

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of the Treasury
2. MAJOR SUBDIVISION
Office of the Secretary
3. MINOR SUBDIVISION
Office of Administrative Programs
4. NAME OF PERSON WITH WHOM TO CONFER
John P. Heard
5. TEL. EXT.
964-8081
6. CERTIFICATE OF AGENCY REPRESENTATIVE: code 184

| LEAVE BLANK | |
|---|--|
| DATE RECEIVED AUG 14 1975 | JOB NO. NC - 56-76-2 |
| 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 "with-drawn" in column 10. | |
| 2-25-76 (Date) | <i>James B. Rode</i> Archivist of the United States |

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

AUG 12 1975

John P. Heard

Records Officer

Date

(Signature of Agency Representative)

(Title)

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN | | | | | | | | |
|---------------------|--|----------------------|-----------------------|---|---------------------|---|----------------------|---|------------------------------|--|---|
| | <p>These proposed schedules provide for the retention or disposition of record material common to all Offices of Record within the Office of the Secretary, Department of the Treasury. The disposition instructions shown are based on the GSA general schedules and reference thereto is made in parenthesis. Schedule 22 is based on NARS appraisal guidelines.</p> <p>Disposition instructions covering unique program documentation, as proposed in our Table of Contents (see schedules 23 through 30), are under development or revision. Schedule 24 is the first submission (see Supersession, Item 4). As remaining schedules are coordinated with required staff elements they will be submitted for approval.</p> <p><u>Supersessions:</u></p> <p>1. II-NNA-390 (1-13-53), Office of Administrative Services</p> <table border="0"> <tr> <td><u>Retain Items</u></td> <td><u>Now Covered by</u></td> </tr> <tr> <td>1</td> <td>Schedule 16, Item 1</td> </tr> <tr> <td>2</td> <td>Schedule 18, Item 17</td> </tr> <tr> <td>3</td> <td>Schedule NC 174-110 (1-7-74)</td> </tr> </table> | <u>Retain Items</u> | <u>Now Covered by</u> | 1 | Schedule 16, Item 1 | 2 | Schedule 18, Item 17 | 3 | Schedule NC 174-110 (1-7-74) | | <p>Pen & ink changes herein have been made with the concurrence of the Dept of the Treasury.</p> <p>1/76, <i>R.C.T.</i></p> |
| <u>Retain Items</u> | <u>Now Covered by</u> | | | | | | | | | | |
| 1 | Schedule 16, Item 1 | | | | | | | | | | |
| 2 | Schedule 18, Item 17 | | | | | | | | | | |
| 3 | Schedule NC 174-110 (1-7-74) | | | | | | | | | | |

RG-56; 285 ITEMS (EXCLUDING THOSE IN SCHEDULES 19, 20, and 22).

Copy to Agency & NCW 2-27-76

2. II-NNA-427 (3-13-53), Office of Personnel

| <u>Retain Items</u> | <u>Now Covered by</u> |
|---------------------|-----------------------|
| 1 | 16-1 |
| 2 | 18-17 |
| 3 | 1-20 |
| 4 | 1-20 |
| 5 | 2-24 |
| 6 | 1-7 |
| 7 | 1-3 |
| 8 | 1-14 |

3. NC 56-75-2 (2-21-75), Office of Equal Opportunity

| <u>Permanent Items</u> | <u>Now Covered by</u> |
|------------------------|-----------------------|
| 1 | 16-1 |
| 2 | 16-2 |

4. NC 56-75-1 (10-31-74), Office of Revenue Sharing

| <u>Old Items</u> | <u>Now Covered by Schedule 24</u> |
|------------------|--|
| 1, 2, 3, 7, 8 | Provides for the incremental transfer of records at specified yearly intervals and ultimate offer to NARS |
| 4, 5, 6 | No change |
| 7 & 8 | Renumbered 7 through 10 to provide more responsive options and retention standards |
| 9 thru 14 | Renumbered 11 thru 16 with a change in 12b disposition instructions. Item 16 has been rewritten to encompass newly generated functional guidelines by management to provide programing flexibility in monitoring the overall compliance requirements of the Revenue Sharing Act. |
| 15 | Deleted. |

Supersessions:

5. Retention Plans developed in the mid-1960's by NARS for the following offices:
- a. Administrative Programs NN 466-17
 - b. Debt Analysis NN 466-4
 - c. Domestic Gold and Silver NN 466-15
 - d. Financial Analysis ~~✓~~ NN 466-3
 - e. Foreign Assets Control NN 467-24
 - f. General Counsel NN 467-22
 - g. International Affairs
 - h. Law Enforcement Coordination
 - i. Tax Analysis NN 465-28
 - j. Tax Legislative Counsel NN 465-29

It is the intent within the Office of the Secretary to apply Schedule 22 in the identification of records deemed to be of archival value, having based Schedule 22 on the NARS appraisal guidelines.

The disposition standards proposed in Schedule 22 will be applied in the continuing development of Schedules 23 through 31 categorizing records of specific program areas of responsibility.

| <u>Schedule</u> | <u>Item</u> | <u>Volume</u> | <u>Estimated Annual Accumulation</u> |
|-----------------|-------------|---------------|--------------------------------------|
| 3 | 1 | 17.4 | 2.0 |
| 4 | 1 c | 0 | 0 |
| 5 | 1 | 62.0 | 1.2 |
| | 2 | 99.9 | 2.0 |
| 13 | 1 | 0 | 0 |
| 14 | 1 | 1.5 | 1.0 |
| | 2 a | 2.0 | .5 |
| 16 | 1 | 20.0 | 1.0 |
| | 2 | 8.4 | .5 |
| | 3 c | 1.5 | .1 |
| | 4 a | 2.1 | .1 |
| | 5 | 3.7 | .2 |
| | 8 b | 3.0 | .1 |
| 18 | 1 | 1.5 | .5 |
| | 20 | 1.5 | .2 |
| 24 | 1 | 3.0 | 1.0 |
| | 2 a | 3.0 | 1.0 |
| | 2 b | 5.0 | .5 |
| | 3 | 8.0 | 2.0 |
| | 4 | 2.0 | .5 |
| | 5 | 1.0 | .2 |
| | 6 | 2.0 | .2 |
| | 7 | 24.0 | 2.0 |
| | 9 | .5 | .1 |
| | 12 a | .2 | .2 |
| | 12 b | 1.0 | .2 |
| | 16 a | 1.5 | .3 |

Statistics for proposed schedules 19, 20, and 22 are not immediately available. The identification of records created or maintained in any of these categories will be dependent on an in-depth analysis of the organizational elements comprising the Office of the Secretary, i.e.,

- Schedule 23 - Legal (overlap in some items to schedule 22)
- " 29 - Trade, Energy, and Financial Resources (some overlap to 22 and 23, and possibly 20)
- " 27 - Tax Policy (some overlap to 20, 22, and 23)

Schedule 22 will overlap probably in numerous areas since we are using this schedule as a retention plan guideline.

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- Schedule 7. Expenditure Accounting Records
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- Schedule 17. Reserved
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- Schedule 20. Data Automation Records

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- Schedule 22. Archival Records
- Schedule 23. Reserved (Legal)
- Schedule 24. ~~Reserved~~ (Revenue Sharing)
- Schedule 25. Reserved (International Affairs)
- Schedule 26. Reserved (Economic Policy)
- Schedule 27. Reserved (Tax Policy)
- Schedule 28. Reserved (Enforcement & Tariff Affairs)
- Schedule 29. Reserved (Trade, Energy & Financial Resources
Policy Coordination)
- Schedule 30. Reserved (Fiscal Policy)
- Schedule 31. Reserved (Office Administration)

