

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-444-94-1	DATE RECEIVED 8-4-94
1. FROM (Agency or establishment) OFFICE OF TECHNOLOGY ASSESSMENT		NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Martha Dexter	5. TELEPHONE 202 228 6233	DATE 5-3-95	ARCHIVIST OF THE UNITED STATES <i>Cindy Lindamp Peterson</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 29 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.

DATE 5-11-94	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE Director
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached list of records descriptions and requested disposition authorities		

Copies sent to Agency, NSC, NCF, NIA 5/16/95

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1. OFFICE OF THE DIRECTOR

Records created in the Office of the Director provide unique and critical documentation of OTA.

1.1 CONGRESSIONAL CORRESPONDENCE

Originals of all incoming requests and official responses, including all relevant enclosures. Incoming and outgoing files arranged chronologically.

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration four years after cutoff. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

1.2 GENERAL CORRESPONDENCE

1.2a OFFICIAL LETTERS AND RESPONSES

Originals of all non-Congressional correspondence and official responses, including all relevant enclosures. Incoming and outgoing files arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

1.2b INTERNAL POLICY COMMUNICATIONS

Originals of memos to staff outlining agency policy.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

1.3 MISCELLANEOUS CORRESPONDENCE

Anonymous letters, letters of complaint, commendation, criticism and suggestion.

TEMPORARY - DESTROY when 1 year old. {GRS 14 - item 5}

1.4 CORRESPONDENCE LOG

Paper logging system for Congressional and general correspondence documenting receipt and response.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

1.5 TAB / TAAC MEMBER FILES

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by board member.

PERMANENT - Cut off upon termination of board membership. TRANSFER to the National Archives and Records Administration 3 years after termination. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.6 CONGRESSIONAL ADVISORY BOARDS (TAB/TAAC)

Meeting agenda books including all Director's personal notations.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 2 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

1.7 MEETING FILES

Notes, drafts and finished speeches of the Director including letters of invitation and formal statement if published.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.8 DIRECTOR'S CALENDAR

Official calendar documenting daily activities.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

1.9 SENIOR MANAGEMENT YEARLY RETREAT FILES

Director's copy of agenda, presentation materials, final reports and other related materials with personal notes. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to National Archives and Records Administration when 3 years old. {N1-444-94-1}

Annual accumulation is .5 cubic feet.

1.10 SISTER LEGISLATIVE SUPPORT AGENCY FILES

Files containing data, memoranda and correspondence relating programs with the Congressional Research Service, Congressional Budget Office and the General Accounting Office.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

{N1-444-94-1}

1.11 PROJECT FILES

Copies of relevant correspondence, proposals, testimony and budget materials related to current projects. Used for reference purposes only.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

1.12 FOREIGN VISITORS FILES

Correspondence and related materials pertaining to visits by foreign officials.

TEMPORARY - DESTROY when 2 years old.

{N1-444-94-1}

1.13 DECLINED INVITATIONS

Correspondence and responses pertaining to invitations declined.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is sooner.

{N1-444-94-1}

1.14 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

2. OFFICES OF THE ASSISTANT DIRECTORS

Files maintained in the Assistant Directors' Offices include correspondence, administrative, and reference materials.

2.1 GENERAL CORRESPONDENCE

Correspondence related to daily activities including information requests, relations with government and non-government organizations, and other correspondence pertaining to the activities of the assistant directors.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is later.

2.2 CONGRESSIONAL CORRESPONDENCE

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by congressional member.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed, whichever is later.

2.3 PROJECT PROPOSAL SERIES

Copies of files documenting projects from proposal to draft review copy including tracking of cost code information, correspondence with Congress, and draft memo of report with review comments and responses.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is later.

2.4 ADVISORY COMMISSION RECORDS COVERED BY THE FEDERAL ADVISORY COMMITTEE ACT

Materials related to commissions appointed by OTA. Copies of charters, membership lists, agendas, policy statements, and related materials of commission activities. Record set maintained by the commission until appraised by the National Archives.

