

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-378-79-02**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/13/2023

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 except those listed below are presumed 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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

NC1-378-79-02 / 5 is superseded by DAA-0378-2014-0005-0004.

NC1-378-79-02 / 7 is superseded by DAA-0378-2014-0005-0001.

NC1-378-79-02 / 64 is superseded by DAA-0378-2014-0007-0001.

NC1-378-79-02 / 65 is superseded by DAA-0378-2014-0007-0002.

NC1-378-79-02 / 165 is superseded by DAA-0378-2014-0001-0005.

NC1-378-79-02 / 169 is superseded by N1-378-99-001 / 1.

NC1-378-79-02 / 175/a and /b are superseded by N1-378-97-001 / 1.

NC1-378-79-02 / 176/a and /b are superseded by N1-378-97-001 / 2.

NC1-378-79-02 / 180 is superseded by DAA-0378-2014-0005-0001.

NC1-378-79-02 / 184 is superseded by DAA-0378-2014-0004-0003, -0007, and -0005

NC1-378-79-02 / 185 is superseded by DAA-0378-2014-0004-0001

NC1-378-79-02 / 186 is superseded by DAA-0378-2014-0004-0002

NC1-378-79-02 / 187 is superseded by DAA-0378-2014-0004-0008.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

NC1-378-79-02 / 195 is superseded by DAA-0378-2014-0004-0010.

NC1-378-79-02 / 202 is superseded by DAA-0378-2014-0005-0005.

NC1-378-79-02 / 250 is superseded by N1-378-97-001 / 3.

NC1-378-79-02 / 269 is superseded by N1-378-97-001 /4.

NC1-378-79-02 / 285 is superseded by NC1-151-85-02 / 1,

NC1-378-79-02 / 300 is superseded by N1-378-97-001 /5.

NC1-378-79-02 / 301/a and /b is superseded by N1-378-97-001 /6.

NC1-378-79-02 / 371 is superseded by NC1-378-82-01 /1.

NC1-378-79-02 / 398/a and /b are superseded by NC1-151-85-02/2.

NC1-378-79-02 / 453 is superseded by DAA-0378-2014-0013-0003.

NC1-378-79-02 / 453 is superseded by N1-378-90-001/a.

NC1-378-79-02 / 460 is superseded by DAA-0378-2014-0013-0002.

NC1-378-79-02 / 466 is superseded by N1-378-96-001/1a and /1b.

NC1-378-79-02 / 472 is superseded by DAA-0378-2014-0007-0003.

NC1-378-79-02 / 478 is superseded by DAA-0378-2014-0007-0002.

NC1-378-79-02 / 482 is superseded by DAA-0378-2014-0013-0010.

NC1-378-79-02 / 484 is superseded by DAA-0378-2014-0013-001 1.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Commerce

2. MAJOR SUBDIVISION

Economic Development Administration

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Ivy V. Parr

5. TEL. EXT.

377-3630

LEAVE BLANK

JOB NO.

NC1-378-79-2

DATE RECEIVED

4 December 1978

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

12-20-79 *James S. O'Neil*  
Date *acting* Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 166 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

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

C. DATE

11-15-78

D. SIGNATURE OF AGENCY REPRESENTATIVE

*Ivy V. Parr*

E. TITLE

Departmental Records Mgmt. Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9. SAMPLE OR  
JOB NO.

10. ACTION TAKEN

## ECONOMIC DEVELOPMENT ADMINISTRATION (EDA)

Mission. The Assistant Secretary for Economic Development heads the Economic Development Administration, the primary mission of which is to help create jobs and increase incomes in economically lagging areas. These can consist of states, multicounty districts, and local communities. The Administration provides financial, planning, and technical assistance to encourage long-range industrial growth in these areas. It also studies the causes and effects of persistent and substantial unemployment and is authorized to make grants for the creation of jobs through construction of public facilities.

The Assistant Secretary advises the Secretary on economic development activities of states, multicounty districts and local communities. He also represents the Department and the Federal Government in developing and coordinating programs to support industrial and commercial growth in economically lagging areas.

Commerce concurs in all changes made herein.

115 107

Ms. Ivy V. Parr/Dept of Commerce,  
R. C. Tagge/NARS-NCD, Dec. 1979.

Copy to Agency 12/21/79.

*Closed*  
4-2-80 JE

STANDARD FORM 115  
Revised April, 1975  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4

616 item

EDA PERMANENT RECORDS

Assistant Secretary for Economic Development (AS)

<u>Item</u>	<u>File Title</u>	<u>Volume (cu. ft.)</u>	<u>Yearly Accretion (cu. ft.)</u>
1	AS Program Subject File (alphabetic by subject)	11	4
2	AS Chronological File (by date)	1	1

Executive Secretariat (Ex. Sec.)

3	Committees-Boards File (alphabetic by name)	1-1/2	1
4	Ex. Sec. Program Opera- (alphabetic tions File by subject)	12	6
10	Alphabetic Mail Control (alphabetic Cards by name)	6	2

Deputy Assistant Secretary for Economic Development (DAS)

19	DAS Program Subject File (alphabetic by subject)	7	<del>1</del> /
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Management Analysis Division

152	Program Manuals and Directives File	8	1/2
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Program Analysis Division

165	Evaluation Studies Report (alphabetic File by report)	1	1/2
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Office of the Chief Counsel

169	Chief Counsel Program Sub- (alphabetic ject File by subject)	1	1/2
172a	Field Operations Legal (numerically by Opinions title of Act)	1	1/2

Office of the Chief Counsel (cont'd)

<u>Item</u>	<u>File Title</u>	<u>Volume (cu. ft.)</u>	<u>Yearly Accretion (cu. ft.)</u>
180a	Legislative Opinions (by Congress & bill no.)	<del>1</del> 2	1/4
179	Legislative History of (by year) EDA Act	2	1/2

Office of Public Affairs

187a	EDA In-House Newspaper Record Copy (by date)	2	1/2
192	EDA Publications Record (by Title) Copy	40	4
193	Qualified Area Maps (by state)	2	1/2
194	District Maps (by district)	2	1/2

Office of Deputy Assistant Secretary for Policy and Planning

217	File of the DAS (alphabetic by subject)	9	1
218	EDA Policy Council (arranged by date)	4	2
222	Intergovernment Affairs (alphabetic by subject)	9	1
224	Southern Oklahoma Develop- (alphabetic ment Association (SODA) by subject)	6	-
225b	Model Cities File (arranged by city)	3	-

Office of Policy Development and Coordination

228	Policy Development & Coordination Subject File (alphabetic by subject)	4	2
233	Study Report & Recommendations Record Copy (alphabetic by title)	1	1

Office of Development Organizations

<u>Item</u>	<u>File Title</u>	<u>Volume (cu. ft.)</u>	<u>Yearly Accretion (cu. ft.)</u>
236	Special Reports File (arranged by title)	2	1/2
241	Designations File (arranged by district)	2	1/2
248	Public Service Careers (alphabetic Subject File by subject)	4	-
256	Economic Development District (arranged Survey Report by year)	1	1/2
257	Professional Grant Project (arranged Results by title)	1	1
263	OEDP Program Plans (arranged by district)	<del>2</del> 12	<del>1</del> 2

Office of Planning and Program Support

264	Director's Program Subject (alphabetic File by subject)	7	1
280	OEDP Program File (arranged by district)	<del>2</del> 2	1/2
281	Annual Update of OEDP (arranged by File district)	<del>2</del> 2	1/2

Office of Economic Research

295	Research Program Subject (alphabetic File by subject)	4	1
305a	Discussion Papers Record (arranged Set by title)	1	1/2
306	Grant and Contract Final (arranged Reports numerically)	16	2

Office of Deputy Assistant Secretary  
for Economic Development Operations

<u>Item</u>	<u>File Title</u>	<u>Volume (cu. ft.)</u>	<u>Yearly Accretion (cu. ft.)</u>
308	Economic Development Sub- (alphabetic ject File by subject)	6	1
	<u>Office of Public Works</u>		
	<u>Office of the Director</u>		
320	Policy Subject File (alphabetic by subject)	5	1
325a	Record Set, Project (arranged Summaries numerically)	2-1/2	1/2
	<u>Program Administration Division</u>		
	NONE		
	<u>Policy and Program Development Division</u>		
331	Profile, Public Works, EDA (arranged numerically)	2	1/2
	<u>Project Management Division</u>		
362	Approved Special Area (arranged Project Cases numerically)	3	1/2
	<u>Local Public Works Program</u>		
368	LPW Subject File (alphabetic by subject)	6-1/2	1
372	Intergovernment Relations (arranged File by state)	14	2-1/2
	<u>Office of Business Development</u>		
376	Director's Business Develop- (alphabetic ment Policy File by subject)	3	1/2

Office of Technical Assistance

<u>Item</u>	<u>File Title</u>	<u>Volume (cu. ft.)</u>	<u>Yearly Accretion (cu. ft.)</u>
396	Director's Subject (alphabetic File by subject)	3	1/2
405	Feasibility Studies and (arranged Reports by title)	35	2
<u>Title IX Program</u>			
311	Title IX Subject File (alphabetic by subject)	4	1



Guide to Disposition Authorities  
1972 and 1978 EDA Records Control Schedules

1978 Schedule	NC	1972 Schedule	NN 173-27
<u>Item No.</u>	<u>Title</u>	<u>Item No.</u>	<u>Title</u>
<u>ASSISTANT SECRETARY, EDA</u>		<u>ASSISTANT SECRETARY, EDA</u>	
1.	Assistant Secretary Program Subject File	1.	EDA Subject File
2.	Chron File, Asst. Secretary		-----
<u>Executive Secretariat</u>		<u>Executive Secretariat</u>	
3.	Committee & Board File	132.	Committees & Boards
4.	Secretariat Program Operations File	133.	Subject File
		137.	EDA Staff Correspondence
		138.	Commerce Staff Corresp.
5.	General Correspondence File	134.	General Correspondence
6.	Other Government Agencies File	135.	Other Government Agencies File
7.	Congressional Correspondence File	136.	Congressional Correspondence File
8.	Project Correspondence	139.	Project Correspondence
9.	Employment Correspondence	140.	Job Applicants File
10.	Alphabetic Mail Control Card File	142.	Alphabetic Control Card File
11.	Numerical Mail Control Card File	141.	Numerical Control Card File
<u>Office of Special Projects</u>			
12.	Special Project Subject File		-----
13.	Administrative Subject File		-----
14.	Chronological File		-----

<u>Item No.</u>	<u>Title</u>
15.	Projects Files
16.	Withdrawn or Denied Projects
17.	Policy Council File
18.	Technical Work Paper Files
<u>Office of DEPUTY ASSISTANT SECRETARY (DAS)</u>	
19.	DAS Program File
20.	Administrative Subject File
21.	Chronological File
<u>Special Assistant to DAS</u>	
22.	Special Assistant Program File
23.	Chronological File
24.	Administrative Subject File
<u>Special Assistant for the Environment</u>	
25.	Environment Subject File
26.	Case Files on Environment Compliance
27.	Administrative Subject File
28.	Chronological File
<u>Special Assistant for Field Operations</u>	
29.	Special Assistant Field Program File
30.	Administrative Subject File
31.	Reading File

<u>Item No.</u>	<u>Title</u>
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<u>Office of DEPUTY ASSISTANT SECRETARY (DAS)</u>	
4.	EDA Policy Subject File
6.	General Subject File
5.	Administrative Subject file
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<u>Special Assistant for Field Operations</u>	
7.	Field Program Operations File
8.	Administrative Subject File
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Item No.TitleIndian Program Staff

32. Indian Reservations File
33. State File
34. Indian Program Operations  
Files
35. Economic Development Plan-  
ning Grant File
36. Public Works Project  
Summaries File
37. Administrative Subject File
38. Chronological File

Investigations and Inspection Staff

39. Applications Investigations  
Index
40. Current Employees Inspec-  
tion Cases
41. Project Inspection and Com-  
pliance Cases
42. Investigations Program  
Subject File
43. Field Activity Reports
44. Administrative Subject File
45. Chronological File

OFFICE OF ADMINISTRATION AND PRO-  
GRAM ANALYSISOffice of the Director

46. Administrative Management  
Subject File

Item No.TitleSpecial Assistant for Indian  
Affairs

9. Indian Reservations File
10. State File
11. Program Promotion Support  
Papers
- 
12. Project Summaries File
13. Administrative Subject File
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Investigations and Inspection Staff

14. Applications Investiga-  
tions Index
15. Current Employees Inspec-  
tion Cases
16. Project Inspection and  
Compliance Cases
17. Correspondence Subject  
File
18. Field Activity Reports
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OFFICE OF ADMINISTRATION AND  
PROGRAM ANALYSISOffice of the Director

19. Administrative Management  
Subject File

<u>Item No.</u>	<u>Title</u>
<u>Accounting Division</u>	
<u>Office of the Chief</u>	
47.	Accounting Program Subject File
48.	Administrative Subject File
<u>Program Accounting Branch</u>	
49.	Journal Vouchers
50.	Status of Program Funds Reports
51.	Reports of Delinquent ARA-EDA Loans
52.	Vouchers and Schedules of Payments
53.	Non-Expenditure Transfer Authorizations
54.	Certificates of Deposit
55.	Notes
56.	Public Works Grants Project Disbursements File
57.	EDA and OMBE Project Accounting Records
58.	Planning Grants
59.	Economic Research Grants and Contracts
60.	Technical Assistance Grants and Contracts
61.	Drought Relief Project Grants
62.	Title X, Title IX, Section 304 Funds, and Other Special Project Grants
63.	OMBE Grants and Contracts

<u>Item No.</u>	<u>Title</u>
<u>Accounting Division</u>	
<u>Office of the Chief</u>	
32.	Subject File
33.	Administrative Subject File
<u>Program Accounting Branch</u>	
34.	Journal Vouchers
35.	Status of Program Funds Reports
36.	Reports of Delinquent ARA-EDA Loans
37.	Vouchers and Schedules of Payments
38.	Non-Expenditure Transfer Authorizations
39.	Certificates of Deposit
40.	Notes
41.	Public Works Grants Project Disbursement File
42.	EDA Project Accounting Records
44.	Planning Grants
45.	Economic Research Grants and Contracts
46.	Technical Assistance Grants and Contracts
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<u>Item No.</u>	<u>Title</u>
64.	Public Works Loans
65.	Business Loans Financed or Guaranteed by EDA
66.	Loan Collection File
67.	Business Loan Projects in Liquidation or Collat- eral Protection

Program Accounting Printouts

68.	Public Works and Business Loan Project Accounts Printouts
69.	Accounting Transaction Lists (AC 01)
70.	Weekly Error List (AC 02)
71.	Weekly Summary Status of Program Funds by Appro- priation and Activity (AC 08A and AC 08A2)
72.	Monthly Status of Funds by Appropriation by Area Office (AC 08B)
73.	Monthly Status of Funds by Location (AC 07)
74.	Quarterly Not Fully Obli- gated Reservations (AC 10A and 10B)
75.	Quarterly Obligations Not Fully Disbursed (AC 12A- 12B)
76.	Weekly Sub-Number List (AC 17)
77.	Annual Fund Control Sum- mary (AC 20A)

<u>Item No.</u>	<u>Title</u>
48.	Public Works Loans
47.	Business Loans Guarant- eed by EDA Working Capital Fund
50.	Business Loans Financed by EDA
49.	Loan Collection File
52.	Business Loans Projects in Liquidation or Collateral Protection
51.	Public Works and Business Loan Project Accounts
53.	Accounting Transaction Lists (AC 01)
54.	Weekly Error List (AC 02)
55.	Weekly Summary Status of Program Funds by Appro- priation and Activity (AC 08A and AC 08A2)
56.	Monthly Status of Funds by Appropriation by Area Office (AC 08B)
57.	Monthly Status of Funds by Location (Ac 07)
58.	Quarterly Not Fully Obli- gated Reservations (AC 10A and 10B)
59.	Quarterly Obligations Not Fully Disbursed (AC 12A-12B)
60.	Weekly Sub-Number List (AC 17)
61.	Annual Func Control Sum- mary (AC 20A)

<u>Item No.</u>	<u>Title</u>
78.	Quarterly Accounting Reconciliation (AC 21)
79.	Weekly Status of Program Funds (AC 25)
80.	Monthly Checks Issued Not Received (AC 14A-14B)
81.	Cross Reference Project List (AC 26)
82.	Monthly State Grant Limitations (AC 30)
83.	Monthly Net Disbursements, Beginning to End of Current Fiscal Year (A 32)
84.	Monthly General Ledger Trial Balance Appropriated Funds (AC 50)
85.	Monthly General Ledger Trial Balance Appropriated Funds (AC 50A)
86.	Monthly General Ledger Trial Balance Appropriated Funds (AC 52A-52B)
87.	Weekly Loan Master Update Listing With Diagnostic Errors (LN 1)
88.	Monthly Listing on Misc. Transactions and Errors (LN 2)
89.	Weekly General Ledger Trial Balance (LN 10)
90.	Monthly Analysis of General Ledger Balance Changes (LN 11)
91.	Weekly and Monthly Detail Trial Balances (LN 14)
92.	Weekly Listing of Projects/ Sub Numbers (LN 17-17A)

<u>Item No.</u>	<u>Title</u>
62.	Quarterly Accounting Reconciliation (AC 21)
63.	Weekly Status of Program Funds (AC 25)
64.	Monthly Checks Issued Not Received (AC 14A-14B)
65.	Cross Reference Project List (AC 26)
66.	Monthly State Grant Limitations (AC 30)
67.	Monthly Net Disbursements (AC 32)
68.	Monthly General Ledger Trial Balance Appropriated Funds (AC 50)
69.	Monthly General Ledger Trial Balance Appropriated Funds (AC 50A)
70.	Monthly General Ledger Trial Balance Appropriated Funds (AC 52A-52B)
71.	Weekly Loan Master Update Listing With Diagnostic Errors (LN 1)
72.	Monthly Listing on Misc. Transactions and Errors (LN 2)
73.	Weekly General Ledger Trial Balance (LN 10)
74.	Monthly Analysis of Ledger Balance Changes (LN 11)
75.	Weekly and Monthly Detail Trial Balances (LN 14)
76.	Weekly Listing of Projects/ Sub Numbers (LN 17-17A)

<u>Item No.</u>	<u>Title</u>
93.	General Ledger Master Error Listing (LN 20)
94.	Project Audit, Out of Balance Transactions and Project Audit Summary (LN 18)
95.	Project Audit, Out of Bal- ance Transactions (LN 12)
96.	Special Routine Program Accounting Prinouts or Tabulations

Administrative Branch

97.	Undelivered, Payable, and Paid Orders
98.	Blanket Purchase Orders and Contracts
99.	GSA Voucher Statements
100.	Blanket Travel Authoriza- tion
101.	Cost Copies of T/A Reports
102.	Travel Vouchers
103.	Transportation Requests
104.	Completed Application and Account for Advance of Funds
105.	Public Voucher for Trans- portation of Passengers and Things
106.	Consolidated Billings
107.	Undisbursed Appropriation and Receipt Account Trial Balance
108.	Coding Documents

<u>Item No.</u>	<u>Title</u>
77.	General Ledger Master Error Listing (LN 20)
78.	Project Audit, Out of Balance Transactions and Project Audit Summary (LN 18)
79.	Project Audit, Out of Bal- ance Transaction (LN 12)

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Administrative and External  
Reports Section

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<u>Item No.</u>	<u>Title</u>
<u>Adminis. Accounting Printouts</u>	
109.	Batch Proof Listings
110.	Undelivered Orders - Monthly Detail Batch Listings
111.	Accruals - Monthly Detail Batch Listings
112.	Disbursements - Monthly Detail Batch Listing
113.	Preliminary Cost Statements
114.	Formal Cost Statements
115.	Personal Services Listings
116.	Annual Leave Liability Report
117.	Accounting Listings
118.	Other Accounting Listing
119.	General Ledger Listings

#### Reports

120.	Budget and Financial Reports
121.	EDA Financial Reports
122.	Annual Community Services Report (AC 27)
123.	Monthly Accrued Expendi- tures (Planning and Research) Report (AC 28)
124.	Monthly Accrued Expendi- tures (Public Works) Report (AC 33)

<u>Item No.</u>	<u>Title</u>
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94.	Accruals - Detail Batch Listing
95.	Monthly Accruals - Detail Batch Listing
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91.	Preliminary Cost Statements
92.	Monthly Cost Statements
99.	Personal Services Proof Listing
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98.	Other Machine Listings
97.	Bridge Report
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80.	Budget and Financial Reports
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87.	Quarterly OEO Report (AC 27)
88.	Monthly Accrued Expendi- tures (Planning and Research) (AC 28)
89.	Monthly Accrued Expendi- tures - Public Works (AC 33)



<u>Item No.</u>	<u>Title</u>
125.	Annual Federal Grants-in-Aid to States (AC 40)
<u>Budget Division</u>	
126.	Budget Estimates and Budget Operations
127.	Operating and Administrative Budget
128.	Budget Source and Control File
129.	Administrative Subject File
<u>Information Systems and Services Division</u>	
130.	Director's Administrative Management and Technical Subject File
131.	Contractual and Reimbursable Services File
132.	Administrative Subject File
133.	Work Plan File
134.	Program Tapes
135.	Documentation Manuals
136.	Weekly Tape List
137.	Input Data Punch Cards
138.	Coding Forms and Associated Punch Cards
139.	Operating System Tapes
140.	Input Source Documents
142.	Directory of Geographic Codes

<u>Item No.</u>	<u>Title</u>
90.	Annual Federal Grants-in-Aid to States (AC 40)
<u>Budget Division</u>	
28.	Budget Estimates and Budget Operations
29.	Operating and Administrative Budget
30.	Budget Source and Control File
31.	Administrative Subject File
<u>Information Systems and Services Division</u>	
100.	Director's Administrative Management and Technical Subject File.
101.	Contractual and Reimbursable Services Subject File
102.	Administrative Subject File
103.	Work Plan File
104.	Program Tapes
105.	Documentation Manuals
106.	Weekly Tape List
107.	Input Data Punch Cards
108.	Coding Forms and Associated Punch Cards
109.	Operating System Tapes
110.	Input Source Documents
111.	Directory of Geographic Codes

<u>Item No.</u>	<u>Title</u>
143.	Quick Query Program Coding Forms and Associated Punch Cards
144.	Management Information System Reports
145.	Magnetic Tape Files
<u>Management Analysis Division</u>	
146.	General Correspondence File
147.	Reports, Surveys, and Studies File
148.	Management Organization File
149.	Functional Forms File
150.	Management Subject File
151.	Project Improvement Reports
152.	Manual of Economic Development Directives Case Files
153.	EEO Complaint Investigation File

Office Services Division

154.	Administrative Subject File
155.	Personnel Locational Roster
156.	Field Office Space File
157.	Building Floor Plans
158.	Completed and Uncompleted Supply, Equipment, or Service Orders
159.	Inventory of Typewriters, Adding and Calculating Machines, Reproduction Machines, and Other Office Equipment

<u>Item No.</u>	<u>Title</u>
112.	Quick Query Program Coding Forms and Associated Punch Cards
114.	Management Information System Reports
115.	Magnetic Tape Files
<u>Management Analysis Division</u>	
117.	General Correspondence File
118.	Reports, Surveys, and Studies File
119.	Management Organization File
120.	Functional Forms File
121.	Management Subject File
122.	Project Improvement Reports
123.	Manual of Economic Development Directives Case Files

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Office Services Division

124.	Administrative Subject File
125.	Personnel Locational Roster
126.	Field Office Space File
127.	Building Floor Plans
128.	Completed and Uncompleted Supply, Equipment, or Service Orders
129.	Inventory of Typewriters, Dictating Machines, Adding and Calculating Machines, Furniture, and Reproduction Machines

<u>Item No.</u>	<u>Title</u>
160.	Field Office Personal Property Inventory
161.	Printing Requisitions
162.	Loaned Excess Property Case Files
163.	EDA Surplus Property Case Files

Program Analysis Division

164.	Program Analysis Subject File
165.	Evaluation Studies Reports
166.	Evaluation Studies Working Papers
167.	Administrative Subject File
168.	Chronological Files

OFFICE OF THE CHIEF COUNSEL

169.	Legal Subject File
170.	Administrative Subject File
171.	Chronological File

Asst. Chief Counsel for Field Operations

172.	Legal Subject File
173.	Project Legal Review File

<u>Item No.</u>	<u>Title</u>
130.	Field Office Personal Property Inventory
131.	Printing Requisitions

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Program Analysis Officer

20.	Program Evaluation Subject File
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Program Analysis Division

22.	Reports File
23.	Final Report Background and Supporting Papers
25.	Administrative Subject File

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OFFICE OF THE CHIEF COUNSEL

143.	Central Subject File
145.	Associate Chief Counsel Subject File
144.	Administrative Subject File

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Project Review Division

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146.	Project Legal Review File
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Item No.TitleAsst. Chief Counsel for Litigation  
and Liquidation

174. Project Closing and Serv-  
icing Subject File
- 175.*a* Litigation and Liquidation  
*Sample* Case File
- 176.*a*, General Litigation Case  
*Sample* Files
177. Summary of Matters in  
Litigation

Asst. Chief Counsel for Administra-  
tion and Legislation

178. Legal Subject File
179. Legislative History of the  
Public Works and Economic  
Development Act of 1965
180. Legislative File
181. Conflict of Interest Files

OFFICE OF PUBLIC AFFAIRS

182. Job Jackets
183. Biographical Statements
184. Press Releases
185. Speeches, Testimonies, and  
Statements by the Asst.  
Secretary
186. Speeches, Testimonies, and  
Statements of Other EDA  
Officials
187. EDA In-House Newspaper
188. Mailing Lists

Item No.TitleProject Closing and Servicing  
Division

147. Project Closing and  
Servicing Subject File
- Litigation and Liquidation Division
148. Litigation and Liquidation  
Case File
149. General Litigation Case  
Files
150. Summary of Matters in  
Litigation

Administration and Legislation  
Division

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151. Legislative History of the  
Public Works and Economic  
Development Act of 1965
152. Legislative File
153. Conflict of Interest Files

OFFICE OF PUBLIC AFFAIRS

171. Job Jackets
172. Biographical Statements
173. Press Releases
175. Speeches, Testimonies, and  
Statements by the Asst.  
Secretary
176. Speeches, Testimonies, and  
Statements of Other EDA  
Officials
177. EDA Log
178. Mailing Lists

<u>Item No.</u>	<u>Title</u>
189.	Biographical Sketches of Members of the National Advisory Committee for Economic Development
190.	Public Affairs Subject File
191.	Administrative Subject File

Publications Division

192.	Record Copies of EDA Publications
193.	Qualified Areas Map File
194.	District Map File
195.	Photo Library
196.	Requests for Publications and Information
197.	Printing Requisitions
198.	Printer's Reproducibles
199.	Operating Subject File
200.	Freedom of Information Request File

OFFICE OF CONGRESSIONAL RELATIONS

201.	Project Approvals
202.	Designations File
203.	Project Denials
204.	State Files
205.	Congressional Correspondence Name File
206.	Operating Subject File
207.	Administrative Subject File

<u>Item No.</u>	<u>Title</u>
179.	National Advisory Committee for Economic Development
180.	Public Affairs Subject File
181.	Administrative Subject File

Publications Division

182.	Record Copies of EDA Publications
183.	Qualified Areas Map File
184.	District Map File
185.	Photo Library
186.	Requests for Publications and Information
187.	Printing Requisitions
188.	Printer's Reproducibles
189.	Operating Subject File

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OFFICE OF CONGRESSIONAL RELATIONS

154.	Project Approvals
155.	Designations File
156.	Project Denials
157.	State Files
158.	Congressional Correspondence Name File
159.	Operating Subject File
160.	Administrative Subject File

Item No.

Title

OFFICE OF CIVIL RIGHTS

208. Civil Rights Subject File

209. EEO Monthly and Other  
Periodic Activity Reports

210. Administrative Subject File

211. Post-Award Compliance Case  
Files

212. Complaint Investigation  
Case Files

213. Equal Opportunity Reports  
under EDA Directives  
7.04, 7.05, and 7.06

214. Ten Percent MBE Subject  
File

215. Ten Percent MBE Complaint  
and Investigation File

216. Working Paper Files of  
Specialists

DEPUTY ASSISTANT SECRETARY FOR  
ECONOMIC DEVELOPMENT POLICY  
AND PLANNING

Office of the Deputy Asst. Secy.