Schedule 1

Personnel Records

This schedule covers the disposition of all official personnel folders of civilian employment and all other records relating to civilian personnel, wherever located in the Department.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Personnel folders excluding (a) folders or groups of folders selected by the National Archives; (b) folders covering periods of employment terminated prior to January 1, 1921; and (c) papers on the left or so-called "temporary" side of folder, which are authorized for disposal by item 9. | (a) See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the Federal Personnel Manual, transfer folder to National Personnel Records Center, (CPR), St. Louis, Missouri, 30 days after separation. (GS 1-1) |
| 2. | Service Record Card. | |
| | a. Cards for employees separated or transferred on or before December 31, 1947. | Transfer to NPRC, (CPR), St. Louis, Missouri. (GS 1-2a) |
| | b. Cards for employees separated or transferred on or after January 1, 1948. | Destroy 3 years after year of employee's separation or transfer to another agency. (GS 1-2b) |
| | c. Employee record cards used for informational purposes outside personnel offices. | Destroy on separation of employee. (GS 1-6) |
| 3. | Correspondence and subject files relating to the administration and operation of personnel functions, excluding those at agency staff planning levels. | Destroy 3 years after file is closed or 3 years after date of document whichever is sooner. (GS 1-3) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 4. | Correspondence, letters, and telegrams offering appointments to potential employees. | (a) If appointment is accepted; destroy immediately. (b) If appointment is declined; (1) Return to CSC with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment and dispose of in accordance with provisions in item 13, (3) All others, destroy immediately. (GS 1-4) |
| 5. | Requests for certificate files and certificates of eligibles. | Destroy 2 years after date of certificates. (GS 1-5) |
| 6. | Position descriptions. | (a) Destroy one copy 5 years after position is abolished or description is superseded; (b) Destroy other copies when position is abolished or description is superseded. (GS 1-7) |
| 7. | Employee interview records maintained in agency personnel offices. | Destroy one year after transfer or separation of employee. (GS 1-8) |
| 8. | Duplicate case files of performance rating boards of review, copies of which have been forwarded to CSC. | Destroy 1 year after closing file or after completion of case. (GS 1-9) |
| 9. | All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual. | Destroy on transfer to another agency, separation of the employee, or when 1 year old. (GS 1-10) |
| 10. | Position identification strips used in service control file to provide summary data on each position occupied. | Destroy when position is canceled or new strip is prepared. (GS 1-11) |
| 11. | Incentive Awards Program | |
| | a. Case files. | Destroy 2 years after closing case. (GS 1-12) |
| | b. Reports. | Destroy after 3 years. (GS 1-13) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 12. | Notifications of personnel action, exclusive of those in Official Personnel Folders. | |
| | a. Chronological file copies, including face sheets. | Destroy after 2 years. |
| | b. All other copies. | Destroy after 1 year. (GS 1-14) |
| 13. | Applications for employment and related papers of unsuccessful applicants, excluding records relating to appointments requiring Senatorial confirmation. | Destroy upon receipt of CSC report of inspection or when 2 years old, whichever is earlier. Observe FPM requirements. (GS 1-15) |
| 14. | Statistical reports required administratively and by CSC on various phases of personnel administration. | Destroy 2 years after date of report. (GS 1-16) |
| 15. | Correspondence and forms in personnel offices relating to individual employees not maintained in Official Personnel Folders or provided for elsewhere in this schedule. | |
| | a. Matters relating to pending personnel actions. | Destroy when action is completed. |
| | b. Retention registers from which reduction-in-force actions have been taken. | Destroy after 2 years. |
| | c. Retention registers from which no reduction-in-force actions have been taken. | Destroy when superseded. (GS 1-17) |
| 16. | Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule. Includes supervisors copies of personnel papers relating to employees responsive to him. | Destroy 6 months after file is closed or 6 months after date of document. (GS 1-18) |
| 17. | Certificates of performance rating. | Destroy after 2 years. (GS 1-23) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 18. | Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. | Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is earlier. (GS 1-24) |
| 19. | Statements of employment and financial interests, and related papers. | Destroy 2 years after employee leaves a position in which a statement is required, or two years after the employee leaves the Department whichever is earlier. (GS 1-25) |
| 20. | Records created in receipt and processing of complaints of discrimination by employees or applicants for employment with the Department. | |
| | a. Official Equal Employment Opportunity Case Files, as described by 5 CFR 713.222: | |
| | 1) When case is resolved within agency of origin; | Destroy ⁴ years after final adjustment. Transfer closed cases to WNRC after one year. |
| | 2) When case is resolved by U. S. Civil Service Commission; | The official case file is retained by USCSC according to their records control schedule. (GS 1-26) |
| | b. All other copies of EEO complaint case files or duplicates of documents pertaining to case files which are included in files retained under (a) above; | Destroy 1 year after final adjustment. |
| | c. All background documents pertaining to the case but not included in case files retained under (a) above. | Destroy 3 years after final adjustment. (GS 1-26) (NC 56-75-2, Item 6) |
| 21. | Documentation accumulated in compliance review of banks and financial institutions concerning equal employment opportunity provisions. | |
| | a. Policy, procedural or statistical data from the Office of Federal Contract Compliance. | Destroy when superseded, rescinded or obsolete. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| b. | (In-Compliance) Contract Compliance Files. | |
| | (1) Affirmative Action Plan | Destroy 1 year after supersession. |
| | (2) Compliance Review Report | Destroy upon completion of second review. |
| | (3) EEO-1 Report | Destroy at 3 year intervals. |
| | (4) Correspondence between Treasury and bank or financial institution. | Destroy 1 year after supersession of compliance review. |
| c. | (Non-compliance) Contract Compliance Files: | |
| | (1) Affirmative Action Plan | Retain until application for reinstatement for Tax and Loan Account. Destroy 1 year after favorable compliance status. |
| | (2) Compliance Review Report | As above. |
| | (3) EEO-1 Report | As above. |
| | (4) Correspondence between Treasury and bank or financial institution. | As above. (NC 56-75-2), <i>Item 5</i> |
| 22. | Labor negotiation records documenting contract negotiations between Treasury labor organizations and management to include proposals, minutes of meetings, position papers, resolved agreements, supplements, and related documents. | (a) Treasury Copy: Break file upon termination of existing agreement, hold one year inactive; transfer to WNRC; Destroy 6 years after closure. (b) All other copies; Destroy one year after termination of agreement. |
| 23. | Files relating to labor relations between the Department of the Treasury and labor organizations to include recognition, elections, grievances, and related or similar material. | Place in inactive file upon termination of recognition, resolution of grievance or complaint; destroy on site after two years. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 24. | Records created in the processing of adverse action cases under FPM 752, and grievance cases under FPM 771. Documentation includes complaints; investigation request; correspondence and reports from operating officials, supervisors and other employees; final adjustment reports; appeals, withdrawal notices, and related papers. | Break file annually. Hold 4 years and destroy on site. |
| | a. When case is resolved within agency of origin | |
| | b. When case is resolved by U.S. Civil Service Commission (FPM 752 cases only) | The official case file is retained by USCSC according to their records control schedule. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 24. | Records created in the processing of adverse action cases under FPM 752, and grievance cases under FPM 771. Documentation includes complaints; investigation request; correspondence and reports from operating officials, supervisors and other employees; final adjustment reports; appeals, withdrawal notices, and related papers. | |
| | a. When case is resolved within agency of origin | Break file annually. Hold 4 years and destroy on site. |
| | b. When case is resolved by U. S. Civil Service Commission (FPM 752 cases only) | The official case file is retained by USCSC according to their records control schedule. |
| 25. | Records on the career development and training of Department of the Treasury employees. Includes files on training in Government and non-Government facilities, reflecting the programing, budgeting, and scheduling of training programs and the evaluations thereof. | |
| | a. Planning, programing and budgetary requirements. | Start a new file each year, hold 4 years and destroy on site. |
| | b. Training facility files with course brochures, records of attendance and evaluations thereof. | Break file annually, hold 1 year and destroy. |
| | c. Individual case files on personnel in the career development program. | Destroy one year after completion of course development and record of training is made a matter of record in the Official Personnel Folder. |
| | d. All other correspondence on internal management and administration of the training program. | Break file annually, hold 1 year and destroy. |

Schedule 2

Payrolling and Pay Administration Records

This schedule applies to pay records common to all agencies pertaining to disbursements to civil employees of the Government for personal services. It excludes (a) retirement records (Form 2806 or equivalent) maintained during employee duty and then transferred to the Bureau of Retirement, Insurance, and Occupational Health of the Civil Service Commission; (b) files physically transmitted to GAO or maintained in agency space for audit under section 117 (b) of the Budget and Accounting Procedures Act of 1950; (c) records relating to tax withholding, savings bonds, or fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; (d) or to OMB files reflecting agency personnel needs and problems. Any record created prior to January 1, 1921, must first be offered to the National Archives, before applying these disposal instructions.

Papers required by the Comptroller General to be maintained for site audit or to be physically transferred to the GAO for centralized audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by GAO unless the agency concerned has written approval of the Comptroller General, as required by 82 Stat. 1301 (44 U.S.C. 3309).

| <u>No.</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|------------|--|--|
| 1. | Individual earning and service cards (such as Standard Form 1127 or its equivalent.) | |
| a. | That are filed in or with the official personnel folder. | Transfer to National Personnel Records Center (CPR) St. Louis, MO. with the personnel folder (see Sched. 1, Item 1). |
| b. | Cards not a part of the official personnel folder. | If not in or filed adjacent to personnel folder, destroy 56 years after date of last entry on card. (GS 2-1) |
| 2. | Correspondence files pertaining to administration and operation of units responsible for payroll preparation and processing. | Destroy after 2 years. (GS 2-2) |

| <u>No.</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|------------|---|---|
| 3. | Time and attendance reports. | |
| | a. Copies used in payroll preparation and processing. (Where reports are used for both time and attendance and leave posting purposes the disposal provision for item 9 applies). | Destroy after audit by GAO or after 3 years whichever is earlier. |
| | b. All others. | Destroy 6 months after end of pay period. (GS 2-3) |
| 4. | Individual authorization card and record payroll allotments (such as Standard Form 1192). | |
| | a. Where record of bond deductions is maintained on earning record card. | Destroy when superseded by new card or on transfer or separation of employee, whichever is earlier. |
| | b. Where record of bond deductions is not maintained elsewhere. | Destroy 3 years after close of file. (Remove to inactive file when superseded or upon transfer or separation.) (GS 2-4) |
| 5. | Issuing agents' copies of bond registration stubs. | Destroy after 2 years. (GS 2-5) |
| 6. | Receipts for and transmittals of U. S. Savings Bonds and checks. | Destroy 3 months after date of receipt. (GS 2-6) |
| 7. | Reports of deposits and purchases of bonds, and related papers. | Destroy after 3 years. (GS 2-7) |
| 8. | Application for leave and supporting papers. | |
| | a. Application for leave taken immediately prior to separation. | Destroy with leave record card (see Item 9) or ten years after date of last entry on card. |
| | b. All others. | Destroy 1 year after file is closed or 1 year after date of application. (GS 2-8) |

| <u>No.</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|------------|---|--|
| 9. | Leave record cards, maintained independently of pay and earning records. | |
| | a. Pay or fiscal copy. | |
| | (1) Final individual card showing accumulated leave on separation. | Transfer to National Personnel Records Center, (CPR), St. Louis, MO, after audit by GAO or after 3 years, whichever is earlier. NPRC will destroy when 10 years old. |
| | (2) All other pay or fiscal copies. | Destroy when 3 years old. |
| | b. Other copies. | Destroy 3 months after the end of the period covered. (GS 2-9) |
| 10. | Records of leave data. | |
| | a. File original of Standard Form 1150 on right side of Official Personnel Folder. | Transfer with folder (see Sched. 1, item 1). |
| | b. Agency Copy | Destroy after 3 years. (GS 2-10) |
| 11. | Notification of personnel action, exclusive of those in Official Personnel Folders. | |
| | a. Pay or fiscal copy. | Destroy after audit of related pay records by GAO or after 3 years, whichever is earlier. |
| | b. All other copies. | Destroy after 1 year. (GS 2-11) |
| 12. | Copies of budget authorizations to operating units that control personnel ceilings and personnel actions. | Destroy when superseded. Review for destruction annually. (GS 2-12) |
| 13. | Memorandum copies of payrolls, check lists, and related certification sheets. | |
| | a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers. | Destroy when Federal Records Center receives second subsequent payroll or check list covering same payroll unit. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| | b. All other copies. | |
| (1) | Where earning record card is maintained. | Destroy after audit by GAO or after 3 years, whichever is earlier. |
| (2) | Where earning record card is not maintained. | Transfer to National Personnel Records Center, St. Louis, MO, when 3 years old. (GS 2-13) |
| 14. | Payroll control registers. | Destroy after audit by GAO or after 3 years, whichever is earlier. (GS 2-14) |
| 15. | Payroll change slips exclusive of those in Official Personnel Folders. | |
| a. | Copy used in GAO audit. | Destroy after audit of related pay records by GAO or after 3 years, whichever is earlier. |
| b. | Copy used by disbursing officer in preparing checks. | Destroy after preparation of checks. |
| c. | All other copies. | Destroy 1 month after end of pay period. (GS 2-15) |
| 16. | Memorandum copies of fiscal schedules involved in payroll processing. | |
| a. | Copy used in GAO audit. | Destroy after audit by GAO or after 3 years, whichever is earlier. |
| b. | All other copies. | Destroy 1 month after end of pay period. (GS 2-16) |
| 17. | Administrative reports and data relating to payrolling operations and pay administration. | |
| a. | Reports and data used for workload and personnel management purposes. | Destroy after 2 years. |
| b. | All other reports and data. | Destroy after 3 years. (GS 2-17) |

| <u>No.</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|------------|---|--|
| 18. | Withholding tax exemption certificates (such as Treasury Department Form W-4). | Destroy 3 years after card is superseded or obsolete. Review for destruction annually. (GS 2-18) |
| 19. | Returns on income taxes (such as Treasury Department Form W-2). | Destroy after 3 years. (GS 2-19) |
| 20. | Reports of withheld Federal taxes and related papers, including records relating to income and social security taxes. | Destroy after 3 years. (GS 2-20) |
| 21. | Retirement reports and registers. | Destroy after 3 years. (GS 2-21) |
| 22. | Reports of insurance deductions and related papers including copies of vouchers and schedules of payment. | Destroy after 3 years. (GS 2-22) |
| 23. | Levy and garnishment records, including official notice of levy or garnishment, change slips, workpapers and correspondence relating to charge against retirement funds or attachment of salary for payment of back income tax or for other debts of Federal employees. | Destroy after 3 years. (GS 2-23) |
| 24. | Wage survey files consisting of wage survey reports and data, working papers and related correspondence concerning area wages paid for each employment class (excluding authorized wage schedules and wage survey recapitulation work sheets). | Destroy after completion of second succeeding wage survey. (GS 2-24) |

