of inspections performed by CSA and other authorized agencies.
OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31, hold 1 year and destroy after programming the next year's inspection coverage.
- 6-2. INSPECTION REPORTS: Reports created as a result of inspection conducted or directed by the Office of Inspector General, including record of action taken and supporting papers. (CSA-7)
 - a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; destroy 3 years, or after next inspection if sooner.
 - * b. OTHER OFFICES: TEMPORARY: Destroy after corrective action, next inspection, or when no longer needed whichever is most appropriate.
- * 6-3. INVESTIGATIVE INDEX FILES: Card files that provide an index of the investigative reports.
OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete or no longer needed.
- 6-4. INVESTIGATIVE REPORTS: Case files containing reports of investigation conducted on community action agencies and delegated programs arising out of complaints, allegations and other data received from law enforcement agencies that pertain to these CSA programs and activities. (CSA-7)
 - a. OFFICE OF RECORD: TEMPORARY: Retire to FRC 3 years after case is closed and destroy 6 years after case closed.

* b. OTHER OFFICES: TEMPORARY: Destroy informational copies when purpose has been served or no longer needed.

* 6-5. PERSONNEL SECURITY INVESTIGATIONS: Case files containing copies of investigation reports such as Standard Form 85, Data for Nonsensitive or Noncritical Sensitive Positions or Standard Form 86, Security Investigation Data for Sensitive Positions of CSA employees or applicants for CSA employment that require security clearances and other related papers. These files also contain copies of investigation of alleged security violations and irregularities.

OFFICE OF RECORD: TEMPORARY: Hold until employee is retired, separated or transferred. If employee retires or separates, transfer appropriate documents to Official Civilian Personnel folder for transfer to FRC within 30 days and destroy all other documents. If employee transfers, transfer the file with appropriate documents contained therein and destroy all other documents.

* 6-6. INTERNAL/EXTERNAL AUDIT WORKING PAPERS: Worksheets and related documents prepared or collected by the audit staffs in connection with the performance of audits that serve as a basis for audit reports and related correspondence.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years after completion of audit and then destroy.

6-7. INTERNAL/EXTERNAL AUDIT REPORTS FILES: Preliminary and final audit reports prepared and maintained by the audit staffs and related documents and correspondence including record of action taken and supporting papers.

a. OFFICE OF RECORD: TEMPORARY: Retire to FRC 3 years after completion of audit. Destroy 10 years after completion of audit on specific project.

b. OTHER OFFICES: TEMPORARY: Destroy after 3 years or next audit if sooner.

CSA RECORDS SCHEDULE 7

Economic Development Records

These records are created in the performance of CSA's program responsibilities under Title VII Community Economic Development of the Community Services Act of 1974.

7-1. GRANT PROJECT FILES: Project files relating to routine operations and daily activities in the administration of Title VII grantees.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; retire to FRC after 3 years; destroy 8 years after cutoff date.

* 7-2. CONTRACT PROJECT FILES: Project files relating to routine operations and daily activities in the administration of Title VII contracts.

OFFICE OF RECORD: TEMPORARY: Destroy 2 years after termination of contract.

* 7-3. GRANT SUMMARY FILES: Reference files made up of information copies of grant papers which duplicate official record copies. Record copy maintained in official grant files.

OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30 and destroy 2 years after termination of grant.

7-4. FINAL GRANT AND CONTRACT PRODUCT FILES: Published reports, books, studies, audiovisual materials, or any other final grant or contract product and related record in textual or machine-readable form.

a. OFFICE OF RECORD: PERMANENT: Cutoff Sept 30; hold 3 years after grant is terminated and retire to FRC. Offer to National Archives 10 years after the grant or contract is terminated.

* b. OTHER OFFICES: TEMPORARY: Destroy information copies when purpose has served or when no longer needed.

Record copies are maintained by the Office of Economic Development. Annual accumulation is estimated at 36 inches and arrangement is ~~entirely~~ by grantee and grant number.

