

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-486-95-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/27/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1d was superseded by DAA-GRS-2015-0006-0001 for records 2017 and forward only.

Item 46 was superseded by DAA-0486-2016-0001-0001.

Item 47 was superseded by DAA-0486-2016-0001-0001.

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| REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i> | | LEAVE BLANK (NARA use only) | |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER NI-486-95-1 | |
| 1. FROM (Agency or establishment) Trade and Development Agency | | DATE RECEIVED 3/4/96 | |
| 2. MAJOR SUBDIVISION | | NOTIFICATION TO AGENCY | |
| 3. MINOR SUBDIVISION | | In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Deirdre E. Curley | 5. TELEPHONE 703 875-4159 | DATE 3-27-96 | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> |

6. AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 17 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

| | | |
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| DATE 3-5-96 | SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> | TITLE Assistant Director for Management |
|----------------|--|--|

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|-------------|--|-----------------------------------|----------------------------------|
| | RECORDS OF THE TRADE AND DEVELOPMENT AGENCY | | |
| | <u>DIRECTOR'S OFFICE</u> | | |
| | <u>Director's Records</u> | | |
| 1. | <u>Director's Chrons</u> (1989-current) | 1.5 cu.ft., .3 cu.ft./year | |
| | a. <u>General</u> . Consists of information from private industries, inquiries about different projects in different regions, invitations and outgoing correspondence signed by the Director. Duplicated in Out-Going Chron files. | | |
| | b. <u>Congressional</u> . Includes letters on projects, invitations, and letters of thanks to and from Congress members. | | |
| | c. <u>Regional</u> . Divided initially by regional director's countries. Consists of letters to host countries on grant agreements, projects, or information on a project; thank you letters; and other correspondence pertaining to specific regional area. | | |
| | d. <u>Budget & Finance</u> . Contains correspondence relating to budget and financial requests to OMB, drafts of budget submissions with requests of input by other | | |

APR - 2 1996 *MW* copy to: Agency, NCF
NNT, NIA

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
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officials, final budget submissions, and memos issued by TDA Director pertaining to finance matters.

- e. Fax. All faxes sent by the Director.

Permanent. Cut off at end of calendar year. Transfer to FRC after 5 years. Offer to NARA in 5-year blocks after 20 years.

2. Testimony .5 cu.ft.
Includes testimony presented before Congress, Congressional Committees, etc., regarding TDA, by TDA Director, Deputy Director, and other high-level Agency staff. Arranged chronologically.

Permanent. Cut off at end of calendar year. Transfer to FRC after 5 years. Offer to NARA in 5-year blocks after 20 years.

3. Speeches .5 cu.ft.
Speeches given, and talking points used, by the Director (and/or other high-level officials of TDA) at all speaking engagements. Arranged chronologically.

Permanent. Cut off at end of calendar year. Transfer to FRC after 5 years. Offer to NARA in 5-year blocks after 20 years.

4. TPCC
Trade Promotion Coordinating Committee information including information on TPCC events, calendars of other Government officials' travel, and dates and times of TPCC meetings involving the Director.

Destroy when 2 years old or when no longer needed, whichever is sooner.

5. Other Gov't Agencies Chron File .5 cu.ft.
Letters from other Government agencies and TDA's responses to inquiries on TDA-sponsored activities, such as projects, events, etc.

Permanent. Cut off at end of calendar year. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

Deputy Director's Records

6. Deputy Director's Chron (1988 - current) .2 cu.ft.
Letters to private companies and government agencies on TDA's projects, general information, etc. Duplicated in Out-Going Chron files.

Permanent. Cut off at end of calendar year. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.

Special Assistant to the Director's Records

7. Special Assistant's Chron (1994 - current) <.1 cu.ft
Letters to private companies and government agencies on TDA's projects, general information, etc., written by the Special Assistant at the direction of the Director of TDA. Duplicated in Out-Going Chron files.