Schedule 3

Procurement and Supply Records

This schedule covers records dealing with the obtaining of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations rather than staff or policy functions. This schedule does not apply to records pertaining to outstanding exemptions, unsettled claims by or against the U.S. government, cases under investigation or litigation unless approved by the Comptroller General. Any records created prior to 1895 must first be offered to the National Archives for possible permanent retention before applying the disposal instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Procurement files (as described in item 4 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents. | Permanent: Place in inactive file after final payment; transfer to WNRC after 2 years. Offer to NARS 25 years from date of final payment. (GS 3-1) |
| 2. | Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). | |
| a. | All records for property acquired other than abstract or certificate of title. | Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. |
| b. | Abstract or certificate of title. | Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GS 3-2) |
| 3. | Correspondence files or procurement operating units pertaining to their internal operation and administration not covered elsewhere in this schedule. | Destroy after 2 years. (GS 3-3) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 4. | Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13.) | |
| | a. Procurement or purchase organization copy, and related papers. | |
| | * (1) Transactions of more than \$10,000, and all construction contracts exceeding \$2000. | Place in inactive file on final payment; transfer to WNRC after 1 year. Destroy 6 years, 3 months after final payment. |
| | * (2) Transactions of \$10,000 or less, and construction contracts under \$2000. | Destroy 3 years after final payment. |
| | b. Obligation copy. | Destroy when funds are obligated. Review for destruction annually. |
| | c. Duplicate copies of contracts and other papers defined above and used by procurement offices for administrative purposes. | Destroy upon termination or completion. Review for destruction annually. (GS 3-4) |
| 5. | Files of reports on supply requirements and procurement matters submitted for supply management purposes. | |
| | a. Copies of feeder reports. | Destroy after 2 years. |
| | b. Copies in other reporting units, and related work papers. | Destroy after 1 year. (GS 3-5) |
| 6. | Bid files. | |
| | a. Successful bids. | Destroy in accordance with provision for item 4. |
| | b. Unsuccessful bids. | Destroy in accordance with provision for item 4. |
| | c. Lists or cards of acceptable bidders. | Destroy when new list or card is made. (GS 3-6) |

OK-64-75-4

* ON Transactions after July 25, 1974

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 7. | Records relating to requisitions on the Public Printer, and all supporting papers. | |
| | a. Printing procurement unit copy or requisition, invoice, specifications, and related papers. | 3 Destroy 4 years after completion or cancellation of requisition. |
| | b. Accounting copy of requisition, GPO invoice, transfer of funds voucher, and receiving report. | 3 Destroy 4 years after period covered by related account. (GS 3-7) |
| 8. | Requisitions for nonpersonal services such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts). | Destroy after 1 year. (GS 3-8) |
| 9. | Requisitions for supplies and equipment from current inventory. | |
| | a. Stockroom copy. | Destroy 2 years after completion or cancellation of requisition. |
| | b. All other copies. | Destroy after 6 months. (GS 3-9) |
| 10. | Inventory files. | |
| | a. Inventory lists. | Destroy 2 years from date of list. |
| | b. Inventory cards. | Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a 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. | Destroy 2 years after date of survey action or date of posting medium. (GS 3-10) |
| 11. | Telephone statements and toll slips. | Destroy 3 years after period covered by related account. (GS 3-11) |

NC-64-75-✓

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 12. | Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers. | Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date. (GS 3-12) |
| 13. | Tax exemption certificates, and related papers. | Destroy 3 years after period covered by related account. (GS 3-13) |

Schedule 4

Property Disposal Records

These records pertain to the sales of real and personal property surplus to the needs of the Government. No records may be disposed of if involved in claims which have not been settled, unless approved by the Comptroller General.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 1. | 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 item 2. | |
| | <p><i>NC-64-75-4</i></p> <p>*a. Transactions of \$^{10,000}2,500 or less.</p> | <p>Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years and destroy, except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.) (GS 4-6)</p> |
| | <p>* b. Transactions of more than \$^{10,000}2,500, except those described in 'c' below.</p> <p><i>* on Transactions after July 25, 1974.</i></p> | <p>Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to WNRC after one year. (GS 4-6)</p> |
| | <p>c. Transactions of \$25,000 or more, and documenting deviations from established precedents with respect to general agency disposal or to major disposal programs.</p> | <p>Permanent - Place in inactive file on final payment; transfer to WNRC after one year; offer to NARS 25 years from date file closed. (GS 4-1)</p> |
| 2. | Case files on disposal of ^F surplus real and related personal property. | <p>Transfer to WNRC one year after close of file. Destroy six years after interest of United States is extinguished. Review not less than once every six years from date file is transferred to record center storage. Place <u>written</u> record of findings of each review in accession file. (GS 4-2)</p> |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 3. | Reports of excess real property. | Destroy three years after date of report, unless General Counsel certifies in writing that continuing need exists. If retained for that reason, review not less than once every six years thereafter. (GS 4-3) |
| 4. | Correspondence files maintained by operating units responsible for property disposal, pertaining to their operation and administration, not otherwise provided for. | Destroy after 2 years. (GS 4-4) |
| 5. | Reports of excess personal property. | Destroy after 3 years. (GS 4-5) |
| 6. | Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including site maps and surveys, plot plans, architect's sketches, working diagrams, and other papers pertaining to the planning, construction, management and maintenance of the property. | Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. (GS 4-7) |

Schedule 5

Budget Preparation and Apportionment Records

This schedule applies to files created within the Department in the course of formulating its budget for submission to OMB and to the Congress. It does NOT apply to records created by the Treasury Department in carrying out its Government-wide budget responsibilities. Records created prior to January 1, 1921 must be offered to the National Archives before applying the disposal instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Correspondence files of formally organized budget offices showing agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. | Permanent - Transfer to WNRC five years from the end of the fiscal year to which the records relate. Offer to the National Archives 25 years from the end of the fiscal year to which the records relate. (GS 5-1) |
| 2. | File copies of budget estimates prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational levels, comprising appropriation language sheets, narrative statements, and related schedules and data. | Permanent - Transfer to WNRC five years from the end of the fiscal year to which the records relate. Offer to the National Archives 25 years from the end of the fiscal year to which the records relate. (GS 5-2) |
| 3. | Correspondence files of budget offices not otherwise covered in this schedule. | Destroy after 2 years. (GS 5-3) |
| 4. | Work papers, cost statements, and rough data accumulated in preparation of annual budget estimates, including duplicates of papers included in file copies of budget estimates (described in item 2). | Destroy 1 year after close of fiscal year covered by budget. (GS 5-4) |
| 5. | Periodic reports on the status of appropriation accounts and apportionments. | |
| | a. End of fiscal year report. | Destroy 5 years after close of fiscal year involved. |
| | b. All other reports. | Destroy 3 years after close of fiscal year involved. (GS 5-5) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 6. | Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. | Destroy 2 years after close of fiscal year involved. (GS 5-6) |

Schedule 6

Accountable Officers' Accounts

Accountable officers' accounts include record copies of all records concerned with the accounting, availability, and status of public funds. Some examples of "accountable officers," are: (a) the collecting officer, who receives monies owed to the Federal Government and insures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO as he accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

This schedule covers the memorandum copies of records retained by the Department, as distinct from GAO site-audit copies which are provided for in that agency's own disposal instructions. Item 1a. is added only for clarification on transfers to Federal Records Centers. If in doubt about which disposition applies, contact the Document Management Branch for guidance.

Any records created before January 1, 1921 must be offered to the National Archives and Records Service.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Accountable officers' returns, comprising statements of transactions and accountability, all supporting vouchers, schedules, documents, and related papers not otherwise provided for in this schedule (exclusive of freight and payroll records). | |
| | a. GAO site-audit copies: | Transfer to WNRC (RG 217) 1 year after Fiscal Year in which records were closed. |
| | b. Agency memorandum copies. | Destroy after audit by GAO, or after 3 years, whichever is earlier. (GS 6-1) |
| 2. | General Accounting Office notices of exception (formal or informal) and related correspondence. | Destroy 1 year after exception is reported as cleared by GAO. (GS 6-2) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 3. | Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related papers. | |
| | a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements. | Destroy 2 years after date of settlement, providing certificate is cleared. |
| | b. Certificates covering periodic settlements. | Destroy when subsequent certificate of settlement is received. (GS 6-3) |
| 4. | Records relating to the availability, collection, custody and deposit of funds, including appropriation warrants (other than records covered by item 1). | Destroy 3 years after date of document. (GS 6-4) |
| 5. | Administrative correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations. | |
| | a. Files used for workload and personnel management purposes. | Destroy after 2 years. |
| | b. All other files. | Destroy after 3 years. (GS 6-5) |
| 6. | Federal personnel surety bond files. | |
| | a. Official copies of the bond and attached powers of attorney. | |
| | (1) Bonds purchased before January 1, 1956. | Transfer to WNRC one year after bond becomes inactive. Destroy 15 years after bond becomes inactive. |
| | (2) Bonds purchased after December 31, 1955. | Transfer to WNRC one year after end of bond premium period. Destroy 15 years after end of bond premium period. |
| | b. Other bond files, including other copies of bonds and related papers. | Destroy on site when bond becomes inactive or end of bond premium period. (GS 6-6) |

Schedule 7

Expenditure Accounting Records

These records are the ledgers and related documents maintained by all agencies to show in summary form the source and nature of receipts, and the manner of expenditures of funds, appropriated and non-appropriated, after allotment by the Office of Management and Budget. Records created before January 1, 1921 must be offered to the National Archives before applying these disposal instructions. Neither may records be disposed of if involved in claims which have not been settled, unless approved by the Comptroller General.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Correspondence files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration. | Destroy after 2 years. (GS 7-1) |
| 2. | General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary. | Transfer to WNRC 1 year after close of fiscal year. Destroy 6 years 3 months after close of fiscal year involved. (GS 7-2) |
| 3. | Allotment records, showing status of obligations and allotments under each authorized appropriation. | Transfer to WNRC 1 year after close of fiscal year. Destroy 6 years 3 months after close of fiscal year involved. (GS 7-3) |
| 4. | Records used as posting and control media, subsidiary to the general and allotment ledgers, and not otherwise provided for in this schedule. | |
| | a. Original records. | Destroy after 3 years. |
| | b. Copies. | Destroy after 2 years. (GS 7-4) |

Schedule 8

Stores, Plant and Cost Accounting Records

These records are maintained to provide accountability for receipt and custody of materials and to provide data on the direct and indirect costs of production, administration, and the performance of program functions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 1. | Plant account cards and ledgers pertaining to structures. | Destroy one year after structure has been sold, traded, donated, or demolished. (GS 8-1) |
| 2. | Correspondence files of units responsible for plant, cost and stores accounting operations. | Destroy after 2 years. (GS 8-2) |
| 3. | Invoices or equivalent papers used for stores accounting purposes. | Destroy on site after 3 years. (GS 8-3) |
| 4. | Stores accounting returns and reports. | Destroy on site after 3 years. (GS 8-4) |
| 5. | Work papers used in accumulating stores accounting data. | Destroy after 2 years. (GS 8-5) |
| 6. | Plant account cards and ledgers, other than those described in item 1. | Destroy on site 3 years after item is withdrawn from plant account. (GS 8-6) |
| 7. | Copies of cost accounting reports. | |
| | a. Copies in units receiving reports. | Destroy on site after 3 years. |
| | b. Copies in reporting units, and related work papers. | Destroy on site after 3 years. (GS 8-7) |
| 8. | Ledgers, forms, and machine records used to accumulate data for use in cost reports. | |
| | a. Ledgers and forms. | Destroy on site after 3 years. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--------------------|-------------------------------------|
| b. | Machine Records. | |
| (1) | Detail cards. | Destroy after 6 months. |
| (2) | Summary cards. | Destroy after 6 months. |
| (3) | Tabulations. | Destroy after 1 year. (GS 8-8) |

Schedule 9

Travel and Transportation Records

This schedule covers records pertaining to the movement of goods and persons under Government orders.