217. Program Planning and Policy  
Coordination Subject File

218. EDA Policy Council File

219. Project and Task Assign-  
ment File

220. Administrative Subject File

221. Reading File

Item No.

Title

OFFICE OF CIVIL RIGHTS

161. Equal Employment Subject  
File

163. EEO Monthly Activity  
Reports

164. Administrative Subject File

165. Post-Award Compliance Case  
Files

166. Compliance and Grievances  
Review File

167. Equal Opportunity Reports  
under EDA Directives  
7.04 and 7.05

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DEPUTY ASSISTANT SECRETARY FOR  
POLICY COORDINATION

190. Program Policy Coordina-  
tion Subject File

DEPUTY ASST. SECRETARY FOR ECO-  
NOMIC DEVELOPMENT PLANNING

207. Project and Tasks  
Assignment File

209. Administrative Subject File

208. Reading File

Item No.

Title

222. Intergovernmental Affairs  
Subject File
223. Government Program Coordi-  
nation Subject File
224. Southern Oklahoma Develop-  
ment Association (SODA)
225. *b.* Model Cities Program File
226. Committee Management File
227. Working Paper File

OFFICE OF POLICY DEVELOPMENT AND  
COORDINATION

228. Policy Development and  
Coordination Subject File
229. Administrative Subject File
230. Chronological File
231. Technical Reference File
232. Policy Studies File
233. Study Reports and Recom-  
mendations - Record Copy  
File
234. Staff Member Working Paper  
Files

Item No.

Title

DEPUTY ASST. SECY. FOR POLICY  
COORDINATION

Intergovernmental Affairs Division

195. Intergovernmental Affairs  
Subject File
192. Governmental Programs  
Coordination Subject File
196. EDA Program Coordination  
Subject File
206. Executive Coorespondence  
File
198. Southern Oklahoma Develop-  
ment Association (SODA)

Intergovernment Program Specialist

205. *b.* Model Cities Program File
204. Committee Management File

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Item No.TitleOFFICE OF DEVELOPMENT ORGANIZATIONSOffice of the Director

235. Development Organization  
Program Subject File
236. Special Reports
237. Administrative Subject File
238. Technical Reference File

Program Support Division

239. Program Support Subject  
File
240. *a* State, District, and Area  
*Sample* Grant Project Files
241. Designations File
242. Budget File
243. State Information File
244. Accounting Record (ED-74)
245. Monthly Project and Status  
Report (CO-1)
246. Bi-weekly Area Listing  
BO-4(5)
247. Monthly Project Narrative  
(P6) Changes

Program Development Division

248. Public Services Careers  
Subject File
249. Budget File
250. *a* Public Service Careers  
*Sample* Project Case Files
251. Professional Services Grant  
Case Files

Item No.TitleOFFICE OF DEVELOPMENT ORGANIZATIONS

210. Development Organization  
Program Subject File
211. Special Reports
213. Administrative Subject File
217. Technical Reference File

Program Support Division

218. Program Support Subject  
File
219. State, District, and Area  
Grant Project Files
220. Designations File
221. Budget File
222. State Information File
223. Accounting Record (ED-74)
224. Monthly Project and Status  
Report (CO-1)
225. Bi-weekly Area Listing  
(BO-4(5))
226. Monthly Project Narrative  
(P6) Changes

Program Development Division

227. Public Service Careers  
Subject File
229. Budget File
230. Public Service Careers  
Project Case Files
231. Denied and Withdrawn  
Public Service Careers  
Project Case Files



<u>Item No.</u>	<u>Title</u>
252.	OMB Circular A-95 Grant Case Files
253.	Denied or Withdrawn Professional Services or OMB Circular A-95 Grants
254.	Program Development Subject File
255.	Annual Survey of Economic Development Districts
256.	Final Annual Economic Development District Survey Report
257.	Final Narrative Reports of Professional Services Grants

#### Qualifications Division

258.	Operating Subject File
259.	State Files
260.	County Files
261.	Other Government Departments
262.	Annual Review File
263.	Overall Economic Development Program Plans

#### OFFICE OF PLANNING AND PROGRAM SUPPORT

##### Office of the Director

264.	Program Planning and Support Subject File
265.	Guidelines and Criteria File
266.	Positive Action Program File

<u>Item No.</u>	<u>Title</u>
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#### Qualifications Division

232.	Operating Subject File
233.	State Files
234.	County Files
235.	Other Government Departments
236.	Annual Review File
237.	Overall Economic Development Program Plans

#### OFFICE OF PLANNING AND PROGRAM SUPPORT

239.	Program Planning and Support Subject File
240.	Guidelines and Criteria File
241.	Routine Action Program File

<u>Item No.</u>	<u>Title</u>
267.	Administrative Subject File
268.	Chronological File

Industry Studies Division

269. <i>a</i> <i>Sample</i>	Industry Case Files
270.	Industrial Location Service Files
271.	Basic Data File
272.	General Industry Correspondence File
273.	State Industry File
274.	Administrative Subject File
275.	Trade Monitoring System Files
276.	Staff Working Paper File

Program Planning Division

277.	Program Planning Subject File
278.	Requests for Growth Center Designations and Boundary Changes
279. <i>a</i> <i>Sample</i>	Section 302a Economic Development Urban Planning Program Grant Case Files
280.	District Overall Economic Development Program Files
281.	Annual Update of OEDP's
282.	Administrative Subject File
283.	Chronological File
284.	Staff Working Paper Files

<u>Item No.</u>	<u>Title</u>
243.	Administrative Subject File
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Industry Studies Division

250.	Industry Case Files
251.	Area Industrial Determinants Questionnaire
252.	Basic Data File
253.	General Industry Correspondence File
254.	State Industry File
255.	Administrative Subject File

Area and District Planning Division

247.	OEDP General Correspondence File
248.	Requests for Growth Center Designations and Boundary Changes
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245.	District Overall Economic Development Program Files
246.	Second Stage OEDP's
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<u>Item No.</u>	<u>Title</u>
<u>Trade Act Certification Division</u>	
285.	Trade Act Certification Case Files
286.	Case Control Logs
287.	Trade Act Subject File
288.	Section 264 Industry Study File
289.	International Trade Commission Reports
290.	ITC Industry Data File
291.	Inquiry File
292.	Chronological File
293.	Administrative Subject File
294.	Staff Working Files

OFFICE OF ECONOMIC RESEARCH

295.	Research Program Subject File
296.	Organization Correspondence File
297.	National Growth Policy File
298.	Administrative Subject File
299.	Budget File
300. a. Sample	Research Grant Project Case Files
301. a. Sample	Research Contract Case Files
302.	Proposals File
303.	Consultants File
304.	Committees, Commissions, etc. Papers

<u>Item No.</u>	<u>Title</u>
<u>(New Program)</u>	
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OFFICE OF ECONOMIC RESEARCH

258.	Program Subject File
259.	Organization Correspondence File
260.	National Growth Policy File
261.	Administrative Subject File
262.	Budget File
263.	Research Grant Project Case Files
264.	Research Contract Case Files
265.	Proposals File
266.	Consultants File
267.	Committees, Commissions, etc. Papers

<u>Item No.</u>	<u>Title</u>
305. <sup>a</sup>	Discussion Papers
306.	Grant and Contract Final Reports
307.	Staff Working Paper Files

DEPUTY ASSISTANT SECRETARY FOR  
ECONOMIC DEVELOPMENT OPERATIONS

Office of the DAS

308.	Economic Development Subject File
309.	Budget and Budget-Related Materials
310.	Administrative Subject File

TITLE IX PROGRAM

311.	Title IX Program Subject File
312.	Administrative Subject File
313.	Title IX Planning Grant Case File
314.	Title IX Implementation Grant Case Files
315.	Denied Title IX Planning or Implementation Grant Files

COMPREHENSIVE ECONOMIC DEVELOPMENT  
STRATEGY GROUP

316.	CEDS Program Subject File
317.	Administrative Subject File
318.	CEDS Demonstration Location File
319.	Chronological File

<u>Item No.</u>	<u>Title</u>
268.	Discussion Papers
269.	Grants and Contracts Final Reports
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DEPUTY ASSISTANT SECRETARY FOR  
ECONOMIC DEVELOPMENT OPERATIONS

270.	Economic Development Subject File
271.	Budget and Budget-Related Materials
272.	Administrative Subject File

(New Program)

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(New Program)

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<u>Item No.</u>	<u>Title</u>
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OFFICE OF PUBLIC WORKS

Office of the Director

320.	Policy Subject File
321.	State File
322.	General Correspondence File
323.	Program Evaluation Technical File
324.	Public Works Project Narrative Reports
325.	Project Summaries
325a.	Administrative Subject File

Financial and Loan Management Staff

326.	Loan Management Case File
327.	Financial Review Reports
328.	Financial Review General File
329.	Detail Trial Balance, AC-14
330.	Accounting Record Form ED-65

Policy and Program Development Div.

331.	Profile of Potential EDA Public Works Project
332.	General Project Certification Subject File
333.	Qualifications, Requirements, Certification File
334.	Requirements and Certification Card Log

<u>Item No.</u>	<u>Title</u>
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OFFICE OF PUBLIC WORKS

273.	Policy Subject File
274.	State File
275.	General Correspondence File
277.	Program Evaluation Technical File
278.	Public Works Project Narrative Reports
279.	Project Summaries
276.	Administrative Subject File

Financial Review Division

307.	Loan Management Case File
308.	Financial Review Reports
309.	Financial Review General File
310.	Detail Trial Balance (AC-14)
311.	Accounting Record Form ED-65

Program Review Division

284.	Proposed Public Works, EDA
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Program Support Division

323.	General Project Certification Subject File
324.	General Qualifications and Requirements Subject File
325.	Requirements and Certification State File
327.	Requirements and Certification Record

<u>Item No.</u>	<u>Title</u>
335.	Administrative Subject File
336.	Information Subject File
<u>Program Administration Division</u>	
337.	Administrative Management Subject File
338.	Non-Project Correspondence
339.	Administrative Subject File
340.	Budget Subject File
341.	Audit File
342.	Regional Commission Subject File
343.	Public Works Correspondence File
344.	Press Releases
345.	Public Works Approved Project Case Folders
346.	Withdrawn, Terminated, or Cancelled Approved Public Works Project Cases
347.	Regular Contractor Payroll Files
348.	PW Project Log Control
349.	PW Project Data Records
350.	Financial Coding Records

<u>Item No.</u>	<u>Title</u>
321.	Administrative Subject File
<u>Program Review Division</u>	
302.	Information Subject File
280.	Administrative Subject File
283.	Non-Project Correspondence
285.	Administrative Subject File
<u>Program Support Division</u>	
328.	Budget Subject File
329.	Audit File
330.	Regional Commission Subject File
331.	Public Works Correspondence File
332.	Press Releases
<u>Construction Management Division</u>	
312.	Public Works Approved Project Case Folders
313.	Withdrawn or Terminated Approved Public Works Project Cases
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<u>Program Review Division</u>	
294a.	PW Project Log Control
294b.	PW Project Data Records
294c.	Financial Coding Records

<u>Item No.</u>	<u>Title</u>
<u>Computer Printouts</u>	
351.	State Summary A-05
352.	State Summary FY A-05
353.	Regional Office Summary A-06
354.	Regional Office Summary FY A-06
355.	Special Area Listing PW BO-4,1-2
356.	Project Listing B-05
357.	EDA Public Works Project Transcript, ED-2
358.	Public Works Narrative Report
359.	Area Listing BO-4
360.	Technical Reference File
<u>Project Management Division</u>	
361.	Central Correspondence Subject File
362.	Approved Special Area Project Case Files
363.	Projects Completed thru Step 20 (PWO 9) Final Acceptance
364.	Public Works Construction Summary (PWO 4)
365.	Public Works Project Semi- Annual Report PWO 7
366.	Administrative Subject File
367.	Technical Subject File

<u>Item No.</u>	<u>Title</u>
286.	State Summary A-05
287.	State Summary FY A-05
288.	Regional Office Summary A-06
289.	Regional Office Summary FY A-06
291.	Special Area Listing PW BO-4,1-2
292.	Project Listing B-05
293.	Project and Status Report C-01
294.	Public Works Narrative Report
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332.	Technical Reference File
<u>Construction Management Division</u>	
314.	Central Correspondence Subject File
315.	Approved Special Area Project Case Files
316.	Projects Completed thru Step 20 (PWO 9) Final Acceptance
317.	Public Works Construction Summary (PWO 4)
318.	Public Works Project Semi- Annual Report PWO 7
319.	Administrative Subject File
<u>Program Review Division</u>	
305.	Technical Subject File

Item No.

Title

LOCAL PUBLIC WORKS PROGRAM (LPW)

368. LPW Program Subject File
369. Administrative Subject File
370. Chronological File
371. LPW Duplicate Approved  
Grant Case Files

LPW Correspondence Unit

372. Intergovernmental Rela-  
tions Correspondence File

LPW Information Systems and Serv-  
ices Staff

373. Title X Source Documents  
and Related Records
374. LPW Project Source Docu-  
ments and Related Records

OFFICE OF BUSINESS DEVELOPMENT

Office of the Director

375. Director's Operating Sub-  
ject File
376. Business Development Policy  
and Administration Sub-  
ject File
377. Administrative Subject File

Loan Administration Division

378. *a.* Approved Business Develop-  
*Sample* ment Loans Project Case  
Files

Item No.

Title

(New Program)

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OFFICE OF BUSINESS DEVELOPMENT

Office of the Director

334. Director's Operating Sub-  
ject File
335. Policy and Administration  
Subject File
336. Administrative Subject File

Legislative Conformity Division

342. Approved Business Develop-  
ment Loans Project Case  
Files, Vol. I
343. Approved Business Develop-  
ment Loans Project Case  
Files, Vol. II



Item No.Title

379. Denied Business Development  
Loan Project Case Files

380. *a* Business Development  
*Sample* Working Capital Loan  
Guarantee Case Files

381. Collateral Instruments

382. Quick-Query - Office of  
Business Development  
Alphabetical Index of  
Borrowers

383. Project and Status Report  
(CO-1)

384. Change Report (C-21)

385. Business Development Loan  
Weekly Activity Reports

Program Administration Division

386. Program Administration  
Subject File

387. Administrative Subject File

388. Project Narrative-BL Change

389. OBD Approved Loan Summary

390. Weekly Activity Report of  
Loans and Guarantees

391. Financial Management Infor-  
mation Report

394. Business Development Loan  
Weekly Activity Reports

Project Support Division

395. Administrative Subject File

Item No.Title

344. Withdrawn and Denied  
Business Development  
Loan Project Case Files

345. Business Development  
Working Capital Loan  
Guarantee Case Files

346. Collateral Instruments

347. Quick-Query - Office of  
Business Development  
Alphabetical Index of  
Borrowers

348. Project and Status Report  
(CO-1)

349. Change Report (C-21)

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Legislative Conformity Division

354. General Correspondence  
Subject File

340. Administrative Subject File

350. Project Narrative-BL Change

351. OBD Approved Loan Summary

352. Weekly Activity Report of  
Loans and Guarantees

353. Financial Management Infor-  
mation Report

Loan Development and Management Div.

341. Business Development Loan  
Weekly Activity Reports

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Item No.

Title

OFFICE OF TECHNICAL ASSISTANCE

Office of the Director

396. Technical Assistance Subject File
397. Administrative Subject File
398. *a* *Single* National Approved Technical Assistance Grant and Contract Project Case Files
399. *a* *Single* Regional Approved Technical Assistance Grant and Contract Project Case Files
400. Denied and Withdrawn Technical Assistance Applications
401. Technical Assistance Control Cards Grants and Contracts
402. Director's Chronological File

Industrial and Resources Division

403. Project Review Subject File
404. Administrative Subject File

405. Feasibility Studies and Final Reports
406. EDA Project Status Reports CO-1

Urban Division

407. General Correspondence Subject File
408. Special Topics File

Item No.

Title

OFFICE OF TECHNICAL ASSISTANCE

Office of the Director

355. Technical Assistance Subject File
357. Administrative Subject File

Technical Services Division

363. Technical Assistance Grant and Contract Project Case Files
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364. Denied and Withdrawn Technical Assistance Applications

365. Technical Assistance Control Cards Grants and Contracts
- 

Industrial and Resources Division

358. Project Review Subject File
359. Administrative Subject File

Technical Services Division

368. Feasibility Studies and Final Reports
369. EDA Project Status Reports CO-1

Urban Projects Division

370. General Correspondence Subject File
371. Special Topics File

<u>Item No.</u>	<u>Title</u>
409.	Administrative Subject File
410.	Special Impact Cities Subject File

Human Resources and Productivity  
Division

411.	Manpower Training Subject File
412.	Intra-Departmental File
413.	Administrative Subject File
414.	Consultant Register
415.	Repayment Agreements

ALL HEADQUARTERS UNITS

416.	Manual of Economic Develop- ment Directives
417.	Chron, Reading, Tickler and Suspense Files
418.	Press Releases, Statements, Speeches and Testimonies
419.	Reproducibles Files
420.	Personnel Applications File

ALL REGIONAL OFFICES

Executive Direction

421.	Director's Subject File
422.	Congressional Correspond- ence
423.	Administrative Subject File
424.	Field Activity Reports
425.	Reports File

<u>Item No.</u>	<u>Title</u>
372.	Administrative Subject File
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Training Division

373.	Manpower Training Subject File
375.	Intra-Departmental File
376.	Administrative Subject File
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ALL HEADQUARTERS UNITS

377.	Manual of Economic Develop- ment Directives
378.	Chron, Reading, Tickler and Suspense Files
379.	Press Releases, Statements, Speeches and Testimonies
380.	Reproducibles Files
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ALL REGIONAL OFFICES

Executive Direction

381.	Director's Subject File
382.	Congressional Correspond- ence
383.	Operations Subject File
384.	Field Activity Reports
385.	Reports File

Item No.

Title

Administration

- 426. Subject File
- 427. Laws, Regulations, Directives
- 428. Accounts
- 429. Personal Property Records
- 430. Personnel Folders
- 431. Reproducibles File
- 432. Press Releases, Speeches, and Other Presentations
- 433. Chron, Reading, Tickler, and Suspense Files

Civil Rights

- 434. Civil Rights Subject File
- 435. Monthly Activity Report
- 436. Compliance and Grievances Review Files

Legal Papers

- 437. General Subject File
- 438. Project Legal Review File
- 439. Conflict of Interest

Environmental Records

- 440. Environmental Subject File
- 441. Case Files on Environmental Compliance

Program Support Records

- 442. State, District, and Area Grant Project Case File

Item No.

Title

Administration

- 386. Subject File
- 387. Laws, Regulations, Directives
- 388. Accounts
- 389. Personal Property Records
- 390. Personnel Folders
- 391. Reproducibles File
- 392. Press Releases, Speeches, and Other Presentations
- 393. Chron, Reading, Tickler, and Suspense Files

Equal Opportunity

- 394. Equal Opportunity Subject File
- 395. Monthly Activity Report
- 396. Compliance and Grievances Review Files

Legal Papers

- 397. General Subject File
- 398. Project Legal Review File
- 399. Conflict of Interest

(New Program)

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Program Support Records

- 400. State, District, and Area Grant Project Case File

<u>Item No.</u>	<u>Title</u>
443.	Correspondence Subject File
444.	Public Service Careers Project Case Files
445.	Denied and Withdrawn Public Service Careers Project Case Files
446.	Professional Services Grant Case Files
447.	OMB Circular A-95, Grant Case Files
448.	Denied or Withdrawn Professional Services or OMB A-95 Grant Case Files

#### Planning Records

449.	Overall Economic Development Program (OEDP)
450.	District OEDP Programs
451.	Annual Updates of OEDPs
452.	Planning Subject File

#### Public Works Records

453. <i>a sample</i>	Public Works Approved Project Case File
454.	Withdrawn, Terminated, or Cancelled Approved Project Case Files
455.	Denied Project Case Files
456.	Withdrawn Public Works Project Case Files
457. <i>a sample</i>	Loan Management Case Files
458.	Financial Review Reports
459.	Project Construction Files
460.	Blue Print Drawing Files

<u>Item No.</u>	<u>Title</u>
401.	Correspondence Subject File
402.	Public Service Careers Project Case Files
403.	Denied and Withdrawn Public Service Careers Project Case Files

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#### Planning Records

404.	Overall Economic Development Program (OEDP)
405.	District OEDP Programs
406.	Second Stage OEDPs
407.	Planning Subject File

#### Public Works Records

409.	Public Works Approved Project Case File
410.	Withdrawn or Terminated Approved Project Case Files
411.	Denied Project Case Files
412.	Withdrawn Public Works Project Case Files
413.	Loan Management Case Files
414.	Financial Review Reports
415.	Project Construction Files

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<u>Item No.</u>	<u>Title</u>
461.	Collateral Instruments
462.	Public Works Correspondence File
463.	Engineering Project Review File
464.	Regular Contractor Payroll Files

Local Public Works (LPW) Records

465.	LPW Program Subject File
466. <i>Sample</i>	LPW Approved Grant Case File
467.	Withdrawn, Terminated, or Cancelled Approved LPW Projects
468.	Denied LPW Project Case Files
469.	Withdrawn LPW Project Case Files
470.	Regular Contractor LPW Payroll Files

Community Emergency Drought Relief Program Records

471.	Drought Program Subject File
472. <i>Sample</i>	Drought Program Approved Case Files
473.	Withdrawn or Denied Drought Project Case Files

Title IX Program Records

474.	Title IX Program Subject File
475. <i>Sample</i>	Title IX Development Planning Grant Case Files

<u>Item No.</u>	<u>Title</u>
416.	Collateral Instruments
417.	General Correspondence File
418.	Engineering Project Review File

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(New Program)

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(New Program)

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(New Program)

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Item No.Title

476. *a* Title IX Implementation  
*Sample* Grant Case Files
477. Denied or Withdrawn Title  
IX Development or Imple-  
mentation Grants

Business Development Records

478. Approved Business Develop-  
ment Loans Project Case  
Files
479. Withdrawn and Denied Busi-  
ness Development Loan  
Project Case Files
480. Business Development  
Working Capital Loan  
Guarantee Case Files
481. Business Development Sub-  
ject Filei

Technical Assistance Records

482. Regionally Generated Tech-  
nical Assistance Grant  
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505.	Congressional Directory
506.	District Directory
507.	Public Works Project Narra- tive Report
508.	Project Narrative (BL) Changes

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**U.S. DEPARTMENT OF COMMERCE  
ECONOMIC DEVELOPMENT ADMINISTRATION**

**RECORDS CONTROL  
SCHEDULE**

November, 1978



Office of Administration and Program Analysis  
Management Analysis Division  
Records Management Officer

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3/05/80

*Revised due to Commerce  
(EDA) reorganization*

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History. The Economic Development Administration was established in the Department of Commerce on September 1, 1965, under provisions of the Public Works and Economic Development Act which was passed the same year.

The goal of the Act is to create permanent new jobs and new income through industrial and commercial growth in economically lagging areas. It accepts the fact that the development of these areas will not be accomplished overnight, or achieved by Federal financial aid alone. It recognizes, however, that the underpinning of economic growth is sound, comprehensive planning developed through the cooperative effort of governments at all levels. It also recognizes that the planning and building of public facilities must lead to action by private enterprise to create permanent job opportunities.

The Economic Development Administration succeeded the Department's old Area Redevelopment Administration, which was established on May 1, 1961, as a pilot program to help ease local conditions of chronic unemployment and underemployment.

While establishing the fact that a modest amount of Federal aid to a depressed area can make a significant contribution toward creating job opportunities, the old programs' experience pointed to the need for a broader approach to economic development, applicable to areas larger than a single city or county.

When EDA was established in 1965, Congress expanded the Federal economic development effort by authorizing the formation of multicounty Economic Development Districts. EDA's district program operates on the assumption that many economic problems can be effectively addressed only through regional approaches which are designed to alleviate conditions of high unemployment and low income. As of September 30, 1977, EDA had designated or funded 211 operating Economic Development Districts with a total of 1,604 member-counties. The program spans both redevelopment areas and economically healthy areas. All local government members share in the planning program of the districts.

Also within the districts were 330 growth centers -- urban areas with an average population of 20,000 and with facilities capable of attracting industry and creating jobs for rural workers.

The districts operate by pooling the resources and talents of their local government members, enabling localities to work in partnership to attack conditions blocking economic growth on a broad, areawide basis.

The Public Works and Economic Development Act equipped the Administration with financial assistance programs to enable the agency to provide grants and loans for public works and development facilities; business development assistance; and grants for planning, technical assistance, and research to help overcome problems blocking growth.

Program Highlights. Historically, EDA has been a modestly financed Federal agency concerned primarily with the serious and chronic problems of poverty, out-migration, and underemployment in the Nation's rural areas. Over some dozen years, EDA responded to this mandate by providing more than 3,000 public works grants and loans, hundreds of loans and loan guarantees to private firms, and thousands of technical assistance grants. These investments encompassed a variety of activities undertaken in widely divergent economic situations.

In FY 1977, however, EDA was mandated to carry out much more extensive and far-reaching programs than had previously been envisaged in its economic development efforts.

The first such mandate, in terms of its magnitude, was to administer the \$6 billion Local Public Works Program (LPW), Rounds I and II. The \$4 billion Round II effort was one of the major elements of President Carter's initiative to stimulate the national economy, generate employment, and enable communities across the Nation to construct needed public facilities.

EDA also was called upon by the President and Congress to administer the \$175 million Community Emergency Drought Program. EDA approved and allocated funds for 268 projects in a period of just four months.

Lastly, in FY 1977, EDA was engaged more deeply and broadly in urban economic development -- while maintaining its commitment to rural development. It should be pointed out that EDA has not been exactly a newcomer to urban problems; over the years, the agency has invested more than \$500 million in targeted urban economic development. But there would appear to be little doubt that EDA's responsibilities in the urban area should become increasingly greater.

Specifically, the following highlights of the FY 1977 EDA program will serve to illustrate the scope and magnitude of EDA activities:

- \* 10,617 grants approved under the \$6 billion Local Public Works program to create 425,000 jobs (person-years of employment) through the construction of capital facilities for:
  - Cities and towns
  - Counties
  - States
  - School districts
  - Special purpose authorities
  - Indian tribes and communities
- \* 257 grants for \$166.5 million approved to help local communities build the infrastructure needed to encourage private enterprise to expand and create jobs
- \* 49 grants approved for \$76.5 million to help develop and implement economic adjustment strategies
- \* A \$58-million business development loan program helped 68 firms create and/or save 14,796 jobs
  - Includes \$24 million in loans and loan guarantees to help businesses adversely affected by foreign imports
- \* \$175 million in loans and grants approved for 268 drought relief projects in 29 states and Puerto Rico

- \* \$38 million provided for planning, technical assistance and research in support of job-generating economic development
- \* \$223 million approved for 611 projects requested by Indian tribes and organizations

Binder. This schedule is presented in a format reflecting the present organization of the EDA as stated in Department Organization Order 45-1, effective October 1, 1977. However, a change of title or organizational location of any unit or any reorganization shall have no effect on its provisions as long as the files described herein continue to accumulate and serve the same purpose.

The provisions of the General Records Schedules issued by the General Services Administration are hereby superseded, since this EDA schedule includes all general and house-keeping records that are currently accumulating in EDA and that are also documented by records of the Office of the Secretary.

This Records Control Schedule is thus the sole authority for the legal disposition of any and all EDA records. It completely replaces the previously obsoleted Records Control Schedule that had been issued as of November 1972.

OFFICE OF THE ASSISTANT SECRETARY  
FOR ECONOMIC DEVELOPMENT

The Assistant Secretary directs the programs and is responsible for the conduct of all activities, including overall direction and coordination of the Regional Offices, of EDA subject to the policies and directives prescribed by the Secretary of Commerce.

1. Assistant Secretary Program Subject File. The file consists of subject-filed copies of materials signed by the Assistant Secretary or prepared by him in providing executive direction for the EDA programs. It reflects basic policies and decisions made in administering the Administration. Arranged alphabetically by subject.

Permanent. Retire to Staging and Holding Area (SHA) when there is a change of Assistant Secretary.  
Transfer to Washington National Records Center (WNRC) 2 years later. Offer for transfer to the National Archives 20 years thereafter.

2. Chronological File of the Assistant Secretary. The file contains a chronologically arranged copy of documents prepared by the Assistant Secretary in administering the EDA programs.