TEMPORARY - Cut off files upon renewal of committee charter. DESTROY when 2 years old or when no longer needed.

2.5 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

3. OFFICE OF CONGRESSIONAL AND PUBLIC AFFAIRS

CPA maintains record sets of documents pertaining to OTA's relations with Congress and its Advisory Committees. The office also maintains record sets of press materials related to OTA's final reports.

3.1 PRESS INFORMATION FILES

Record set of formal OTA press releases, significant press clippings pertaining to OTA activities and projects, and publication briefs. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is 3 cubic feet.

3.2 CONGRESSIONAL ADVISORY BOARDS

Agenda, minutes, final reports, transcripts, proposals, and related records documenting the activities of OTA's Congressional advisory boards. Arranged chronologically.

3.2a. TECHNOLOGY ASSESSMENT BOARD MEETING FILES

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration 4 years after cutoff. {N1-444-94-1}

Annual accumulation is .3 cubic feet.

3.2b. TECHNOLOGY ASSESSMENT ADVISORY COUNCIL MEETING FILES

PERMANENT - Cut off files annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

3.3 PROJECT SERIES

Files documenting projects from proposal to draft review copy including tracking of cost code information, correspondence with Congress, and draft memo of report with review comments and responses.

PERMANENT - Cut off when activity regarding the project diminishes. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

3.4 TESTIMONY FILES

Official testimony given before Congress by the Director or staff of OTA.

PERMANENT

TEMPORARY - Cut off at end of a Congress. RETIRE to the Washington National Records Center 6 years after cutoff. ~~DESTROY 20 years after cutoff.~~ Transfer to the National Archives 20 years after cutoff. {N1-444-94-1}

Changes made per discussion with agency
YKW 1/31/95

3.5 TAB / TAAC MEMBER FILES

Correspondence, including information requests and comments pertaining to OTA projects and other activities. Arranged chronologically by board member.

3.5a. TECHNOLOGY ASSESSMENT BOARD MEMBER FILES

PERMANENT - Cut off at end of a Congress. TRANSFER to the National Archives and Records Administration 4 years after cutoff. {N1-444-94-1}

3.5b. TECHNOLOGY ASSESSMENT ADVISORY COUNCIL MEMBER FILES

PERMANENT - Cut off annually. TRANSFER to the National Archives and Records Administration when 5 years old. {N1-444-94-1}

3.6 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

4. BUDGET AND FINANCE OFFICE

The Library of Congress provides financial and budget support to OTA. BFO maintains an additional record set of financial documentation for auditing purposes.

4.1 TRAVEL ORDER VOUCHER FILE

Record Set of vouchers and other materials documenting the reimbursement for official travel and transportation.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months after period covered by account. {GRS 6-item 1a}

4.2 PETTY CASH FILES

Record set of receipts and related documents for all disbursement for petty cash, including funds advanced for official travel.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months later. {GRS 6 - item 1a}

4.3 PURCHASE ORDER FILE

Record set of purchase orders and vendor invoices documenting the procurement of and payment for equipment, supplies, contractor services, and telecommunications. Arranged numerically by purchase order.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY 6 years and 3 months later. {GRS 6 - item 1a}

4.4 BUDGET APPROPRIATIONS FILE

Agency budget and apportionment records including various files accumulated in the course of formulating the OTA budget for submission to the OMB and to the Congress.

4.4a. BUDGET ESTIMATES AND JUSTIFICATION FILES

Official budget request, related correspondence, justification of estimates, and related testimony.

TEMPORARY - Cut off at the end of FY. RETIRE to the Washington National Records Center when volume warrants. DESTROY when 15 years old. {N1-444-94-1}

4.4b. BUDGET BACKGROUND WORK PAPERS

Including cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates.

TEMPORARY - Cut off annually. DESTROY 1 year after the close of the FY covered by the budget. {GRS 5 - item 2}

4.5 BUDGET REPORT FILES

Periodic reports on the status of appropriation accounts and apportionment.

4.5a. BUDGET MANAGEMENT INFORMATION SYSTEM

Database supporting budget financial functions.