In no event may disposal be made of records pertaining to claims or demands involving the Government of the United States which have not been settled by the GAO without written approval of the Comptroller General.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 1. | Freight records, consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including files relating to the shipment of household effects. | |
| | a. Issuing office memorandum copies. | Destroy after 3 years (Transfer to appropriate Federal Records Center if volume warrants.) |
| | b. All other copies. | Destroy after 1 year. |
| | c. Bills of lading registers. | Destroy on site 3 years after final entry on register. (GS 9-1) |
| 2. | Freight records, relating to the administration of Government Losses in Shipment Act, consisting of schedules of valuables shipped and related papers and reports. | Destroy on site after 3 years. (GS 9-2) |
| 3. | Passenger transportation records, consisting of memorandum copies of vouchers (Standard Form 1171a), memorandum copies of transportation requests (Standard Form 1169a), travel authorizations, transportation request registers, and all supporting papers. | |
| | a. Issuing office memorandum copy. | Destroy on site 3 years after period covered by related account. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| | b. Obligation copy, if different from copy in 3a. | Destroy when funds are obligated. |
| | c. Unused ticket redemption forms. | Destroy when administrative needs have been satisfied. Review status annually. (GS 9-3) |
| 4. | Passenger transportation records pertaining to reimbursements to individuals, consisting of copies of travel orders, per diem vouchers, transportation requests, hotel reservations and all supporting papers relating to official travel of officers, employees, dependents, or others authorized to travel by law (exclusive of records covered by Item 3). | |
| | a. Travel administration unit copies. | Destroy after 3 years. |
| | b. Obligation copies. | Destroy when funds are obligated. (GS 9-4) |
| 5. | Records pertaining to travel and transportation not otherwise covered in this schedule. | |
| | a. Correspondence, forms, and related papers pertaining to agency travel and transportation functions. | Destroy after 2 years. |
| | b. Accountability records. | Destroy 1 year after all entries on the records are cleared. (GS 9-5) |

Schedule 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 1. | Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule. | Destroy after 2 years. (GS 10-1) |
| 2. | Motor vehicle operating and maintenance records. | |
| | a. Operating records. | Destroy after 3 months. |
| | b. Maintenance records. | Destroy after 1 year. (GS 10-2) |
| 3. | Motor vehicle ledger and work sheets providing cost and expense data. | Destroy on site 3 years after discontinuance of ledger or date of work sheet. (GS 10-3) |
| 4. | Reports on motor vehicles (other than accident, operating and maintenance reports). | Destroy on site 3 years after date of report. (GS 10-4) |
| 5. | Records relating to motor vehicle accidents, maintained by transportation offices. | Destroy on site 6 years after case is closed. (Transfer to WNRC if volume warrants). (GS 10-5) |
| 6. | Vehicle release files. | Destroy 3 years after vehicle leaves agency custody. (GS 10-6) |

Schedule 11

Space and Maintenance Records

This schedule provides for the disposition of all records on acquisition, allocation, use, and release of space, including related correspondence and reports submitted to the General Services Administration as directed by law and by regulation.

Records created before the establishment of the Public Building Administration in 1939 must be offered to the National Archives before applying these instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 1. | Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. | Break file at 2 year intervals, destroy 2 years after file is closed or 2 years after date of document. (GS 11-1) |
| 2. | Records on the allocation, use, and release of space under agency control. | |
| | a. Building plan files and related agency records used in space planning, assignment and adjustment. | Destroy 2 years after termination of assignment, when lease is cancelled, or when plans are superseded or obsolete. Review for obsolescence every two years. |
| | b. Correspondence with and reports on agency space holdings and requirements. | |
| | (1) Agency reports to GSA and related papers. | Destroy 2 years after date of report. |
| | (2) Copies in reporting units and related work papers. | Destroy 1 year after date of report. |
| 3. | Correspondence, forms and other records on the compilation of directory service listing. | Destroy 2 months after issuance of listing. (GS 11-3) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 4. | Identification credentials and related papers. | |
| | a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials. | Destroy credentials 3 months after return to issuing office. |
| | b. Receipts, indices, listings and accountable records. | Destroy after all listed credentials are accounted for. (GS 11-4) |
| 5. | Requests for building and equipment maintenance services, excluding fiscal copies. | Destroy 3 months after work performed or requisition cancelled. (GS 11-5) |

Schedule 12

Communications Records

This schedule covers records documenting communication functions, to include messenger service data, wire and wireless service control and operational records; summary of long distance telephone reports; postal records, mail control records and supporting and related papers; and agency copies of penalty mail reports to the U.S. Postal Service.

Records created before January 1, 1921 must be offered to the National Archives before applying these instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 1. | Messenger service records including daily logs, assignment records and instruction, dispatch records, delivery receipts, route schedules and related and similar records. | Destroy after 2 months. (GS 12-1) |
| 2. | Correspondence and report files of the unit responsible for the communication function, pertaining to its own administration and operation, and related papers. | Break file at two-year intervals; Destroy 2 years after file is closed or 2 years after date of document. (GS 12-2) |
| 3. | Wire and wireless service control and operational records. | |
| | a. Machine copies of incoming and outgoing messages, message registers, operator's and equipment service logs, performance reports, daily load reports, and related and similar records. | Destroy after 6 months. |
| | b. Teleautograph and telescribers tapes. | Destroy after message is dispatched. |
| | c. Original copies of outgoing messages retained by wire and wireless service. | |
| (1) | Authorization copy not duplicated elsewhere showing time of dispatch. | Destroy after 2 years. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| (2) | Authorization copy duplicated elsewhere and showing time of dispatch. | Destroy after 6 months. (GS 12-3) |
| 4. | Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense voucher. | Destroy after audit by GAO, or after 3 years, whichever is earlier. (GS 12-4) |
| 5. | Postal records consisting of Post Office forms and supporting papers, exclusive of records held by the United States Postal Service. | |
| a. | Records of received or dispatched registered mail pouches. | Destroy after 1 year. |
| b. | Application for postal registration and certificate of declared value of matter subject to postal surcharge. | Destroy after 1 year. |
| c. | Receipt for incoming registered and insured mail. | Destroy after 1 year. |
| d. | Records of incoming and outgoing registered and insured mail. | Destroy after 1 year. |
| e. | Return receipts for registered, insured, and special delivery mail. | Destroy after 1 year. |
| f. | Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter. | Destroy after 1 year. |
| g. | Statement of Reading of Metered Registers. | Destroy after 1 year. (GS 12-5) |
| 6. | Mail control records and supporting and related papers. | |
| a. | Records of receipt and routing of incoming and outgoing mail other than those listed in item 5, or records used as indexes to correspondence files. | Destroy after 1 year. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instrucions</u> |
|-------------|--|------------------------------------|
| b. | Statistical reports of postage used on outgoing mail (air mail, special delivery, registered, foreign and parcel post over 4 pounds). | Destroy after 6 months. |
| c. | Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). | Destroy after 6 months. |
| d. | Production reports of mail handled and work performed, with compilations derived therefrom. | Destroy after 1 year. |
| e. | Records in agency mail units of remittances (check, cash, stamps and money orders) and other valuable enclosures received through agency's mail unit in incoming mail. | Destroy after 1 year. |
| f. | Records of and receipts for mail and packages received through the Official Mail and Messenger Service. | Destroy after 6 months. (GS 12-6) |
| 7. | Official penalty mail reports formerly required by statute, and all related papers. | Destroy after 2 years. (GS 12-7) |

Schedule 13

Printing, Binding, Duplication, and Distribution Records

This schedule covers records on requests for service, control, production and distribution of individual jobs or projects; and files reflecting the activities of the unit responsible for handling the printing, binding, duplication, and distribution matters within the agency.

This schedule does not cover records retained by agencies for on site audit by GAO, or agency memorandum copies which are part of the accountable officers' accounts. Records created before January 1, 1921 must be offered to the National Archives before applying these instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 1. | Copy, in duplicating or distribution unit, of each publication, poster, chart, directive, regulation, booklet, speech, form, press release, and similar material. (This item does not cover copies and related program material retained in originating office.) | Permanent: Transfer to WNRC when 5 years old. Offer to NARS 25 years after date of transfer. (GS 13-1) |
| 2. | Job or project records containing all documentation on the planning and execution of printing, binding, duplication, and distribution jobs. | |
| | a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, and related papers exclusive of requisitions on the Public Printer with related records; and records relating to services obtained outside the Department. | Destroy 1 year after completion of job. |
| | b. Files pertaining to planning and other technical matters. | Destroy after 3 years. (GS 13-3) |
| 3. | Control registers for requisitions and work orders. | Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable. (GS 13-4) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 4. | Mailing lists and related material. | |
| | a. Correspondence, request forms and other records relating to changes in mailing lists. | Destroy after appropriate revision of mailing list or after 3 months, whichever is earlier. |
| | b. Card lists. | Destroy individual cards when cancelled or revised. Review annually. |
| | c. Plate or stencil mailing lists. | Destroy plates or stencils when cancelled or revised. (GS 13-5) |
| 5. | Reports to Congress and related records. | |
| | a. Agency reports to Joint committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage. | Destroy after 3 years. |
| | b. Copies in reporting units and related work papers. | Destroy 1 year after date of report. (GS 13-6) |
| 6. | Records relating to internal management and operation of the unit responsible for printing, binding, duplication, and distribution matters. | Destroy after 2 years. (GS 13-2&7) |

Schedule 14

Informational Services Records

This schedule covers records on information services performed in day-to-day affairs and in relations with the public. Except as specified in individual items, it applies to copies of these records wherever located. Items 2 and 6 are applicable only to files maintained in formally designated informational offices assigned responsibility for the operation of the informational activities.

These records consist of routine inquiries, replies to them, other correspondence in which no unusual administrative decisions, policies, or efforts are involved, and administrative background materials for formal informational releases. Any records created before January 1, 1921 must be offered to the National Archives before applying these instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 1. | Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, graphic progress presentations, and their indexes. | Permanent: Break file annually, hold one year, transfer to WNRC. Offer to NARS five years from date of scheduled transfer. Total agency retention: six years. (GS 14-1) |
| 2. | Subject files of formally designated informational offices, not covered elsewhere in this schedule. | |
| | a. Records of policy import | Permanent: Transfer to WNRC at 4 year intervals; offer to NARS 20 years from date of scheduled transfer. Total retention: 24 years. |
| | b. Other | Break file annually, hold 2 years, destroy on site. (GS 14-2) |
| 3. | Request for information and copies of replies thereto; involving no administrative actions, no policy decisions and no special compilations or research and requests for and transmittals of publications, photographs and other informational literature. | Destroy 3 months after transmittal or reply. (GS 14-3) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 4. | Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply. | Destroy 3 months after acknowledgment and referral. (GS 14-4) |
| 5. | Daily press service teletype news. | Destroy after 3 months. (GS 14-5) |
| 6. | Informational services project case files maintained in formally designated informational offices. | Destroy 1 year after completion of project. (GS 14-6) |
| 7. | Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis for which investigations were made or administrative action taken and those incorporated in individual personnel records. | Destroy after 3 months. (GS 14-7) |
| 8. | Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1). | Destroy when superseded or obsolete. Review status annually. (GS 14-8) |
| 9. | Release and disclosure case files accumulated in responding to requests for agency information under the Freedom of Information and the Privacy Acts. | |
| | a. <u>FOI Act</u> | |
| | 1. Administrative File | Break file annually, hold 1 year, transfer to WNRC. Destroy 5 years from date of last transaction. |
| | 2. Appeals resulting in litigation | Destroy 6 years after last action in case. Transfer to WNRC 1 year after final action. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 4. | Acknowledgments and transmittals of inquiries and requests referred elsewhere for reply. | Destroy 3 months after acknowledgment and referral. (GS 14-4) |
| 5. | Daily press service teletype news. | Destroy after 3 months. (GS 14-5) |
| 6. | Informational services project case files maintained in formally designated informational offices. | Destroy 1 year after completion of project. (GS 14-6) |
| 7. | Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis for which investigations were made or administrative action taken and those incorporated in individual personnel records. | Destroy after 3 months. (GS 14-7) |
| 8. | Bibliographies, check lists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1). | Destroy when superseded or obsolete. Review status annually. (GS 14-8) |