Permanent. Cut off at end of calendar year. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.

8. Press Release Files 1 cu.ft.
Official record set of Press or news releases issued by TDA. Arranged chronologically.

Permanent. Cut off at end of calendar year. Transfer to FRC when 3 years old. Offer to NARA when 20 years old.

9. Publications
One record set of all publications generated by the Special Assistant to the Director of TDA sorted by type of publication, arranged chronologically. Includes Annual Report, TDA Brief, TDA Primer, etc. Exceptions are: Congressional Presentation found under Legislative Liaison, Budget Request under Assistant Director, and the Bi-Weekly, Early Bird, and OV Calendar under Project Information.

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.

10. Special Projects Files
File for each special project of the Special Assistant. For example: New Hampshire Conference, TDA publications (Brochure, CP, etc.), TDA Outreach Program. Files include background materials, drafts, related correspondence, and

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

mailing lists. Reports, if any, go into Special Projects Reports, Publications, or with relevant project.

Cut off at end of project. Transfer to FRC when 5 years old.
Destroy when 20 years old.

11. Special Projects Reports

Reports of special projects of the Special Assistant. Arranged chronologically by subject.

Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.

General Counsel's Records

12. Subject/Country Files

Records relating to TDP/A legislation, legal opinions, contacts with potential problems including grantees, ethics, travel and other legal matters.

a. Complete set of TDP/A legislation.

Destroy when 30 years old or when it has no further reference value.

b. Documentation of legal matters, decisions, interpretations, issue papers, and other legal matters.

Destroy when 5 years old.

Legislative Liaison's Records

13. Legislation Files

.5 cu.ft.

Documents accumulated pertaining to legislation of interest to TDA. Includes drafts of legislation; comments on legislative proposals; testimony notes, appropriation figures, and supporting documentation; testimony by TDA (and other related agencies such as AID, Ex-Im where available); reports to Congressional committees on legislation; and responses to Congressional inquiries. Arranged chronologically by legislation.

Permanent. Transfer to FRC when 20 years old. Offer to NARA in 5 year blocks when most recent record is 25 years old.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
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14. Congressional Correspondence

Includes notifications of grants, TDA response to inquiries, and other correspondence originating from TDA, including notification of grant signings. Duplicated in Director's Congressional Correspondence Files.

Cut off at the end of each Congress. Hold in office for 3 years, then retire to FRC. Destroy when 10 years old.

15. Non-Congressional Correspondence (1994 - current)

All other correspondence to or from the Legislative Office, usually pertaining to the private sector, state governments, other country governments) that is handled by the Legislative Office.

Cut off annually. Destroy when 5 years old.

16. Congressional Correspondence Index Database

Contains address, telephone numbers, committee assignments, party affiliation, staff information, etc. for each member of Congress. Also contains log of contacts made between each Congressional office and TDA. Searchable by various criteria. Also used as tickler file and historical record.

Maintain database with current information, deleting, adding, and updating as necessary.

17. Congressional Presentations

.1 cu.ft

Documents generated by TDA annually and presented to Congress. Arranged chronologically. One official record set.

Permanent. Transfer to FRC in ten year increments when the most recent is 10 years old. Offer to NARA in 10 year blocks when 20 years old.

ADMINISTRATIVE RECORDSAssistant Director for Management's Records18. Budget Submissions

Final versions, drafts, and memos pertaining to preparation of agency budgets. Repository of official agency record set of Budget Submissions. Final versions.

Cut off by submission. Destroy when 5 years old.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
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19. TDA Staff and Quarterly Meetings

Agendas for routine Agency staff meetings and quarterly meetings and notes taken as a participant. Not official Agency record.

Cut off at end of year. Destroy when 2 years old.

20. Policy and Procedures Files

1.5 cu.ft.,
1.3 cu.ft./year

Formal TDA policy and procedure issuances relating to all phases of Agency operations, including final versions and drafts of TDA Operating Manuals, Policy and Procedures Manuals, Strategic Plans, etc.

a. One record set.