- 7-5. PROGRAM DEVELOPMENT FILES: These records pertain to the planning and development of Community Economic Development programs and relate to over- all program plans and strategies, annual program budget estimates and potential new Community Development Cooperations.
- OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; retire to FRC after 3 years; destroy 5 years after cutoff date.
- 7-6. PROGRAM MONITORING REPORT FILES: These records relate to the monitoring review and analysis of all Title VII grantees to determine project performance.
- OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; retire to FRC after 3 years; destroy 5 years after cutoff date.
- 7-7. QUARTERLY AND ANNUAL REPORT FILE: Project files, filed by grantee, contain- ing quarterly financial and program status reports, and annual social and economic indicator reports.
- OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; hold 3 years then retire to FRC. Destroy 5 years after cutoff date.
- 7-8. INVESTMENT FEASIBILITY FILE: Case file of proposals submitted by grantees to the Office of Economic Development for approval for the release of venture capital money for investment purposes.
- a. OFFICE OF RECORD: TEMPORARY: Cutoff Sept 30; hold 3 years then retire to FRC; destroy 5 years after cutoff date.
- *b. OTHER OFFICES: TEMPORARY: Destroy information copies when no longer needed.

7-9. TITLE VII GRANTEE AUDIT FILES: Project files, filed by grantee, containing grantee and venture audits and correspondence pertaining to their resolution.

OFFICE OF RECORD: TEMPORARY: Cutoff is by grantee or venture fiscal year; retire to FRC after 3 years; destroy 8 years after cutoff date.

7-10. OED POLICIES AND PRECEDURES FILE: Subject files including memoranda, studies, reports, directives, and other records relating to the policies and basic procedures, and the management and overall evaluation of Title VII programs.

OFFICE OF RECORD: PERMANENT: Cutoff Sept 30; hold 3 years; retire to FRC; offer to National Archives 10 years after cutoff date.

Record copies are maintained by the Office of Economic Development. Annual accumulation is estimated at 60 inches and arrangement is ~~chronologically~~ ^{alphabetical} by subject ~~and thereunder chronological.~~

CSA RECORDS SCHEDULE 8

External Affairs Records

These records relate to the plans that carry out national level CSA Public Information and Public Liaison Programs including programs designed to carry out and support CSA's statutory obligations concerning advocacy for the poor and institutional changes to promote equal opportunity and economic independence and to alleviate conditions of poverty. They pertain to all aspect of the CSA Public Affairs Program and specifically relate to public communications media, long range public affairs programs, and the providing of these services; bilingual, speakers bureau, CSA informational publications, special reports, graphics and editorial. They relate to legislative liaison with the Congress, the White House, the Office of Management and Budget, and other Executive Branch Departments and agencies that includes the development of policies and procedures relative to agency relations with Congress, agency responses to Congressional inquiries, and maintenance of Congressional correspondence files. They also relate to the plans and programs that coordinate or influence the activities and resources of Federal, State and local government and private sector in combating poverty by emphasizing intergovernmental relations and interagency affairs.

Media/Public Liaison

~~8-1. NEWS MEDIA AND RELEASE FILES: Documents relating to the preparation, coordination, clearance, and release of information to the public through newspapers, periodicals, radio, television, motion pictures, public appearance and other media of dissemination. Included are printed or processed press releases; speeches; radio; television, and motion picture scripts; and coordinating documents accumulated in obtaining clearance for the release.~~

~~a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 1 year and destroy.~~

~~b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served or no longer needed. *See substitute item*~~

* 8-2. WHITE HOUSE PRESS OFFICE FILES: Documents relating to contact with the White House.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 1 year and destroy.

* 8-3. BILINGUAL MEDIA FILES: These files relate to documents on bilingual release to the Spanish-speaking media.

OFFICE OF RECORDS: TEMPORARY: Cutoff Dec 31; hold 1 year and destroy.