Schedule 16

Administrative Management Records

These records deal with staff and management activities such as organizational planning, directives, records and forms management, and administration of the management improvement program. Any records created before January 1, 1939 must be offered to the National Archives before applying these instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> <i>II-NARA-890</i> |
|-------------|---|---|
| 1. | Copy of each internal directive issued by or for the Treasury Department or of any bureau or division of it, together with supporting case file. | Permanent: Transfer to WNRC 2 years after supersession or rescission. Offer to NARS 25 years from date of transfer. Total Agency retention: 27 years. (GS 16-1) |
| 2. | Copy of each pamphlet, report, leaflet, graphic presentation, or other published or processed document, and of the last manuscript report (if not published or processed) on management projects, together with supporting papers documenting project inception, scope, procedure, and accomplishments, (but excluding work papers described in item 6b). | Permanent: Transfer to WNRC 2 years after supersession or rescission. Offer to NARS 25 years from date of transfer. Total Agency retention: 27 years. (GS 16-2) |
| 3. | Records disposition files. | |
| a. | Disposition schedules (e. g. SF 115's, retention plans). | Destroy 5 years after supersession or rescission. |
| b. | Records transmittal forms and lists (SF 135 or equivalent) with disposal authorizations and related reference histories. | Destroy 2 years after records have been permanently withdrawn, transferred to NARS, or destroyed. |
| c. | Files on records permanently transferred to NARS or to other agencies. | Permanent: Retain in Agency permanently. <i>Retain on site for the life of the Agency, then destroy.</i> |
| d. | All other correspondence on the program. | Break file at 2 year intervals; destroy 2 years after break. (GS 16-3 & 6) <i>R.C.T. 9 MAR. 76</i> |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 4. | Forms files on the inception and scope of the form, program or administrative purposes served by the form, and related procedures instituted, revised, superseded, or canceled. | |
| | a. Numerical Forms File. | Permanent: Hold 1 year after discontinuance or obsolescence; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. (GS 16-4) |
| | b. All other documentation. | Destroy when related form is discontinued, superseded, or canceled. (GS 16-9) |
| 5. | Copies of management improvement reports, submitted to the Office of Management and Budget. | Permanent: Transfer to WNRC at 5 year intervals. Offer to NARS 20 years after date of scheduled transfer. (GS 16-5) |
| 6. | Project Control and working files containing a summary record of project status, worksheets, drafts, notes, interim reports and analyses. | |
| | a. Control files showing assignment progress and completion. | Destroy 1 year after year in which project is closed. |
| | b. All other working papers. | Destroy 6 months after final action on project or 3 years after completion of report if no final action is taken. (GS 16-7 & 10) |
| 7. | Reports control files; case files on reports maintained for each report created, canceled, or superseded. | Destroy 2 years after report is discontinued. (GS 16-8) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 4. | Forms files on the inception and scope of the form, program or administrative purposes served by the form, and related procedures instituted, revised, superseded, or canceled. | |
| | a. Numerical Forms File. | <u>PERMANENT</u> : Hold 1 year after discontinuance or obsolescence; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. (GS 16-4) |
| | b. All other documentation. | Destroy when related form is discontinued, superseded, or canceled. (GS 16-9) |
| 5. | Copies of management improvement reports, submitted to the Office of Management and Budget. | <u>PERMANENT</u> : Transfer to WNRC at 5 year intervals. Offer to NARS 20 years after date of scheduled transfer. (GS 16-5) |
| 6. | Project Control and working files containing a summary record of project status, worksheets, drafts, notes, interim reports and analyses. | |
| | a. Control files showing assignment progress and completion. | Destroy 1 year after year in which project is closed. |
| | b. All other working papers. | Destroy 6 months after final action on project or 3 years after completion of report if no final action is taken. (GS 16-7 & 10) |
| 7. | Reports control files; case files on reports maintained for each report created, canceled, or superseded. | Destroy 2 years after report is discontinued. (GS 16-8) |
| 8. | Copies of record material prepared and <u>submitted</u> for publication in the Federal Register as required by law. | |
| | a. Duplicate or certified copy annotated with date and time of filing and retained by the Office of Record. | Break file annually, hold one year and destroy. Review annually. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| b. | Indexes or registers to material filed with the Office of the Federal Register maintained by the Certifying Unit. | Retain on site for the life of the agency, <i>then destroy.</i> JAM R.C.T. 3 MAR. 76 |
| 9. | Release and disclosure case files accumulated in responding to requests for agency information under the Freedom of Information and the Privacy Acts. | DISPOSAL NOT APPROVED |
| a. | <u>FOI Act</u> | |
| | 1. Administrative File | Break file annually, hold 1 year, transfer to WNRC. Destroy 5 years from date of last transaction. |
| | 2. Appeals resulting in litigation | Destroy 6 years after last action in case. Transfer to WNRC 1 year after final action. |
| b. | <u>Privacy Act</u> | |
| | 1. Administrative File | Transfer to inactive file upon close of case, retain on site 1 year after closing, transfer to WNRC. Destroy when 5 years old or upon destruction of the record to which it relates, whichever is longer. Review 4 years after transfer to WNRC and no less than once every five years thereafter until a destruction date is determined. (5 U.S.C. 552a.(c)). |
| | 2. Appeals resulting in litigation | Destroy 6 years after last action in case or upon destruction of the record to which it relates, whichever is longer. Transfer to WNRC 1 year after final action. Review 5 years after transfer to WNRC and no less than once every five years thereafter until a destruction date is determined. |

Schedule 18

Security and Protective Services Records

This schedule covers records accumulated by organizational elements having responsibilities for administration of security and protective services programs. They relate to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 1. | Manuals, directives, plans, reports and correspondence reflecting policies and procedures developed in the administration and direction of security and protective services programs. | Permanent: Transfer to WNRC 2 years after supersession or rescission. Offer to NARS 25 years from date of scheduled transfer. (GS 18-1) |
| 2. | General correspondence files of the operating elements responsible for administering security and protective services programs containing information of secondary importance to those covered in item 1. | Destroy after 2 years. (GS 18-2, 9, 22, 27) |
| 3. | Forms, ledgers, and registers used to record the receipt, issue, routing, dispatch, inventory, or destruction of classified documents, exclusive of Top Secret documents covered in item 4. | Place in inactive file when requirement for accountability ceases. Destroy inactive file after two years. (GS 18-3, 4, 5) |
| 4. | Top Secret document accounting and control files. | |
| a. | Registers maintained at control points to indicate accountability of Top Secret documents, reflecting receipt, dispatch, or destruction. | Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. |
| b. | Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. | Destroy when related document is downgraded, transferred, or destroyed. (GS 18-6) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 5. | Access request files consisting of requests and authorizations for individuals to have access to classified files. | Destroy 2 years after authorization expires. (GS 18-7) |
| 6. | Classified document container security files consisting of forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. | Destroy when superseded by a new form or list, or upon turn-in of containers. (GS 18-8) |
| 7. | Reports of surveys and inspections of Government-owned facilities conducted to insure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. | Destroy after 3 years, or upon discontinuance of facility, whichever is sooner. (GS 18-10) |
| 8. | Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers. | Destroy after 4 years, or when security cognizance is terminated, whichever is sooner. (GS 18-11) |
| 9. | Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. | Destroy after 2 years. (GS 18-12) |
| 10. | Property pass files, authorizing removal of property or materials. | Destroy 3 months after expiration or revocation. (GS 18-13) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 11. | Files relating to guard assignments and strength. | |
| | a. Ledger records. | Destroy 3 years after final entry. |
| | b. Requests, analyses, reports, change-notices, and other papers relating to post assignments and strength requirements. | Destroy after 2 years. (GS 18-14 and 21) |
| 12. | Files relating to exercise of police functions. | |
| | a. Ledger records of arrest, cars ticketed, and outside police contracts. | Destroy 3 years after final entry. |
| | b. Reports, statements of witnesses, warning notices, and other case papers relating to arrests, commitments, and traffic violations. | Destroy after 2 years. |
| | c. Reports on contact of outside police with building occupants. | Destroy after 1 year. (GS 18-15) |
| 13. | Files relating to accountability for personal property lost or stolen. | |
| | a. Ledger files. | Destroy 3 years after final entry. |
| | b. Reports, loss statements, receipts and other papers relating to lost and found articles. | Destroy after 1 year. (GS 18-16) |
| 14. | Files relating to accountability for keys issued. | |
| | a. Areas under maximum security. | Destroy 3 years after turn-in of key. |
| | b. All other areas. | Destroy 6 months after turn-in of key. (GS 18-17) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 15. | Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers. | Destroy after 1 year. (GS 18-18) |
| 16. | Files relating to periodic guard force facility checks. | |
| | a. Check sheets, and guard reports on security violations. | Destroy after 1 year. |
| | b. Reports of routine after hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 19 of this schedule. | Destroy after 1 month. (GS 18-19) |
| 17. | Personnel security clearance case files containing a record of investigations of personnel employed by or seeking employment with the Government, or whose relationship otherwise with the Government requires a security clearance. | Destroy ²⁰ 30 years after date of last action. Transfer to WRNC 2 years after date of transfer or separation of individual. (GS 18-23) |
| 18. | Personnel security clearance lists or rosters, maintained in the security control units, showing status of individuals. | Destroy upon receipt of second or succeeding update covering most recently acquired information. (GS 18-24) |
| 19. | Security Violation Case Files. | |
| | a. Felony Investigation Files. | Transfer to WRNC 2 years after completion of final corrective or disciplinary action. Destroy ²⁰ 30 years after completion of final corrective or disciplinary action. (GS 18-26) |
| | b. Other Investigation Files. | Destroy 2 years after completion of final corrective or disciplinary action. (GS 18-25) |

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| <u>Item</u> | <u>Description</u> | Disposition Instructions |
|-------------|---|---|
| 20. | Record copy of each emergency plan or directive issued, with related background papers, accumulated by designated emergency planning unit. | <i>Destroy when obsolete or superseded.</i> Transfer to WRNC 1 year after supersession or rescission. Review annually for transfer. Offer to NARS 25 years after supersession or rescission. (GS 18-28) |
| 21. | Emergency planning operations test reports, consisting of consolidated or comprehensive reports on Department-wide results. | <i>Destroy when obsolete or superseded.</i> Maintain with related plan and follow disposition for item 20. (GS 18-30) |
| 22. | Emergency planning operations test case files containing papers on the conduct of tests, such as instructions to participants, staffing assignments, messages, communications and facilities test, and information copies of reports. | Destroy on site 3 years after date of conclusion of test. (GS 18-31) |

Research and Development Records

These are records created in developing new concepts and techniques, or improving or modifying those already in existence.