Permanent. Retire to SHA when there is a change of Assistant Secretary. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

Executive Secretariat

The Executive Secretariat is responsible for the following tasks:

- o Receive correspondence addressed to the Assistant Secretary, all mail addressed to EDA officials from the White House or Congressional offices and all telegrams;

- o Assign action on all of the above to appropriate EDA officials;
- o Record controlled and non-controlled correspondence, and provide information copies to EDA officials;
- o Maintain prompt follow-up of replies to controlled correspondence to insure that deadlines are met;
- o Review signature mail before signature by Assistant Secretary, Deputy Assistant Secretary and Special Assistants to the Assistant Secretary;
- o Provide a reference service to files as requested by EDA officials and maintain appropriate correspondence and policy files;
- o Provide liaison with the Department on Secretarial correspondence; and
- o Control, review, record, and process all projects-- Technical Assistance, Public Works, Business Loans, Planning Grants, including amendments.

3. Committees and Boards File. This alphabetically arranged file represents the centralized EDA documentation pertaining to boards, committees, or commissions typically involving the top echelon officials of EDA. As pertinent, these files on a committee or other group include membership information, agendas, materials on establishment of the group, and reports and recommendations, and the like.

Permanent. Retire to SHA when 2 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

4. Secretariat Program Operations File. This file reflects the EDA top echelon officials' involvement in implementing the various economic development programs of EDA. It documents the interrelationships of the top EDA officials in dealing with major problems and policy decisions, as well as the relations of such top EDA officials with their counterparts at the Department-level. It also concerns the documentation of selected policy decisions and other activities considered to be of unusual importance to the EDA program. The file is divided into three segments as follows: a collection of selected documents maintained

under a subjective arrangement to facilitate reference; correspondence and other records filed alphabetically by the names of the top EDA staff officials; and correspondence and other records filed alphabetically by the names of top officials of the Department.

Permanent. Retire to SHA when 2 years old.  
Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

5. General Correspondence File. This file of correspondence, maintained alphabetically by name of addressee, covers general or miscellaneous types of actions, typically of a non-policy nature, documented by the Secretariat. Copies of correspondence considered to be of documentation significance would be included in the subjective segment of the Secretariat Program Operations File.

Retire to SHA when 2 years old. Transfer to WNRC 3 years later. Dispose of when 10 years old.

6. Other Government Agencies File. This file consists of correspondence with other government agencies, typically of a non-policy nature, filed alphabetically by name of agency. Copies of correspondence considered to be of documentation significance would be included in the Secretariat Program Operations File.

Retire to SHA when 2 years old. Transfer to WNRC 3 years later. Dispose when 10 years old.

7. Congressional Correspondence File. This file consists of correspondence with Congress, typically of a non-policy nature, filed alphabetically by name of Senator or Congressman. Much of the file concern routine constituent requests forwarded by the Congressmen. Documentation concerning any specific projects would be included in the project case folder, while non-project documentation considered of significance could be included in the Secretariat Program Operations File.

Retire to SHA every 2 years. Dispose of when 5 years old.



8. Project Correspondence. Duplicate copies of documents on the designation of various localities as qualified economic development areas, approval of guarantee agreements covering certain types of loans, approval of research studies, technical assistance letters, and similar authorizations. A record copy of these documents is filed in the appropriate case file.

Dispose when 1 year old.

9. Employment Correspondence. This file consists of incoming and outgoing correspondence with people seeking positions in the Administration.

Dispose when 1 year old.

10. Alphabetical Mail Control Card File. This alphabetically arranged mail control card file, arranged by names of persons or institutions, serves as the only index available within EDA to controlled important correspondence maintained by the Executive Secretariat. Cross-reference cards are included for persons mentioned in the controlled correspondence, and each card shows the file in the Secretariat into which the completed document was placed.

Permanent. Start a new file every year. Retire to SHA when 2 years old. Transfer to WNRC 2 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

11. Numerical Mail Control Card File (Gold Copy) The gold copy of the interleaved carbon mail control card serves as the tracer for controlled correspondence. It is filed numerically.

Start a new file each year and dispose of when 2 years old.

#### OFFICE OF SPECIAL PROJECTS

The Office of Special Projects shall serve as a principal staff office of the Assistant Secretary. The Office shall provide advice, direction and coordination for the develop-

ment and implementation of selected innovative economic development programs and projects to assist selected urban areas, special areas such as the Mexican-American border and Puerto Rico, and special groups identified by the Assistant Secretary. In accomplishing these functions the Office shall develop necessary implementation plans, strategies, and procedures and coordinate, as appropriate, with other Federal, State, and local organizations. The Office shall be headed by a director who shall report and be responsible to the Assistant Secretary.

12. Special Projects Program Subject File. The file reflects the special assignments of this staff office of the Assistant Secretary for Economic Development covering mainly coordination and oversight of projects involving the problems of underprivileged urban dwellers and various minorities. Included are such alphabetically arranged subjects as Council on Urban Economic Development, Community Development Corporation, Special Impact Areas, Community Services Administration, Ten Percent Minority Business Enterprise, Urban Institutes, and Regional Offices (General Correspondence).

Start a new file every calendar year and bring forward active material from the cut-off file. Retire to SHA 2 years later. Transfer to WNRC 1 year thereafter. Dispose of when 15 years old.

13i Administrative Subject File. This file consists of office copies of administrative papers, alphabetically arranged by subject, pertaining to internal housekeeping matters such as time and attendance, procurement, budget, personnel, and other administrative matters.

a. Applications for employment - Send successful - applications to the Office of Personnel. Return unsuccessful applications to the sender.

b. All other records - Start a new file every 2 years and dispose when 2 years old.

14. Chronological File. The file consists of a convenience copy of all documents prepared in the Office arranged by date.

Dispose when 3 years old.

15. Project Files. The file of regionally arranged project folders consists of the case folders pertaining to the special urban and minority related projects carried out in EDA regions and which the Office coordinates and monitors. The folders include project proposals, copies of project reports and recommendations, background materials, budget materials, and correspondence pertaining to headquarters-regional relationships. Record copies of these project materials are maintained in Regional Offices.

Retire closed projects to SHA 1 year after closure.  
Transfer to WNRC 1 year later. Dispose of 10 years after closure.

16. Withdrawn or Denied Projects. These files consist of proposals and related correspondence for projects that are not acted upon.

Dispose of when 2 years old.

17. Policy Council File. The file consists of convenience copies of agendas and minutes of meetings of the EDA Policy Council. This Council, consisting of the top administrators and officials of EDA, meets weekly to develop policies and decide on important matters involving EDA programs. The record copy of the file is maintained by the Deputy Assistant Secretary for Policy and Planning.

Dispose of when 2 years old.

18. Technical Workpaper Files. These files consists of convenience copies of projects and other materials maintained by program officers of the Office for use in a day-to-day operationsi

Dispose of when no longer needed for current businessi

OFFICE OF THE DEPUTY ASSISTANT SECRETARY  
FOR ECONOMIC DEVELOPMENT

The Deputy Assistant Secretary shall serve as Executive Secretary and provide or arrange for staff support, as required, for the National Public Advisory Committee on

Regional Economic Development; represent the Administration on international organizations when so designated; supervise the activities of the Investigations and Inspections Staff, the Indian Program Staff, and of the Special Assistant, the Special Assistant for Field Operations and the Special Assistant for the Environment; assist the Assistant Secretary in all matters affecting EDA; and perform the duties of the Assistant Secretary during the latter's absence.

19. Deputy Assistant Secretary (DAS) Program File. This file contains documentation reflecting the executive direction of EDA as assigned to the Deputy Assistant Secretary, copies of communications prepared and/or signed by the Deputy Assistant Secretary. It includes such headings as Operational Planning and Control System Task Force, National Public Advisory Committee, National Urban and Rural Development Banks, Regional Offices, Proposed 10-City Demonstration, Drought, Steel Industry, and White House Conference on Balanced Growth. Arranged alphabetically by topics.

Permanent. Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

20. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, space, requisitions for services, and similar housekeeping activities.

- a. Applications for employment - Send successful applications to the Office of Personnel. Return unsuccessful applications to sender.
- b. All other records. Dispose of when 2 years old.

21. Chronological File. The file consists of an extra copy, filed by date, of documents prepared by the Deputy Assistant Secretary.

Dispose when 5 years old.

Special Assistant to the Deputy Assistant  
Secretary for Economic Development

The Special Assistant to the Deputy Assistant Secretary for Economic Development performs such tasks as the Deputy Assistant Secretary may assign.

22. Special Assistant to the DAS Program File. Papers reflecting the various assignments given the Special Assistant by the Deputy Assistant Secretary in administering EDA programs. Headings of the alphabetically arranged file include Age and Sex Discrimination, Drought, Equal Employment Opportunities, 10% Minority Business Enterprises, Regional Offices, Steel, Technical Assistance, and Trade Adjustment Assistance.

Start a new file every 2 years. Retire to SHA  
1 year later. Transfer to WNRC 2 years later.  
Dispose of ~~5 years thereafter~~ *when 10 years old*

23. Chronological File. The file consists of a chronologically filed copy of documents by the Special Assistant.

Dispose of when 2 years old.

24. Administrative Subject Files. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

Special Assistant for the Environment

The Special Assistant for the Environment is responsible for the overview and monitoring of EDA actions implemented in the Regions to assure compliance with legislation on environmental matters in carrying out EDA projects, such as Public Works or other projects.

25. Environmental Subject File. This file reflects the overviewing or monitoring activities of the Office in coordinating the environmental requirement aspects of EDA

projects carried out in the Regionsi Typical headings of the file include: Environmental Directives, Clean Air-Water Act, Legislation, National Environmental Policy Act, Regional Offices, Advisory Council on Historic Preservation, Meetings, and Organizationsi

Break file every 2 years and bring forward active files. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of ~~5 years later~~ *when 10 years old.*

26. Case Files on Environmental Compliance. In accordance with environmental legislation and regulations, proposed EDA projects are evaluated in terms of their compliance with such legislation. Typically, environmental assessment statements are prepared at the regional level; and, for certain projects, a full environmental impact statement may be prepared. For projects involving Section 106 of the Historical Preservation Act, special statements are made as to the propriety of making various loans or grants concerning historic properties. In special cases, the Office of the Special Assistant for the Environment may prepare the environmental statements.

The file consists of the various environmental statements which have been maintained by the Special Assistant, arranged by state and by project thereunder. The file is duplicated in EDA project files and in other files pertaining to the environment maintained by the Department.

Retire to SHA when 2 years old. Transfer to WNRC 1 year thereafteri Dispose of when 5 years old.

27. Administrative Subject File. These are office papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activitiesi

- a. Applications for employment - Send successful applications to the Office of Personneli Return unsuccessful applications to sender.
- b. All other records - Dispose of when 2 years old.

28. Chronological File. The file consists of an extra copy of documents prepared in the Office of the Special Assistant for the Environment.

Dispose of when 2 years old.

### Special Assistant for Field Operations

The Special Assistant for Field Operations provides staff coordination and review in the administration of EDA programs through its Regional Offices, Field Offices, and Economic Development Representatives throughout the United States.

29. Special Assistant for Field Operations Program File. Papers reflecting the coordination and review activities of the Special Assistant in the administration of the field operations of EDA. Headings of this alphabetically arranged file include: Economic Development Representatives Activity Reports, Economic Development Representatives Field Logs, Briefing Materials, Economic Adjustment Committee/DoD, Federal Assistance, National Organizations, Regional Offices, and Washington Task Force.

Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of ~~5 years thereafter.~~ *when 10 years old.*

30. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

31. Reading File. The file consists of an alphabetically filed copy of documents prepared by the Special Assistant for Field Operations; and serves as an index to the field operations program file above.

Retire to SHA when 3 years old. Transfer to WNRC 2 years later. Dispose of ~~5 years thereafter.~~ *when 10 years old.*

### Indian Program Staff

The Indian Program Staff administers the Indian economic development program and advises the Deputy Assistant Secretary concerning its general effectiveness. It recom-

mends approval or denial of projects proposed for Indian areas except all projects under Sections 101 and 201 of the Act which do not require special action; and negotiates and monitors interagency agreements relating to Indian economic developmenti (Projects requiring special action are those which are called to Washington for purposes of monitoring, involve controversial aspects, or -- for example -- require an environmental impact statement which must be approved by the Special Assistant for Environmental Affairsi)

32. Indian Reservations File. This file contains information on Indian reservations eligible under the EDA program. It is used for reference purposes, and for each reservation covered consists of a folder for correspondence, for background materials, and for project related materialsi

Dispose of when superseded or no longer needed for current business, whichever is sooner.

33. State File. Materials of transitory value pertaining to the EDA programs as they affect Indiansi arranged by state. The bulk of the papers relate to transactions with various states that are not connected with any particular reservation.

Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC and dispose of ~~2 years later~~ *when 5 years old.*

34i Indian Program Operations File. This file reflects the coordination, review, and monitoring activities of the office in administering the Indian economic development program and advising the Deputy Assistant Secretary concerning its effectiveness. It is arranged alphabetically by topicsi Typical headings include Federal Agencies, EDA Organizations, Indian Organizations, Indian Program-General, Indian Courses-Seminars, Indian Shows-Exhibits, Indian Directives, and Program Establishment.

Break file every 3 years and bring forward active materials, as needed. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose of ~~10 years thereafter~~ *when 16 years old.*



35. Economic Development Planning Grant File. This file is a working case file for review and monitoring purposes of planning grants made to Indians. It is arranged by regions, states, tribal grantee thereunder. The record copy of such grant cases is maintained in the Office of Development Organizations.

Dispose of 2 years after closure.

36. Public Works Project Summaries File. This working file of selected project records involving Indians is maintained for purposes of reviewing project proposals. Arranged by state and by tribe thereunder.

Dispose when superseded or no longer needed for current business, whichever is sooner.

37. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

a. Applications for employment - Send successful applications to the Office of Personnel.  
Return unsuccessful applications to sender.

b. All other records. Dispose of when 2 years old.

38. Chronological File. The file consists of an extra copy of documents prepared in the Indian Program Staff.

Dispose of when 2 years old.

#### Investigations and Inspections Staff

The Investigations and Inspections Staff investigates alleged violations of law or other impropriety on the part of applicants or recipients; conducts inspections relating to the conduct and performance of field personnel and reviews the suitability of applicants for financial assistance. The Staff also conducts special investigations requested by the Assistant Secretary, as well as inspections to assure the physical security of all EDA

offices. The office is not responsible for maintaining documentation on employee personnel clearances, which is a responsibility of the Office of the Secretary.

39. Application Investigations Index. This is an index to individuals, companies and contractors related in some way to an EDA program project maintained for purposes of preventing violations of the law and to insure that appropriate action is taken in case there is such a violation.

Dispose of individual cards when no longer needed for current business.

40i Current Employees Inspection Cases Documentation of employees job performance, effectiveness, conduct, and integrity on the job.

- a. Close case upon completion of an inspection and move to a separate file.
- b. Retire closed cases involving adverse findings to SHA every 3 years and transfer to WNRC 1 year later. Dispose when 10 years old.
- c. Dispose of closed cases involving no adverse findings six months after closure.

41. Project Inspection and Compliance Cases. Documentation of an inspection and investigation of projects and the people involved to determine compliance with law and the regulations and requirements of EDA.

- a. Close cases after completion of investigation and file separately.
- b. Retire closed cases to SHA every 3 years and transfer to WNRC 1 year later. Dispose when 10 years old.

42. Investigations Program Subject File. The file contains incoming and outgoing correspondence and other documents pertaining to specific inspections or investigations, proposed, pending, or completed by the office and certain other matters such as building security and the protection of national security information.

Start a new file every 2 years, transfer to SHA, and dispose ~~3 years later~~ *when 5 yrs old.*

43. Field Activity Reportsi The file consists of such field activity reports of Economic Development Representatives as are received in the office for reference purposes. The record copy of these reports are maintained by the Office of the Deputy Assistant Secretary for Economic Development.

Retire to SHA when no longer needed for current business. Transfer to WNRC 2 years later.  
Dispose of when 10 years old.

44. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activitiesi

a. Applications for employment - Send successful applications to the Office of Personneli  
Return unsuccessful applications to the sender.

b. All other materials - Dispose of when 2 years old.

45. Chronological File. The file consists of a copy of materials prepared in the Office and maintained in chronological order.

Dispose of when 3 years old.

OFFICE OF ADMINISTRATION  
AND PROGRAM ANALYSIS

Office of the Director

The Office of Administration and Program Analysis is responsible for providing the full range of administrative management services and for program analysis and evaluation functions with respect to EDA's substantive programs. These functions shall be carried out through the principal organizational elements of the Office, except that personnel management services, some of the

activities associated with the accounting for certain administrative funds, and in-house equal opportunity staff services shall be obtained from the appropriate Departmental offices.

46. Administrative Management Subject File. Papers generated by the Director or Deputy Director of the Office concerning the administration of program evaluation and administrative management services for EDA. Typical subjects include EDA Seal, Budget, Executive Training, Briefing Materials, Title IX, Economic Development Policy, Local Public Works Program, Drought Program, Program Evaluation, Legislation, Space, Accounting, IPA Agreements, and Excess Property. Arranged basically alphabetically by subject topics.

Start a new file every 2 years and retire to SHA. Bring forward active material to new file. Transfer to WNRC 3 years later. Dispose ~~10 years there-~~  
~~after~~ *when 15 years old.*

#### Accounting Division

The Accounting Division shall:

Develop and maintain accounting systems and prepare financial reports for internal and external use, according to the needs of management, the requirements of laws or regulations, and established policies; analyze financial and operating data to assure that financial and management policies are being followed; and serve as the liaison with the Office of the Secretary and other Federal agencies in all accounting matters.

#### Office of the Chief

47i Accounting Program Subject Files Documentation of the accounting structure and system filed in an alphabetic-numeric arrangement under the following primary subjects: administrative funds, program funds, general and addressee file.

Start a new file every 3 years, retire to SHA 2 years later, and transfer to WNRC 3 years later. Dispose when 10 years old.

48. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel actions, budget, space, requisitions for services and other objects, and dissimilar housekeeping requirements.

- a. Applications for employment - Send successful applications to the Office of Personnel. Return unsuccessful applications to sender.
- b. All other records - Start a new file each year. Dispose of when 2 years old.

#### Program Accounting Branch

49. Journal Vouchers. These are posting media to the General Ledger showing account number and debits for each account and total cash receipts supplied during the month. These are treated manually.

Retire to SHA when 2 years old and dispose when 3 years old.

50. Status of Program Funds Reports. This is a weekly report submitted only during the month of September showing the amount of funds authorized to the end of the fiscal year, reserved, obligated, unreserved, and total unobligated. From these a computerized report is compiled for the Chief of the Division.

Dispose when 1 year old.

51. Reports of Delinquent ARA-EDA Loans. These are reports showing name of borrower, project number, principal balance, last payment received, frequency of payment, installments past due, and remarks with agent Federal Reserve Bank.

Dispose when 3 years old.

52. Vouchers and Schedules of Payments. These are memorandum copies of Vouchers and Schedules of Payment submitted to Treasury Department for issuance of checks. Also included are copies of the schedules of payments and copies of certified invoices accumulated in a discontinued file.

Retire to SHAI when 3 years old. Transfer to WNRC 1 year later.

a. Records dated prior to July 2, 1975 - Dispose when 10 years old.

*3 months after period of account.*

b. Records dated after July 2, 1975 - Dispose when 6 years old.

*3 months after period of account.*

53. Non-Expenditure Transfer Authorizations. These forms authorize transfer of funds from an appropriation of EDA to another element of EDA or to other government agencies to be credited to their appropriation number.

Retire to SHA when 2 years old and dispose when 11 years old.

54. Certificates of Deposit. These are copies of certificates of deposit submitted to the Treasurer of the U.S. with related EDA collection tickets, debit vouchers, Federal Reserve Bank bills and EDA collection letters. Also included are daily summaries of changes in primary securities with Federal Reserve Banks and the related certificates of deposit, as well as records pertaining to cash receipts.

Retire to SHA when 2 years old. Transfer to WNRC 1 year later. Dispose of when 11 years old.

55. Notes. These are the original documents signed by the borrower and grantor duly authenticated. Although there are copies of these documents in the appropriate case files, in cases of litigation knowledgeable opinion holds that these are necessary for trial purposes.

Return to borrower after final payment is made and account is closed.

56. Public Works Grants Project Disbursements Files. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of

the approved grants with related vouchers for payment and the updated copy of the EDA project accounting recordsi Cases include both public works and local public works program casesi

Place fully disbursed (closed) cases in separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years, closure.

57i EDA and OMBE Project Accounting Records. There are three copies (blue, white, and gold) of the project accounting record for all types of loans and grants used as source documentation for computer input to the file maintenance tapei The gold copy becomes the record copy of the printout. When the document is updated with additional data, the blue and white copies are forwarded to the Control Desk and to the Information Systems and Services Division. The gold copy is retained in the file. The documents are arranged by appropriation codesi These codes and other characteristics of the automated system are revised periodically.

Retire to SHA 1 year after revision of the system, and dispose when superseded or no longer needed for current business, whichever comes sooner.

58. Planning Grants. Cases can include copies of the grant showing funds reserved and obligations which include related posting abstracts, invoices, collection tickets and the EDA Project Accounting Record, and related recordsi

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRCi  
Dispose 10 years after closurei

59. Economic Research Grants and Contractsi Cases can include copy of the contract or grant showing funds reserved and obligated for it with related amendmentsi if any, and the EDA Project Accounting Record, and related records.

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRC.  
Dispose 10 years after closurei

60. Technical Assistance Grants and Contracts. Cases can include copies of the grants or contracts showing funds reserved and obligated for it, requests for disbursement and a current copy of the EDA Project Accounting Record showing the status of obligated funds, and related records.

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRC.  
Dispose 10 years after closure.

61. Drought Relief Project Grants. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA project accounting record, and related records.

Place fully disbursed (closed) cases in separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

62. Title X, Title IX, Section 304 Funds, and Other Special Funded Project Grants. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA Project Accounting Record, and related records.

Place fully disbursed (closed) cases in a separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

63. Office of Minority Business Enterprise (OMBE) Grants and Contracts. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA Project Accounting Record, and related records.

Place fully disbursed (closed) cases in a separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

64. Public Works Loans. These cases can include a copy of the note for the loan, collection tickets, Transcript of Account, the EDA Project Accounting Record, and related



correspondence and other records. Accounting data in the file can be computerized. Loans are made for varying periods from 15 to 40 years.

Place fully repaid (closed) cases in separate file. Retire such closed cases to SHA in 2 year increments. Transfer to WNRC 3 years later. Dispose of 10 years after closure.

65. Business Loans Financed or Guranteed by EDA. These cases can include copies of Loan Authorizations, EDA Project Accounting Record, Request for Loan Check, Notification of Disbursement of Purchase, and Guarantee Agreements. Also papers related to agreement assignments and consent between the institution making the loan and EDA and the recipient, Quarterly Report on Deferred Participation or Guaranteed Loans, and related correspondence or other pertinent records.

Place fully repaid (closed) cases in a separate file. Retire such closed cases to SHA in 2 year increments. Transfer to WNRC 2 years later. Dispose of 10 years after closure.

66. Loan Collection File. The file consists of materials pertaining to the collection of certain loans, such as Notice of Loan Payment Due, Collection Tickets, and Certificates of Deposit.

Retire to SHA when 5 years old. Dispose ~~10 years~~ *then 15 years old.*  
~~thereafter.~~

67. Business Loan Projects in Liquidation or Collateral Protection. The file consists of such papers as those authorizing additional money for contingent expenses to protect the interests of the Government or papers related to steps taken by the Collateral Protection Division to reinvigorate the management and financial position of the project.

File terminated project cases separately. Retire to SHA 2 years later. Transfer to WNRC 3 years later. Dispose of 15 years after termination.

## Program Accounting Printouts

The program accounting printouts and tabulations are prepared by the Information Systems and Services Division of EDA, which operates the computer facilities for EDA programs. The tapes for these printout reports and tabulations are maintained by that Division; and are listed in the Schedule under that Division.

68i Public Works and Business Loan Project Account Printouts. These printouts of accounts for these types of loan projects are arranged by areas. The printouts show such data as the amount of a note, if any; credits applied; balances of funds; and the liability to the participant.

File materials for fully repaid loans separately.  
Dispose of 3 years after repayment.

69i Accounting Transaction Lists (AC-01 or equivalent). This is a list of allotments, obligations, disbursements, allocations, advances, warrants, check delivery dates, collections for input and updating the general ledger account. This includes all changes to the general ledger appropriation account. If the machine rejects any of the output above, it is printed out on an error list (AC-02).

Dispose when 1 year old.

70. Weekly Error List (AC-02 or equivalent). This is a list of input data rejected by the computer. These error lists are checked against and reconciled with EDA Project Accounting Records

Dispose when 1 year old.

71. Weekly Summary Status of Program Funds by Appropriation and Activity (AC-08A and AC-08A2 or equivalent). Shows accounting code, appropriation activity, reservations, obligations, disbursements, purchase interest and bond participation. It (AC-08A2) also shows accounting code advances, guaranteed loans, other refunds, repayment agreement accrued liability, contingent liability and final totals. This is the prime posting media to the general ledger. This is a cumulative account.

- a. End of fiscal year issue - Retire to SHA every 2 years, transfer to WNRC 2 years later and dispose when 10 years old.
- b. All other issues except final - Dispose when 1 year oldi

72i Monthly Status of Funds by Appropriation by Area Office (AC-08B or equivalent). Status of funds by area offices under accounting code, reservations, obligations, disbursements, purchased interest, banking participation, and totals by each area office and grand totali This is a cumulative accounti

Dispose when 1 year oldi

73. Monthly Status of Funds by Location (AC-07 or equivalent)i Shows obligation and disbursements and dates by states, by congressional districts and counties. This is a cumulative account.

- a. End of fiscal year issue - Dispose when 5 years old.
- b. All others - Dispose when superseded by new issuei

74i Quarterly Not Fully Obligated Reservations (AC-10A and 10B or equivalent)i This is a quarterly account (issued weekly during the month of September) showing unobligated reservations of funds for each project.

Dispose when replaced by new issue.

75. Quarterly Obligations Not Completely Disbursed (AC-12A and 12B or equivalent). Quarterly accounts of unobligated funds not fully disbursed for each project. This is a cumulative account.

Dispose when replaced by new issue.

76. Weekly Sub-Number List (AC-17 or equivalent). This is a list of account sub-numbers used to control Project Accounting Record sent to data processing for machine input. It serves the same purpose as the batch control documents usually found in data processing installationsi

Dispose when superseded by a new issue.

77. Annual Fund Control Summary (AC-20A or equivalent)i  
This account shows the status of funds by sub-budget activityi It is only produced under special circumstances or by request. The original purpose of the account was to facilitate end of year closing of accountsi This is a feeder report.

Dispose when it has served its purpose.

78i Quarterly Accounting Reconciliation (AC-21 or equivalent)1 This is an automatically produced printout showing when the obligation is greater than the reservation or when disbursements are greater than the obligations.

Dispose when superseded by a new issue.

79i Weekly Status of Program Funds (AC-25 or equivalent). This shows current year status of program funds by program, by title of authorizing statute, type of funds, amount of funds authorized, funds reserved but not obligated, cumulative obligations, total committed and remaining balance with the total allotment. The data in this account is duplicated in the status of funds by appropriation (AC-08).

Dispose when the general ledger accounts have been closed at the end of each fiscal year.

80. Monthly Checks Issued Not Received (AC-14A and 14B or equivalent). This is a control of checks issued by the Accounting Division until they are received by appropriate borroweri

Dispose when 1 year old.

81. Cross Reference Project List (AC-26 or equivalent). This is an alphabetical list of projects showing the project number of each. It serves as a finder for source documents which are filed by project number.

Dispose when superseded by a new list.

82. Monthly State Grant Limitations (AC-30 or equivalent). This shows limitations on Grants-in-Aid funds under Title I of the Economic Development Act by state, project number, total amount of grant, grant limitation, and the balance of funds available. The accounts herein are shown in Status of Funds by Location (AC-07)i

Dispose after 3 months of close of fiscal year.

83. Monthly Net Disbursements Beginning to End of Current Fiscal Year (AC-32 or equivalent)i This shows disbursements by fiscal year, thereunder by title of the authorizing statute. The total disbursement for each title for each fiscal year is shown.