TEMPORARY - If record set of data is maintained in electronic format, hard copy may be disposed when no longer needed. If record set of data is maintained in hard copy, apply following disposition instructions: {GRS 23- item 3b}

4.5a1. MONTHLY REPORTS

Monthly report on the status of apportionment accounts and apportionment
TEMPORARY - DESTROY hard copy ³/₃ years after the close of the FY. {GRS 5 - item 3b}

4.5a2. ANNUAL REPORT

TEMPORARY - DESTROY hard copy when 5 years old. {GRS 5 - item 3a}

4.5a3. ALL OTHER REPORTS

TEMPORARY - DESTROY hard copy when 5 years old. {GRS 5 - item 3b}

4.5b. LC ACCOUNTING REPORT FILE

Reference copies of financial information maintained by the LC Financial Support System including trust fund and imprest fund accounts.

TEMPORARY - DESTROY when no longer needed. {GRS 23 - item 8}

4.5c. AUDIT REPORTS

Biannual financial report conducted by independent audit firm

TEMPORARY - DESTROY when 5 years old. {GRS 5 - item 3a}

4.6 1099 RECORDS FILE

Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents.

TEMPORARY - DESTROY when 4 years old.

{GRS 2 - item 13b}

4.7 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed. NON-RECORD

5. CONTRACTS OFFICE

This office maintains the record set of materials regarding the acquisition of contracts by the agency.

5.1 CONTRACTS FILE

Contract, deliverable, requisition, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and invoice. Arranged within Fiscal Year by alpha-numeric contract number.

TEMPORARY - Cut off at completion of contract. RETIRE to the Washington National Records Center 2 years after completion of contract. DESTROY 6 years and 3 months after completion of the contract. {GRS 3 - item 3(a)(1)}

5.2 CONTRACTS TRACKING FILE

Electronic database system tracking information duplicated in the Contracts File. Supports administrative or housekeeping functions.

TEMPORARY - DELETE information in the database when no longer needed. {GRS 23- item 3a}

5.3 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

6. GENERAL COUNSEL OFFICE

The office maintains files pertaining to the legal affairs of OTA and its facilities.

6.1 GENERAL SUBJECT FILE

Correspondence, reports, and other supporting materials arranged alphabetically by subject and chronologically therein. Subjects covered include facility support, personnel disclosure statements, budget and finance, personal injury incidents, patent infringements, copyright and other OTA legal matters.

TEMPORARY - RETAIN in agency and DESTROY when all federal and legal requirements have expired and records are no longer needed for administrative purposes.

{N1-444-94-1}

6.2 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

7. INFORMATION CENTER

The Information Center maintains the record set of all OTA publications. Most other materials provide support of the research projects and do not document the agency.

7.1 INFORMATION CENTER ACTIVITIES REPORT

Reports activities of the office and staff related to training, traveling, events, and workload statistics. Arranged chronologically.

TEMPORARY - DESTROY when 2 years old, or no longer needed, whichever is sooner.
{GRS 23 - item 1}

7.2 INFORMATION CENTER INTERNAL ADVISORY COMMITTEE REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory committee. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner.
{GRS 16 - item 8b}

7.3 AQUISITIONS DATABASE

Electronic database system tracking reference materials acquisition information . Supports administrative or housekeeping functions.

TEMPORARY - DELETE information in the database when no longer needed.
{GRS 23 - item 3a}

7.4 PURCHASE ORDERS

Copies of purchase orders documenting the procurement of equipment and supplies. Record set maintained in the Budget and Finance Office.

TEMPORARY - DESTROY when no longer needed. {GRS 3 - item 3c}

7.5 VIDEO SERIES

7.5a. PROGRAMS PRODUCED BY OTA DOCUMENTING OTA ORGANIZATION, PROGRAMS AND SIGNIFICANT EVENTS.

7.5a1. RECORD SET

PERMANENT- TRANSFER to the National Archives and Records Administration when volume warrants. {N1-444-94-1}

Annual accumulation is less than .1 cubic feet.

7.5a2. DUPLICATE COPIES

Maintained for reference purposes only.