Permanent. Transfer to FRC when 15 years old. Offer to NARA in 5 year blocks when 20 years old.

b. Reference sets (others).

Review annually. Destroy when obsolete.

21. Transition Briefing Books (92 - current)

.5 cu.ft.,
.1 cu.ft./3 years

Materials prepared for incoming Administrations or Directors. Some materials prepared specifically for this purpose (e.g., legislative update).

a. One record set.

Permanent. Cut files off annually. Hold in office for 3 years, then retire to FRC. Transfer to NARA in 5 year blocks when most recent records are 10 years old, e.g., in 1997 offer 1982-86 records.

b. Duplicates with other Agency senior staff.

Destroy when no longer needed.

Administrative Office Records

22. Student Intern Files

Files for interns temporarily at the Agency through Intern and Work Study programs. Includes reference material regarding

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

referring university graduate and undergraduate programs, general and individual application information, SF 50, resumes and/or SF 171, security clearance information, transcript, etc. Arranged alphabetically by intern.

Review annually and destroy reference documents when superseded or becomes obsolete. Destroy file relating to intern 3 years after separation.

23. Organizational Charts and Directories Files

Organizational charts and directories that show structural changes in the organization of TDA. Record set.

Destroy when 20 years old.

24. Incoming Cables

Copies of incoming cables received from AID cable room. Filed in reverse order by assigned number. Duplicated in project or subject files where applicable.

Cut off at the end of the calendar year. Destroy when 2 years old or sooner if no longer needed for reference.

25. Outgoing Cables

Copies of outgoing cables received from AID cable room. Filed in reverse order by cable number. Duplicated in project or subject files where applicable.

Cut off at end of calendar year. Destroy 3 years after cutoff.

26. Incoming Chron

CY1989 - 1993 copies of all pertinent incoming correspondence according to Guidelines. Since CY1994 copies of Congressional letters, grants, contracts, 607(a) requests only. Duplicated in project or subject files where applicable.

Cut off at end of calendar year. Destroy 4 years after cutoff.

27. Outgoing Chron

Copies of all outgoing correspondence, and inter-agency correspondence (such as action memos). Duplicated in project or subject files where applicable.

Cut off at the end of the calendar year. Destroy 2 years after cutoff.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

28. Incoming Faxes

Incoming faxes distributed to addressee by support and admin. staff. Recipient is responsible for further distribution if warranted.

If fax is a transaction of public business and appropriate for preservation as evidence of TDA activity, processed as incoming correspondence.

Audit Compliance Office Records

29. TDA Grantee/Contractor Audit Files (CY1990 - current)

Audits and Audit compliance information including actual audit reports, correspondence, and general information, on U.S. entities that have received program funds from TDA/TDP. Arranged alphabetically by entity.

Destroy audit reports 7 years after year report produced.

Evaluations Office Records

30. Evaluations Database

Relational database containing information on TDA projects. Contains summary information about the project, including: exports, suppliers, contacts, and micro data used to compile statistics.

Maintain database with current information, deleting, adding, and updating as necessary.

31. TDA Project Evaluations and Audits (1981 - current) 6 cu.ft.,
.5 cu.ft./year

Reports that have been prepared by outside contractors (i.e. First Washington, Ruth Ruttenberg & Associates) divided into comprehensive reports on all outstanding TDA projects (including annual evaluations of all projects), and specific audits/evaluations of particular projects (including program evaluations/audits for specific projects, i.e. Mangalore Refinery, Northwestern University, World Bank Trust Fund). Includes background information on results of successful projects. Arranged chronologically.