Research and development may be accomplished both by contracting for the services of private commercial or research organizations and by scientific personnel employed by the agency. When the former procedure is used, the contractor is required to furnish the results of research to the agency in the form of technical reports, experimental data, or comparable media. All records furnished by the contractor pursuant to terms of the contract become the property of the Government and the provisions of this schedule are applicable thereto. Any records created prior to January 1, 1921 must be offered to the National Archives before applying these disposal instructions.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 1. | Program files including schedules and correspondence maintained by offices responsible for execution, review, and analysis, and relating to the general planning and supervision of the programs. | Permanent: Break file every 3 years. Transfer closed file to WNRC after 2 years. Offer to NARS 25 years from date file closed. (GS 19-1) |
| 2. | Official technical committee and board files, including agendas, directives, minutes of meetings, and reports covering general operations of the committee or board, and papers relating to the establishment, revision, or termination of individual projects. | Permanent: Break file every 3 years. Transfer closed file to WNRC after 2 years. Offer to NARS 25 years from date file closed. (GS 19-2) |
| 3. | Project case files reflecting a complete history of each project from initiation through research, development, design, and testing, to completion. | Permanent: Break file every 3 years. Transfer closed file to WNRC after 2 years. Offer to NARS 25 years from date file closed. (GS 19-3) |
| 4. | Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by the agency. | Permanent: Transfer to WNRC to the extent practicable with related project files. Offer to NARS 25 years from date file closed. (GS 19-4) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 5. | Source data files, punch cards, electronic tape, questionnaires, media used for reference in arriving at determinations in the conduct of research projects. | Destroy when determined by competent agency personnel that the files have served all research purposes. Review annually. (GS 19-5) |
| 6. | Laboratory notebooks containing technical and scientific data accumulating from the conduct of research and development. | |
| | a. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file. | Destroy 6 months after completion or termination of the related project or projects. |
| | b. Other notebooks. | Transfer to inactive file upon completion or termination; break inactive file every 2 years and transfer to WNRC after 3 years. (GS 19-6) |
| 7. | Technical report files consisting of one copy of published reports prepared in-house or by contract relative to findings and conclusions for specific projects. | Permanent: Break file at 5 year intervals, transfer to WNRC; offer to NARS 20 years from date of transfer. (GS 19-7) |
| 8. | Drawing and specification files, consisting of an official file copy of each drawing and specification showing final design and technical characteristics of items developed. | Permanent. Transfer to inactive file when superseded or obsolete; break inactive file at end of each year; transfer to WNRC after 1 year. (GS 19-8) |
| 9. | Correspondence files of a general administrative or housekeeping nature. | Destroy after 2 years. (GS 19-9) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 5. | Source data files, punch cards, electronic tape, questionnaires, or comparable media used for reference in arriving at determinations the conduct of research projects. | Destroy when determined by competent agency personnel that the files have served all research purposes. Review annually. (GS 19-5) |
| 6. | Laboratory notebooks containing technical and scientific data accumulating from the conduct of research and development. | Destroy 6 months after completion or termination of the related project or projects. |
| | a. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file. | |
| | b. Other notebooks. | Transfer to inactive file upon completion or termination; break inactive file every 2 years and transfer to WNRC after 3 years. Offer to NARS 25 years from date of transfer. (GS 19-6) |
| 7. | Technical report files consisting of one copy of published reports prepared in-house or by contract relative to findings and conclusions for specific projects. | Break file at 5 year intervals, transfer to WNRC; offer to NARS 20 years from date of transfer. (GS 19-7) |
| 8. | Drawing and specification files, consisting of an official file copy of each drawing and specification showing final design and technical characteristics of items developed. | Transfer to inactive file when superseded or obsolete; break inactive file at end of each year; transfer to WNRC after 1 year. Offer to NARS 25 years from transfer. (GS 19-8) |
| 9. | Correspondence files of a general administrative or housekeeping nature. | Destroy after 2 years. (GS 19-9) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 10. | Project control files, consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel, not to be of sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents. | Destroy 1 year after completion or cancellation of project. (GS 19-10) |
| 11. | Summary progress reports showing the initiation and degree of completion of projects: | |
| | a. Copies of reports retained by reporting offices; | Destroy 1 year after completion or cancellation of related projects. |
| | b. Feeder reports used for compilation of consolidated reports, except as indicated in <u>c</u> below. | Destroy upon submission of consolidated report. |
| | c. Consolidated reports, consisting of one official copy of each consolidated report and those feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports. | Permanent: Break file every 3 years. Transfer closed file to WNRC after 2 years. Offer to NARS 25 years from date file closed. (GS 19-11) |
| 12. | Investigative files pertaining to exploration of the feasibility of unsolicited proposals for projects received from individuals. | |
| | a. Proposals resulting in authorized projects: | Permanent: Break file every 3 years. Transfer closed file to WNRC after 2 years. Offer to NARS 25 years from date file closed. |
| | b. Rejected proposals: | Destroy 5 years after completion of investigation: |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 13. | Procurement files, consisting of formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the terms of the contracts or agreements and copies of contractual documents filed in project case files defined in Item 3 of this schedule. | See Schedule 3, Item 4. (GS 19-13) |
| 14. | Technical reference files, consisting of copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents. | Destroy when superseded or obsolete. Review annually. (GS 19-14) |

Data Automation Records

This schedule covers machine readable records, their servicing, and files related to automatic data processing (ADP) procurement, operations, and management functions. The records have been divided into four categories to correspond with typical organizational and functional structures found in most ADP or peripheral installations.

This schedule is to be used unless definite program records have been functionally identified. If so, such identification shall prevail for disposition purposes. This schedule is written in terms that will allow for reclamation of storage hardware by disposition of data stored thereon.

PART I. Data Automation Planning and Operational Records: covers documentation on objectives, concepts, policies, and plans providing overall aspects of data automation, systems design of management supporting systems, including equipment selection and statistics.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 1. | Planning Files - Master plan and feasibility studies with supporting data which may be graphic, narrative, or tabular information reflecting the characteristics of the data automation activity. | Permanent: Break file annually, hold 1 year inactive, transfer to WNRC; Offer to NARS 25 years from date of transfer. (GS 20-I-1) |
| 2. | Program Management- Files on the development of plans, policy and implementation of data conversion operations and the control and operation of the mechanization program. | Permanent: Break file annually, hold 1 year; transfer to WNRC; Offer to NARS 25 years from date of transfer. (GS 20-I-2) |
| 3. | Hardware Selection Files - consists of agency requirements, specifications for hardware, software, and support capabilities of vendors for complete installation of peripheral equipment. They include selection criteria for procurement or modification of an ADP activity. | Destroy 2 years after specific configuration of equipment is discontinued. (GS 20-I-3) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 4. | Standardization - Data element codes, standardization requests, and justification for all data systems. | |
| a. | Promulgated Federal or national standards. | Destroy when superseded or obsolete. Review annually. (GS 20-I-4) |
| b. | Other standards developed by the agency. | Break file annually, hold one year; transfer to WNRC; offer to NARS 25 years from date of transfer. (GS 20-I-5) |
| 5. | Utilization and maintenance files. | |
| a. | Forms or cards that equipment operators complete on machine use, nonuse, or maintenance. | Destroy after 3 years. (GS 20-I-6) |
| b. | Daily detail cards, intermediate summary decks, related magnetic files, and machine listings. | Destroy after 90 days. (GS 20-I-7) |
| c. | Monthly summary of cost and utilization reports. | Destroy after 3 years. (GS 20-I-8) |
| 6. | Accountability files. | |
| a. | Documents concerning the management of ADP equipment which are original records maintained at data processing installation. | Destroy 2 years after equipment is discontinued. (GS 20-I-9) |
| b. | Requirements for cards, paper and magnetic tape reels, and inventory of ADP supplies. | Destroy after 1 year. (GS 20-I-10) |
| c. | Contractor's invoices for rental and other charges incurred for use of ADP equipment. | Destroy after 3 years. (GS 20-I-11) |
| 7. | Magnetic tape library control records consists of ADP media used to control transactions in the magnetic tape library. | |
| a. | Cards decks and magnetic tape files. | Destroy after fourth update cycle is accepted. (GS 20-I-12) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|--|---|--|
| b. | Machine listings. | Destroy after 90 days. (GS 20-I-13) |
| c. | Transaction slips. | Destroy after 90 days. (GS 20-I-14) |
| PART II. Documentation Required for Servicing Machine Readable Records: Covers organized series of descriptive documents on system development and operation. These include system planning documents, ADP systems specifications, application program manuals, and systems operating instructions. | | |
| 8. Data systems planning files - Documents defining the system, system objectives, request for the system, authorizing directives, source data, studies reflecting advantages and disadvantages of alternate solutions, equipment requirements, tangible benefits, output requirements, and schedule for completion. | | |
| a. | Created at the policy level. | Review for destruction at 5 year intervals. (GS 20-II-1) |
| b. | Supplementary files at ADP unit level. | Destroy after 5 years. (GS 20-II-2) |
| 9. System test files - System test specifications, test runs, machine listings of test data and test results. | | |
| a. | Resulting in an approved system. | Destroy 1 year after discontinuance of the system. (GS 20-II-3) |
| b. | Resulting in a disapproved proposed system. | Destroy after 1 year. (GS 20-II-4) |
| 10. System design procedure files - Documents on the implementation of a specific data system, including policies, instructions, details of computer technique, logic charts, and input/output document flow data. | | |
| a. | Systems for which magnetic tape data produced is authorized to be erased. | Destroy one year after data produced (or stored) on magnetic tapes has been erased. (GS 20-II-5) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| | b. Systems for which the magnetic tape data produced is not authorized to be erased. | Retain with related magnetic tape; break file annually; hold 1 year - Transfer to WNRC - Offer to NARS 25 years from date of transfer. (GS 20-II-6) |
| 11. | Data identification files - Description of the source and functional characteristics of the data, definition of the content of each record in terms of the relative position name, length, and type of each data element in a run layout. Explanation of the coding system and a cross reference code manual of every code used together with all their values. | |
| | a. System for which the magnetic tape data produced is authorized for erasure. | Destroy one year after data produced (or stored) on magnetic tapes has been erased. (GS 20-II-7) |
| | b. Systems for which the magnetic tape data produced is not authorized for erasure. | Retain with related magnetic tape; break file annually; hold 1 year - Transfer to WNRC - Offer to NARS 25 years from date of transfer. (GS 20-II-8) |
| 12. | Data input files - Description of data at the time it enters the computer; giving identification title, recording media, purpose, frequency, volume, and source; content of input with graphic illustration. | |
| | a. Systems for which the related magnetic tape data produced is authorized for erasure. | Destroy at time final magnetic tape records produced by system have been scratched. (GS 20-II-9) |
| | b. Systems for which the related magnetic tape data produced is not authorized for erasure. | Retain with related magnetic tape; break file annually; hold 1 year - Transfer to WNRC - Offer to NARS 25 years from date of transfer. (GS 20-II-10) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 13. | Data output files - Descriptions of products of the system that are to be used outside the ADP activity such as listings of the outputs by sequence, name, media, purpose, frequency, volume, and distribution; data descriptions and layout samples. | Destroy 1 year after termination of system through obsolescence, update, or discontinuance. (GS 20-II-11) |
| 14. | Program application files - Information on the function, use, and methodology of the program - may include input/output files; source and object code listings, program logic flow diagrams; output messages; codings, test plans, and operating instructions. | Destroy 1 year after termination of system through obsolescence, update, or discontinuance. (GS 20-II-12) |
| 15. | User guides - Handbooks used in training or explaining overall system, as a guide to data availability, and procedures for extracting data. | Destroy 1 year after termination of system through obsolescence, update, or discontinuance. (GS 20-II-13) |
| 16. | System operating procedures - User oriented instructions on how to prepare input data for processing work on the computer, and for control and interpretation of output reports. | |
| | a. Systems for which the magnetic tape data produced is authorized for disposition. | Destroy at the time magnetic tape reels are scratched. (GS 20-II-14) |
| | b. Systems that require retention of related magnetic tape data. | Retain with file (systems) specifications. (Item 10b) Break file annually transfer to WNRC; offer to NARS 25 years from date of transfer. (GS 20-II-15) |
| 17. | System Documentation Report Files - Consists of one copy of final published report containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed. | Break file annually; hold 1 year inactive; transfer to WNRC; offer to NARS 25 years from date of transfer. (GS 20-II-16) |

PART III. Erasable Media: The term "erasable media" refers to tapes (analog, digital), drums, disks, disk packs, data cells, or other hardware devices which are capable of storing information in an erasable mode. Data stored in this fashion is disposable by erasing, scratching, or blanking the tape.