TEMPORARY- DESTROY when no longer needed.

7.5b. PROGRAMS ACQUIRED FROM EXTERNAL SOURCES THAT DO NOT REFLECT THE MISSION OF OTA.

Used for reference purposes only.

TEMPORARY - DESTROY when no longer needed.

NON-RECORD

7.6 OTA PUBLICATIONS

7.6a. RECORD SET

One hard copy of each OTA publication including OTA Reports, Annual Reports, Quarterly or semi-annual reports, and appropriations committee conference reports. Cut off annually.

PERMANENT - TRANSFER annually to the National Archives and Records Administration.
{N1-444-94-1}

Annual accumulation is 2 cubic feet.

7.6b. DUPLICATE COPIES

Paper, microfiche, or electronic format copies maintained for reference.

TEMPORARY - DESTROY when no longer needed.

7.7 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

8. OFFICE OF INFORMATION MANAGEMENT AND BUILDING SERVICES

Record sets of historical documentation, such as the FOCUS newsletter, are maintained in this office. In addition, the office maintains administrative files on building and mail services.

8.1 PUBLICATION SERIES

8.1a. ANNUAL REPORTS

Copies of catalogs of ongoing assessments and publications, descriptive program brochures, and other informational brochures describing OTA programs. The record set is maintained in the Information Center.

TEMPORARY - DESTROY when superseded or obsolete. {GRS 14 - item 6}

8.1b. FOCUS NEWSLETTER

Record set of official staff newsletter documenting activities of OTA staff, programs, and administrative offices. Arranged chronologically.

PERMANENT - Cut off annually. TRANSFER to NARA in 5 year blocks when most recent record in block is 5 years old. {N1-444-94-1}

Annual accumulation is .1 cubic feet.

8.1c. ELECTRONIC MARKETING FILES

Correspondence and related materials pertaining to the electronic dissemination of OTA information through government and non-government gateways.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is later.

8.2 INTERAGENCY LIAISON FILES

Files containing data, memoranda and correspondence relating programs with the Congressional Research Service, Congressional Budget Office and the General Accounting Office.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed. {N1-444-94-1}

8.3 PUBLICATIONS DISTRIBUTION REPORTS

Records relating to the inventory and distribution of OTA publications.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner.

8.4 INTERNAL CORRESPONDENCE

Documents such as letters, messages, and memoranda relating to office activities.

TEMPORARY - DESTROY when 2 years old or when no longer needed,
whichever is sooner. {GRS 23 - item 1}

8.5 GENERAL CORRESPONDENCE

Correspondence related to daily activities including information requests, relations with publishers, permission to quote, and other correspondence pertaining to the marketing of publications.

TEMPORARY - Cut off annually. DESTROY when 2 years old or when no longer needed,
whichever is later.

8.6 ADMINISTRATIVE DATABASE

Databases that support administrative or housekeeping functions.

TEMPORARY - DELETE data when no longer needed. {GRS 23 - item 3c}

8.7 SEMINAR SERIES (closed series)

Announcements, memoranda, and related materials covering internal staff seminars.

TEMPORARY - DESTROY when no longer needed.

8.8 RECORDS MANAGEMENT SERIES

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including the use of records management surveys, vital records programs and all other aspects of records management.

TEMPORARY - DESTROY when 6 years old. Earlier disposal is authorized if records are superseded, obsolete or no longer needed. {GRS 16 - item 7}

8.9 BUILDING SERVICES

8.9a. GENERAL CORRESPONDENCE

Correspondence and other materials related to building and space maintenance, access and use.

TEMPORARY - DESTROY when 2 years old. {GRS 11 - item 1}

8.9b. PARKING STICKERS

Files documenting the issuance of parking permits and public transportation or fare cards for staff.

TEMPORARY - DESTROY when 1 year old. {GRS 11 - item 4a}
{GRS 9 - item 4}

8.10 BUILDING SECURITY FILES

Correspondence and other materials related to building security, including files pertaining to the Capitol Police and maintenance of security equipment.