Permanent. Maintained in Evaluations Office. Offer to NARA in 5 years blocks when the youngest is 20 years old; i.e.: in 2006, offer 1981 through 1985.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

32. Evaluations Office Reports (1992 - current) 5 cu.ft.,
.25 cu.ft./year
Hard copy of the final reports done by Evaluations Office Staff on program evaluation, at the request of the Director of TDA or at the suggestion of the Evaluator of TDA. These reports include annual reports and reports on specific topics, such as the role of sole sourcing, cost sharing, TDA's impact on small businesses, etc.
- Permanent. Maintain in Evaluation Office. Retire to FRC when 10 years old. Offer to NARA in 5 year blocks when the most recent file is 20 years old.
33. Working Files
Background material for Evaluation Office reports and annual reports. Includes narrative and quantitative information, charts, spreadsheets, databases created for specific evaluation projects, research results, memos, etc., relating to Evaluation Office projects. In electronic or paper form.
- Cut off at end of project. File hard copy of final report in Evaluation Office Reports. Review after 5 years and delete or destroy when no longer needed.
34. TDA Project Notes (1991 - current)
Notes/memos to the Files that update information on the status of TDA projects. Arranged by subject, primarily by region and country but some are by U.S. company or by TDA successes.
- Cut off at end of fiscal year. Delete when 10 years old or when longer needed.
35. Possible/Future Project Notes (1991 - current)
Includes topics relevant to the evaluation of TDA project outcomes and information on contemplated future Evaluation Office research projects. In the form of informal memos to the subject files, quantitative information, information gathered from various sources, etc.
- Review after 5 years. Delete if information not currently relevant.
36. Success Stories 2 cu.ft.
Descriptions of TDA projects that are "successful", i.e., that have gone on to generate U.S. exports in sufficient quantities, significantly assists the host country's development, and/or

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

strengthens bilateral political relations between the U.S. and the host country to be considered worthy of being counted as successful. Arranged by geographically by state and region.

Permanent. Maintain in Evaluations Office. Offer official set to NARA in 10 year blocks when the youngest is 5 years old, i.e.: in 1996 offer 1981 - 1985.

Finance Office Records

37. Final Reports - TDA (FY81 - current) .4 cu.ft,
.05 cu.ft/year

Year-end reports generated from the Finance Database – projects report, projects by regional director, obligations, miscellaneous contractors, travel. For reference in TDA Finance Office. Arranged chronologically by fiscal year.

Cut off at end of fiscal year. Destroy when 7 years old.

38. No-Year Funds Reconciliation minimal growth

Correspondence, reports from FM, and worksheets documenting the status of no-year funds. Arranged chronologically by fiscal year. [FY 87 - current, in general notebooks.] For reference in TDA Finance Office.

Cut off at end of fiscal year. Destroy when 7 years old.

Grants Management Records

39. Master List of Program FM #'s and CIB-UNS #'s (FY1992 - current)

Master list of obligation and grant/contract numbers, by obligation number, in the order they are assigned; includes CIB-UNS letter code and sequential procurement number.

Cut off at end of fiscal year. Destroy when 4 years old or when no longer needed for reference whichever is longer.

40. Master List of TDA numbers and project titles (FY1992 - current)

Master list of project numbers and titles, by region. Lists all project numbers assigned, in the order they were assigned, with country designation and title.

Cut off at end of fiscal year. Destroy when 4 years old or when no longer needed for reference whichever is longer.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

41. Model Grants

Latest version of model language for grants and alternative sections approved by General Counsel. In electronic version on server and Grants Information hard drive.

Destroy when superseded or no longer pertinent.

42. Master Grant Agreements

.2 cu.ft.,
minimal growth

Original agreements between TDA and host country governments and federal government agencies for more than one project. Arranged by type of party, alphabetically by grantee, and date.

Permanent. Retire upon termination of agreements. Offer to NARA in 5 year blocks, 5 year after most recent termination date.

43. Tracking Sheets Notebooks

Notebooks containing original tracking sheets recording approvals and clearances of the grants. Arranged by project number.

Cut off at end of fiscal year. Destroy 2 years after cut-off.