- a. End of fiscal year issue - Retire to SHA when 5 years old, transfer to WNRC 1 year later, and dispose ~~4 years later~~ *when 10 years old.*
- b. All other monthly issues - Dispose upon receipt of end of fiscal year issue.

84i Monthly General Ledger Trial Balance for Appropriated Funds (AC-50 or equivalent). Account of funds for each account by account title, debits, credits, and trial balance totals.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old, transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of the end of fiscal year issue.

85. Monthly General Ledger Trial Balance Appropriated Funds (AC-50A or equivalent)i This is a summarization of all appropriated funds by account number, account title, debits, credits, and trial balance totals.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old, transfer to WNRC 1 year later. Dispose when 10 years old.
- b. Quarterly Issues - Retire to SHA when 2 years old, transfer to WNRC 1 year later, and dispose when 10 years old.
- c. All other Issues - Dispose when 1 year old.

86. Monthly General Ledger Trial Balance for Appropriated Funds (AC-52A and 52B or equivalent). This is a trial balance account of funds for the expired year and the current year for each account established by the Treasury Department.

Also included is a trial balance account of all years for each account number established by Treasury.

- a. End of fiscal year issues (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of end of fiscal year issue.

NOTE: These are automated revolving fund accounts.

87i Weekly Loan Master Update Listing with Diagnostic Errors (LN-1 or equivalent)i This is a listing of the input and errors automatically kicked out by the machine relating to ED-65, Loan Accounts, Accounts and Notes Receivable and Judgments; ED-66; Acquired Property Record. The input includes entry date, effective date, transaction code, document number, changes on amount of note or judgment, credit supplies and balances.

Dispose when 1 year old.

88i Monthly Listing on Miscellaneous Transactions and Errors (LN-2 or equivalent). This is a listing of the input showing entry date; effective date; transaction code, document number, and amount. This list also includes entries rejected by the machine.

Dispose when 1 year oldi

89i Weekly General Ledger Trial Balance (LN-10 or equivalent)i This is an account of funds for every transaction under the account and a pre-closing and closing trial balance for the account.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other issues - Dispose when 2 years old.

90i Monthly Analyses of General Ledger Trial Balance Changes (LN-11 or equivalent). Shows account code, starting balance, debits, credits, and ending balance for every account in the fund.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of the end of fiscal year issue.

91. Weekly and Monthly Detail Trial Balances (LN-14 or equivalent). This is an account by project of all funds relating to each project by transaction. This is a cumulative account and the detailed backup is contained in AC-10 General Ledger Trial Balance.

- a. End of fiscal year issue - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose when 1 year old.
- c. Weekly issues - Dispose when superseded by new issue.

92. Weekly Listing of Projects/Sub-Numbers (LN-17 and 17A or equivalent). Listing showing project number and type of account. Also included is an alphabetical listing of projects by name with project number and type of account. These are used for control purposes.

Dispose when superseded by new issue.

93. General Ledger Master Error Listing (LN-20 or equivalent). This is a list of items rejected by the machine showing project number, transaction code, entry date, and document number and the reason for rejection by the computer.

Dispose when 1 year old.

94. Project Audit, Out-of-Balance Transactions, and Project Audit Summary (LN-18 or equivalent)<sup>i</sup> This is a report produced on request to automatically scan the accounts and print out any projects that are out of balance.

Dispose upon reconciliation of the account involved.

95. Project Audit, Out-of-Balance Transactions (LN-12 or equivalent)<sup>i</sup> This is a report of funds by transaction for a particular account produced automatically for purposes of reconciliation of the account involved.

Dispose upon completion of reconciliation of the account involved.

96i Special Routine Program Account Printouts or Tabulations. These tabulations, not covered elsewhere above, concern routine operational fiscal or accounting status reports prepared as needed for accounting for the expenditure of EDA program funds.

Dispose of when superseded or no longer needed for for current business, whichever comes sooner.

#### Administrative Branch

97i Undelivered, Payable, and Paid Orders<sup>i</sup> These are copies of undelivered orders awaiting vendors' vouchers orders with vouchers and supporting papers in process of payment; and orders, with supporting papers, that have been paid. When payment is completed the file is closed and filed separately.

Retire closed files to SHA at the end of every year and transfer to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose when 10 years <sup>old</sup>

*^ 3 months after period of account.*

- b. Records created on or after July 2, 1975 - Dispose of when 10 years <sup>old</sup>

*^ 3 months after period of account.*



98. Blanket Purchase Orders and Contracts. These are copies of purchase orders and contracts that may be used by any element of the organizations served. In these cases, the vendors' vouchers constitute the obligating and payment authorizations.

Retire closed files to SHA at the end of every year and transfer to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose when 10 years <sup>old.</sup> *3 months after period of account.*
- b. Records created on or after July 2, 1975 - Dispose when 6 years <sup>old.</sup> *3 months after period of account.*

99. General Services Administration Voucher Statements. These are bills from GSA for rentals, services, office supplies, and equipment.

Retire to SHA at the end of every year.  
Dispose when 3 years old.

100. Blanket Travel Authorizations. These are copies of travel authorities which authorize the employee named to travel anywhere within specified geographical limits during a specified period of time, usually one year. Copies of employee's travel vouchers are included in the file. The file is closed when the authorization has expired and the account has been settled.

Retire closed files to SHA at the end of every year and transfer to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose when 10 years <sup>old.</sup> *3 months after period of account.*
- b. Records created on or after July 2, 1975 - Dispose when 6 years <sup>old.</sup> *3 months after period of account.*

101. Cost Copies of Time and Attendance Reports. These documents provide original input to the system for personal services costs at the bureau, cost center, and project level. They also detail costs for regular, night differential, and overtime hours. Record copies of these documents are maintained by the Office of the Secretary, Central Accounting Division.

Dispose when no longer needed for current business,  
or when 6 weeks old, whichever is sooner

102. Travel Vouchers. Copies of travel orders and  
vouchers covering one trip submitted by employees.

Retire closed files to SHA at the end of every  
year, transfer to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose  
when 10 years <sup>old</sup> *3 months after period of account.*
- b. Records created on or after July 2, 1975 -  
Dispose when 6 years <sup>old</sup> *3 months after period of account.*

103. Transportation Requests. These are carriers' copies  
of transportation requests that have been paid.

Retire to SHA at the end of every year, transfer  
to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose  
when 10 years <sup>old</sup> *3 months after period of account.*
- b. Records created on or after July 2, 1975 -  
Dispose when 6 years <sup>old</sup> *3 months after period of account.*

104. Completed Application and Account for Advance of  
Funds. These are copies of requests and accounts for  
advance of funds usually for travel

Retire to SHA at the end of every year. Dispose  
when 3 years old.

105. Public Voucher for Transportation of Passengers and  
Things. These are carriers' copies of vouchers for trans-  
portation of passengers and things.

Retire paid files to SHA at the end of every fiscal  
year and transfer to WNRC 2 years later. Dispose  
when 6 years old

106. Consolidated Billings. Consolidated bills for  
imprest funds charges, printing, telephone services, and  
Working Capital Fund charges.

Retire to SHA at the end of every year. Dispose when 3 years old.

107i Undisbursed Appropriation and Receipt Account-Trial Balance. Monthly listings received from the Treasury Department citing by appropriation symbol existing cash balances and other pertinent data per Treasury records.

Retire to SHA at the end of every year and transfer to WNRC 3 years later. Dispose when 10 years old.

108. Coding Documents. The documents show the data taken from source documents for computer input. They are accompanied by batch control tickets.

Dispose when 1 year old.

#### Administrative Accounting Printouts

These administrative accounting tabulations and reports in the form of computer printouts are generated by the ADP Operations Division of the Office of the Secretary for distribution to all Departmental operating units served by that computer facility, including EDA. The tapes for these printouts are maintained in the Office of the Secretary.

109i Batch Proof Listings. These are intermediate computer runs that are produced as part of the process for preparing the Detail Batch Listings. These are used to check the data stored in the computer and the accuracy of input and machine operations. These include Fast Edit Listings for Personal Services and for other objects, and Journal Voucher Proof Listings.

Dispose when no longer needed for current business.

110. Undelivered Orders - Monthly Detail Batch Listings. Monthly Detail Batch Listings serve as the equivalent of books of original entry for the computerized accounting system. They show data broken down into complete accounting classifications in enough detail to provide input information needed to derive the information for Formal Cost Statements and the General Ledger Accounts. The Undelivered Orders Listings provide data on month-end obligations and obligations of the prior month.

Dispose of listings 1 year after the end of the quarter covered.

111. Accruals - Monthly Detail Batch Listings. These Accruals Monthly Detail Batch Listings cover the various accruals input information for the accounting system. They include data on such matters as Refunds, Corrections and Miscellaneous Transportation Accruals, Personal Services and Corrections, Leave, Employee and Fringe Benefits Accruals, Accounts Payable, and Adjustments.

Dispose of listings 1 year after the end of the quarter covered.

112. Disbursements - Monthly Detail Batch Listings. These Disbursements Monthly Detail Batch Listings cover the various disbursements input information for the accounting system. They include data on such matters as Personal Services Disbursements, Accounts Payable Disbursements and Other Objects, and Transportation Disbursements.

Dispose of listings 1 year after the end of the quarter covered.

113. Preliminary Cost Statements. These statements are primarily used by the accounting operations branches to establish the accuracy of the entries in the Undelivered Orders and Accruals Monthly Batch Listings stored in the computer. The Preliminary Cost Statement establishes the accuracy of the totals used in the Formal Cost Statements. The Preliminary Cost Statements cite pennies while the Formal Cost Statements are rounded to the nearest dollar. Accordingly, it is useful as a reference for correction of errors, because precise accounting adjustments must be made.

Retire to SHA at the end of every year and transfer to WNRC 1 year later. Dispose when 6 years old.

114. Formal Cost Statements. These are certain numbered cost statements 37, 31, 32, 33, 38, 4, 12, 5, 6, 39, 21, 35, 34, and 36 or equivalent. They contain essentially the same information as the Preliminary Cost Statements. They are prepared by Central Accounting for distribution to the primary operating units served with the sequence of entries arranged in the manner requested by client unit.

- a. Statement Nos. 37, 31, 32, 33, and 38 or equivalent - Retire to SHA at the end of every year and transfer to WNRC 1 year later. Dispose when 11 years old.
- b. All other - Dispose when superseded by a new issue.

115. Personal Services Listings. These listings are by-product listings produced from the Comprehensive Payroll and Master Payroll data stored in the computer. They are used mainly for procedural and production analysis and other managerial purposes. They include various bi-weekly, monthly, and cumulative listing reports involving many different aspects of payrolling such as Personal Services by Employees, Employee Detail Report, Compensatory Leave Earned and Taken, Overtime Report, Health Benefits, and the like.

Dispose when superseded by a new issue.

116. Annual Leave Liability Report. This is a detailed report of the dollar value of unused annual leave by individual employees summarized at the cost center level within bureau as of the end of the fiscal year.

Retire to SHA when 1 year old and transfer to WNRC. Dispose when 3 years old.

117. Accounting Listings. These include the following listings or equivalent:

- Monthly Bridge Report
- Monthly Cash Disbursements
- Monthly Accounts Payable-Other Objects
- Monthly Accounts Payable-Transportation
- Monthly Discrepancies between Payments and Accruals-Other Objects
- Monthly Discrepancies between Payments and Accruals-Transportation
- Monthly Matched Accruals and Payments-Other Objects
- Monthly Matched Accruals and Payments-Transportation

These are by-product listings derived from Undelivered Orders, Accruals, and Disbursements Detail Batch Listings. In general, they are used by accounting operations branches

to make detailed reconciliations and for the preparation of monthly reports. Client units use them for various internal purposes.

Dispose 1 year after the close of the quarter concerned

118. Other Accounting Listings. These include the following listings or equivalent which are produced as needed:

- Project Title File-Other Objects
- Project Title File-Personal Services
- Cost Center Title File
- Appropriation Title File

These are by-product listings of the same nature of those described above.

Dispose when superseded by a new issue.

119. General Ledger Listings. These listings are the books of final entry. They contain a summarization by general ledger account number for a bureau and appropriation. These accounts reflect Undelivered Orders, Accruals, and Disbursements in total.

The General Ledger Listings include the following or equivalent:

- General Ledger Totals by Appropriation
- Journal Vouchers
- Registers
- Monthly Statements of Transactions
- Consolidated Trial Balance

Retire to SHA at the end of every year and transfer to WNRC 2 years later. Dispose when 11 years old.

### Reports

120. Budget and Financial Reports. Included are appropriation warrants, apportionment and reapportionment schedules, budget advices, obligation reports, reimburse-

ment authorizations, transfer of funds from Regional Commissions and Department of Labor to EDA. Also included are reports on budget status, statement of unexpended fund balances of appropriations, statement of financial conditions and statement of income and expenses and source and application of funds.

These papers reflect the funding of EDA from the passage of the appropriation until allotments are made to operating units. The reports include all of those required by other agencies with respect to funding during the period.

Retire to SHA when 2 years old, transfer to WNRC 3 years later, and dispose when 10 years old.

121. EDA Financial Reports. This file consists of copies of periodic financial reports sent to the Treasury Department or OMB and covering program and administrative matters.

a. Final fiscal year balance reports - Retain until no longer needed for current business.

b. All others - Dispose when 5 years old.

122. Annual Community Services Report (AC-27 or equivalent)i This report shows obligations for grants-in-aid and loans and loan guarantees for underprivileged areas and business firms, and is submitted to the community services administration by EDA.

Dispose when 2 years old.

123i Monthly Accrued Expenditures (Planning and Research) Report (AC-28 or equivalent). This report shows obligations and expenditures classified by project number and account code for planning and research for grants and contracts. The printout is forwarded to the appropriate program division which enters manually the accrued expenditures. These are inputted and printed out in the general ledger closing trial balance. The remainder of the entries appear in Status of Funds by Appropriation Reports.

Dispose when 2 years old.

124i Monthly Accrual Expenditures - Public Works Report (AC-33 or equivalent). This shows obligations and the expenditures classified by project number and account codes for public works grants and contracts. The data herein is carried forward and summarized in the general ledger closing balance.

Dispose when 2 years old.

125i Annual Federal Grants-in-Aid to States Report (AC-40 or equivalent). This shows current year expenditures for grants-in-aid to states classified by state and appropriation numbers. This account is a by-product of the AC-08, Status of Funds by Appropriation.

Dispose when 5 years old.

#### Budget Division

The Budget Division shall:

Develop and manage an integrated financial management and budgeting system for EDA. It shall develop and prepare the annual budget for EDA; be responsible for the total financial program of EDA and for the fiscal aspects of EDA programs entrusted to other Federal agencies; and operate a fiscal control system for both program and administrative expenses consistent with the requirements of the Anti-Deficiency Act, which shall include but not be restricted to, allotment of funds, operating budgets, employment limitations, and analyses of reports and proposed actions relating thereto.

126. Budget Estimates and Budget Operations. Documentation of instructions for the preparation of the budget, submissions to the Department, hearings, submissions to the Office of Management and Budget, and to Congress with supplemental estimates, preview estimates, and supporting papers. Also included are internal papers generated to respond to congressional inquiries concerning legislation and budget.

Start a new file every year and retire old material to SHA. Transfer to WNRC 2 years later and dispose when 6 years old.



127. Operating and Administrative Budget. Contains budget submissions from various offices and subdivisions and records pertaining to budget allocations, appropriations, operating budget reviews, and gifts and bequests, together with workpapers and supporting data.

Start a new file every year and retire oldest material to SHA. Transfer to WNRC 2 years later and dispose when 6 years old.

128. Budget Source and Control File. This contains periodic activity, program status, Federal funds, and other reports, surveys and studies collected by budget analysts for use in budget preparation. Similar papers on financial management including descriptions of the appropriation structure, appropriation chronology, program allocations, special problem areas, resource allocations, and the like are generated. The file also contains funds control documentation including warrants, financial plans, allotments, advances, and reimbursements, chart narratives, and similar papers pertaining to the management of funds.

Retire closed cases to SHA every 2 years. Transfer to WNRC 1 year later and dispose when 6 years old.

129. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel actions, budget, space, requisitions for services and other objects, and similar housekeeping requirements.

Start a new file every year and dispose of old file ~~1 year later~~ *when 2 years old.*

#### Information Systems and Services Division

The Information Systems and Services Division shall:

Plan, develop, acquire, and coordinate the use of automatic data processing systems and equipment for EDA; provide data processing services, including the conduct of feasibility studies and the development of systems and programs for the applications of automatic data processing techniques; develop and maintain a comprehensive information and data base system to meet specified requirements for administrative, planning, operational, program manage-

ment, and program evaluation purposes; and provide periodic and special summary reports on current optional trends and performance comparisons to planned goals.

130. Director's Administrative Management and Technical Subject File. This contains incoming and outgoing correspondence pertaining to the executive direction of the Division. Also included are papers concerning the contractual, technical, and reimbursable activities of the Division. Copies of most of the material prepared by all organizational components of the Division are included in this file.

Start a new file every 5 years, retire to SHA 2 years later, and transfer to WNRC 1 year later. Dispose when 10 years old.

131. Contractual and Reimbursable Services File. Documentation of contracts and agreements with private firms and other Government agencies for services and other objects. Also included is documentation of reimbursable services performed for Federal, state and local government agencies with related correspondence and progress reports from contractors. These primarily are in case file arrangement and cases are closed when the contract or agreement is fulfilled and terminated.

Retire closed cases to SHA at the end of every 2 years. Dispose 5 years after termination.

132. Administrative Subject File. These are office copies of papers pertaining to housekeeping matters such as personnel actions, time and attendance reports, budget submissions, space requirements, requisitions for services and other objects. The file also contains a name file for each employee presently on the staff

a. Employee Name File - Dispose upon separation from the Division.

b. All other papers - Dispose when 2 years old.

133. Work Plan File. Documentation of planning and coordination of technical tasks and assignments undertaken by the Division and of the utilization of specialized personnel and contracts to accomplish established

goals. Included are some papers on contracts with individuals and firms that may be used as sources of capability needed by the Division to implement its activities.

Start a new file every 2 years and retire to SHA 1 year later. Dispose when 5 years old.

134. Program Tapes A program tape contains a sequence of instructions to a computer to make it perform in a desired manner.

Maintain in ISSD tape library on a 2-generation basis, until no longer needed for current business or until superseded, whichever comes first.

135. Documentation Manuals. Documentation manuals include the System Reference Book, Program Reference Book, User Reference Book, and Operations Run Book.

Dispose of 1 year after discontinuance of the system involved.

136. Weekly Tape List. This list provides information on "Administrative Systems Quick Query Program Tape Files" that are scheduled for update on a weekly basis. Specified for each file are (1) name of file; (2) date that file was created; (3) "data as of date" which is the current date of the data used to update the file; (4) acronym for production system that generates the file; and (5) file's tape reel number(s).

Maintain on a 16-generation basis.

137. Input Data Punch Cards. These input data cards are used to update tape files of various production systems. The machine readable punch cards are keypunched from source documents prepared by EDA Headquarters and EDA Regional Offices and submitted to ISSD for processing. For each production system, the punch cards are used to update transaction files which are maintained on a 4-generation basis.

Dispose of a deck of input data cards when the transaction tape that it was used to update has been scratched.

138i Coding Forms and Associated Punch Cards (excluding QQP forms and cards)i. Various types of coding forms are used to record computer instructions, parameters associated with computer instructions, data used with program testing, etc. Recorded information on a coding form is keypunched to produce machine readable punch cards.

Dispose of coding forms and associated punch cards after satisfactory computer processing with the cards and additional processing with the cards is not anticipated.

139. Operating System Tapes. The operating system is the software package to simplify and control computer housekeeping such as input-output functions; sort-merge functions, compilation functions, booting functions, etc.

Maintain in ISSD tape library on a 4-generation basisi

140. Input Source Documents. These source documents are prepared by EDA Headquarters and EDA Regional Offices. Data from the documents are keypunched to produce machine readable punch cards used for updating data filesi It is planned to enter data also by remote terminals. These source documents include, but are not limited to:

<u>Source Document Identification</u>	<u>Disposition after data has been successfully written to tape</u>
a. ED-2, EDA Application Transcript	Dispose of after 3 months
b. ED-4, EDA Project Narrative Transcript	Dispose of after 3 months
c. ED-65, A. Loan Account; B. Accounts/Notes Receivable; C. Judgment	Retire to Accounting Div.
d. ED-66i Acquired Property Record	Retire to Accounting Div.
e. ED-67, Miscellaneous Accounting Transaction Records for Appropriated Funds	Retire to Accounting Div.

Source Document Identification	Disposition after data has been successfully written to tape
f. ED-636, Miscellaneous Accounting Transaction Records for Appropriated Funds	Retire to Accounting Div.
g. ED-154, Public Works Con- struction Status Tran- script	Dispose of after 3 months
h. ED-227, OBD Loan Summary-1	Retire to OBD
i. ED-228, OBD Loan Summary-2	Retire to OBD
j. ED-229, OBD Loan Summary-3	Retire to OBD
k. ED-705, Geographic Data Master Transcript*	Dispose of after 3 months
l. ED-706, District Transcript	Dispose of after 3 months
m. ED-746, Local Public Works Payroll Reporting Form	Dispose of after 18 months
n. ED-747, Identification of LPW Evaluation Represent- ative Contractors and Subcontractors	Dispose of after 18 months
o. Other Special Input Forms	Dispose of after 18 months

\*For backup, maintain each Memorandum of Designa-  
tion for a period of 2 years before disposing of it.

141. RESERVED.

142. Directory of Geographic Codes. This directory  
specifies geographic codes including codes for states,  
counties, districts, and areas.

Maintain at ISSD and replace as updated.

143i Quick Query Program Coding Forms and Associated Punch Cards. Recorded information on Quick Query request forms is keypunched to produce machine readable punch cards. A deck of these punch cards is used in conjunction with the Quick Query software package to produce a Quick Query report displaying requested data.

- a. Dispose of coding forms after satisfactory computer processing with the cards or dispose of forms at a later date as designated by the individual having recorded information on the coding forms.
- b. Dispose of cards for a one-time Quick Query request 1 month after the request has been satisfied. Dispose of cards for a recurring Quick Query Request 6 months after termination of the requirement to produce the report on a recurring basis.

144. Management Information System Reports. These computer-generated reports display EDA project data, EDA accounting data, and socio-economic data.

Maintain current copy of reports and dispose of when superseded.

145. Magnetic Tape Files. ISSD maintains in its tape library (TL) the tapes for accounting for the various grant and loan programs of EDA. Such tapes include:

- a. Geographic Data Master (Update weekly)  
Maintain in TL on a 5-generation basis.
- b. Project Data Master (Update weekly)  
Maintain in TL on a 5-generation basis.
- c. Project ARA Data Master (Update on a demand basis) - Maintain in TL on a 3-generation basis.
- d. Business Development Loan Master (Update monthly)  
Maintain in TL on a 5-generation basis.
- e. Public Works Master (Update weekly)  
Maintain in TL on a 5-generation basis.

- f. Fund Control Master (Update weekly)  
Maintain in TL on a 5-generation basis.
- g. Fund Control Transaction Master (Update weekly)  
Maintain in TL on a 5-generation basis
- h. Loan Accounting Master (Update weekly)  
Maintain in TL on a 5-generation basis
- i. Loan Accounting Transaction History Master  
(Update weekly) - Maintain in TL on a 5-generation basis
- j. Socio-Economic QQP Master Files (Update on a demand basis) - These QQP files include COUNTY, MERGE, SMSA, CITY; COUNTY.60PC, CountyBP.XX, and INCOMEi - Maintain in TL on a 3-generation basis
- k. Subset or Quick Query Tapes A number of reports are produced from subset tapes created from one or more master files - Maintain in TL for 15 generations. Scratch tape when there is no demand for its use.
- l. Transaction Update Files. A transaction tape is used in the update processing of each master file identified in (a) through (h) above. In the update process, data from punch cards are transferred to a transaction tape from which the data are transferred to the master file being updated.

For each master file identified in (a) through (h) above, maintain a set of transaction tapes on a 5-generation basis, with the following exceptions:

- (1) Tapes from which Annual Reports or Approved Project Directories are produced are to be maintained until no longer needed for current business
- (2) Tapes pertaining to Basic Local Public Works, Title X, PWIP, Drought, or other special programs should be retired to SHA for transfer to WNRC when no longer needed for current business on site. Dispose of 5 years thereafter.

## Management Analysis Division

The Management Analysis Division shall:

Conduct organization and management studies and surveys; plan and conduct a program for achieving maximum economy, effectiveness, and efficiency, and for obtaining optimum personnel utilization; develop and conduct a program for the efficient management of all official records, including an issuance system for administrative and program orders; and the design and control of official forms; and develop and administer a report control system for all administrative and operational reports.

146. General Correspondence File. Contains copies of incoming and outgoing correspondence pertaining to all facets of the staff management activities of the office. Also included are suggestions for improvements, draft proposals and some copies of reports, surveys, and studies

Start a new file every 3 years, retire to SHA, and dispose ~~5 years later~~ *when 10 years old.*

147. Reports, Surveys, and Studies File. This contains copies of reports, surveys, and studies generated or collected by the Division. They are essentially duplicated by copies maintained elsewhere for long-term purposes.

Start a new file every 3 years, retire to SHA, and dispose ~~5 years later~~ *when 10 years old.*

148. Management Organizational File. Contains incoming and outgoing correspondence relating to various management situations and problem areas, studies, functional and organizational statements, and general over-the-counter business requiring management analysis.

Start a new file every 3 years, retire to SHA, and dispose ~~5 years later~~ *when 10 years old.*

149. Functional Forms File. Contains copies of all EDA forms in use, arranged by function used, for forms design review and management purposes.



Dispose of individual items or folders when superseded or no longer needed for current business.

150. Management Subject File. Incoming and outgoing correspondence pertaining to specific management areas and problems such as conference planning and management, directives system, and certain emergency situations.

Start a new file every 2 years, retire to SHA, and dispose ~~3 years later~~ *of the 5 years old.*

151. Project Improvement Reports. Copies of reports that list projects with target dates designed to improve management. Included are the action papers to implement the project or improvement.

Retire to SHA when 3 years old and dispose *of the 6 years old.*  
~~3 years later.~~

152i Manual of Economic Development Directives Case Files. A case file is established for each Manual of Economic Development Administration Directive (EDAD) formerly called MEDO's and contains all background papers pertaining to the development of each such directive and at least one printed copy of each version issued, if any.

Permanent. Retire closed cases to SHA every year Transfer to WNRC 5 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

153. Equal Employment Opportunity Complaint Investigation File. Case files pertaining to individual complaints involving fair employment practices. The file copy of such complaints is maintained in the Office of the Secretary.

Dispose of closed cases 2 years after action on the complaint is completed.

#### Office Services Division

The Office Services Division shall:

Provide or arrange for office services for EDA's headquarters and, as required, for the Regional Offices, including the procurement of administrative supplies, vehicle hire, furniture, equipment, and the distribution of printed and bound materials; evaluate, report on, and make recommendations on the utilization of space, supplies, equipment, communications, and related services within EDA; and serve as liaison with the Office of the Secretary on office services matters.

154. Administrative Subject File. These are office copies of papers on matters such as time and attendance, air pollution, office copies of contracts, Interagency Motor Pool, fire prevention, GSA work authorizations, parking, training, personnel actions, requisitions for services, and other similar housekeeping requirements.

Dispose when 2 years old.

155. Personnel Locational Roster. These are copies of worksheets filled out by each office and division giving information needed for inclusion in the Telephone Directory.

Dispose 3 months after issuance of Telephone Directory.

156. Field Office Space File. These are copies of GSA space assignment records for EDA field installations and the allocation of space at each location and related papers.

Dispose 6 months after change of location or closing of installation.

157. Building Floor Plans. These are copies of floor plans of the Main Commerce Building and other buildings occupied by EDA on which space allocation and other space management data are drawn or entered.

Dispose when superseded by more current data shown on the floor plans.

158. Completed and Uncompleted Supply Equipment or Service Orders. These are office copies of purchase orders. The procurement copy is forwarded to the Procurement Divi-

sion, Office of Administrative Services and Procurement, Office of the Secretary. Copies of these orders are kept in a binder until the Procurement Division, OAS&P, assigns them a purchase order number, at which time they are filed in the completed order file. A log is kept of all orders sent to the Procurement Division and the number assigned to the order is entered when issued.

Dispose when 2 years old.