TEMPORARY - DESTROY when 2 years old.

{GRS 18 - item 8}

8.11 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

9. PERSONNEL

The Personnel office maintains record sets of Agency OPF's, Time and Attendance, Performance Evaluations and other critical personnel files

9.1 OFFICIAL PERSONNEL FOLDERS

Documents pertaining to official personnel business, including salary history, benefit enrollment forms, personnel actions, commendation letters, address forms, and other supporting documentation on individual employees.

9.1a. TRANSFERRED EMPLOYEES - See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.

9.1b. SEPARATED EMPLOYEES - TRANSFER folder to National Personnel Records Center, St. Louis, MO 30 days after separation. NPRC will destroy 65 years after separation from Federal Service. {GRS 1- item 1}

9.2 TIME AND ATTENDANCE

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flexi time records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records are kept in both electronic and paper medium.

TEMPORARY - Cut off at the end of leave year. RETAIN on site 6 months, then RETIRE to the Washington National Records Center. Destroy when 6 years old. {GRS 2 - item 7}

9.3 EMPLOYEE PERFORMANCE EVALUATIONS

Performance appraisals and annual assessment forms including supporting documents such as job elements and standards upon which the appraisals are based, progress review sheets and related records.

9.3a. NON-SES EMPLOYEES

9.3a1. APPRAISALS AND SUPPORTING DOCUMENTS

TEMPORARY - Cut off at end of FY. DESTROY when 3 years old. Retain appraisals affected by adverse action or litigation until the matter is resolved. {GRS 1- item 23a(3,4)}

9.3a2. APPRAISALS OF UNACCEPTABLE PERFORMANCE

TEMPORARY - DESTROY after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. ~~{GRS 23 - item 1}~~
{GRS 1 - item 23a(1)}

9.3b. SES EMPLOYEES

TEMPORARY - Cut off at end of FY; DESTROY when 5 years old. {GRS1- item 23b (3,4)}

9.4 PAYROLL SYSTEM REPORTS

9.4a. ERROR REPORTS, TICKLERS, SYSTEM OPERATION REPORTS

DESTROY when related actions are completed or when no longer needed,
not to exceed 2 years. {GRS 2 - item 22a}

9.4b. REPORTS AND DATA USED FOR AGENCY WORKLOAD AND/OR
PERSONNEL MANAGEMENT PURPOSES

DESTROY when 2 years old. {GRS 2 - item 22b}

9.4c. REPORTS PROVIDING FISCAL INFORMATION ON AGENCY PAYROLL

DESTROY after GAO audit or when 3 years old, whichever is sooner. {GRS 2 - item 22c}

9.5 PERSONNEL RECORDS INVENTORY SYSTEM

Electronic tracking system for employee personnel records including position title, level,
degree, and salary excluding all payroll records.

TEMPORARY - DELETE information in database when no longer needed. {GRS 23 - item 3}

9.6 ANNUAL PERSONNEL ANALYSIS REPORT

Demographic analysis of personnel documenting OTA position structure levels,
as well as detailed profiles of personnel salary distribution, education, and
experience.

PERMANENT - TRANSFER to National Archives and Records Administration when most
recent report is 5 years old. {N1-444-94-1}

Annual accumulation is .2 cubic feet.

9.7 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized
software, general statistical data, extra copies of OTA published and unpublished
products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

10. PUBLISHING OFFICE

The Publishing office maintains files to support its activities. The records are administrative rather than historical.

10.1 VENDOR CORRESPONDENCE

Records relating to the expenditure of funds, supplies, office services and equipment requests and receipts.

TEMPORARY - DESTROY ^{when 2 years old.} ~~when 2 years old or when no longer needed, whichever is sooner.~~ ~~{GRS 23 - item 1}~~
GRS 3, item 2

10.2 BUDGET OUTLINES

Records relating to the office's budget justification for the forthcoming year.