Information Office Records

44. Section 607(a) files (62 - current)

5 cu.ft.,
1 cu.ft./year

Clearances for transactions between federal agency, friendly foreign governments, and international organization for technical services and commodities. Files include requests and approvals for determination that federal government agency can collect money from friendly governments for technical assistance. Arranged by calendar year and assigned number.

Responsibility has been transferred to State and A. I. D. Waiting to transfer files.

Project Records

45. Project Files (Section 661)

170 cu.ft.
20 cu.ft./year

Grant document files that record the expenditure of program funds. Contain accepted proposals, original decision-making

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

documents, obligating documents, interim and evaluation reports, and correspondence, and copies of invoices and final report covers. Divided into classified or non-classified, active or inactive. Within each category they are arranged alphabetically by region and country.

a. Active.

Move to Inactive Project Files four years after the end of the fiscal year of receipt of the final report and/or final disbursement of monies (whichever is later).

b. Inactive.

Transfer to FRC ten years after completion of the project. Offer to NARA, in five year blocks, when 20 years old.

c. Classified. Project files containing classified (confidential or secret) material that are maintained in high security cabinets. Disposition is according to the status (active, inactive) of the file.

When classified material is identified for a project file, mark on the cover the highest classification in the file and move the file to the classified project files.

d. Indefinitely Suspended. Files for TDA projects that have been terminated after some funds have been disbursed.

Review annually. Make inactive 5 years after most recent document date (MRD).

46. Public Library Holdings

350 cu.ft.
40 cu.ft./year

Record copies of final reports of projects funded by grants or contracts with TDA program funds.

Permanent. Retain in library for public access. When 15 years old, transfer to FRC. Offer to NARA in 5 year blocks when 20 years old.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

47. Restricted Library Holdings 50 cu.ft.
5 cu.ft./year

Documents and reports from TDA project files that are not available to the public because of the subject matter and therefore are limited to access by the TDA staff.

Permanent. Transfer to FRC at the same time as the project file. Offer to NARA, in five year blocks, when 20 years old.

48. PIMS Database

This relational database is a tracking and reference system for the PIMS files. It contains micro data about TDA's project files, including general and specific project and activity information, obligations, project documents, contractors, etc. It is information culled from the documents in the project files (Section 661 of the Foreign Assistance Act of 1961) and is used for tracking the projects as they progress and evaluating them after they have been completed. It is also an automated system for identifying projects and activities with specific characteristics.

- a. Project-related programmatic records. Permanent. Transfer to the National Archives records for all projects for which the most recent activity completed date is more than ten years old and less than eleven years old beginning in January 1996. n.b. The first transfer will contain all records greater than ten years old; subsequent transfers will contain one year of records.
- b. Project Information Management System (PIMS) Database: administrative records. Temporary.
- c. Documentation and code tables. Permanent. Transfer a copy to the National Archives with each transfer of Project-related programmatic records.

49. Proposed Projects Files

Files containing materials, proposals, early documentation about projects that have been proposed for consideration for funding by TDA and have not yet been rejected or obligated. Each country has a folder that contains all PP-related material for that country.

- a. Funded.

Change status and number in PP list, and move related material into project file.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

b. Rejected.

Create Rej-PP folder and file in Rejected Proposed Files. Destroy when no longer needed.

Project Information Records

- 50. Newsletter Publications (3/91 - current) 2 cu.ft.,
.3 cu.ft./year
Past issues of publications generated in TDA giving current information on project-related events of interest to the public: TDA Bi-Weekly and Early Bird newsletters and OV Calendar.

Permanent. Retire to FRC when 3 years old. Offer to NARA in 5 years blocks when most recent record is 10 years old.

- 51. Newsletter Publications (background materials)
Relevant entry forms, correspondence related to TDA Bi-Weekly and Early Bird newsletters and OV Calendars.

Cut off after issue is published. Destroy 3 years after cut off.

- 52. Newsletter Database
Subscription and distribution information for publications, information of companies that have been given to subscription services, and recipients of free subscriptions.