COMPUTER SECURITY: Experience factors have shown that erasing tapes by overwriting does not always clear the tape to the extent essential for security purposes. Therefore, when erasing tapes (for re-use) which contain information that has been classified in the interests of National security, or, which is not releasable under the FOI or Privacy Acts, extreme caution is advised to ensure the security and protection of non-releasable information at all times, and that the erasing process be in accordance with applicable security regulations and procedures.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 18. | Scratched or blank tapes - Used by the console operators or tape handlers to facilitate general computer runs such as sort and merge runs. They may be new tapes or those with expired retention periods. | May be considered a stock item available for immediate use or reuse. (GS 20-III-1) |
| 19. | Test tapes - Consists of magnetic tapes used in testing proposed systems. | |
| | a. Used by programmer for individual runs and not under library control. | Erase tapes after system has been accepted or discontinued. |
| | b. System debugging test data. | Erase tapes after related program is discontinued. |
| | c. System acceptance test data. | Erase tapes after related program is discontinued. (GS 20-III-2, 3, 4) |
| 20. | Program tapes or disk packs - Containing sequence of instructions required to process data or solve problems. | |
| | a. Updated instructions. | Erase after third update cycle. |
| | b. Last update instructions used in a terminated system. | Erase after agency no longer requires instructions. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| | b. Valid transaction after acceptance of cumulative final master tape and no statistical analysis is necessary. | Erase after third update cycle. |
| | c. Used in additional statistical analysis. | Erasing not authorized. Retain with related "hard copy" data file - Transfer to NARS with the "hard copy" data file. (GS 20-III-13, 14, 15) |
| 24. | Information retrieval system reference master tapes - Consists of data created by the merging of prior master file with valid transaction data to create a new master file (may include the security copy tape of data on disk packs). | |
| | a. Cumulative index to publications, and other nonrecord material. | Erase after third update cycle. |
| | b. An index to record material such as correspondence, legal hearings and decisions, patents and trademarks, and record copy of publications. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. (GS 20-III-16, 17) |
| 25. | Federal loan and grant program master tapes - Consists of data created by the merging of prior master file with valid transaction data to create a new master file (may include excerpts from forms placed in case files). | |
| | a. Cumulative data of funds made available through federally supported loan and grant programs. | Erase after third update cycle. |
| | b. Noncumulative periodic file of status of Federal loan and grant activity. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. (GS 20-III-18, 19) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| | c. Used to audit the processing instructions for the system. | Erase after functional guidelines provided by GAO have been satisfied. (GS 20-III-5, 6, 7) |
| 21. | Raw data input tapes - Consists of data abstracted from source documents, or other media, and entered into the system for the first time. | |
| | a. Used to update existing program and to support reconstruction of master file. | Erase after successful completion of fourth processing machine pass. |
| | b. Used as input for a one-time study or survey. | Erase upon acceptance of final data. |
| | c. Used to replace or serve as the basic source data in lieu of the "hard copy" or other input source documents. | Erase in accordance with disposition instructions applied to the "hard copy" or other functional file. (GS 20-III-8, 9, 10) |
| 22. | Working tapes (input/output) - Consists of magnetic tapes containing output or control within or from one run to a subsequent run that manipulates, sorts and moves data through the systems. Includes checkpoints, edit, correction, reject list, unmatched data eliminating errors and reruns. | |
| | a. Used in an updated system. | Erase after acceptance of updated tape. |
| | b. Used in a one-time study or survey. | Erase upon acceptance of master data tape. (GS 20-III-11, 12) |
| 23. | Valid transaction tapes - Consists of valid file of items used with a master data tape input file for creation of master data tape output file. | |
| | a. Partially valid transactions after outstanding items are removed from current tapes. | Erase after third update cycle. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 26. | "Housekeeping systems" master tapes - Consists of data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration. | |
| | a. Not required for GAO site audit. | Erase according to instructions applicable to the "hard copy" or other functional files. |
| | b. Required for GAO site audit. | Erase after functional guidelines provided by GAO have been satisfied (GS 20-III-20, 21) |
| 27. | Economic statistics master tapes - Consists of data created by the merging of prior master file with valid transaction data to create a new master file. | |
| | a. Cumulative data such as status of banks and insurance institutions; production, consumption, and monetary status of industry and agriculture; value of foreign commerce and other economic indicators, transportation and communications media. | Erase after third update cycle. |
| | b. Data used to prepare reports covering specific time periods. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. |
| | c. Data used to prepare periodic surveys of economic indicators covering specified time periods. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. |
| | d. Noncumulative economic census taken at other than 10-year cycle. | Eraseable when merge with master tape file of specific program documentation has been proved satisfactory. (GS 20-III-22, 23, 24, 25) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 28. | Social statistics master tapes - Consists of data created by the merging of prior master file with valid transaction data to create a new master file. | |
| | a. Cumulative social and demographic data concerning births, deaths, and marriages; income taxes paid; social security accounts; employment information; law enforcement, crime and civil disturbance, and other social indicators. | Erase after third update cycle. |
| | b. Noncumulative data used to prepare reports covering specific time periods. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. (GS 20-III-26, 27) |
| 29. | Natural resources master tapes - Consists of data created by the merging of prior master file with valid transaction data to create a new master file. | |
| | a. Cumulative data on characteristics, use, and ownership of natural resources such as land, water, minerals, and timber. | Erase after third update cycle. |
| | b. Noncumulative data used to prepare reports covering a limited period of time. | Erasing not authorized. Offer directly to NARS when administrative value to the Agency ceases. Review annually. (GS 20-III-30, 31) |
| 30. | Publication tape - Containing source output data extracted from the system (without destroying the source tapes), reproduced and disseminated as a publication or used for reproducing a printed publication. | Erase when record copy has been reproduced as "hard copy" and retained for transfer to NARS. (GS 20-III-40) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 31. | Print tape - Used for producing required printouts of tabulations, ledgers, tables, registers, and reports. | Erase after acceptance of printouts. (GS 20-III-41) |
| 32. | Re-formatted data tapes - Consists of essentially duplicate data from the master tapes but is created for use with other computer hardware systems | |
| | a. Created for the specific purpose of information interchange. | Erase when information stored has been extracted or is no longer valid. |
| | b. Created for specific application to agency computer hardware systems | Erase when determined format is no longer required. (GS 20-III-42, 43) |
| 33. | Sample and subsample data tapes - Consists of individual observations selected from a larger census or survey file such as stratified or pure random sample files, with or without weighting factors. They may be disclosure free or useful in statistical analysis or policy formulation models and simulation studies. | Erasement not authorized. Offer - directly to NARS when administrative value to the Agency ceases. Review annually. (GS 20-III-44) |
| 34. | Security backup tapes - Which are identical in format to master tapes and retained as security in case master tape is damaged or inadvertently erased. | |
| | a. Used in an updated system. | Erase after third update cycle. |
| | b. Used for a one-time study or survey. | Erase or retain according to disposal instructions of identically related tape. (GS 20-III-45, 46) |
| 35. | External Agency tapes - Created by other agencies which are not altered substantially by the receiving agency. | Erase when no longer needed. (GS 20-III-47) |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| PART IV. | Non-erasable Media: The term non-erasable media refers to ADP punched cards, paper tape, and other non-erasable, machine-readable media. | |
| 36. | ADP Program Card Files | |
| a. | Punched cards containing common language source program data (source deck). These may be processed with a processor or utility program to produce a machine-coded object program. | Destroy cards upon replacement. Destroy program deck after program has been removed from the system. |
| b. | Machine-punched cards containing coded machine language instructions arranged in proper sequence (object deck). These may be read into computer memory before running a program to cause the computer to perform data-processing functions. | (1) Destroy cards after completion of program revision. (2) If audit trail is required - Destroy in accordance with GAO guidelines. |
| c. | Prepunched utility or processor program card decks used to update installation systems software. | Destroy cards on obsolescence, or 1 year after program is discontinued. |
| d. | Job stream (job stack, job control) card decks used to activate program-processing modules performing a data processing job. | Destroy cards upon replacement after necessary changes have been made to the Data Processing Manual. (GS 20-IV-1, 2, 3, 4) |
| 37. | ADP Program Control Cards - consists of cards created by the producer or user and containing data to control the program. | |
| a. | When pertinent to a specific run or cycle. | Destroy cards on obsolescence or replacement and when necessary changes have been made to the Data Processing Manual. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| | b. When used on a repetitive basis in an updated system. | Destroy cards on obsolescence; Destroy Program Control Deck 1 year after program has been removed from the system. (GS 20-IV-5,6) |
| 38. | ADP Source Data Files - Consists of cards or paper tape containing data abstracted from source documents and used for conversion to magnetic tape or processing on EAM equipment. | |
| | a. When retained by ADP operational elements as backup to magnetic tape or disk. | Destroy upon acceptance of third update cycle of related magnetic tape. |
| | b. When they are EAM output listings and reports. | Destroy after 6 months if not converted to magnetic tape in processing. |
| | c. When on magnetic media. | Destroy upon acceptance of data on related magnetic tape. |
| | d. When cards are the source documents containing original entry data with film or written inserts. | Destroy or retain in accordance with instructions applied to "hard copy" or other functional files. (GS 20-IV-7, 8, 9, 10) |

Archival Records

The records described in this schedule outline the policies, executive direction and program implementation on functions of the Treasury. Records of this nature are deemed to be of archival value. Records so designated will be transferred to the Washington National Records Center (WNRC) for storage and until all administrative value to the Department of the Treasury ceases. They will then be "Offered to the National Archives and Records Services" (NARS) for historical preservation.