159. Inventory of Typewriters, Adding and Calculating Machines, Reproduction Machines, and Other Office Equipment. This is a visible card inventory of equipment showing name of item, serial number, requisition number, Purchase Order Number, date received, model number, characteristics of items, cost, and location. Furniture and furnishings are accounted for by computerized system.

- a. Dispose of individual cards when subject equipment is disposed of.
- b. Computerized records - Dispose of when equipment is no longer in inventory.

160i Field Office Personal Property Inventory. These are copies of correspondence, accountable property inventory, serialized lists of personal property, and the like.

Dispose when superseded by new accountable property inventory.

161. Printing Requisitions. Office copies of Requisitions for Printing. The procurement copy of these requisitions are maintained in the Office of Publications, Office of the Secretary.

Dispose of when 2 years old.

162. Loaned Excess Property Case Files. These are case files reflecting the extended loan of excess property to authorized grantees. The files consists of such papers as SF-122, Transfer Order, Excess Personal Property; ED-733, Request for Excess Property; ED-734, Master Agreement, and other related papers.

Retire closed cases to SHA each year.

Dispose of ~~5 years thereafter~~ *when 6 years old.*

162a. Employee Accident Reports. Consists of records involving reporting of employee accidents.

Dispose of when 5 years old.

162b. Employee Applications for Motor Vehicle Operator's Card. Applications from employees for authorization to operate government vehicles.

Dispose of when reissued at end of 3 years or upon employee's termination of employment.

163. EDA Surplus Property Case Files. These case files reflect the disposition of surplus property and consist of Form CD-51, Report of Excess Property, and related papers. The files are duplicated by the record copy maintained by the Office of the Secretary.

Dispose of 3 years after disposition of property.

#### Program Analysis Division

The Program Analysis Division undertakes evaluations to: (1) measure the effectiveness of programs and individual projects funded by the agency in terms of alleviating economic distress in specific target areas, identify causal relationships impacting these programs and projects, determine the cost/benefit relationships of such programs and projects, and, on the basis of the foregoing, develop recommendations aimed at increasing the impact and effectiveness of agency funding; (2) determine what steps might be taken to improve program administration within the agency and improve coordination among agency programs; and (3) determine the extent to which the results of specific programs and projects can be transferred to similar programs or projects.

164. Program Analysis Subject File. This file mainly reflects the conducting of program evaluation studies by the office on the effectiveness of various EDA programs, grants, loans, and projects, as well as special analytical assignments for which the office is responsible. Included are papers concerning proposed or completed evaluations conducted by contractors as well as by EDA personnel. Typical subjects include Conferences, Bureau of Labor Statistics, Field Survey Reports, Work Programs, EDA Budget Concept, and the like. Arranged alphabetically by subject topic.

Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose when 10 years old.

165. Evaluation Studies Report Files. The file consists of case folders documenting the evaluation studies carried out by the Division, either by Division personnel or by contractors. Such study reports, correspondence, and related papers provide a measure of the effectiveness of the selected EDA programs or projects covered. The reports provide an excellent source of historical insight into the workings of EDA programs.

Permanent. Retire to SHA 2 years after completion of final report. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafteri

166. Evaluation Studies Working Papers. This file consists of working and background papers of evaluation studies separated from the case file documentation maintained under the previous item. These papers can include data collection materials, statistical and other data analysis materials, transitory correspondence, and extra copies of documents pertaining to the study from official files of EDA.

Dispose of 6 months after issuance of final report.

167. Administrative Subject File. These are office copies of papers pertaining to such matters as time and attendance, personnel actions, travel, budget, space, contracts, requisitions for services, employee folders, and similar housekeeping activities.

a. Applications for employment - Send successful applications to the Office of Personnel.  
Return unsuccessful applications to senderi

b. All other materials - Dispose of when 2 years old.

168. Chronological Files. The files consists of extra copies of materials, arranged by date, prepared in the Division.

Dispose of when 3 years old.

OFFICE OF THE CHIEF COUNSEL

The Office of the Chief Counsel shall:

Render all necessary legal services, subject to the provisions of Department Organization Order 10-6; have primary responsibility for the preparation, coordination, and clearance of all legislation, regulations, and external orders subject to the provisions of applicable Department orders; and establish uniform overview standards and procedures to be followed by the Regional Offices; legal staff in their review of projects under Sections 101 and 201 of the Act.

~~WITHDRAWN~~

169i Legal Subject Filei This file contains copies of documents pertaining to legal affairs of EDA, including certain opinions of legal matters as required by the program. The file basically reflects the responsibilities of the Chief Counsel and the Deputy Chief Counsel; although certain copies of important opinions and other legal documents prepared in the divisions may be included; Arranged alphabetically by subject.

~~Permanent. Start a new file every 5 years. Retire to SHA when no longer needed for current business. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.~~

170. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

171. Chronological File. The file consists of chronologically filed copies of documents signed or prepared by the Chief Counsel or Deputy Chief Counsel.

Dispose of when 5 years old.

Assistant Chief Counsel for Field Operations

172. Legal Subject File. This file, basically arranged by Titles of the Public Works and Economic Development Act of 1965, as amended, and also by various special programs undertaken by EDA, reflects the legal review function of the Assistant Chief Counsel in passing on projects carried out in the Regions. It includes such subjects as Opinions, Titles I, II, III, IX, X, Drought Program, Regional Offices, Grants, Post-Approval, Trade Act, Feasibility Studies, and Relocation Assistance.

Break file every 5 years, and bring forward active materials, as needed.

a. Opinions - Permanent. Retire to SHA upon discontinuance of agency for transfer to WNRC. Offer to the National Archives 20 years thereafter.

b. All other records - Retire to SHA when no longer needed for current business. Transfer to WNRC 1 year thereafter. Dispose ~~10 years thereafter~~ *when 25 years old.*

173. Project Legal Review File. This file consists of project review checklists completed by attorneys, copies of pertinent opinions, and related data generated in the course of reviewing Regional projects prior to agency approval, with related papers.

Retire to SHA when no longer needed for current business. Transfer to WNRC ~~1 year later.~~ Dispose of ~~10 years thereafter~~ *when 25 years old.*

Assistant Chief Counsel for  
Litigation and Liquidation

174. Project Closing and Servicing Subject File. These are copies of papers pertaining to the legal review of distressed projects to assure either fulfillment of all requirements of the loan or grant or that there has been some non-compliance or some other violation or circumstance causing the project to fail. Also included are

copies of papers pertaining to legal service or closed projects that may or may not lead to their reactivation, but in any event to prescribe steps to protect the interests of the government. All of these papers are essentially duplicated in documents in the project case files.

Start a new file every 2 years and retire to SHA when no longer needed for current business. ~~i Dis~~ *transfer down sec.*  
~~Dis~~ pose of ~~5 years~~ *when 25 years old.* thereafter.

175. Litigation and Liquidation Case File. Documentation of foreclosure, bankruptcy, and other actions necessary to protect the government's interest involved in distressed projects. Each case contains all papers pertaining to the action from initiation through conclusion. Close the case when the transaction is concluded and file separately.

Retire closed cases to SHA when no longer needed for current business. Transfer to WNRC 2 years later.

- a. Retain Samples (See Page 166).
- b. All others - Dispose 15 years after the case is closed.

176. General Litigation Case Files. Documentation of cases that are not related to a project that cover a general action brought by EDA to protect the interest of the government or one initiated by a private party against the government. Each case contains all papers from initiation of the action through its conclusion.

Retire closed case files to SHA when no longer needed for current business. Transfer to WNRC 2 years later.

- a. Retain Samples (See Page 166).
- b. All others - Dispose 15 years after the case is closed.

177. Summary of Matters in Litigation. This is a docket of all cases handled by the Division showing the date received, project or adversary's name, titles of pro-



ceedings and/or court, date filed, issues, status, and the attorney assigned the case.

Retire sheets on which all entries have been concluded to SHA at the end of every 5 years. Transfer to WNRC 1 year later. Dispose of ~~15 years thereafter.~~ *when 20 years old.*

Assistant Chief Counsel for  
Administration and Legislation

178. Legal Subject File. The file consists of materials reflecting the providing of legal services to EDA covering legislation and administrative matters. It contains such subjects as Bid Protests, Civil Rights, Legislation, Environment, Budget, Appropriations, Personnel, and other similar-type administrative management subjects.

Break file every 5 years and bring forward active materials as needed. Retire to SHA 3 years thereafter. Transfer to WNRC 1 year later. Dispose of ~~10 years thereafter.~~ *when 20 years old.*

179.i Legislative History of the Public Works and Economic Development Act of 1965, As Amended. The file consists of selected materials providing historical documentation of this basic Act authorizing the EDA program. The material is maintained in three-ring binders, and is basically arranged by year.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

180. Legislative Files. Contains copies of bills, hearings proposed and pending legislation, legislative reports with related comments, interpretations and legal opinions pertaining to such items. Arranged basically by Congress, and by legislation thereunder.

- a. Opinions and Legislative Precedent Materials -  
Permanent. Retire to SHA when no longer needed

for current business. Transfer to WNRC 2 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

- b. All other materials - Retire to SHA upon adjournment of the third successor Congress. Dispose upon adjournment of the fourth successor Congress.

181. Conflict of Interest File. Documentation of conflicts of interest by private individuals and organizations with copies of reviews and legal opinions prepared by the Assistant Chief Counsel.

Dispose when 25 years old.

#### OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs shall:

Advise on all public information matters; conduct a public information program under the policy guidance of the Assistant Secretary; and provide assistance in the editing, printing or reproduction, and distribution of technical materials and publications.

182. Job Jackets. When each project is completed a summary sheet is forwarded to the Office of Public Affairs and a press release is prepared with appropriate letters to Congressmen, and held in job jacket until the project is finally approved. The residual papers include a copy of the press release, correspondence, draft, and related papers for each project. Copies of press releases are retained in the record set in the Newsroom, Office of the Secretary.

Start a new file every year, retire to SHA when 2 years old, and transfer to WNRC 2 years later. Dispose when 10 years old.

183. Biographical Statements. These are short biographic resumes of senior officials of EDA used for news purposes, introductions at meetings and public appearances.

Retire two copies of sketches of separated officials to SHA at the end of every year. Dispose 4 years lateri

184. Press Releases. The file consist of EDA press releases issued by the Office.

- a. Send two copies of each release issued to the Newsroom, Office of the Secretary for inclusion in that Officials record copy set.
- b. All other copies - Dispose of when 5 years old.

185. Speeches, Testimonies, and Statements by the Assistant Secretary. Speeches and statements made or given before public forums and testimonies to Congressional committees.

- a. Send two copies to the Office of the Secretary for inclusion in the record copy set maintained there.
- b. All other copies - Dispose of 5 years after a change of Assistant Secretary.

186. Speeches, Testimonies, and Statements of EDA Officials Other Than the Assistant Secretary. These are copies of public utterances of such officials.

- a. Send two copies of the Office of the Secretary for inclusion in the record copy set maintained there.
- b. All other copies - Dispose of 5 years after a change in National Administration.

187. EDA In-House Newspaper. Records pertaining to the periodically issued in-house newspaper featuring items of interest to EDA employees and othersi

- a. Record copy set - Permanent. Retire a record copy of each issue to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

b. All other records - Dispose of when 5 years old.

188. Mailing Lists. The file consists of strip lists of names and addresses of recipients of press releases and other EDA published materials.

Purge inactive strips from lists as needed.

189i Biographical Sketches of Members of National Advisory Committee for Economic Development. These are biographical sketches of the membership comprising this Advisory Committee

Dispose of sketches 1 year after separation from the Committee.

190. Public Affairs Subject File. Documentation created and collected by the Office pertaining to the performance of its functions with associated reference materials.

Dispose when 2 years old.

191. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel actions, budget, space, requisitions for services and other objects, and similar housekeeping requirements

Dispose when 2 years old.

#### Publications Division

192. Record Copies of EDA Publications. This comprises two copies of each publication produced by EDA for external distribution. This does not include manuals, directives, and other issuances for the executive and administrative direction of EDA. Arranged by title.

Permanent. Retire two copies of each publication produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

193. Qualified Areas Map File. Record copies of maps showing in color the various areas designated as qualified to receive EDA assistance. These maps document pictorially the EDA programs. Arranged by state.

Permanent. Retire one copy of each version produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

194. District Map File. Record copies of maps showing EDA districts created for purposes of management. One district may include several qualified and unqualified areas. Arranged by district.

Permanent. Retire one copy of each version produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

195. Photo Library. These are glossy photographs of persons, events, sites, and scenes of significance of the development of EDA and its programs. These are accumulated for illustration of publications and other purposes.

Dispose when no longer needed for current business.

196. Requests for Publications and Information. Incoming requests for publications and information with copies of replies.

Dispose when 1 year old.

197. Printing Requisitions. These are ordering office copies of requisitions for printing jobs and services.

Dispose when 2 years old.

198. Printer's Reproducibles. These are photo offset negatives and other types of plates used to print EDA publications and glossy photographic illustrations.

a. Photographs - Withdraw from jacket and return to the photo library.

b. Other materials - Dispose when 2 years old.

199. Operating Subject File. Documentation of the internal direction and activities of the office including correspondence, reports, personnel papers, technical data, and a chronological file.

Dispose of individual file folders containing obsolescent or superseded material.

200. Freedom of Information Request File. The file consists of incoming correspondence, copies of replies, and background materials relating to the answering of Freedom of Information Act requests.

Dispose when 5 years old.

#### OFFICE OF CONGRESSIONAL RELATIONS

The Office of Congressional Relations shall:

Advise on all Congressional matters pertinent to the activities under the direction of the Assistant Secretary; and serve as the primary point of coordination for continuing liaison with the Congress in collaboration with the Counsellor to the Secretary for Congressional Affairs.i.

201. Project Approvals. These are announcements of projects that have been approved sent to Congressmen, Governors, and EDA Regional Directors, as appropriate. Also included are copies of press releases, reports of telephone conversations with a congressman, copies of telegrams, and receipts for the announcements.

Retire files for one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change in the National Administration. Dispose of 3 years later.

202. Designations File. Copies of designations, approved by the Assistant Secretary, making a specified county or area eligible for EDA assistance with related reports of telephone conversations, letters to local officials and congressmen, night letters to Governors, and related recordsi

Retire files of one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change in the National Administration. Dispose when 5 years old.

203i Project Denials Copies of announcements sent to Congressmen of a denial of a project by the Assistant Secretary and/or Regional Directors with related reports of telephone conversations.

Retire files to one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change of the National Administration. Dispose when 5 years old.

204. State Files. Correspondence with state officials and copies of replies to inquiries from a constituent referred by a Congressman.

Retire the file for one session of Congress at the end of each fiscal year to SHA. Dispose ~~1 year later.~~ *John 5 years old.*

205. Congressional Correspondence Name Files. This is incoming and outgoing correspondence with Congressmen, including reports of telephone conversations. Arranged alphabetically by name of Congressmen.

Retire the files for one session of Congress at the end of each fiscal year to SHA and transfer to WNRC 1 year later. Dispose when 5 years old.

206. Operating Subject File. This is comprised of copies of reports, authoritative issuances, memorandums, and related documents created or collected by the Office. Arranged alphabetically by subject or name of individuals.

Start a new file every 2 years and retire to SHA 1 year later. Dispose ~~2 years later.~~ *John 5 years old.*

207. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel actions, budget, space, requisitions for services and other objects, and similar housekeeping requirements.

Dispose when 2 years old.

## OFFICE OF CIVIL RIGHTS

The Office of Civil Rights shall:

Advise the Assistant Secretary in the development and implementation of policy and guidance affecting equality of opportunity connected with economic development programs;

Maintain liaison with Federal, State, and local governmental organizations and with non-governmental organizations to coordinate and assist in planning operations aimed at achieving nondiscrimination and equality of opportunity;

Provide leadership, staff services and advice in matters affecting nondiscrimination to economic development program units, to organizations obligated as participants in an economic development program to achieve nondiscrimination, and to ultimate beneficiaries of economic development program activities;

Conduct, sponsor, or coordinate meetings, conferences, and training courses for equal employment specialists, program managers, and executives to achieve nondiscrimination in economic development programs;

Establish effective systems throughout EDA to obtain and monitor reports concerning the program of equality of opportunity and assure conformance thereto;

Establish report requirements to insure equality of opportunity by participants in economic development programs, conduct on-site inspections, and receive, investigate and adjust complaints;

Receive, investigate, review and adjust complaints, and evaluate EDA experience relating to the Equal Employment Opportunity program and make recommendations to the Assistant Secretary for improvement of employment practices within EDA; and

Establish uniform overview standards and procedures to be followed by the Regional Offices' Civil Rights staffs in their review of projects under Sections 101 and 201 of the Act.



208. Civil Rights Subject File. The file consists of documentation pertaining to the implementation and operation of the Civil Rights program of EDA to insure the appropriate compliance of EDA grantees or other parties involved in EDA programs. The file includes correspondence generated by the Director or Deputy Director of the office relating to the legal, organizational, and other activities of the office with departmental officials and other agenciesi

Start a new file every 2 years. Bring forward active material, as required. Retire to SHA 1 year later. Dispose of ~~.5 years later~~ *8 years old.*

209i Equal Employment Monthly and Other Periodic Activity Reports. The file consists of monthly and other periodic activity reports received from Regional Offices that narratively summarize program activities for the period. The file can also include certain special non-periodic reports received.

Dispose when 10 years old.

210. Administrative Subject Files. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activities.

- a. Applications for employment - Send successful applications to the Office of Personnel.  
Return unsuccessful applications to sender.
- b. All other records - Dispose of when 2 years old.

211. Post-Award Compliance Case Files. These are copies of investigations of projects with a final report of findings and review of the project for civil rights program compliance.

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose when 10 years old.

212. Complaint Investigation Case Files. These files consist of documentation of civil rights complaints filed by individuals or groups against EDA grantees or other parties, and findings of the office with respect to the complaintsi

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose of when 10 years old.

213. Equal Opportunity Reports Under EDA Directives 7.04, 7.05, and 7.06. These files consist of pre-approval reports of the office as to the proposed compliance with EDA civil rights standards of prospective grantees or other parties. The reports are based on information furnished by the prospective grantees or other parties prior to approval of an EDA project. Many of these reports are also prepared in the Regional Offices.

Retire closed cases to SHA 5 years after closure. Dispose of ~~7~~ years later *after closure.*

214. Ten Percent MBE Subject File. The file consists of correspondence and related documents, other than particular compliance cases, pertaining to the enforcement of the ten percent minority business requirements in local public works projects. The file includes copies of agreements with OMBE, SBA and other agencies, technical assistance contracts with private organizations, and related records.

Start a new file every 5 years. Bring forward active materials, as required. Retire to SHA 1 year later. Dispose of ~~4 years later~~ *then 10 years later*  
*Transf. to SHA.*

215i Ten Percent MBE Complaint and Investigation Case Files. These files consist of complaints filed by individuals or groups against EDA grantees or other parties; as to compliance with the ten percent minority business requirements, and the findings of the office with respect to the complaints.

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose of when 10 years old.

216i Working Paper Files of Specialists These files consist of extra copies of documents and other working papers accumulated by various specialists of the office pertaining to the civil rights program of EDA.

Dispose of when no longer needed for current business.

DEPUTY ASSISTANT SECRETARY FOR ECONOMIC  
DEVELOPMENT POLICY AND PLANNING

The Deputy Assistant Secretary for Economic Development Policy and Planning is the principal adviser to the Assistant Secretary on matters of overall EDA policy and development planning; including the development, recommendation, and formulation of EDA policy strategy and initiatives, and policies for improving Federal, state, and local government economic programming. Through the offices reporting to him, the Deputy Assistant Secretary shall:

Coordinate and direct EDA economic development planning activities relating to regions, districts (including economic development centers), redevelopment areas, and other areas of substantial needs;

Formulate and recommend to the Assistant Secretary standards and criteria for administration of economic development planning by Regional Offices;

Exercise responsibility for EDA's interagency and inter-governmental relations and its relations with those quasi-public and private agencies interested in economic development for districts and areas;

Recommend designation of economic development districts, economic development centers, redevelopment areas, and Title I areas which fulfill the statutory criteria;

Conduct an annual review of the areas and districts designated for assistance under the Act, and recommend such modifications or terminations of eligibility as may be appropriate;

Provide economic data, analyses and studies, and planning grants to development districts and areas; and

Recommend technical assistance proposals for areas and districts.

The Deputy Assistant Secretary for Economic Development Policy and Planning shall direct and supervise the following organization elements: the Office of Planning and Program Support, the Office of Economic Research, the Office of Development Organizations, and the Office of Policy Development and Coordination.

Office of the Deputy Assistant Secretary  
for Economic Development Policy and Planning

217i Program Planning and Policy Coordination Subject File. The file consists of incoming and outgoing correspondence and related papers generated by the Deputy Assistant Secretary for decision-making purposes with respect to policy, planning, legal requirements, and executive direction of the operations of the Office. As such it serves to document this important aspect of the EDA economic development program including planning and local public works or other programs, coordinating intergovernmental relationships in the overall governmental economic development effort, planning for urban economic development, the designation of economic development areas or districts, and the like. The file is arranged alphabetically by subject.

Permanent. Start a new file every 3 years.  
Retire to SHA 1 year later. Transfer to WNRC  
2 years later. Offer for transfer to the  
National Archives 20 years thereafter.

218. EDA Policy Council File. The Deputy Assistant Secretary is responsible for maintaining the record copy of the records pertaining to activities of the EDA Policy Council. This Council, which was established in 1977, consists of the top administrators and officials of EDA. It meets weekly to establish policies governing important matters facing the EDA in implementing its programs. The file consists of copies of minutes of meetings, recommendations, and background materials relating to matters under the purview of the Council. It is maintained in three-ring binders, and is arranged chronologically by meetingi

Permanent. Retire to SHA when 3 years old.  
Transfer to WNRC 2 years later. Offer to transfer to the National Archives 20 years thereafter.

219. Project and Task Assignments File. This consists of copies of instructions and specific work assignments given to the various organizational subdivisions of the Office of the Deputy Assistant Secretary. Also included are copies of the papers generated by the respective subdivisions concerning each of the projects, tasks, or assignments.

Start a new file every 3 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose when 10 years old.

220. Administrative Subject File. These are office copies of papers on matters such as budget, personnel actions, requisitions for services, space, time and attendance, travel, and similar housekeeping activities.

a. Applications for employment - Send successful applications to the Office of Personnel.  
Return unsuccessful applications to sender.

b. All other records - Dispose of when 2 years old.

221. Reading File. The file consists of copies of documents generated by the Office arranged chronologically.

Dispose of when 5 years old.

222. Intergovernmental Affairs Subject File. Documentation of programs conducted at all levels of government to combat economic underdevelopment and unemployment in distressed areas. More specifically, the papers described the total available program resources and how they are directed and used by other elements of government in relation to the EDA program efforts. The prime content of the file pertains to intergovernmental coordination to achieve a position where the program of one concerned agency reinforces related programs of all other agencies involved. Much of the documentation concerns coordination and integrated programming and planning multi-jurisdictional organizations. These efforts are oriented to the national picture and not restricted to the EDA mis-

sion. The papers are arranged under primary subject headings including: Commerce Staff, EDA Offices, Special EDA Research Material, Public Interest Groups, Interagency Commissions, Consultants, Other Government Agencies, State Files, Legislative and Administrative Guidelines, and others. The file is arranged alphabetically by subjects.

Permanent. Start a new file every 5 years.  
Retire to SHA 1 year later. Transfer to WNRC  
2 years later. Offer for transfer to the  
National Archives 20 years thereafter.

223. Government Programs Coordination Subject File. The file consists of papers of an operational nature concerning day-to-day coordination efforts in carrying out EDA programs as they relate to other government agencies also concerned with economic development. It includes materials on various projects, routine congressional correspondence, and special programs of EDA such as the Indian program, growth centers, rural development, environmental matters, revenue sharing, state and local planning, and the like.

Start a new file every 5 years. Retire to SHA  
1 year later for transfer to WNRC. Dispose of  
when 10 years old.

224. Southern Oklahoma Development Association (SODA). Documentation of a Federal demonstration program for program development participated in by eleven Federal departments and agencies engaged in the subject area. The project is based on a memorandum of agreement between the participating agencies which designates EDA as the lead agency, and serves as an excellent model of the coordination efforts involved in carrying out a major economic development project. Arranged basically alphabetically by subject.

Permanent. Retire to SHA upon final completion.  
Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

225. Model Cities Program File. Contains papers generated from the time that a city becomes interested in designation as a model city within the meaning of the program through two or three years of successful project

operation. The file includes a quantity of technical material and some record program papers. The program papers provide data on EDA policy and participation in the program which is coordinated by the Department of Housing and Urban Development. The file also includes case files on certain model cities arranged by name of city.

- a. Technical papers - Dispose when superseded or when they have served their purpose.
- b. Program papers - Permanent. Retire to SHA upon completion of the program. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

226. Committee Management File. Documentation generated by the EDA Committee Management Officer pertaining to the Administration of Committees on which EDA is represented or in which it has a special interest. Departmental interagency and advisory committees are included. More specifically, the papers deal with the evaluation, discontinuance, termination of designations and the membership of the various bodies. When a committee is discontinued, the case file is closed.

Retire closed case files to SHA at the end of every 10 years. Transfer to WNRC 2 years later. Dispose when 25 years old.

227. Working Papers File. The file consist of working papers maintained by staff members, consisting of extra copies of documents, drafts, and other working papers retained for convenience

Dispose when superseded or no longer needed for current business, whichever comes sooner.

#### OFFICE OF POLICY DEVELOPMENT AND COORDINATION

The Office of Policy Development and Coordination shall:  
Serve as the principal adviser to the Deputy Assistant Secretary. Planning of all policy matters affecting the mission, objectives, and goals of EDA;

Develop, recommend, and coordinate the formulation of overall EDA policy strategy;

Exercise responsibility for EDA's interagency and inter-governmental relations and its relations with those quasi-public and private agencies interested in economic development;

Develop policies for improving Federal, State, and local government economic development programming;

Provide staff assistance in defining policy issues, coordinate the development and formulation of policy for consideration by the Assistant Secretary; and exercise principal staff responsibility for policy review and evaluation.

Coordinate and manage EDA's representation on interagency committees;

Review and evaluate legislative and administrative proposals related to economic development and intergovernmental relations and substantive policy implications;

Maintain liaison and interagency coordination, on policy matters, with the Office of Management and Budget; and

Coordinate and assist in the formulation of policy development efforts undertaken by the various program units of EDA.

228i Policy Development and Coordination Subject Filei  
The file consists of materials maintained by the Director and immediate assistants documenting the basic function of policy development and coordination. It covers such matters as: presentation of policy options to the EDA Policy Council; maintaining relationships with other governmental agencies concerned with economic development; development of the National Development Bank; overcoming capital gaps; urban problems; rural development activities; coordination of EDA representation on committees; legislative proposals; liaison with the Office of Management and Budget; and review of proposed policy statements and the like. The file, in effect, provides documentation of the activities involved in formulating



or reviewing policy options for the various economic development programs carried out by EDA. Arranged alphabetically by subject.

Permanent. Break file every 3 years and bring forward active materials to the new file. Retire to SHA 1 year thereafter. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

229. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel actions, budget, space, requisitions for services or supplies, and similar housekeeping activities.

Dispose when 2 years old.

230. Chronological File. The file consists of a copy of documents prepared in the Office, filed by date.

Dispose of when 3 years old.

231. Technical Reference File. Contains printed or processed copies of background materials pertaining to economic planning and development matters received in the Office from outside sources.

Dispose of when no longer for current business.

232. Policy Study Files. These files reflect studies undertaken by staff members or by contractors covering particular economic problems for which policy options typically regarding possible EDA programming are under consideration. The files consist of such materials as, data gathered on the problem, tabulation and analysis papers, and copies of reports or recommendations developed as a result of the study, together with related correspondence and other papers. A copy of the final results is retained in another file.

- a. Working papers and background data - Dispose of upon completion of study or when essential information is tabulated.

- b. Other records - Retire to SHA 1 year after essential information is tabulated and analyzed. Transfer to WNRC 2 years thereafter. Dispose 5 years thereafter.

233i Study Reports and Recommendations - Record Copy File. The file consists of a record copy of published or unpublished reports or recommendations resulting from carrying out policy studies as required. This collection, arranged by title of study, documents the background and rationale of the EDA policy decisions made, based upon the options presented by the study results.