Delete records when no longer pertinent. If purpose eliminated, delete database after 1 year.

- 53. Contracting opportunities advertised in the CBD
Information pertaining to requests for proposals, including bid package, written requests for bid packages, and Commerce Business Daily (CBD) announcement.

Destroy record 4 years after CBD closing date.

- 54. CBD Database
Contains, by project, information about companies requesting CBD bid packages. Printout of list filed in PIMS project file.

Delete record 1 year after CBD closing date.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

PROGRAM RECORDS

Regional Staff Records

55. Project Tracking System Database (started 6/92)
Database used to track projects presented for funding during the review and active phases. Lists by region all projects reviewed for funding and all projects currently active. Lists tasks requiring action for those projects.
- Delete record from database when project is completed (i.e. when there are no more tasks) or when it has had no activity or been withdrawn for more than a year. Maintain database with current information, deleting, adding, and updating as necessary.
56. Prospective Project Working Files
Working files for prospective projects, prior to action memo approval. Contains letters of request, project statements of work, background data, and notes on the project.
- Evaluate each file twice annually and send a rejection letter to dead projects. Send material to prospective project files. Retain other material as long as needed, then destroy.
57. Project Working Files
Working files for all active projects (after the action memo has been approved). Contains some, but not all, the material in official project files. Also, contains some material not in official project files.
- Evaluate each file twice annually and send two-year-old material to PIMS project files for review and inclusion into official file. Retain other material as long as needed, then destroy.
58. Incoming Faxes
Incoming faxes are distributed to addressee by support and admin. staff. Recipient is responsible for further distribution if warranted.
- a. If fax is a transaction of public business and appropriate for preservation as evidence of TDA activity.
- Give to Mail Clerk for processing.

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

b. If not.

Destroy when superseded or obsolete.

Special Projects Records

59. Advisory Committee Files (9/89 - 9/93) .25 cu.ft.
Working papers and staff contact's copies of contracts to support TDP's Advisory Committee. Includes documentation of the establishment of the Committee, legislation affecting Committee, agendas & minutes of meetings, membership information, and correspondence.

Closed File. Destroy when 7 years old (January 2001).
60. Special Projects Files 3 cu.ft.
3 cu.ft./year
Studies done by Special Projects Director at the request of the Director of TDA. Includes studies affecting the Agency's function or performance.

Permanent. Transfer to FRC 3 years after completion. Offer to NARA 20 years after completion.
61. State Grant Files (FY 88 - 91) 2 cu.ft.
Working papers and background information on grants TDP/A gave to various U.S. state entities under the States Funds program.

Permanent. Closed series. Transfer to FRC 3 years after completion. Offer to NARA 20 years after completion.
62. Grants Administration
Working papers to review TDA methodology, policy, and procedures with respect to TDA's grants administration, with the goal of identifying and addressing any weaknesses within the system.

Review after 5 years and delete or destroy when no longer needed.
63. Multilateral Development Banks Trust Funds Project Files 2 cu.ft.,
minimal growth
Original documentation for distribution of trust funds to US consultants to perform specific scopes of works put forth by the banks. Bank sends to TDA the SOW and proposed consultant

| 7. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS CITATION | 10. ACTION |
|----|---|-----------------|------------|
|----|---|-----------------|------------|

for approval. Files contain request by MDB, acceptance by TDA, correspondence, and final report.

a. Final reports.

After completion of fund, give to PIMS Library restricted holdings.

b. Files.

After completion of fund, organize in prong fasteners inside folders with indexed separators and file as annexes to PIMS files. Retired with PIMS files.

64. Director for Special Projects Work Files

Information collected at the request of the Director of TDA by the staff of the Director of Special Projects. Includes studies affecting the Agency's function or performance and documentation in support of projects. For example: Financial Consultants Data.

Cut off at end of project. Review file 3 years after cut off. Determine disposition as needed.