Part I. Policy, procedural, organizational and reportorial documents which generally define agency functions and performance.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 1. | Formal policy and procedural issuances such as Orders, Circulars and bulletins. Includes original manuscript copy, coordination copy containing indorsements, a copy of each form prescribed by the issuance, and a copy of all clearance and review summaries with comments. | Hold in inactive file 1 year after supersession or rescission; Transfer to WNRC; offer to NARS 25 years from date of scheduled transfer. |
| 2. | Organizational charts and directories. | Break file annually - hold 1 year; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| 3. | Periodic narrative and statistical reports on accomplishments in the National Office and at regional Commissioner level field offices; includes activity reports. | |
| | a. Special Assistant, Assistant Secretary, and above level. | Permanent: Break file annually. Transfer to WNRC at 2 year intervals. Offer to NARS 25 years from date of scheduled transfer. |
| | b. All others. | Break file annually; hold 1 year and destroy on-site. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 4. | Annual or narrative accounts of the agency's history, such as the Annual Report of the Secretary of the Treasury on the State of the Finances. | Break file annually, hold 1 year; transfer to WNRC; offer to NARS 25 years from date of scheduled transfer. |
| 5. | Publicity and 'public information material' such as press releases or matters of interest to taxpayers, photographs, official speeches relating to agency policies, programs or the like. | See Schedule 14, Item 1. |
| 6. | Publications that may contribute to a greater understanding of the organizations and functions of the Treasury exclusive of those which might embody the results of statistical or research activities. | Break file at 5-year intervals, offer directly to NARS. |
| Part II. | Documentation covering policy implementation to insure compliance with statutory and regulatory authorities to include the preparation, analysis, issuance, or reaction thereto; may relate to proposed legislation, Executive Orders, delegations of continuing authority or revocations thereof, interagency agreements, court decisions, or legal opinions. | |
| 7. | Program files consisting of internal or external authoritative documents received for comment, clearance, evaluation, guidance or other action. | |
| a. | Special Assistant, Assistant Secretary, and above level. | Break file at 2-year intervals, transfer to WNRC; offer to NARS 25 years from scheduled date of transfer. |
| b. | All others. | Break files at 2-year intervals; hold 2 years and destroy. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|--|
| 8. | Legislative history files - Case files of the development of legislation to the Congress through final passage to include copies of drafts, bills as introduced, reports, and correspondence with sponsors and other interested Departments or parties. | |
| | a. Program Office having proponent responsibilities for enactment of proposed legislation into law. | Break file at 2-year intervals; hold 2 years; transfer to WNRC; offer to NARS 25 years from date of transfer. |
| | b. All others. | Transfer to inactive file upon enactment into law; destroy on-site end of second year. |
| 9. | Agenda and minutes, with supporting papers, of staff meetings on substantive functions of the Treasury. | |
| | a. Assistant Secretary and above level. | Break file annually; hold 1 year; transfer to WNRC. Offer to NARS 25 years from date of transfer. |
| | b. All others. | Break file annually. Hold 1 year and destroy. |
| 10. | Agenda and minutes, with supporting papers, of inter-agency, inter-departmental, or extra-federal governmental bodies on Treasury functions and in which Treasury participates. | |
| | a. Where the Secretary is designated as Chairman - The Treasury "Working Group Member" shall retain a "record set" of all transactions. | Break file at 2-year intervals or upon termination of membership; whichever is sooner - Transfer to WNRC - offer to NARS 25 years from date of scheduled transfer. |
| | b. All others. | Break file at 2-year intervals; Destroy on termination of membership. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 11. | Reports on special studies, surveys, audits/inspections, management, and systems showing inception, scope, procedure, and results. | Break file at 2-year intervals; hold 1 year (to allow for review of implementation of proposed recommendations). Transfer to WNRC; offer to NARS 25 years from date of transfer. |
| 12. | Documentation of interagency relationships concerning the planning, initiation, management and effectiveness of Treasury Programs or changes thereto. | |
| | a. Executive Office of the President | |
| | (1) Communications (incoming/outgoing) dealing with proposed or pending legislation. | Retain as part of the Legislative History File. (Item 8) |
| | (2) Routine queries or ^N status of Programs, feeder reports. | Break file annually; hold 1 year destroy. |
| | b. Congressional Correspondence. | |
| | (1) Communications (incoming/outgoing) dealing with pending or proposed legislation. | Retain as part of the Legislative History File. (Item 8) |
| | (2) Routine correspondence dealing with constituency queries and the like. | Destroy at 3-month intervals. |
| 13. | Budget statements (estimates and justifications) digests, briefing books and program and financial plans. | Be guided by schedule 5 in the disposition of these records. |
| 14. | Any annual or special nonrecurring reports from field offices engendered in the provision of executive direction, and not covered elsewhere. | Break file at 2-year intervals; hold 1 year; transfer to WNRC; offer to NARS 25 years from date of transfer. |
| 15. | Interagency agreements and delegations of continuing authority to and from other agencies that significantly affect the substantive functions of Treasury. | Transfer to WNRC 1 year after supersession or rescission. Review annually. Offer to NARS 25 years from date of scheduled transfer. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 16. | Case files on approved plans, policies, programs, projects, and procedures. | Be guided by schedule 16, Items 2, 5, and 6. |
| 17. | Litigant case files the results of which have significant impact on Treasury policy or procedures. | Break file at 5-year intervals; transfer to WNRC; offer to NARS 25 years from date of scheduled transfer. |
| Part III. | Documentation on the policies and internal program responsibilities of all phases of Financial Policy, Economic Policy, Tax Policy, Fiscal Policy, Management of the Public Debt. | |
| 18. | Records on the development, supervision and evaluation of any internal Treasury program as described above. | Break files at 4-year intervals, transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| 19. | Formal legal opinions relating to Treasury Program Policies on any substantive function. | |
| | a. Official File. | Break file annually: hold 1 year inactive; transfer to WNRC, offer to NARS 25 years from date of scheduled transfer. |
| | b. Reference file-retained because of continuing value and aptness of content. | Destroy 5 years after significant changes cause the issuance of a "new" legal opinion. |
| 20. | Case files of precedential significance concerning policy formulation, not covered elsewhere in these schedules. | Break file at 2-year intervals; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| 21. | Summary statistical data on substantive phases of Treasury functions, not covered elsewhere in these schedules. | Break file at 2-year intervals, transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| 22. | Authoritative documentation pertaining to substantive functions of the Department of the Treasury carried out by organizational units at the "Division" or "field" level in the discharge of their responsibilities, not covered elsewhere in these schedules. | Break file at 2-year intervals; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |

Schedule 24

Revenue Sharing

This schedule covers records generated in administering the General Revenue Sharing Program. The program was established by P.L. 92-512, "State and Local Fiscal Assistance Act of 1972". The records describe the determination of allocating funds to recipient governments and the compliance and review requirements used in assuring that expenditures of funds are consistent with the purposes of the Act.

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|---|---|
| 1. | Policy - development and implementation of policy pertaining to the Office organization, mission, and functions, and records relating thereto. | <u>PERMANENT</u> : Break files at 4-year intervals, transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| 2. | Management Direction - Files reflecting implementation of Departmental policy pertaining to assigned responsibilities to include Office procedures, staff meetings. | <u>PERMANENT</u> : Transfer to WNRC 1 year after supersession or rescission. Offer to NARS 25 years from date of scheduled transfer. |
| | a. Policy documentation. | <u>PERMANENT</u> : Break file at 2-year intervals; transfer to WNRC. Offer to NARS 25 years from date of scheduled transfer. |
| | b. Agenda and minutes of staff meetings. | <u>PERMANENT</u> : Transfer to WNRC at 2 year intervals. Offer to NARS 25 years from date of scheduled transfer. |
| 3. | Administrative Publications - A record copy of each directive or procedure issued by the Office to insure compliance with program management. | <u>PERMANENT</u> : Transfer to WNRC at 2 year intervals. Offer to NARS 25 years from date of scheduled transfer. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 4. | Press Releases/Speeches - a record copy of each speech or press release issued by the Office. | <u>PERMANENT</u> : Break file annually, hold 1 year, transfer to WNRC. Offer to NARS 5 years from date of scheduled transfer. |
| 5. | Narrative and summary statistical reports on accomplishments of the Office. | <u>PERMANENT</u> : Break file annually, hold 2 years, transfer to WNRC. Offer to NARS 20 years from date of scheduled transfer. |
| 6. | Reports on substantive program management projects, together with supporting papers documenting the creation, scope procedures and accomplishments. | <u>PERMANENT</u> : Break file annually, hold 1 year, transfer to WNRC. Offer to NARS 20 years from date of scheduled transfer. |
| 7. | Legislative files - Records relating to congressional action on the general revenue sharing program, as well as records relating to the establishment of procedures to insure compliance with the program, including copies of each legal opinion handed down by the Department with respect to intergovernmental relations. | <u>PERMANENT</u> : Break file at 2-year intervals; hold 2 years; transfer to WNRC; offer to NARS 20 years from date of transfer. |
| 8. | Litigation files which may accrue as the result of petition by any State or unit of local government for judicial review, or as a result of administrative proceedings initiated by the Director, at whatever stage concluded. | Transfer to WNRC 1 year after last date of entry. Destroy 15 years from scheduled date of transfer. |
| 9. | Precedent case files with significant interpretation of the Revenue Sharing Act. | <u>PERMANENT</u> : Break file at 2-year intervals. Hold 2 years and transfer to the WNRC. Offer to NARS 21 years from date of scheduled transfer. (Reference set may be retained as non-record material). |
| 10. | Files on proposed legislation submitted to Treasury for comment on matters of interest. | Break file at 2-year intervals, hold 1 year. Transfer to WNRC. Destroy 15 years from scheduled-date of transfer. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|--|
| 11. | Computation of Entitlement Data - Eligibility factors used in determining allocations and adjustments thereto, payable under the "State and Local Fiscal Assistance Act of 1972". | Break file annually, hold 1 year, transfer to WNRC, destroy 14 years from scheduled date of transfer. |
| 12. | Entitlement Funds - Documentation showing monies disbursed to a State or unit of local government for a particular entitlement period. | |
| | a. Cumulative statistics maintained by the Office - updated quarterly. | <i>PERMANENT:</i> After final update and upon cessation of administrative value or upon closure of the program - Offer directly to the National Archives. |
| | b. Paybook, published quarterly, summarizing disbursements for each entitlement period. | <i>PERMANENT:</i> Dispose as provided in item 3. <i>(to be spelled out by Agency)</i> |
| | c. All other data accrued in administering this phase of the program. | Dispose after completion of audit review by GAO or after three years, whichever is sooner. |
| 13. | Certificates of Assurance - Statements by the duly authorized chief executive of any State or unit of local government that funds received under the Act will not be used in violation of the intent of the law. | Break file annually, hold 1 year, transfer to WNRC, destroy 14 years from date of scheduled transfer. |
| 14. | Planned Use Reports - A report for each entitlement period by each recipient government which expects to receive funds under the Act as to the purposes for which it plans to spend the funds. Reports include assurances of nondiscrimination and other statutory requirements which must be signed by the Chief Executive Officer of each recipient government annually. | Break file end of entitlement period, hold 6 months, transfer to WNRC, destroy 14 years from date of scheduled transfer. |

| <u>Item</u> | <u>Description</u> | <u>Disposition Instructions</u> |
|-------------|--|---|
| 15. | Actual Use Reports - Reports made by recipient government on actual use of funds received for an entitlement period described in the Act. | Break file annually, hold 6 months, transfer to WNRC, destroy 14 years from date of scheduled transfer. |
| 16. | Audit Procedures and Compliance Systems - Documentation relating to the planning and execution of any inspection of a recipient government's financial accountability of revenue sharing funds received under the Act. | |
| | a. Statements of Policy and Consummated agreements with State agencies which draw upon existing capacities as part of the overall program to insure compliance with all provisions of the Act. | PERMANENT: Break file at 2-year intervals. Transfer to WNRC after 1 year. Offer to NARS 20 years from date of scheduled transfer. |
| | b. Files generated in administering the overview of this phase of the revenue sharing program: | |
| | 1. Required for GAO site audit. | Destroy after audit by GAO, or after 3 years, whichever is earlier. |
| | 2. Not required for GAO site audit. | Break file at 2-year intervals, hold 1-year, destroy on site. Review annually. |