8-1. NEWS MEDIA AND RELEASE FILES:

a. Record copies of printed or processed press releases, Director and other senior official speeches, and photos and biography of senior officials.

OFFICE OF RECORD: PERMANENT: Cutoff Dec. 31; hold 3 years; retire to FRC; offer to National Archives 10 years cutoff date.

b. Documents relating to the preparation, coordination, clearance and release of information to the public through newspapers, periodicals, radio, television, motion pictures, public appearance, and other media for dissemination.

* OFFICE OF RECORD: TEMPORARY: Cutoff Dec. 31; hold 2 years and destroy. Permanent record copies are maintained by the Media/Public Liaison Office in the Office of External Affairs. Annual accumulation is estimated at 12 inches and arranged chronologically.

* 8-4. REGIONAL OFFICE PUBLIC AFFAIRS FILES: These files pertain to paperwork on regional office public affairs such as coordination, advice, assistance and liaison to develop information concerning programs and activities for dissemination to the public.

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 1 year and destroy.

b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served or when no longer needed.

* 8-5. SPEAKER'S BUREAU FILES: These records pertain to the Speaker's bureau for the Director's and Deputy Director's public appearance and speaking engagements.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or when no longer needed.

* 8-6. CSA INFORMATION PUBLICATIONS: These are documents relating to the preparation, editing, supervising production and publishing of CSA informational material.

OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or when no longer needed. (Appropriate documents will be filed in the publication record set located in the Paperwork and Printing Management Branch)

8-7. CSA ANNUAL REPORT: These reports published each fiscal year and identified for example as CSA 1979 Annual Report. These reports provide agency-wide information on such subjects as Community Action, Special Programs, Economic Development, Research and Demonstration, State and Local Government, Human Rights, Administration and Appropriation Summary.

a. Record copy.

OFFICE OF RECORD: PERMANENT: Hold 10 years and retire to FRC in 5 year increments then offer to the National Archives in 5 year increments after 15 years.

b. Other copies.

* OTHER OFFICES: TEMPORARY: Destroy when no longer needed.

8-8. AUDIOVISUAL SERVICES MASTER FILES: Case files of all original art work, illustrations, slides maps, posters, charts and graphics, negatives and other visual aids such as movies, video tape and still pictures designed and produced for CSA use, including documents and correspondence relating to work order request forms for visual services and work performed.

OFFICE OF RECORD: ~~TEMPORARY. Cutoff Dec 31, and destroy when no longer needed.~~ use GRS 21

ATTENTION ALL HEADQUARTERS AND REGIONAL OFFICES: Audiovisual Records must be maintained and disposed of in accordance with General Records Schedule (GRS) 21. Program Offices must coordinate grants and contracts or other means that create audiovisual records with the Office of External Affairs as the Office of Primary Responsibility for the audiovisual function and the CSA Records Management Officer. This coordination must be accomplished as far in advance of the creation of the audiovisual records as possible. Remember these two things: The creation of Audiovisual Records must be coordinated with Office of External Affairs and CSA Records Management Officer; and GRS 21 must be used to maintain and dispose of audiovisual records. One series (CSA Records Schedule 8-8) of audiovisual records and three related series (CSA Records Schedules 1-22, 2-6 and 7-4) have been developed as a part of these Records Disposition Schedules. These series depicts the present status of the creation of audiovisual records within CSA but when and if other or permanent audiovisual records are created, use of GRS 21 is mandatory per Public Law 95-440 that amended subsection 3303a(d) of Title 44, United State Code.