TEMPORARY - DESTROY ^{1 year after the close of the fiscal year} ~~when 2 years old, or when no longer needed, whichever is sooner.~~ ~~{GRS 23 - item 1}~~
^{covered by the budget,} GRS 5, item 2

10.3 OFFICE ANNUAL REPORTS

Reports pertaining to internal activities and workload reports, including work progress, statistical, and narrative reports.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

10.4 PUBLISHING ADVISORY COMMITTEE REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory board. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner. {GRS 16 - item 8b}

10.5 STAFF FILE

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

TEMPORARY - Review annually and DESTROY superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. {GRS 1 - item 18a}

10.6 REQUISITION ORDER FILE

Copies of printing requisitions including delivery and request order and number of copies requested.

TEMPORARY - DESTROY 3 years after completion or cancellation of requisition. {GRS 3 - ~~item 3e~~
item 6}

10.7 PUBLICATIONS FILE

Copies of OTA publications which are used for reference, documentation and duplication purposes.

10.7a. CAMERA COPIES

Camera ready copy of the publication used for reprint issuance of the publication.

TEMPORARY - DESTROY when no longer needed for publication or reprinting
{GRS 21 - item 7}

10.7b. ELECTRONIC COPIES

Copy kept on hard file or disk.

TEMPORARY - DELETE when no longer needed for current business.

10.7c. PAPER COPY

Paper copy kept for reference purposes.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

10.8 COST INFORMATION FILES

Cost records for publications including cost code, printing costs and distribution information.

TEMPORARY - DESTROY when 2 years old. {GRS 13 - item 6}

10.9 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.
NON-RECORD

11. OFFICE OF TELECOMMUNICATIONS AND INFORMATION SYSTEMS

The TIS office maintains files to support its activities. The records are administrative rather than historical.

11.1 TECHNICAL SERVICES INFORMATION SYSTEM

Database supporting functions of the office of Technical Services.

TEMPORARY - If record set of data is maintained in electronic format, hard copy may be disposed when no longer needed. If record set of data is maintained in hard copy, apply the following disposition instructions:

11.1a. INTERNAL CORRESPONDENCE

Documents such as letters, messages, and memoranda relating to office activities.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 23 - item 1}

11.1b. VENDOR CORRESPONDENCE

Records related to the expenditure of funds, supplies, and office services, and equipment requests and receipts.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

11.1c. MONTHLY REPORTS TO PROGRAMS

Reports pertaining to internal activities and workload reports, including work progress, statistical, and narrative reports.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

11.1d. WORK ORDERS

Requests for equipment maintenance of services.

TEMPORARY - DESTROY 3 months after work is performed or requisition is cancelled. {GRS 11 - item 5}

11.1e. BUDGET OUTLINES

Records relating to the office's budget justification for the forthcoming year, including ADP plans and financial projections.

TEMPORARY - DESTROY when 2 years old, or when no longer needed, whichever is sooner. {GRS 23 - item 1}

11.2 PURCHASE ORDER FILE

Copies of acquisition purchase orders and related correspondence maintained for administrative and reference use.

TEMPORARY - DESTROY when no obsolete, superseded, or no longer needed.

{GRS 3 - item 3(c)}

11.3 STAFF FILE

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OFF.

TEMPORARY - Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

{GRS 1 - item 18a}

11.4 REFERENCE MATERIALS

Directories , guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

12. PROGRAM OFFICES

This section of the Comprehensive Record Schedule describes the records in the Program Offices of OTA. These file series relate to the general administration and documentation of the projects and reports of the Programs.

12.1 GENERAL ADMINISTRATIVE FILES

Records of individual offices related to the internal administration or housekeeping activities of the office. The records relate to office organization, staffing, procedures and communications; budget records and funds disbursement; training and travel; supplies and office services; equipment requests and receipts; workload reports and other materials that do not serve as unique documentation of the programs of the office.

TEMPORARY - Cut off files annually. DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 23 -item 1}

12.2 PROGRAM PERSONNEL FILE

Correspondence, forms, and other records relating to positions, authorizations, pending actions; position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder. Personnel office maintains the individual OPF's.