Permanent. Retire to SHA when 10 years old. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

234. Staff Member Working Paper Files. These files consist of extra copies and other working papers maintained by individual policy analysts or other staff members for convenience in completing assigned responsibilities.

Dispose of when superseded or no longer needed for current business.

#### OFFICE OF DEVELOPMENT ORGANIZATIONS

The Office of Development Organizations shall:

Design and direct a program to establish multi-county development districts in consultation with and with the assistance and cooperation of EDA Regional Offices, and with concurrence of the States affected;

Initiate policy guidelines and criteria concerning the development district and area organizations for use by other elements of EDA, and by appropriate State and local agencies;

Evaluate and approve proposed area and district economic development organizations;

Assist Regional Office efforts to organize economic development districts, including the recruitment of staff;

Develop and recommend model administrative budgets, reporting procedures, and job specifications for use by area and district economic development organizations;

Establish policies and standards for the review of progress reports by Regional Offices in cooperation with the Office of Planning and Program Support;

Design a system of records to indicate progress as compared to planned objectives on all grants made under Section 301(b) of the Act and assist Regional Offices in implementing the system;

Provide guidelines to Regional Offices in order to administer planning grants made under the Act to State, district, and area agencies;

Evaluate and recommend candidates for appointments to professional staff positions in economic development districts in cooperation with the Regional Offices;

Review Regional Office recommendations for the designation and/or termination of economic development districts and economic development centers;

Promptly advise interested Federal, State, and local agencies of all changes affecting the eligibility status of existing or proposed economic development districts;

Prepare and distribute maps and related materials showing organizational and designation status of economic development districts;

Determine whether an area meets the statistical criteria to qualify as a redevelopment area or a Title I area;

Recommend changes in the qualification status of redevelopment areas and Title I areas;

Recommend designation or change in the designation status of redevelopment or Title I areas;

Conduct an annual review of area eligibility and recommend termination of areas no longer eligible for designation; and

Recommend minor adjustments to boundaries of redevelopment areas.

Office of the Director

235. Development Organization Program Subject File. Documentation created by the Director and Deputy Director to design and direct a program for multi-county development districts, policy guidelines, and criteria for development districts, evaluation of development organizations and guidelines to regional offices for the administration of planning grants.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 1 year later. Dispose when 10 years old.

236. Special Reports. These are special reports prepared by members of the EDA staff and private firms evaluating or proposing improvements in the district and regional programs. Many of such reports propose generic-type improvements in local government operations that could have significance beyond the particular local area concerned. Arranged by title.

Permanent. Retire to SHA when 10 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

237. Administrative Subject File. These are housekeeping papers consisting of budget, personnel actions, requisitions for printing, equipment and supplies, time and attendance reports, travel, and the like.

Dispose when 2 years old.

238. Technical Reference File. Contains processed copies of papers on the program made by the states in organizing multi-county development districts or areas.

Dispose of individual documents or the contents of individual file folders when superseded or when they have served their purpose.

Program Support Division

239. Program Support Subject File. Contains documentation created by the Chief pertaining to the internal operations of the Division and standards, guidelines, procedures and other instructions on the administration of grants. These papers are essentially duplicated in the project case files and elsewhere.

Dispose of individual documents or contents of individual file folders when 1 year old or when superseded, whichever is sooner.

240. State, District, and Area Grant Project Case Files. This is the official record copy of the planning grant project case files containing copies of all official determinations and data created during the preapproval period of the project and copies of the application, grant offer (approval); grant with special terms and conditions of grant, if any; and any other legal documents necessary. Also included are all official correspondence, staff recommendations and documentary evidence required of the grantee. Grants are made to assist local governments and organizations in defining economic development districts and in organizing and planning development organizations to evaluate depressed economic conditions. The normal term of a grant is usually one year. However, a number of grants are continued for various periods when there is a justification for doing so. In each case a new agreement is made to cover the continuation. A continuation is identified by the same project number as the original grant with the addition of a distinctive terminal digit(s); thus the relationship between the original project case file and any continuations flowing therefrom is maintained through the devices of the project case file number with added distinctive terminal digits.

In some cases, the grantee has money that must be returned to the government when his grant has run full term; in these cases, the case is not closed until such monies have been returned and required audit report has been submitted. All cases are closed upon the receipt of the required audit report which document the financial management and performance under the grant.

- a. Cases generated during or before FY 1978 - Retire closed cases to SHA 3 years after closure. Transfer to WNRC 2 years later. Retain samples (See Page 166)i All others - Dispose 15 years after closure.
- b. Cases generated after Fy 1978 - Dispose of closed cases 5 years after closure.

241. Designations File. These are record copies of designations of development districts approved by the Assistant Secretary for Economic Development. These are the instruments creating economic development districts entitled to the full range of EDA assistance. Arranged by district.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

242. Budget File. This contains office budget submissions with supporting instructions and copies of work papers, laws and other pertinent regulatory material. Also included are copies of the EDA budget submissions in appropriation hearings, and the like.

Dispose when 10 years old or when superseded, whichever is sooner.

243. State Information File. This consists of incoming and outgoing correspondence from various dignitaries; state and Federal officials requesting information concerning the status of programs, and requesting information needed for pre-project approval planning. The papers are arranged by state, thereunder chronologically.

Start a new file every 5 years, retire to SHA 1 year later, ~~and Dispose 3 years later~~ *when 10 years old. Transfer to WNRC.*

244. Accounting Record (ED-74 or equivalent)i These are copies of a form accounting record used by the Accounting Division to input new data in the computer. When errors or new data exists, the Accounting Division is notified by telephone and the record is corrected there. These records are prepared on the computer.

Dispose when superseded.

245i Monthly Project and Status Report (CO-1 or equivalent)i This report covers only pending and approved planning grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and the approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of grant; anticipated employment and payroll; cost breakdown; major processing steps and days required for each step; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

- a. Retire September 30 issue to SHA when 2 years old, and transfer to WNRC 2 years later. Dispose when 6 years old.
- b. Monthly issues - Dispose when superseded by next issue.

246. Bi-Weekly Area Listing (BO-4(5)i This report covers only planning grants. Its main purpose is to reflect the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

- a. Retire ~~September~~ September 30 issue to SHA when 2 years old and transfer to WNRC 2 years later. Dispose when 6 years old.
- b. Bi-weekly issue - Dispose upon receipt of next issue.

247. Monthly Project Narrative (PG) Changes. A cumulative one-page narrative summary of area and project information. Issued on a project-by-project basis for those planning grant projects that have had changes or updated data submitted within the past month.

Dispose when superseded by next issue.

Program Development Division

248. Public Service Careers Subject File. Documentation on this completed program generated by the Chief pertaining to the planning and organization of economic development districts and the establishment of development organizations as vehicles for the delivery of EDA assistance to provide training programs for public service careers as a means of improving the economy in depressed areas. Also included are papers relating to liaison and coordination with other government agencies and private organizations having program and prime interests in the same field. Interspersed in the file are papers that have general application to the construction of training projects and programs. Some of these are in the form of narrative or trip reports. The papers are arranged by subject.

Permanent. Retire to SHA 2 years after completion of program audit. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

249. Budget File. These are papers created by the Chief and his immediate assistants concerning the preparation and submission of annual budget justifications for public service careers training programs and to allocate planning grant funds to various regions. Also included are papers on funding and reporting plans for use of development organization consistent with the need to streamline and reduce administrative burdens on grantees.

Dispose when 10 years old.



250. Public Service Careers Project Case Files. These cases of this completed program document grants made to organizations to provide assistance in recruiting and training disadvantaged persons for non-federal public service careers that will upgrade their income and job category.

These are the record copies of the case files containing documentation including the grant offer, application, agreement, copies of staff correspondence, program reports, requests for disbursements, and final reports.

These projects are funded through an agreement with the Department of Labor. Cases are closed upon receipt of a final audit report and return of any funds due the Government.

Retire closed cases to SHA 2 years after completion of program audit. Transfer to WNRC 1 year later. (a) Retain samples (See Page 166);  
(b) All others - Dispose 15 years after completion of audit.

251. Professional Services Grant Case Files. The files reflect grants made to designated economic development districts under Section 302b(1) of the Act to provide specific services through hire of specialists to address particular economic problems such as energy, industrial development, and the like.

- a. Grants made during or prior to FY 1978 -  
Retire closed cases to SHA 1 year after closure.  
Transfer to WNRC 2 years thereafter. Dispose of 15 years after closure.
- b. Grants made after FY 1978 - Dispose of closed cases 5 years after closure.

252. OMB Circular A-95 Grant Case Files. The case folders document grants made to designated economic development districts that are serving as State-designated area clearing houses for review of proposed grants as specified under OMB Circular A-95. Such grants made under Section 302b(2) of the Act to provide some form of recompense to the districts for administering the A-95 review process.

- a. Grants made during or prior to FY 1978 - Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years thereafter. Dispose of 15 years after closure.
- b. Grants made after FY 1978 - Dispose of closed cases 5 years after closure.

253. Denied or Withdrawn Professional Services or OMB Circular A-95 Grants. These files consist of applications and other related papers pertaining to denied or withdrawn grants for professional services or OMB Circular A-95 funds.

Dispose of 3 years after final determination to deny, withdraw, or take no action on proposed grant applications.

254. Program Development Subject File. The file documents the Division's activities in developing various economic development programs for development organizations (districts). These programs can involve such proposals as identifying various resources available to the districts or working with Federal agencies, and the like. Among the subjects included are Excess Property Dissemination; Circular A-95 Responsibilities, both internal EDA and Department-wide; Professional Services and A-95 Grant Programs; and Special Projects, such as those covering older workers, industrial development, energy, export trade development, technology transfer, and the like.

Break file every 5 years. Move active materials forward. Retire to SHA 2 years later. Transfer to WNRC 2 years thereafter. Dispose of when 15 years old.

255. Annual Survey of Economic Development Districts. The file consists of materials pertaining to the annual query made of economic development districts to submit reports on activities undertaken, including request papers, replies, and background materials.

Retire to SHA when 10 years old. Transfer to WNRC 1 year later. Dispose of when 15 years old.

256i Final Annual Economic Development District Survey Report. The file consists of the record copy of printed summaries of the activities reported by individual economic development districts each year from 1965 to date. Arranged by year.

Permanent. Retire to SHA when 10 years old.  
Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

257i Final Narrative Reports of Professional Services Grants. These published and unpublished reports resulting from professional services grants document the research efforts from the grant. These reports cover such matters as a proposed demonstration manual for capital budgeting by cities or counties which could have widespread application throughout local governments; a manual on how to establish water control laboratories; or proposed procedures for dealing with environmental considerations in industrial development, and the like. The file is arranged by title.

Permanent. Retire to SHA when 10 years old.  
Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

#### Qualifications Division

258. Operating Subject File. These are copies of papers created or collected by the Chief of the Division having general application to the criteria and requirements of the program. These copies are maintained to facilitate his decision-making and a copy of all papers herein having any significant value is maintained in the official file.

Dispose of individual documents or the contents of individual file folders when 5 years old or when superseded, whichever is sooner.

259. State Files. Contains material submitted by applicants in the pre-project approval period pertaining to the qualifications of the area. Also included are incoming and outgoing correspondence pertaining to the applicants proposals. The papers are arranged first by state thereunder chronological.

Start a new file every year. Bring forward active materials. Retire to SHA when 2 years old. Transfer to WNRC 2 years later. Dispose when 10 years old.

260. County File. Documentation of the qualifications of areas for designation including copies of Overall Economic Development Programs, reports, correspondence with notifications of qualification or disqualification, and designation papers. The documents are arranged by state thereunder by county.

Start a new file at the end of every 3 years. Bring forward active materials. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose when 10 years old.

261. Other Government Departments. These are reports of recommendations on the qualifications of areas and Indian reservations based on source data and findings of the Departments of Agriculture, Interior, and Labor.

Start a new file every 5 years. Bring forward active materials. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose when 10 years old.

262. Annual Review File. Documentation of an annual review of the qualifications eligibility of areas for designation to receive EDA assistance under the Public Works and Economic Development Act of 1965 with related papers.

Retire to SHA when 5 years old, transfer to WNRC 1 year later. Dispose when 10 years old.

263. Overall Economic Development Program Plans. This is a record set of two copies of each Overall Economic Development Program plans submitted to EDA. These program plans describe the economic, employment, and business conditions prevailing in the area and specify the type of assistance needed with an evaluation of potential economic growth in the area. Arranged by district.

Permanent. Retire a set of two copies of each plan to SHA every 3 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

OFFICE OF PLANNING AND PROGRAM SUPPORT

The Office of Planning and Program Support shall:

Have primary responsibility for coordinating the preparation, review, and approval of EDA-developed planning documents;

Develop analyses and recommended strategies of economic development, including a system of priorities of EDA's financial assistance, for areas and districts;

Develop economic development planning systems that reflect EDA objectives and respond to local and regional problems and potentials;

Develop the methods and techniques needed to evaluate established planning systems including the ability of local representatives to understand and utilize the planning system as well as the compatibility of locally developed plans with annual agency objectives;

Participate in the development of budgetary requirements and coordinate with the Office of Administration and Program Analysis in the allocation of resources among Regional Offices as well as among EDA programs;

Provide information and special services on domestic and international regional development planning;

Provide guidance to Regional Offices on the application of economic development planning techniques and systems to the specific problems of the Regions;

Advise and assist Regional Offices in implementing economic planning activities after the formal designation of economic development districts and areas;

Guide Regional Offices in assisting development organizations to prepare Overall Economic Development Programs (OEDPs);

In coordination with Regional Offices, provide guidance to economic development district and area organizations on the techniques and methods of economic analysis;

Formulate planning and development policies and procedures for guiding the preparation and submission of district and area OEDPs, including the establishment of policies and standards for their review by Regional Offices;

Initiate suspension of the receipt and processing of all applications for assistance from areas and districts which fail to submit acceptable OEDP progress reports;

Evaluate services, efficient existing capacity, and competitive producers for use in making determinations on excess capacity, pursuant to Section 702 of the Act;

Identify industries which have demonstrated growth trends for the purpose of relating those industries to agency plans; and

Certify and decertify firms and communities as eligible to apply for adjustment assistance under the Trade Act of 1974 and perform those functions of the Secretary in Section 264 of the Trade Act except subsection (b) which is reserved to the Secretary.

#### Office of the Director

264. Program Planning and Support Subject File. Documentation created or collected by the Director or immediate staff pertaining to the program planning and support responsibilities as assigned. The file concerns such matters as committees and conferences, industry studies, Trade Act Support, area profiles, guidelines and reviews of Overall Economic Development Program Plans, urban and staff planning program, Regional coordination, trade, impacted industries, and the like. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

265. Guidelines and Criteria File. Documentation of guidelines and criteria for the designation of areas eligible to receive EDA assistance, revenue sharing, migration of the unemployed, organization structures for the Office of Program Planning and Support, speeches and related papers.

Start a new file every 3 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 10 years old.

266. Positive Action Program Files. The file consists of materials relating to the former positive action program, which concerns the designation of growth centers to aid in the economic development of a district by consolidating the economic advantages of several counties.

Dispose of when 10 years old.

267. Administrative Subject Files. These are office copies of housekeeping papers on applicants, budget, emergency readiness, management intern program, Whitten review, space, requisitions, time and attendance, personnel actions, travel, and the like.

Dispose when 2 years old.

268. Chronological File. The file consists of copies of documents prepared or signed in the Office, filed by date.

Dispose when 3 years old.

#### Industry Studies Division

269. Industry Case Files. These contain the request from Office of Business Development or Office of Public Works for a study of the specific project for an industry (company or corporation). The Act requires that a study be made to ascertain that an applicant industry does not have surplus capacity before it receives EDA assistance. The case also contains a copy of the Industry Division's study, findings, recommendations, and any related papers, if any. The cases for individual companies are arranged by Standard Industrial Classification number thereunder alphabetical.

by the name of the company. Cases are closed when the related EDA project is approved, denied, or withdrawn.

Retire closed cases to SHA 5 years after closure of the case, and transfer to WNRC 2 years later.

(a) Retain samples (See Page 166); (b) All others - Dispose 25 years after date of closure.

270. Industrial Location Service Files. This file includes questionnaires, correspondence, and area industry matching materials concerning information obtained from EDA designated areas and districts that is used to determine the industrial location characteristics of communities seeking new industrial growth.

Dispose of when superseded or no longer needed for current business, whichever comes sooner.

271. Basic Data Files. Basic data documentation collected from non-governmental sources. The file also contains copies of basic data on industries collected from Federal and local government sources. A significant quantity of the material is selected from the Census of Manufacturers, Department of Agriculture and Department of Interior publications and documents.

Dispose when superseded or when 5 years old, whichever is sooner.

272. General Industry Correspondence File. This file contains incoming and outgoing correspondence having general application to the area of the Division's expertise. The file does not contain papers pertaining to individual industry cases.

Start a new file every year. Move active material forward. Dispose of previous year's materials *when 2 years old.*  
~~1 year later.~~

273. State Industry File. This contains information describing current industrial development activities by state.

Dispose of individual documents or contents of individual file folders when superseded.



274. Administrative Subject File. These are office copies of papers on matters such as applicants, budget, personnel actions, requisitions for services and other objects, space, time and attendance, travel, and similar housekeeping requirements.

Dispose when 2 years old.

275. Trade Monitoring System Files. The file consists of computer printouts providing employment, geographic location, and other data on industrial plants throughout the United States. Updated quarterly.

Dispose of when superseded or when 5 years old, whichever comes sooner.

276. Staff Working Paper Files. Technical reference materials, publications, convenience copies of documents, drafts, and other working papers maintained for convenience of office operations by various members of the Division.

Dispose of when superseded or no longer needed for current business, whichever is sooner.

#### Program Planning Division

277. Program Planning Subject File. The file consists of materials pertaining to the program planning function such as records concerning guidelines for preparation of District Overall Economic Development Programs (OEDPs) with related critiques of the program and recommendations regarding their approval, and materials on regional coordination, state and urban planning programs and projects under Section 302a, and the like.

Start a new file every 5 years. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose when 10 years old.

278i Requests for Growth Center Designations and Boundary Changes. These are requests for the establishment of Growth Centers and for changes in boundaries with supporting

papers justifying the request. Also included are recommendations; approvals or rejections of the request. The record copy of these records is maintained in the Office of Development Organizations.

Dispose when 3 years old.

279. Section 302a Economic Development Urban Planning Program Grant Case Files. These case files consist of urban planning grant case files under Section 302a containing copies of all official determinations and data created during the preapproval period of the project and copies of papers pertaining to the grant and related records. Also included are annual reports of the grantee, correspondence, staff recommendations, and documentary evidence required of grantees, who typically obtain the moneys for a one year period.

Retire closed cases to SHA 3 years after closure. Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose of when 15 years old.

280. District Overall Economic Development Program Files. This is a record set of one copy of each Overall Economic Development Program submitted by designated districts at the time that the district is designated. These files are arranged by district, and reflect the overall plans for economic development as approved for the district.

Permanent. Retire to SHA upon termination of program. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

281. Annual Update of OEDPs. After transmission of the first program submitted, each district is required to submit an annual report or updated Overall Economic Development Program for review and approval. There is a record set of one copy of each program. As economic or other conditions change, revisions are required to maintain the program plans in a current status, and such revisions or reports are received annual. The files are arranged by districts.

Permanent. Retire to SHA upon termination of program. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

282. Administrative Subject File. These are office copies of housekeeping papers on budget, space, time and attendance, personnel, requisitions, travel, and similar housekeeping activities.

Dispose when 2 years old.

283. Chronological File. These are extra copies of documents prepared in the Division and filed by date.

Dispose when 3 years old.

284. Staff Working Paper Files. Technical reference materials, publications, convenience copies of documents, drafts and other working papers maintained for convenience of office operations by various members of the Division.

Dispose of when superseded or no longer needed for current business, whichever is sooner.

#### Trade Act Certification Division

285. Trade Act Certification Case Files. These case files reflect the determinations made by the Division as to the eligibility of domestic firms or communities that have applied for certification of eligibility for adjustment assistance under the Trade Act of 1974. These include certified, decertified, withdrawn, denied, or terminated cases. The file is arranged alphabetically by name of firm or community.

Retire to SHA 3 years after determination of action upon application. Transfer to WNRC 2 years later. Dispose when 8 years old.

286. Case Control Logs. These are logs maintained for control or reporting purposes in processing Trade Act certification application cases.

Dispose of when 10 years old.

287. Trade Act Subject File. The file consists of materials of a non-case nature pertaining to the administration and operation of the Trade Act Certification program. The file includes such subjects as: Legislation, Opinions, Conferences, Adjustment Assistance and Import Relief, CIEF Task Force Study, Adjustment Assistance Advisory Board, Office of the Special Trade Representative, Energy, Earthenware, Textiles, Mushrooms, and Loans. Arranged alphabetically by subject.

Move active files forward and dispose of all others when 10 years old.

288. Section 264 Industry Study Files. These files consist of materials pertaining to studies made in accordance with Section 264 of the Act. They relate to investigations made by the International Trade Commission. They involve making determinations as to the number of firms in a particular domestic industry likely to be certified as eligible for adjustment assistance under the Act, and the extent to which adjustments of the firms to import competition may be facilitated by use of existing programs. Copies of reports published as a result of such studies are also maintained by the EDA Office of Public Affairs.

Dispose of 5 years after completion of study.

289. International Trade Commission (ITC) Reports. The file consists of published reports of the ITC received in the office on the status of various industries.

Dispose of when no longer needed for current business.

290. ITC Industry Data Files. The files consist of data on individual firms obtained by ITC and transmitted to the office.

Dispose of 6 months after date of record received.

291. Inquiry File. The file consists of inquiries received from the public or private sector regarding the Trade Act Assistance Program, and copies of replies thereto.

Dispose of when 3 years old.

292. Chronological Files. The files consist of copies of documents prepared in the office, and related records, filed by date.

Dispose of when 3 years old.

293. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel, requisitions for supplies or other services, budget, and other similar housekeeping activities.

Dispose of when 2 years old.

294. Staff Working Files. The files consist of working papers, maintained by individual staff members, such as materials on pending matters and extra copies of documents, drafts, or other working papers maintained for operational needs.

Dispose of when no longer needed for current business

#### OFFICE OF ECONOMIC RESEARCH

The Office of Economic Research shall:

Direct and conduct a program of internal and external economic research designed to meet both planning and operating needs and concerned with economic development problems and opportunities for geographical subdivisions (e.g. regions, development districts, redevelopment areas, etc.);

Arrange for and monitor EDA-sponsored research conducted by other elements of the Department, other Government agencies, or private organizations;

Encourage and stimulate research and data collection on economic development, both in and out of Government;

Review, evaluate, integrate, and disseminate (a) the results of research sponsored by EDA; and (b) current methodological and other research findings wherever generated that are relevant to EDA's objectives and programs;

Maintain a central reference collection of economic development materials; and

Study and evaluate the effects of Government policies on sub-national economic development.

295. Research Program Subject File. The file consists of materials generated or collected by the Director, Deputy Director, or their immediate assistants pertaining to specific programs in operation and to those under development on which the office may make a contribution. The papers are arranged alphabetically under such subjects as EDA Act, EDA directives system, family assistance plan, listing of management information reports, research program research review, and the like. The file provides basic documentation of the overall economic research program of the EDA undertaken through grantees, or contractors, or others.

Permanent. Start a new file every 3 years. Retire to SHA when 3 years old. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

296. Organization Correspondence File. This contains incoming and outgoing correspondence with private organizations and other government agencies relating in general to the research program conducted by the office. The file also contains copies of articles and other presentations prepared by the staff which often contained new ideas with a potential for future development.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 10 years old.

297. National Growth Policy File. These are papers on problems of whether it is feasible for EDA to attempt stimulation of the lagging local economies or to provide the means and incentives for the unemployed to commute or migrate to areas with job opportunities. They also relate to how the EDA program ties in with other Federal programs, EDA policy recommendations, insofar as they have been surfaced, or documented in the file.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 10 years old.

298. Administrative Subject File. These are office copies of housekeeping papers on applicants for jobs, personnel actions, position classifications, requisitions for services, time and attendance, travel, and the like.

- a. Applications for employment - Send successful applications to the Office of Personnel. Return unsuccessful applications to sender.
- b. All other records - Start a new file every 2 years, and dispose when 2 years old.

299. Budget File. This contains copies of the EDA budget submissions and supporting papers for the research program.

Dispose of individual documents or contents of individual file folders when superseded or when 5 years old, whichever is sooner.

300. Research Grant Project Case Files. Grants are awarded for research projects or impact at the regional area level. The case file contains a copy of the application, agreement, recommendations, and related correspondence.

The record copy is maintained at headquarters in Washington and there is no skeleton or duplicate copies kept in regional offices. Regional offices do not participate in the preparation or administration of research grants.

The normal term for research grants is 12 months, however, occasionally a grant is extended for another 12 months. In these cases a new project case file is opened for the extension which is identified by the first three digits and a letter of the project case file number. Except in unusual cases, a final substantive report is submitted within 45 days after the terminal date of the grant. Cases are closed upon approval of the final report.

Retire closed cases to SHA at the end of every year, transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 15 years after closure.

301. Research Contract Case Files. These are record copies of contracts awarded to qualified private institutions and organizations for research projects. The case file contains a copy of the contract and any amendments and modifications thereto with related papers pertaining to the content of the project, status and payments as prescribed in the contract. The case also includes a copy of the approved final report. Although a fiscal contract case file on each research contract is maintained in the Procurement Division, Office of Administrative Services and Procurement, it does not duplicate these case files which contain primarily all of the authoritative program papers. Cases are closed upon receipt and approval of the final report.

Retire closed cases to SHA at the end of every year, transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 15 years after closure.

302. Proposals File. These are copies of solicited or unsolicited proposals submitted in pursuit of a contract award or which no action has been taken.

Dispose of individual documents when superseded or when 3 years old, whichever is sooner.

303. Consultants File. These are requests from qualified organizations and individuals to be put on the list of consultants available to the office for research work.

Dispose of papers when the requestor is dropped from the list.

304. Committees, Commissions, etc., Papers. These are papers of committees, commissions, and similar bodies on which the office is represented or in which it is particularly interested in. They also include records of the National Public Advisory Committee on Regional Economic Development and its biographical materials.



Retire to SHA 1 year after there is a change of Director and transfer to WNRC 1 year later. Dispose when 10 years old.

305. Discussion Papers. These are studies or reports, typically unpublished, generated for discussion with EDA officials, as a by-product of fulfilling the performance requirements of grants or contracts awarded for economic research studies. As such, they serve as supplementary documentation of the expenditures of EDA funds for economic research projects. Arranged by name of grantee or contractor thereunder by title.

- a. Record set - Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.
- b. All other copies - Distribute when requested, or dispose of when 10 years old, whichever is sooner.

306. Grant and Contract Final Reports. This is a record copy set of one copy of the final reports produced to satisfy the requirements of research grants or contracts let to universities, contractors, or others, and serves as the basic documentation of the funding of economic research by EDA. Arranged by assigned number.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

307. Staff Working Paper Files. The files consist of technical reference materials, publications, convenience copies of documents, drafts, and other working papers maintained for convenience of office operations by individual staff members of the Office.

Dispose of when superseded or no longer needed for current business, whichever is sooner.

DEPUTY ASSISTANT SECRETARY FOR ECONOMIC  
DEVELOPMENT OPERATIONS

The Deputy Assistant Secretary for Economic Development Operations, through the offices reporting to him, shall:

Provide coordinated direction of all EDA activities related to financial assistance for or to physical projects which will improve local economies and supervise the execution of this aspect of EDA's program;

Recommend standards, policies, and criteria for the technical evaluation and processing of project applications for financial assistance, including public works grants and loans, business loans, and technical assistance;

Direct, conduct, coordinate, monitor, and, where applicable, originate technical assistance projects (including management assistance and feasibility studies) subject to coordination with the Deputy Assistant Secretary for Economic Development Planning on proposed technical assistance projects related to area, district or center planning;

Review and recommend approval or denial of project applications except all projects under Sections 101 and 201 of the Act, which do not require special action. (Projects requiring special action are those which are called to Washington for purposes of monitoring, involve controversial aspects, or -- for example -- require an environmental impact statement which must be approved by the Special Assistant for Environmental Affairs.)