Legislative Liaison

- *8-9. CONGRESSIONAL CORRESPONDENCE FILES: Documents relating to congressional inquiries on matters within the scope of CSA. Included is correspondence between congressmen, and their constituents or other people on such matters as employment, unfair treatment, statistical data on certain geographical area, etc.
- a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold ⁴ 2 years then ~~retire~~
~~to ERG and destroy 10 years from cutoff date.~~
- b. OTHER OFFICES: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.
- *8-10. LEGISLATIVE LIAISON FILES: Documents reflecting liaison with the White House, OMB, other Executive Branch Departments and Agencies concerning legislative affairs.
- OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.
- *8-11. CSA CONGRESSIONAL FILES: These records relate to congressional testimony such as scheduling CSA officials for testimony before congressional committees, alerting the Director of CSA to problem areas in congressional relations and to situations involving CSA interest. Includes also policies relative to new or proposed legislation the Agency may wish to support or initiate and drafts of proposed legislation.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.
- *8-12. LIBRARY OF CONGRESSIONAL RECORDS AND PUBLICATIONS: These congressional records and publications pertain to and have a bearing on the operation of CSA.
- OFFICE OF RECORD: TEMPORARY: Destroy when superseded, obsolete, or no longer needed.
- 8-13. GRANT FUNDING ANNOUNCEMENT FILES: Documents recording the issuance of grant funding announcement to the Congress.

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years then retire to FRC and destroy 10 years from cutoff date.

* b. OTHER OFFICES: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

Constituent/Governmental Liaison

* 8-14. STATE AND LOCAL GOVERNMENT RECORDS: Correspondence, reports and related materials and documents pertaining to the development and implementation of policies for dealing with state and local governments and State Economic Opportunity Offices (SEOO's).

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served

* 8-15. NON-GOVERNMENT AGENCIES RECORDS: Correspondence, reports and related documents pertaining to development and implementation of programs that stimulate and coordinate participation of National and local groups, private sector, and anti-poverty programs.

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

* 8-16. COORDINATION AND LIAISON FILES: These files relate to the coordination and liaison of the Agency's participation in activities regarding Federal Coordination Councils and groups, including the Federal Regional Councils and Under-Secretary's working group and liaison with the National Advisory Council on Economic Opportunity and with other state and local government and public councils and committees.

ALL OFFICES: TEMPORARY: Cutoff Dec 31 and destroy after 2 years.

* 8-17. INTERGOVERNMENTAL RELATIONS FILES: Records relating to the policies and procedures and involvement of state and local government in CSA and other anti-poverty activities that encourage them to support CSA goals. Includes copies also of policy guidance, instructions, staff notices and other materials for agency and grantee participation and agency compliance

with applicable OMB Circulars and Directives. . . .

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

* 8-18. INTERAGENCY AFFAIRS FILES: These files pertain to the development of plans and policies that provide interagency relation guidance and support to CSA offices in their relationship with other Federal agencies.

a. OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

b. OTHER OFFICES: TEMPORARY: Destroy when purpose has been served.

* 8-19. INTERAGENCY AGREEMENT FILES: Records relating to Agency compliance with provisions of interagency agreements and indicating concurrence on interagency agreements involving the Agency on anti-poverty efforts.

ALL OFFICES: TEMPORARY: Destroy when agreement becomes superseded, obsolete or no longer needed.

* 8-20. SEOO'S WORK PROGRAMS FILES: These files relate to documents that reviews and concurs in work programs, projects design and allocation of agency resources to SEOO's.

OFFICE OF RECORD: TEMPORARY: Hold 2 years after completion of work program then destroy.

* 8-21. SEOO'S LIAISON FILES: Documents relating to liaison with the SEOO's for policy recommendations based on state legislative activities and experiences.

OFFICE OF RECORD: TEMPORARY: Cutoff Dec 31; hold 2 years and destroy.

CSA National Advisory Council Records

These records are created in the performance of the overall direction and administration of the National Advisory Council on Economic Opportunity authorized by Title VI, Part A, Section 605 of the Economic Opportunity Act of 1964, as amended.

- 9-1. CSA NATIONAL ADVISORY COUNCIL FILES: These files consist of correspondence, reports and related materials accumulated in the administration of the National Advisory Council. Included are documents on council meetings and operations, council minutes, and other papers relating to the establishment, revision or termination of individual studies and/or projects.

a. Recorders Files.