TEMPORARY - Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer. {GRS 1 - item 18a}

12.3 GENERAL CORRESPONDENCE FILE

Correspondence and related records pertaining to internal administration and operation. Files may include letters, requests, memos and similar documents.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner. {GRS 12 - item 2a}

12.4 PROJECT FILES

Project files incorporate many or all of the following types of record and non-record items associated with program projects, including copies of the project proposal, Congressional correspondence, testimony, budget, outsourcing contracts, contract deliverables, report drafts, transcripts of workshops and advisory panel meetings, reviewer comments, completion memos prepared for review by the TAB, published final reports, and subsequent comments from the public.

TEMPORARY - Cut off file when activity pertaining to the project diminishes. Remove multiple copies of the contractor deliverables and published final report, etc. RETIRE to the Washington National Records Center at end of project. DESTROY 8 years after publication of project final report. {N1-444-94-1}

12.5 ANALYST PROJECT WORK PAPERS

Correspondence, memoranda, notes from meetings and telephone conversations, working report drafts, report drafts containing review comments, copies of supporting reference and other resource materials, including electronic data in spreadsheet, database or flat file format, and hard copy printouts.

TEMPORARY - Cut off file upon publication of final report and activity pertaining to the project diminishes. Series includes working drafts documenting significant steps in the development of the project, including components (chapters) excluded from the final report, drafts containing significant review comments not documented elsewhere in the project work papers or Program Project File, and copies of supporting research data not readily available from general sources. RETIRE to the Washington National Records Center at end of project. DESTROY 8 years after publication of project final report. {N1-444-94-1}

12.6 PROGRAM PUBLICATIONS

Studies, background papers, contractor deliverables and other research products released as official OTA publications

12.6a. RECORD SET

PERMANENT - Cut off at the end of the FY. TRANSFER to the Information Center
1 copy of each publication. {N1-444-94-1}

12.6b. DUPLICATE COPIES

TEMPORARY - DESTROY when no longer needed.

12.7 CONTRACTOR / CONSULTANT FILE

Copies of contracts, purchase orders, correspondence and records on individual contractors related to the procurement of outside production of studies or models.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.
{GRS 3 - item 3c}

12.8 CONTROLLED CORRESPONDENCE

Copies of controlled correspondence from Members of Congress. Files may include: internal memoranda, information requests or inquiries related to OTA reports.

TEMPORARY - DESTROY when superseded, obsolete or when no longer needed.

12.9 REFERENCE MATERIALS

Directories, guides, instructional materials, journals, periodicals, non customized software, general statistical data, extra copies of OTA published and unpublished products.

TEMPORARY - DESTROY when obsolete, superseded, or no longer needed.

NON-RECORD

12.10 TRAVEL ORDER VOUCHER FILE

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel of officers, employees, dependents, or others authorized by law to travel. Record set is maintained in BFO.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner.

12.11 TIME AND ATTENDANCE

Copies of time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; flexi time records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Record set is maintained in Personnel.

TEMPORARY - DESTROY when 2 years old or when no longer needed, whichever is sooner.

12.12 INTERNAL ADVISORY PANEL REPORTS

Agenda, minutes, final reports, and related records documenting the accomplishments of the internal advisory panels. Excludes TAB or TAAC records.

TEMPORARY - DESTROY when 3 years old or when no longer needed for reference, whichever is sooner. {GRS 16 - item 8b}

12.13 CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken to protect classified information from unauthorized disclosure in accordance with Executive Orders and statutory or regulatory requirements. Files include correspondence pertaining to the administration of security classification; control and accounting for classified documents; files documenting the receipt and issuance; tracking and inventorying; and certificates relating to the destruction of classified documents.

12.13a. SECRET AND BELOW

TEMPORARY - Cut off annually. DESTROY when 2 years old. {GRS 18 - item 1-5}

12.13b. TOP SECRET

TEMPORARY - Cut off annually. DESTROY when 5 years old. {GRS 18 - item 1-5}

12.14 PERSONNEL SECURITY CLEARANCE STATUS FILES

Lists or rosters showing the current security clearance status of individuals.

TEMPORARY - DESTROY when superseded or obsolete. {GRS 18 - item 23}