Evaluate activities of the Regional Offices in applying policies, standards, and procedures for processing project applications to assure efficient, effective, and economical accomplishment of approved projects;

Executive agreements with other Federal departments and agencies for the conduct of specialized technical assistance; and

Study and evaluate the manpower development and training needs of redevelopment areas of an economic development districts, and recommend appropriate joint action with the Departments of Labor and Health, Education and Welfare.

The Deputy Assistant Secretary for Economic Development Operations shall direct and supervise the following organization elements: The Office of Public Works, the Office of Business Development, and the Office of Technical Assistance, and such special programs as the Local Public Works Program, the Title IX and X Programs, the Community Emergency Drought Relief Program, the 1980 Winter Olympics Program, and others.

Office of the Deputy Assistant Secretary  
for Economic Development Operations

308. Economic Development Subject File. Documentation generated by the Deputy Assistant Secretary and staff in the course of executive direction of all types of EDA projects so as to apply resources in a manner that will on balance consider all factors involved and achieve objectives and results specifically designed to alleviate the local economic underdevelopment and/or unemployment. These are policy papers arranged alphabetically under such subjects as: Coordinated Regional Development, Definitions of Economic Development, Designation Criteria, Equal Opportunity, Environment, Highlight Reports, Industrial Parks, Energy Program, Excess Property, Loans Rates, Regional Commissions Meetings, Policy EDA, Pollution, Potential Processing Reports, Spanish-Speaking People, Status Report Case, and Weekly Activity Reports.

Permanent. Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

309. Budget and Budget Related Materials. These are papers generated in the course of preparing the various required budget submissions and related papers on testimonies before Congress and factual supporting data for various programs.

Also included are evaluations and reviews of the operating budget. These are arranged primarily by fiscal year and thereunder by category or program.

Retire to SHA when 5 years old and dispose  
1 year lateri

310. Administrative Subject File. These are office copies of papers pertaining to budget, personnel, time and attendance, overtime, travel, requisition and purchase orders, and other housekeeping papers.

- a. Name Personnel Files - Dispose 1 year after separation of employee.
- b. All other papers - Dispose when 2 years old.

#### Title IX Program

##### Special Economic Development and Adjustment Assistance

Program Purpose: The purpose of Title IX, a 1974 amendment to the Public Works and Economic Development Act of 1965, is to assist State and local governments in solving existing or anticipated economic adjustment problems. More specifically, the purpose of the program is to help these public entities develop and/or implement comprehensive adjustment strategies designed either to anticipate and prevent the occurrence of an economic dislocation, or to reestablish employment opportunities and economic stability as soon as possible after a dislocation occurs. Eligible dislocations include:

- o Loss of a significant number of jobs owing to the relatively sudden curtailment of economic activity, such as the closing of a major employer;
- o A sudden major change in an area's economy that increases the need for local government services far beyond the local government's capability to provide them, as in "boomtown" situations related to energy resources development;
- o Long-term economic deterioration, distinguished by a continuing pattern of self-reinforcing physical, demographic, business, and socio-economic decline in an area.

## Types of Program Tools:

1. Agency Authority. Title IX is a direct grant program. However, two basic types of grant assistance are available under the Authority. Grants can be approved either to develop a strategy for addressing the problem identified (i.e. a development grant); or to carry out an EDA-approved economic adjustment strategy (i.e. an implementation grant).

2. Grant Recipient Authority. Consistent with EDA's broad mandate to assist State and local governments in solving virtually any type of economic adjustment problem, both the types of assistance authorized and the types of activities that can be undertaken to implement an approved strategy are limited only by the requirement that they must be shown to contribute to the solution of the problem. The legislation specifies that eligible recipients can use Title IX funds:

- o To make direct expenditures;
- o To make "subgrants," loans, loan guarantees or payments to reduce interest on loan guarantees to public and private entities, except that no "subgrant" can be made to private for-profit entities;
- o To provide other appropriate assistance.

The types of activities that can be undertaken with grant funds, as identified in the legislation, are similarly open-ended, and include:

- o public facilities
- o public services
- o business development
- o planning
- o unemployment compensation (in concert with Department of Labor)
- o rent supplements

- o mortgage payment assistance
- o research
- o technical assistance
- o training
- o relocation of individuals and businesses
- o other assistance that demonstrably furthers the objectives of Title IX

As with many of the EDA programs, the main file of these grant case folders is maintained at the EDA Regional Office level. The headquarters office maintains duplicate files for control, coordination, and information purposes.

311. Title IX Program Subject File. This central file maintained by the head of the program documents this special grant EDA program to help communities requiring economic assistance grants because of dislocations from plant closings, defense base closings, natural disasters, explosive growth such as energy "boomtowns," structural unemployment, and the like. The file is arranged alphabetically by such subjects as Environmental Adjustment Problems, Defense Base Closings, Employee Stock Ownership Trusts, Long-term Economic Deterioration, Trade Adjustment, Impacted Industries, and the like.

Permanent. Start a new file every 3 years. Bring forward active materials. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

312. Administrative Subject File. These are office copies of papers reflecting the administrative or housekeeping activities such as budget, personnel, travel, time and attendance, overtime, requisitions and purchase orders, and other housekeeping papers.

Dispose of when 2 years old.

313. Title IX Development Planning Grant Case Files. These headquarters duplicate case folders cover grants made to public entities for planning an economic adjust-

ment strategy to cope with various types of economic dislocations covered by Title IX. These planning grant cases, typically of six months duration, consist of such records as applications, civil rights documents, grant offer, special and general terms and conditions, a final report outlining the proposed economic dislocation adjustment strategy, and related records.

Retire to SHA 1 year after closure. Transfer to WNRC 1 year thereafter. Dispose of 5 years after closure.

314. Title IX Implementation Grant Case Files. These headquarters duplicate case files cover grants made to public entities for implementing an approved economic adjustment strategy to cope with various types of dislocations covered by Title IX. These implementation grant cases, which are often open-ended in duration, consist of such records as environmental statements, project profiles, civil rights documentation, grant agreements, grant offers, special and general terms and conditions, annual reports on activities, and related records.

Retire closed cases to SHA 1 year after closure. Transfer to WNRC 1 year later. Dispose of 10 years after closure.

315. Denied Title IX Planning or Implementation Grant Cases. These are copies of applications and related documents that have been denied because of failure of the prospective grantee to meet EDA terms or conditions. The cases are closed upon appropriate satisfaction of the prospective grantee.

Dispose of 3 years after closure.

COMPREHENSIVE ECONOMIC DEVELOPMENT  
STRATEGY GROUP

In April 1978, EDA inaugurated a demonstration effort to try out a new approach to its economic development program planning and implementation. This approach, known as the Comprehensive Economic Development Strategy (CEDS) was aimed at acting as a bridge between the two traditional EDA functions -- planning and implementation.

Basic to the CEDS process -- and basic to virtually all EDA investments in community economic development and job creation efforts -- is the Overall Economic Development Program (OEDP); the traditional planning tool outlining an investment strategy to foster economic development for a particular urban or rural locality (district, city, etc.). At the other end of the traditional EDA investment process is a series of individual projects within the particular location, each of which, in a specific way should implement and contribute toward the goals of the OEDP.

CEDS is designed to come between these two stages. It sets forth specific development or investment strategies for a community or locality that are designed to implement or refine the OEDP. It is more than a list of specific projects. Rather, it defines and sets priorities and coordinates the use of diverse resources -- EDA investments, other Federal agency investments, local and state government investments, or private investments -- which received in their totality for a community or location in a planned CEDS, can provide for more effective economic development.

The demonstration CEDS effort involves 37 selected locations, both rural and urban, each of which is expected to develop a comprehensive economic development investment strategy considering all possible resources. Through such a merging of both planning and implementation activities in the CEDS package, the effectiveness of the economic development efforts at the particular locations should be improved. If successful, the CEDS demonstration effort could result in changes to some of the traditional organizational and procedural approaches of EDA.



The group concerned with CEDS at headquarters have a limited time to promote the development of these comprehensive investment strategies at the 37 demonstration locations through the EDA regional office organization, after which, an evaluation of results will be made.

316. CEDS Program Subject File. The file consists of materials of a general nature relating to the concepts, policies, procedures, and activities involving the Comprehensive Economic Development Strategy (CEDS) effort through some 37 demonstration urban and rural locations. This demonstration effort attempts to improve the effectiveness of the economic development activities at the particular locations selected. The file is arranged alphabetically by subjects.

Retire to SHA upon completion of the demonstration effort or every 3 years, whichever comes sooner. Transfer to WNRC 1 year later. Dispose of when 15 years old.

317. Administrative Subject File. This file consists of office copies of materials pertaining to such internal housekeeping matters as time and attendance, budget, personnel, travel, requisitions for supplies, equipment, and services, and similar housekeeping matters.

Dispose of when 2 years old.

318. CEDS Demonstration Location Files. The files consist of materials on the efforts at the 37 demonstration locations to prepare the Comprehensive Economic Development Strategies necessary to provide for more effective use of available economic development monies. For each location, the files include computer printouts, monthly and other types of reports, planning materials, operating materials, materials on investment strategies, and related correspondence.

Retire to SHA upon completion of the demonstration program or termination of the effort at a particular location, whichever comes sooner. Transfer to WNRC 1 year later. Dispose of when 15 years old.

319i Chronological Files. The files consist of an extra copy of documents prepared or signed in the office, and kept in date order.

Dispose of when 3 years old

## OFFICE OF PUBLIC WORKS

The Office of Public Works shall:

Direct and oversee all phases of the Public Works Program;

Recommend policies, standards and procedures for accepting, processing, reviewing, and approving requests for public works grants and loans, consistent with the procedures contained in the Act;

Maintain surveillance, evaluate progress, and submit reports on the application by Regional Offices of standards, policies, and procedures to assure efficient, effective, and economical accomplishment of the approved projects;

Arrange for services from other Federal agencies for the administration of approved public works grants and loans;

Maintain operating liaison with Federal agencies having grant-in-aid programs which may supplement EDA programs, and with those Federal agencies delegated responsibility for administering or servicing EDA projects;

Make program and policy reviews and initiate action for the reservation of funds for all public works grants and loans, overruns, amendments and revisions, and concur in all major amendments and major revisions to approved projects which require no additional funding; and

For projects which require special action at the Washington level, review the project file and recommend approval or disapproval to the Assistant Secretary.

### Office of the Director

320. Policy Subject File. Documentation generated by the Director and his principal assistants pertaining to the establishment of program objectives, plans, policies, procedures and development and approval of projects involving the expenditure of funds for public works activities.

Permanent. Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

321. State File. Contains correspondence concerning proposed, pending and approved projects with supporting papers such as Overall Economic Development Program studies and copies of correspondence with Congressmen and other dignitaries concerning specifics of projects in their particular state.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 1 year later. Dispose when 10 years old.

322. General Correspondence File. This contains correspondence to and from the divisions of the office and other Government agencies having either a regulatory or program interest in the operations of the Office of Public Works. More specifically, this file also includes documentation of General Accounting Office audits and inquiries, project status reports, evaluation of public works and economic development.

Start a new file every 5 years, retire to SHA 2 years later, and transfer to WNRC 1 year later. Dispose when 10 years old.

323. Program Evaluation Technical File. These are the papers generated or collected by the Program Assistant used to evaluate program effectiveness, procedures, systems and to draft replies to inquiries on these matters. The file is composed almost entirely of copies of Profile Scope of Public Works and of similar papers.

Dispose of individual documents or contents of file folders when superseded or when they have served their purpose, whichever is sooner.

324. Public Works Project Narrative Reports. These are computer printouts showing project number and name, applicant's name, location, date of approval, and the narrative summary of the conditions of justifying the project and brief description of the nature and funding and current status of it.

The report is updated cumulatively every quarter. Thus, the update report contains all of the information in the previous report, plus any pertinent information that has developed during the reporting period. When the updated report is received the previous report is replaced and destroyed.

- a. Director's Office copy - Retire this record copy to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Dispose 25 years after date of last narrative report.
- b. All other copies - Dispose when they have served their purpose.

325. Project Summaries. These are copies of summaries of each project prepared prior to approval of the project showing name of applicant, location, type of area, designation date, population, median family income, project description, economic development process, findings, and recommendations. A copy of the appropriate summary is included in each project case file, and also is sent to the EDA Office of Public Affairs. Arranged numerically.

- a. Director's Office copy - Permanent. Retire this record copy set to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.
- b. All other collected sets - Dispose of when they have served their purpose.

325a. Administrative Subject File. These are office copies of papers documenting the administrative and housekeeping affairs of the office including personnel, taxi vouchers, overtime, budget, time and attendance, travel, and related papers. Also included are some papers on program administration.

Dispose of when 5 years old.

326. Loan Management Case Files. These compromise a case file for each project on which a loan has been made, arranged first by state thereunder by project number. On the left hand side of the case folder is placed correspondence, Requisition for Bond Purchase or Loan Advance, legal opinions, and similar papers pertaining to the negotiations and closing of the loan. On the right hand side of the case folder is placed all legal documentation pertinent to loan closure. This documentation can include the borrower's charter, certificate of incorporation, minutes of various proceedings, title opinions, engineers certificate, location maps, final opinion of bond counsel and similar documents specified in a checklist.

These papers are duplicates of record copies maintained in the appropriate regional office. However, they must be maintained for a short period after the loan has been fully satisfied in order to enable the staff to maintain overall management surveillance of loan repayment, and to provide financial management guidance and assistance to headquarters units and to regional offices. Also included in the file are skeleton case files pertaining to loans or grants made under the Community Emergency Drought Relief Program.

Although loan case files are considered closed when the loan is formally executed and made for purposes of this schedule, a project case is closed when the final payment is made fully satisfying the loan.

Loan agreements most generally require repayment in 15, 20, 30, or 40 years. The Federal Reserve Bank or the Accounting Division, EDA, is the custodian of loan agreements and responsible for collecting payments of the loan. However, they are only furnished the note, mortgage, or bond which is the minimal legal documentary evidence of the borrower's obligation.

None of the legal evidence of the loan is placed in the Project Case File.

Retire closed (after last payment) cases to SHA at the end of every year and transfer to WNRC 1 year later. Dispose of 3 years after closing date.

327e Financial Review Reportse These are reports that were initiated in regional offices showing the financial conditions of each project in the region and were received under a discontinued proceduree These reports were submitted and reviewed in accordance with an enclosed checklist which includes findings and recommendationse They are arranged first by fiscal year, thereunder by state and region. These papers are duplicated in the appropriate Project Case Folders.

Dispose when 5 years old.

328. Financial Review General File. This contains copies of incoming and outgoing correspondence, arranged according to a subject-numeric system, maintained and used by the office for precedents in establishing financial management policiess standardsse proceduresse review of the financial condition of individual projects, and to provide guidance to regional offices on the treatment of any special or unique financial situations that may arise.

Start a new file every 3 years and retire to SHA 1 year later. ~~Dispose 2 years later~~ *OTW when 10 years old. Transfer to ONCC.*

329. Detail Trial Balance (AC-14 or equivalent). This is a printout of General Ledger Detail Trial Balance by transaction code issued monthly. The record copy of this report is maintained in the Accounting Division.

Dispose when superseded.

330. Accounting Record Form (ED-65 or equivalent). These are copies of the accounting record generated in the Accounting Division on public works projects with outstanding loans. These are used by the Division to monitor loan payments.

Dispose when superseded.

#### Policy and Program Development Division

331. Profile of Potential EDA Public Works Project. These are brief summary narratives of proposed public works projects in the process of development by local

areas and communities. A summary project profile presents factual information pertaining to the details of the proposed project including type of facility, cost estimates, direct economic impact, statutory considerations, and estimated construction schedule. These profiles only apply to the pre-application phase and they are one of the prime source of information concerning future plans of the areas and communities involved. Copies of these profiles are in the official project case file if one is developed. However, this collected set is of significant value for historical and other research. Arranged numerically.

Permanent. Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

332. General Project Certification Subject File. These are incoming and outgoing communications and copies of collected papers previously used as precedents for certification of non-relocation business loan and regular projects, under a discontinued procedure.

Retire to SHA for transfer to WNRC. Dispose when 15 years old.

333. Qualifications, Requirements, and Certification File. Correspondence and other papers, such as copies of requirements and certification, checklists, and reports for projects pertaining to the requirements and qualifications for certification of projects, previously maintained under a discontinued procedure. The file is arranged by subject, such as Civil Rights, Convention Centers, District Growth Centers, Industrial Parks, Labor, and Public Improvements, and also includes a segment of States concerned with qualifications of specific projects.

Retire to SHA for transfer to WNRC. Dispose when 15 years old.

334. Requirements and Certification Card Log. This consists of card log entries for each projects reviewed which summarize the actions taken for project review of qualifications and requirements and certification of non-relocation business loan and regular public works pro-

jects under a discontinued procedure. The log was prepared for each project when the project file was received. Under decentralization, Regional Offices are now responsible for requirements and certifications reviews.

Dispose of when 5 years old.

335. Administrative Subject File. These are office copies on matters such as time and attendance, personnel, budget, space, travel, requisitions for services, and similar housekeeping activities.

Dispose when 2 years old.

336. Information Subject File. The file consists of convenience copies of materials on program development matters, and also includes printed and processed material, notes, workpapers, clippings and the like containing technical and other factual information needed to prepare findings and recommendations.

Dispose of individual documents or contents of file folders when superseded, or when they have served their purpose, whichever is sooner.

#### Program Administration Division

337. Administrative Management Subject File. Contains copies of incoming and outgoing correspondence generated by the Chief on policy, standards, procedures, directives, training, and project review for all Regional Offices and headquarters. The file also includes statistical data, final reports, copies of personnel actions, special studies, historical reports, and papers on program management.

Start a new file every 5 years, retire to SHA 5 years later, and transfer to WNRC 1 year later. Dispose when 15 years old.

338i Non-Project Correspondence. Incoming and outgoing correspondence (mostly copies) providing information not related to any specific project. A copy of any paper, found in this file that bears a project number, is filed in the appropriate project case file.



Dispose of individual documents or contents of file folders when 5 years old.

339. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel actions, space, requisitions for services and other objects, and similar housekeeping requirements.

Dispose when 2 years old.

340. Budget Subject Files. These are incoming and outgoing communications and collected materials supporting the preparation and submission of various versions of the budget for the Office of Public Works. Also included are papers pertaining to legislation, civil rights, Federal disaster relief, and position papers on a variety of Federal programs. The papers are at present arranged alphabetically by subject with regard to fiscal year.

Start a new file at the beginning of each fiscal year, retire to SHA 2 years later, and transfer to WNRC 1 year later. Dispose when 10 years old.

341. Audit File. These are copies of incoming and outgoing communications, and copies of audit reports prepared by the General Accounting Office, Office of Audits, OS; and by the EDA staff. The papers are used to evaluate recommendations presented as a result of the various audits and to appropriately respond to them.

Start a new file every 2 years and retire to SHA 1 year later. Dispose when 5 years old.

342. Regional Commission Subject File. Regional Action Planning Commissions sponsor or support public works projects with their own funds, supplements to EDA funds, or with multi-Federal agency funds. The papers in this file consist of incoming and outgoing correspondence and related papers concerning the acceptability or non-acceptability of a project to the Regional Commission concerned and the precise nature of the funding of the project involved; also included is documentation of the coordination of the funds involved in each project with the EDA financial position.

Start a new file at the beginning of each fiscal year and retire to SHA 1 year later. Dispose when 5 years old.

343. Public Works Correspondence File. These are copies of replies to correspondence from Congressmen, Government officials, Governors, Members of State Legislatures, Mayors, and private citizens requesting information about public works projects. These copies are maintained for use in the central preparation of such replies. Record copies of these papers are filed in the appropriate project case folders. They are arranged first by state thereunder chronologically.

Retire to SHA when 3 years old and dispose when 5 years old.

344. Press Releases. These consist of one copy of each project press release at headquarters and district level. Record copies are filed in the appropriate project case files and a collected set of record copies is maintained in the Newsroom, Office of the Secretary.

Dispose when they have served their purpose.

345. Public Works Approved Project Case Folders. These are project case files which comprise the so-called "Washington Duplicate." The record copy of each of these case files is maintained in the appropriate regional office. The skeleton file maintained in Washington may contain such items as a copy of the application with supporting documents, a copy of administrative actions relating to the applications or the approved project copies of pre-approval review action, certification requirements, post-approval reports, and planning and construction papers.

The cases are closed when construction is completed and the final EDA payment, if any, is made. Each closed project is stamped to show the dates on which these actions occur.

Retire all closed cases to SHA at the end of each quarter and transfer to WNRC 2 years later. Dispose 10 years after date of closure.

346. Withdrawn, Terminated, or Cancelled Approved Public Works Project Cases. These are project case files that have been approved and contain essentially the same papers as those described immediately above. The grantee-borrower for a great variety of reasons cannot complete the project and EDA deobligates funds for the project because of failure of the grantee-borrower to meet legal requirements and other obligations to which he is bound.

Retire to SHA when withdrawn or terminated and transfer to WNRC 1 year later. Dispose 5 years after withdrawal or termination date.

347i Regular Contractor Payroll Filesi These files consist of periodically submitted copies of contractor payrolls involved in public works construction projects. These are used to evaluate the employment producing aspects of a project. Because of volume, they should be maintained separately from the basic project case folder. Under decentralization, Regional Offices are now the office of record.

Dispose of 3 years after close project.

348. PW Project Log Control. This is a log of projects showing all key processing steps from inception to final decision. This is an internal project control and information source for the use of this office.

Dispose when it has served its purpose.

349. PW Project Data Records. This is a project inventory card and ledger system used in preparing regular and special project activity reports and information for OPW and others in EDA.

Dispose when they have served their purpose.

350. Financial Coding Records. This is a record of action taken in assigning the PPBS/Financial Accounting Code for each project recommended for reservation of EDA funds and subsequent approval. This is an internal control for use in this office.

Dispose when they have served their purpose.

## Computer Printouts

The printouts described below are produced for the Office of Public Works, as a part of the Management Information System. Since the Office has the primary interest in these printouts, its copies of them are considered to be the record copies. The tapes for these printouts are maintained by the Information Systems and Services Division of EDA.

It will be noted that some of the reports are cumulatively updated which produces in the most recent version all data that appeared in all previous versions of the report. In such cases, so long as this practice is continued, only the last or terminal update copy has value beyond the period during which it is required for administrative purposes.

351. State Summary (A-05 or equivalent)i This biweekly report shows the number of projects, and amount of EDA funds by type of program and type of funds. States are arranged alphabeticallyi Cumulative.

- a. Terminal updated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year lateri  
Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

352. State Summary (FY) (A-05 or equivalent)i This bi-weekly report is identical to the above except projects and amounts are shown fori current fiscal year only.

Dispose when superseded.

353. Regional Office Summary (A-06 or equivalent). Bi-weekly report showing the number of projects, and amounts of EDA funds by type of program and type of funds. States are arranged according to EDA Regional Office responsibilityi Totals are included for EDA Area Office. Cumulative.

- a. Terminal updated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year lateri  
Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

354i Regional Office Summary (FY) (A-06 or equivalent)i  
This biweekly report is identical to the above except  
projects and amounts are ~~shown for~~ current fiscal year  
only.

Dispose when superseded.

355. Special Area Listing (PW) B-04 (1 and 2 or equivalent)i  
This biweekly report identifies projects within  
each area eligible for EDA assistance. It displays pro-  
ject number, Congressional District, name of applicant,  
project purpose, employment, EDA investment and total  
project cost as well as selected socio-economic data for  
the area.

Dispose when superseded.

356. Project Listing (B-05 or equivalent). This biweekly  
report is prepared sequentially by project number and is  
used for quick identification of a project when only the  
project number is know. It includes all major programs,  
for "All Status" only. This is a cumulative report.

a. Terminal updated copy - Retire to SHA when  
1 year old and transfer to WNRC 1 year later.  
Dispose when 15 years old.

b. All other copies - Dispose when superseded.

357i EDA Public Works Project Transcript (ED-2 printout  
or equivalent)i This is the public works portion of a  
larger monthly project reference document. It contains  
pertinent project characteristics and status of progress  
from date of application receipt through the review phase,  
the approval action and the construction phase.

Data elements included are: applicant name; project  
description and location; type of applicant; type of  
activity; type of project; geographic codes; financing  
(requested, revised, approved)i; sources of funds; length  
of loan and interest rates; anticipated employment and  
payroll, annual sales, cost breakdown; major processing  
steps and days required for each step; construction  
status; and inspection visits.

Area data included are: population, work force; unemployed; unemployment rates; median family income; basis and dates of designation action; etc.

Dispose when superseded.

358. Public Works Project Narrative Report. A monthly one-page narrative summary of area and project information. Issued on a project-by-project basis for those Public Works projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

359i Area Listing (B-04 or equivalent). This is a computer printout reflecting the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost.

Dispose when superseded

360. Technical Reference File. These are convenience copies of circular letters, memoranda, and related papers pertaining to Division operations and copies of printed materials pertaining to the functions of the Division.

Dispose of materials when they are superseded, or or when they have served their purpose, whichever comes sooner

#### Project Management Division

361. Central Correspondence Subject File. These are copies of incoming and outgoing papers generated by the Division Chief and all other members of the Project Management Division. The file contains documentation of policy, interpretation of law and regulations, instructions and procedures for the guidance of the Division and regional offices, evaluations of related programs operated by other government agencies and the like.

Only a few of the papers involved pertain to a specific project and when this is the case a copy is filed in the appropriate case file.

Start a new file every 5 years, retire old file to SHA 2 years later, and transfer to WNRC 3 years later. Dispose when 15 years old.

362. Approved Special Area Project Case Files. These are the record copies of the approved case files for special areas including Economic Resources Corporation, Los Angeles, California; Community Group Health Foundation, Inc.; Washington, D.C.; National Children Center, Washington, D.C.; and Peoples Involvement Corporation, Washington, D.C.

These case folders contain the same type of papers as other approved project files. However, the distinction is that these are selected cases that are entirely administered at headquarters and there is no documentation of them in the regional offices. Other cases may be selected and handled in this manner in the future. Cases are closed upon completion of construction and final EDA payment, if any. Arranged numerically.

Permanent. Retire closed cases to SHA when no longer needed for current business. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

363. Projects Completed Through Step 20 (PWO-9 or equivalent) Final Acceptance. This is a computer printout showing project number, location, state, EDA costs, and acceptance date. This report is cumulative to the extent that it contains all data presented on projects that have not gone through steps beyond Step 20 or are dropped from the report and included in projects completed through Step 22, Report No. PWO 10.

- a. Terminated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

364. Public Works Weekly Construction Summary (PWO-4 or equivalent). This printout summarizes supplemental grants made to other agencies and EDA for projects classified by construction status, regional office involved, total amount of the grants and the total number of projects on which construction has been completed.

Dispose when superseded.

365. Public Works Projects Semi-Annual Report (PWO-7 or equivalent). This report is automatically produced by special request showing steps from date of approval through warranty, expiration date, project location, number of contracts, contract costs, and type of facility.

Dispose when superseded.

366. Administrative Subject File. These are office copies of matters such as time and attendance, personnel actions, budget, space, requisitions for services and other objects, and similar housekeeping requirements.

Dispose when 2 years old.

367. Technical Subject File. Contains documentation collected or generated on engineering matters that have recurring pertinence to the engineering review process.

Dispose when superseded or when no longer needed for current business, whichever comes sooner.

#### LOCAL PUBLIC WORKS PROGRAM

Under the Public Works Employment Act of 1976, EDA was responsible for carrying out what has been called Round I of a local public works capital development and investment program aimed at creating jobs through local government public works construction projects. In May of 1977, Congress further authorized EDA to administer a larger Round II Local Public Works Program as part of President Carter's economic stimulus initiative.



Round I consisted of the allocation of \$2 billion in grants to 2,062 projects during the closing days (December 1976 - January 1977) of the Ford Administration. In Round II, EDA funded -- in a 72-day period (July-September 30, 1977) -- 8,553 projects in the amount of \$4 billion for more than 4,000 state, county, and local governments and school boards.

In total, Rounds I and II of the Local Public Works Program have involved the allocation by EDA of \$6 billion in grants for more than 10,600 projects in areas of high unemployment -- the largest Federal public works effort since the Great Depression of the 1930s. Additional authorizations of local public works moneys are being considered.

The program funded useful public facilities that will add to the capital stock of communities throughout the country. Water and sewer systems, streets, bridges, port facilities, community centers, municipal office buildings and schools, police and fire stations, detention facilities, hospitals, museums, and parks and recreation facilities are among the wide variety of facilities being constructed.