OFFICE OF RECORD: PERMANENT: Cutoff Dec 31; hold 3 years then retire to FRC. Offer to National Archives 10 years after cutoff date.

b. Members Records.

OTHER OFFICES: TEMPORARY: Destroy when purpose has been served or after 1 year which ever is sooner.

Record copies are maintained by the National Advisory Council Office. The annual accumulation is estimated at 60 inches and arrangement is by subject and chronologically thereunder.

- 9-2. ANNUAL REPORT OF THE NATIONAL ADVISORY COUNCIL ON ECONOMIC DEVELOPMENT:

a. Record Copy

OFFICE OF RECORD: PERMANENT: Hold 10 years and retire to FRC in 5 year increments then offer to National Archives in 1 year increments after 15 years.

b. Copies.

OTHER OFFICES: TEMPORARY: Destroy when purpose has been served or when no longer needed.

Record copies are maintained by the National Advisory Council Office. The annual accumulation is 3-6 inches and arrangement is numerically by year.

Human Rights

These records are created in the performance of CSA's Human Rights program under the Civil Rights provisions of the Economic Opportunity Act of 1964 as amended, Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act and other laws. These records relate to the resolution of complaints alleging discrimination in employment or program implementation because of race, color, religion, sex, age, handicap, national origin or other disabling condition. Includes Affirmative Action plans.

9-1. EQUAL EMPLOYMENT OPPORTUNITIES RECORDS:

a. Official Discrimination Complaint Case Files: Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as directed by 5 CFR 713.222.

(1) CSA employee cases resolved within the agency. (CSA-12)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(2) CSA employee cases resolved by Office Personnel Management or US Court

OFFICE OF RECORD: TEMPORARY: Files are controlled by Office Personnel Management's disposition schedule.

(3) Contract employee cases resolved within the agency. (CSA-9)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(4) Contract employee cases resolved by U.S. Court or other means.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final resolution by courts or other means, whichever is later.

(5) Grantee employee cases resolved within the agency. (CSA-13)

OFFICE OF RECORD: TEMPORARY: Destroy 4 years after resolution of case.

(6) Grantee employee cases resolved by U.S. Court or other means.

OFFICE OF RECORD: TEMPORARY: Destroy 5 years after final resolution by courts or other means, whichever is later.

b. Copies of Complaint Case Files: Duplicate Case Files or documents

pertaining to case files retained in Official File Discrimination Complaint Case File.

OFFICE OF RECORD:: TEMPORARY: Destroy 1 year after resolution of case.

c. Background Files: Background records not filed in the Official Discrimination Complaint Case Files.

OFFICE OF RECORD:: TEMPORARY: Destroy 2 years after final resolution of case.

d. Compliance Records:

(1) Compliance Review Records: Reviews background papers and correspondence relating to contractor employment practices.

OFFICE OF RECORD:: TEMPORARY: Destroy when 7 years old.

(2) EEO Compliance Reports.

OFFICE OF RECORD:: TEMPORARY: Destroy when 3 years old.

e. Employment Statistics Files: Employment statistics relating to race and sex.

OFFICE OF RECORD: TEMPORARY: Destroy when 5 years old.

f. EEO General Files: General correspondence and documents relating to overall policies and procedures of the EEO program and copies of regulations with related records pertaining to Civil Rights Act of 1964, the EEO Act of 1972, and any other pertinent future legislation; and EEO Committee meetings and records including minutes and reports.

OFFICE OF RECORD: TEMPORARY: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

g. EEO Affirmative Action Plans (AAP):

(1) Agency copy of Consolidated AAP(s).

OFFICE OF RECORD: TEMPORARY: Destroy 5 years from date of plan.

(2) Agency feeder plan to consolidate AAP(s).

OFFICE OF RECORD: TEMPORARY: Destroy 5 years from date of feeder plan or when administration purposes have been served, whichever is sooner.