Special staffs within headquarters offices of EDA and within the EDA Regional Offices were established to carry out the program.

While the headquarters office was responsible for the direction, review, and coordination of the program, basic responsibility for the administration of individual projects has been placed on the EDA Regional Offices. Therefore, the project case files maintained by the Regional Offices are considered the record copies. The headquarters office maintained only duplicate skeleton files on individual projects for direction, review, and informational purposes.

Office of the Director  
for Local Public Works

368. LPW Program Subject File. This file, maintained by the Director and his immediate assistants, provides basic documentation on the policies, procedures, coordination,

management, and operations of the \$6 billion LPW program and any future authorizations. Except for intergovernmental relations, which are documented elsewhere, it provides the most complete record of this major activity the Department during the latter half of the 1970s.

The file is arranged alphabetically by such subjects as Policy Issue Papers; Rules, Regulations, and Amendments; Act; Guidelines; Policy Council; LPW Task Force; Special Requirements, Program Development; Allocations; Pockets-of-Poverty; Procedural Papers; Directives/Bulletins; and the like.

Permanent. Break file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter

369. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel, budget, space, travel, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

370. Chronological File. The file consists of copies of documents prepared or signed in the Office, arranged by date.

Dispose when 5 years old.

371. LPW Duplicate Approved Grant Case Files. This file, kept for purposes of direction, coordination, review, and information, provides the headquarters office with needed information on each approved project.

The skeleton case file on a project includes such documents as the following:

LEFT SIDE

1. ED-735, Request for and Reservation of Program Funds
2. Cover Letter for Grant Award/Offer

3. Grant Award Offer
4. Special Conditions
5. ED-508, LPW Project Line Item Estimated Costs  
(Budget Page)
6. ED-192, Approval Document for LPW Projects
7. ED-31, Yellow Routing and Remarks Transmittal
8. ED-101/101-S, Application

RIGHT SIDE

9. Amendment Papers: (All types)
  - a. Memorandum Directing Regions to Amend
  - b. Letter Notifying Grantee of Amendment
  - c. Grantee Acknowledges Amendment
10. Letters of Rejection; Deobligation of Funds
11. Waivers for Special Requirements
12. Extensions to 90-day On-site Labor Start Form 14  
(Telegraphic Message)
13. Miscellaneous Correspondence
14. ED-113, Letter of Transmittal

The record copy of such grant project cases is maintained in the Regional Offices.

Retire closed cases to SHA 1 year after close out.  
Dispose of 3 years after close out.

LPW Correspondence Unit

372i Intergovernmental Relations Correspondence File.  
This record copy file of controlled correspondence reflects the official policy in reviewing proposed Round I and Round II LPW projects. The correspondence

is mainly with Congressmen, Governors, County Executives, Mayors, and other Federal, State, or local government officials who had an interest in funding LPW projects, and who wished to obtain such job creating project moneys. Arranged by state.

Permanent. Break file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

LPW Information Systems and Services Staff

373. Title X Source Documents and Related Records. The file consists of records pertaining to the Title X construction projects for creating jobs such as Form SEC-887, Summary of Evaluations and Findings of Title X; Form ED-110X, Title X Payroll Reporting Form; Form ED-736, Title X Project Completion Report; and related or equivalent records serving as informational or source document materials for the computerized reporting system pertaining to Title X projects.

Retire to SHA when no longer needed for current business for transfer to WNRC. Dispose of when 5 years old.

374. LPW Project Source Documents and Related Records. The file consists of materials pertaining to the LPW construction projects for creating jobs such as Form ED-746, LPW Payroll Reporting Form; Form ED-747, Identification of Project Coordinator, Grantee, Contractor, or Subcontractor; Form ED-748, LPW Evaluation Form; and equivalent or related records serving as informational or source document materials for the computerized LPW project reporting system.

Retire to SHA when no longer needed for current business for transfer to WNRC. Dispose of when 5 years oldi

OFFICE OF BUSINESS DEVELOPMENT

The Office of Business Development shall:

Recommend policies, standards, and procedures for processing and approving applications for financial assistance for industrial or commercial usage, consistent with the criteria contained in the Act;

Review applications for commercial or industrial loans and working capital guarantees, and recommend approval or denial;

Maintain surveillance over the implementation by Regional Offices and policies, standards, and procedures related to the processing of loan applications for business development to assure efficient, effective, and economical accomplishment of the business development programs;

Develop and implement EDA-approved agreements with the Small Business Administration and other Federal agencies to secure support of the business development programs;

Monitor operations of industrial and commercial projects approved by EDA, including outstanding loans for projects approved under provisions of the Area Redevelopment Act, and prepare reports of accomplishments;

Arrange for or provide needed specialized assistance to recipients of EDA industrial and commercial loans and guarantees and Area Redevelopment Act loans;

Develop policies, plans, and procedures to improve or terminate projects in default of loan conditions;

Provide assistance in the liquidation of the affairs and functions conducted under the Area Redevelopment Act;

Establish contact and promote large scale involvement of the private sector in EDA's economic development activities; and

Maintain operating liaison with other agencies concerned with the activities of this Office.

## Office of the Director

375. Director's Operating Subject File. This file contains documentation generated or collected by the Director or his immediate assistants and retained for his convenience in the process of maintaining executive oversight of the Office. Record copies of these papers are filed in the Program Administration Division and/or in appropriate project case files. The file also contains some materials on pending projects which are ultimately placed in the case file.

Dispose when 2 years old.

376. Business Development Policy and Administration Subject File. This file contains copies of directives, and correspondence establishing policies from higher echelon and internal EDA policies, and procedures with appropriate administrative directions to implement them. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. Bring forward papers needed for current business. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

377. Administrative Subject File. These are convenience copies of housekeeping papers such as time, cost, and attendance reports, travel orders, travel vouchers, personnel actions, requisitions, and the like.

Dispose when 2 years old.

## Loan Administration Division

378. Approved Business Development Loans Project Case Files. These are headquarters copies of the business development loan case files, including Trade Adjustment Assistance Program case files for impacted industries. The files include such records as pre-approval papers including such records as those involving the early warning system of proposed projects, applications and

supporting documents, civil rights documents, recommendations, and pre-approval correspondence. They also include loan agreements, modifications, status reports, financial statements, correspondence, and papers involving any liquidation matters as required; and related documents. These cases are closed when final repayment is made, or all other matters are considered satisfactorily completed.

Retire closed cases to SHA 1 year after closure.  
Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 10 years after closing date.

379. Denied Business Development Loan Project Case Files. These files reflect project applications or materials on the early warning system of proposed projects denied by the EDA because of a determination that the proposed borrower had not met EDA requirements.

Dispose of when 3 years old.

380. Business Development Working Capital Loan Guarantee Case Files. These contain record copies of documentation of an EDA guarantee of a loan made to the project applicant by a private bank or financial institution. Such loans are usually made to provide the project with capital for inventory or other operating expenses. The cases are closed upon termination of the guarantee.

Retire closed cases to SHA at the end of every 5 years. (a) Retain samples (See Page 166); (b) All others - Dispose 5 years after termination of guarantee.

381. Collateral Instruments. These are the so called "original" documents or specific evidence of indebtedness pledged by the borrower including collateral mortgages, personal guarantees, pledged inventories, assigned contracts, assigned accounts receivable, assigned leases, assigned life insurance policies, and similar instruments.

Return to borrower appropriately stamped or marked when his debt is fully repaid or otherwise satisfied.

382. Quick Query - Office of Business Development Alphabetical Index of Borrowers. This is an alphabetical index of business development borrowers showing their name and project number produced by the computer using the already stored data as a part of the Management Information System. This quick query, or special report, may be produced as often as needed.

Dispose when superseded.

383. Project and Status Report (CO-1 or equivalent). This is the project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action; etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose of monthly and annual issues when superseded.

384. Change Report (C-21 or equivalent)i A summation of number of projects, employment and cost categories by status within each major EDA program. Current additions and changes are shown as well as current totalsi Arranged by status and regional office.

Dispose when superseded.

385.                    RESERVED



Program Administration Division

386i Program Administration Subject File. This file consists of correspondence and other related materials documenting the loan and other functional responsibilities of the Office of Business Development and maintained in this office for convenience of operations.

Start a new file every 5 years. Bring forward papers needed for current business. Retire to SHA 1 year later. Dispose when 10 years old.

387i Administrative Subject File. These are convenience copies of housekeeping papers such as time and attendance, cost reports, travel orders, personnel, budget, requisitions and purchase orders, and similar housekeeping activities.

Dispose when 2 years old.

388. Project Narrative-BL Changes. A one-page narrative summary of area and project information. Issued on a project-by-project basis for those business loans projects that have had changes or updated data submitted within the past month and working capital guarantees.

Dispose when superseded.

389. OBD Approved Loan Summary. A three-page narrative and statistical report on all aspects, including potentials of business loans that have had ARA or EDA funds invested in them. Page three contains a summary of transactions pertaining to the project under the heading of comments. This summary data is not stored in the computer system.

- a. Pages 1-2. Dispose when superseded by an updating issue.
- b. Page 3. File in appropriate project case folder.

390. Weekly Activity Report of Loans and Guarantees  
This is a report showing the quarterly allotment for business loans and guarantees and the number of approved and pending applications outstanding against the allotment in dollars. This report is developed manually and is only used for internal operational purposes.

Dispose when 2 years old.

391. Financial Management Information Report. This is a quarterly report prepared manually and jointly with the Accounting Division showing in dollars the total amount of indebtedness pledged to EDA. Also collections and losses are shown. This gives top management a view of total collectable loans in contracts to total loans made. This report is used only for internal administrative management and in part for preparation of the reports to Congress.

Dispose when 2 years old.

392. RESERVED

393. RESERVED

394. Business Development Loan Weekly Activity Reports. These are office copies of weekly loan activity reports retained in the Program Administration Division.

Project Support Division

. Administrative Subject File. The file consists of office copies of housekeeping papers covering such matters as budget, personnel actions, requisitions, time attendance, travel, and similar housekeeping matters. sists of ch mat-time matters.

Dispose of when 2 years old.

## OFFICE OF TECHNICAL ASSISTANCE

The Office of Technical Assistance shall:

Propose policies, standards, and procedures pertaining to the acceptance, review, and approval of requests for technical assistance, consistent with the criteria of the Act;

Plan and develop technical assistance projects in cooperation with other offices, where appropriate;

Direct or monitor the performance and implementation of approved technical assistance projects;

Recommend policies, standards, and procedures for evaluating and utilizing the results of technical assistance projects;

Execute agreements with other Federal departments and agencies for the conduct of specialized technical assistance;

Recommend policies and practices to facilitate effective relationships with other Government agencies which have complementary programs for technical assistance;

Maintain surveillance over the application of policies, standards, and procedures by the Regional Offices in processing project applications;

Review and recommend project applications for approval or denial; and

Coordinate the efforts of EDA in the manpower training program.

### Office of the Director

396. Technical Assistance Subject File. Documentation generated or collected by the Director and Deputy Director in the process of planning and directing the technical assistance with special emphasis on the coordination

of EDA technical assistance with other elements of the EDA program and with related programs conducted by other government agencies and the private sector. Also included are papers concerning exploration and consideration of potential projects where technical assistance might make an underdeveloped enterprise or area into healthy economic activities or locations. There are some papers relating to meetings and conferences attended by the Director and/or Deputy Director.

The file includes case files for correspondence with other government agencies and organizational units of EDA and the Department of Commerce. The file is basically arranged alphabetically by subject.

Permanent. Start a new file every 5 years.  
Retire to SHA 1 year later. Transfer to WNRC  
1 year later. Offer for transfer to the  
National Archives 20 years thereafter.

397. Administrative Subject Files. These are house-keeping papers including position descriptions, summer student programs, personnel actions and instructions, requests for building passes, requisitions, time and attendance reports, budget, travel, and copies of similar papers.

Dispose when 2 years old.

398. National Approved Technical Assistance Grant and Contract Project Case Files. These case files on grants or contracts let for economic development ~~studies~~ undertaken under the direction of the headquarters offices of the Office consist of such materials as pre-approval papers including notification of the possibility of a project and related papers, papers documenting the grant or contract, papers reflecting monitoring of contractor-grantee activities, reports, accounting documents, preliminary or final reports, audit matters, and related papers.

These studies cover such areas as industries, resources, urban affairs, trade adjustment assistance, and the like. No regional counterpart files are maintained in Regional Offices. Grants are given when a study involves public or nonprofit organizations, while contracts are let to private enterprises.

Cases are closed upon receipt of a final report and upon final payment by EDA.

Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 10 years after closure.

399. Regional Approved Technical Assistance Grant and Contract Project Case Files. These are files on grants or contracts let for economic development studies generated and monitored at the EDA Regional Office level consisting of such materials as pre-approval papers, papers documenting the grant or contract, papers reflecting monitoring of contractor-grantee activities, reports, accounting documents, preliminary or final reports, audit matters and related papers.

These studies cover such areas as industries, resources, urban affairs, trade adjustment assistance, and the like. Until recently headquarters offices maintained the record copy, but the regions now maintain the complete file, and the headquarters file is now a less complete duplicate.

- a. Projects started prior to Fiscal Year 1977 - Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years later. (a) Retain samples (See Page ); (b) All others - Dispose of 10 years after closure.
- b. Projects started during or after Fiscal Year 1977 - Dispose of 3 years after closure.

400. Denied and Withdrawn Technical Assistance Applications. These are applications and related papers that are either voluntarily withdrawn by the applicant or denied by EDA because the applicant failed to meet its requirements.

- a. Withdrawn applications - Return materials submitted to the Office to the sender. Dispose of any EDA generated papers 3 years after withdrawal.
- b. Denied applications - Dispose of when 3 years old.

401. Technical Assistance Control Cards Grants (ED-334 or equivalent) and Contracts (ED-319 or equivalent). This is a card control on (5x8) visible cards. It shows the project number (and contract number, if any), total funds available, name of contractor or grantee, and notations of pertinent actions on the project. The cards are arranged first by fiscal year, thereunder by project number.

Retire cards to SHA when 10 years old and transfer to WNRC 2 years later. Dispose of individual cards when the related project case files are disposed of.

402. Director's Chronological File. The file consists of copies of documents prepared or signed by the Director

Dispose of when 5 years old.

#### Industry and Resources Division

403. Project Review Subject File. This contains documentation of laws, regulations, and technical requirements for making final recommendations on applications for technical assistance, grants and contracts including certain urban applications. The file also contains incoming and outgoing correspondence with other government agencies and the public pertaining to matters of general applicability to technical assistance grants and contracts. These papers are collected or generated by the Division Chief and his immediate assistants. Arranged first by state, thereunder by subject.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 1 year later. Dispose when 10 years old.

404. Administrative Subject Files. These are office copies of housekeeping papers including personnel actions, taxicab reimbursements, travel vouchers, budget, time and attendance reports, request for subscriptions, copies of instructions and directives, and similar papers. Also included are copies of project program reports used as guidelines and precedents in reviewing projects

Dispose when 2 years old.

405. Feasibility Studies and Final Reports. This is a collected set of feasibility studies and final reports used by the Office as a worktool. Although a copy of the study or report is in the appropriate case file, the collected set makes available raw data that may very well be lost to a researcher having to make a case-by-case search. Notwithstanding the necessity of the office keeping this set as a worktool, designation of it as a second record set is justified to stimulate and facilitate use. (The data for future research that may have only indirect bearing on the present mission of EDA could be very significant later on.)

No other set of equal completeness is available in EDA. Arranged by title.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

406. EDA Project and Status Report (CO-1 or equivalent). This is a computer printout which contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant's name; project description and location; type of project; geographic codes; financing; sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits; and the like.

Dispose when superseded by a new annual cumulative report.

#### Urban Division

407. General Correspondence Subject File. These are office copies of letters, memorandum, and the like generated or collected by the Chief of the Division and his

staff. Most of the papers have general applicability to projects; any pertaining to specific projects are duplicated in the appropriate project case file. All other papers are essentially duplicated in the subject file maintained in the Office of the Director.

Dispose when 3 years old.

408. Special Topics File. Primarily, this consists of collected documentation containing raw data on cities and urban economic development concepts. This file is used for preparation of responses and other presentations on all aspects of technical assistance to support the EDA program.

Dispose of individual documents or contents of selected file folders when 5 years old or when they have served their purpose, whichever is sooner.

409. Administrative Subject File. These are office copies of housekeeping papers pertaining to budget, personnel actions, requisitions, space, vouchers, and similar matters.

Dispose when 2 years old.

410. Special Impact Cities Subject File. The file consists of papers of a general nature relating to the program for impacted areas under the 1969 amendment to the Public Works and Economic Development Act. To be designated an impacted area, a city must meet certain criteria involving underdevelopment, income, unemployment, and similar criteria.

Start a new file every 5 years. Retire to SHA 1 year later. Dispose when 10 years old.

#### Human Resources and Productivity Division

411. Manpower Training Subject File. Documentation pertaining to the maintenance of liaison with the Labor Department on the development, planning, monitoring, and



coordination of training projects for EDA redevelopment areas that are approved, officially documented and financed by the Labor Department.

Start a new file at the beginning of every fiscal year and retire to SHA when 4 years old. Dispose when 6 years old.

412. Intra-Departmental File. Contains incoming and outgoing correspondence concerning planning, policy, directions, and new concepts for a training program utilizing Labor Department funds and developed and monitored by the EDA training staff.

Start a new file at the beginning of every fiscal year and retire to SHA when 4 years old. Dispose when 6 years old.

413. Administrative Subject File. These are office copies of housekeeping papers such as budget, personnel actions, requisitions, time and attendance reports, vouchers, and the like.

Dispose when 2 years old.

414. Consultant Register. The file consists of card records and background papers relating to the availability of various consultants to contract for carrying out technical assistance projects, if accepted.

Dispose of when 2 years old or when no longer needed for current business, whatever comes sooner.

415. Repayment Agreements. The file consists of documentation pertaining to agreements by contractors or ~~grantees~~ involving studies for which problems of repayment have arisen, and also, as needed, to writing off as uncollectible certain moneys determined to be due from contractors or grantees.

Dispose of 1 year after repaid or written off.

## ALL HEADQUARTERS UNITS

Listed below are files that were found in many headquarters units. To avoid repetition, these items listed here, and the retention periods supplied have been included to insure adequate disposition coverage of the records concerned. However, if any records listed below are described elsewhere in the Schedule, the retention period for the records in the particular organizational unit involved shall prevail, if different.

416. Manual of Economic Development Directives. These are local copies of Economic Directives (new system) and copies of MEDO's (old system) that are kept in many operating offices for policy and procedural guidance. The record copy of these and related directives is maintained in the Management Analysis Division (See Item 152)i. Copies maintained in all other units have no value after they have served their purpose as an operating instruction.

Dispose of individual directives when revised or revoked.

417. Chrono, "Reading," "Tickler," or "Suspense" Files. Chronological files have sometimes been listed under the appropriate organizational unit in the body of the Schedule. These files consist of a copy of all outgoing correspondence arranged in chronological order. They are used as a convenient reference or to flag a due date or some other action. This item covers all such files, wherever found in headquarters, except those specifically listed elsewhere.

Dispose when 1 year old.

418. Press Releases, Statements, Speeches, and Testimonies. These are copies of the items specified in the title except those specifically listed under an appropriate organizational unit in the Schedule. They are used as precedents and for other reference purposes. A record copy of this material is maintained as long as necessary in the Office of Public Affairs.

Dispose when 2 years old.

419. Reproducibles Files. Except those listed in Item 198, these are copies of manuscripts (camera copy), paper, photographic, and other types of plates or media used to reproduce multiple copies of documents for distribution. Small quantities of these are found in many units other than the Office of Publications.

Dispose when no longer needed for reprinting.

420. Personnel Applications Files. These are applications and related papers from persons seeking employment in EDA.

- a. Successful applicants - Send application to the Office of Personnel.
- b. Unsuccessful applicants - Return application to sender, if feasible. Otherwise dispose of when 1 year old.

## ALL REGIONAL OFFICES

The major work of the EDA in carrying out individual projects involving grants, loans, or contracts occurs in the Regional Offices. Most of the record copies of these basic case files are now maintained in the Regional Offices or have been in process of being decentralized to the Regional Offices.

Although the organization of regional offices in subdivisions follows a reasonably consistent pattern the activities of, and the records generated by counterpart subdivisions vary considerably from region to region. To allocate records to subdivisions within regional offices will cause confusion and permit only the narrowest application of the retention periods provided. To avoid this, the records found in the regions are listed without regard to the subdivisions in the regional offices. As long as the records are the same as those described and serve the same purpose, it is intended that the retention period provided shall apply to them wherever found in a region including offices of Economic Development Representatives or field offices.

To help identify the material, files are grouped under center headings by type of content or function.

### Executive Direction

421. Director's Subject File. This is incoming and outgoing correspondence from headquarters, area offices, Economic Development Representatives, private individuals and others pertaining to program activities, policy, procedures and rulings and decisions on matters and situations related to a number of projects or EDA activities.

Start a new file every 5 years, transfer to the Federal Archives and Records Center (FARC) 1 year later. Dispose when 10 years old.

422. Congressional Correspondence. This consists of incoming letters (records of telephone conversations) and outgoing replies to Congressmen. This correspondence is sometimes case filed by the Congressmen's name in the subject

file described above. In other cases it is considered a separate name file. Whichever is the case, this correspondence should be retained on site for disposition.

Dispose when 3 years old.

423. Administrative Subject File. This contains copies of incoming and outgoing items generated or collected by the Director pertaining to the direction of internal activities of the region. The file also contains some papers on housekeeping matters about which he has a need to know, or that require his approval.

Dispose of individual documents or the contents of file folders when 2 years old.

424. Field Activity Reports. These are weekly reports submitted to the Director by Economic Development Representatives showing their activity, contacts, and the localities visited. A copy of this report is also submitted to the Deputy Assistant Secretary. Since these reports are used extensively in follow-up inspections and as a prime source of data needed to protect the legal rights of the Government and any individuals concerned, it is desirable to maintain copies of them in both headquarters and regional offices for a reasonably long period of time.

a. Regional Director's Copy - Start a new file every year, transfer to FARC 1 year later. Dispose when 10 years old.

b. All Other Copies - Dispose when 1 year old.

425. Reports File. These are copies of reports, except Field Activity Reports described above, that are collected or generated to maintain management control of the program and activities of the region. They include such items as the Obligation and Cost Report, Activities Report, Expense Statement for Administrative Cost, Project Narratives, Production Reports, and other similar internal submissions. These papers are summarized or essentially duplicated by reports submitted to Washington.

Dispose when 5 years old.

## Administration

426. Subject File. This contains incoming and outgoing correspondence pertaining to housekeeping and operating affairs such as budget, delegations of authority, funds, personnel, space, time and attendance reports, travel, requisitions for services and things. Also included are papers pertaining to plant and facilities maintenance and costs.

In some cases personnel name files are made a part of this file; in other cases these papers are kept separately as a name case file. The same disposition should be made of them in both cases.

- a. Personnel Name File - Dispose 1 month after separation of the subject employee.
- b. Applications for Employment - Send successful applications to the Office of Personnel; send unsuccessful applications back to the applicant.
- c. All Other Papers - Dispose of individual documents or contents of file folders when 2 years old.

427. Laws, Regulations and Directives. These are copies laws and regulations defining and governing the programs and responsibilities of EDA. Also included are copies of the Manual of Economic Development Directives (formerly MEDOS).

Dispose when revised or revoked.

428. Accounts. These are copies of documents received from headquarters or locally generated including accounts current, delinquent loans, disbursements and receipts, obligations and commitments, vouchers, bills of lading, imprest funds, and the like.

Dispose when 3 years old.

429. Personal Property Records. These are listings or inventories of personal property showing the description of the item, model and serial numbers, location and the person or office charged, with related correspondence.

- a. Record Card - Dispose when superseded by a new card or upon disposal of item of equipment.
- b. Inventories or Lists of Personal Property - Dispose when replaced by a revised copy.
- c. All Other Papers - Dispose when 3 years old.

430. Personnel Folders. In some cases a personnel folder is maintained for each employee in the manner and style of the official personnel folder. However, these folders contain only office or convenience copies of action papers filed in the employee's Official Personnel Folder which is maintained in the Office of Personnel, Office of the Secretary, Department of Commerce, Washington, D.C.

Dispose upon transfer or separation of the subject employee.

431. Reproducibles Files. These are copies of manuscripts, paper, photographic, and types of plates or media used to reproduce multiple copies of documents for distribution.

Dispose when no longer needed for reprint.

432. Press Releases, Speeches, and Other Presentations. These are copies of the items specified and similar material used as a precedent and for other reference purposes. This material is adequately documented in official files kept in headquarters offices.

Dispose when superseded or when 2 years old, whichever is sooner.

433. "Chrono," "Reading," "Tickler," or "Suspense" Files. These consist of a carbon copy of all outgoing correspondence normally arranged in chronological order, however, a few unusual cases are noted where these copies are kept in an alphabetical order.

Dispose when 1 year old.

## Civil Rights

434. Civil Rights Subject File. This contains incoming and outgoing correspondence and collected printed and processed material ~~pertain~~ing to the provisions of the program, its effectiveness, suggested improvements, and explanations or interpretations or specific provisions of the law and their application in general. Also included is documentation of the specific steps taken by the Office to implement the program.

Dispose of individual documents or contents of file folders when superseded or when 5 years old, whichever is appropriate.

435. Monthly Activity Report. These are copies of monthly activity reports that narratively summarize program activities for the period prepared for submission to headquarters and similar reports produced for internal use.

Dispose when 3 years old.

436. Complaints and Grievances Review Files. Documentation of complaints or grievances filed by individuals or minority groups against offices of a project for non-compliance with law and regulations. Close cases upon withdrawal or when a final decision is made.

Dispose 5 years after case is closed.

436a. Preapproval Review Files. Consists of duplicate copies of civil rights documentation submitted during the preapproval review process of various EDA projects. Includes such records as Form ED-509, Equal Opportunity Report, Form ED-612, Assurance of Job Opportunities for Unemployed, and similar civil rights program documents.

Dispose of when 3 years old.

436b. OEDP Committee Review Files. Documentation received yearly for review concerning the adequacy of minority representation on OEDP Committees.

Dispose of when superseded by new documentation.

## Legal Papers

437. General Subject File. Documentation generated by the legal staff ~~pertain~~ing to the provisions of various laws and regulations, reviews of pending legislation, interagency matters, and to the regional programs of EDA. Also included is correspondence with other government officials and prospective borrowers or grantees relating to EDA requirements for eligibility and participation in its programs.

Start a new file every 3 years and transfer to FARC 1 year later. Dispose 3 years later.

*10 years old.*



438. Project Legal Review File. This consists of legal opinions and related data generated in the course of reviewing each project prior to regional approval. Also included are interpretations and opinions rendered on statutory, regulatory, and other authoritative issuances governing the project.

Dispose of individual file folders when 10 years old.

439. Conflict of Interest. Documentation of conflicts of interest by private individuals and organizations with copies of reviews and legal opinions prepared by the legal staff.

Dispose of folders 1 year after case is closed.

439a. Duplicate Loan Closing Files. Consist of duplicate copies of loan closing documents involving various loan guarantee or business development loan programs maintained for convenience of the Regional legal staff.

Dispose of 3 years after loan closing.

#### Environmental Records

440. Environmental Subject File. This file reflects the environmental aspects involved in carrying out EDA projects, to comply with various laws and regulations concerned with protecting the environment during construction projects. It covers such matters as the Clean Air-Water Act, Historical Preservation Act, Environmental Regulations and Directives, National Environmental Policy Act, Governmental Relations, and similar matters.

Break file every 3 years. Bring forward active files. Transfer to FARC 1 year later. Dispose of when 10 years old.

441. Case Files on Environmental Compliance. Certain regions maintain, separately from project records, the environmental records pertaining to compliance with various Acts relating to the environment in carrying out EDA-funded construction projects. For most projects, an environmental assessment statement may be prepared. For certain projects a full environmental impact statement can be prepared, while projects involving Section 106 of the Historical Preservation Act require special statements as to the propriety of making loans or grants concerning historic properties. Other regions may include these statements in the actual project folder.

Transfer statements pertaining to closed cases to FARC 1 year after closure. Dispose of 10 years after closure.

## Program Support Records

### 442. State, District and Area Planning Grant Project Case Files.

This is the regional office copy of the official planning grant project case files containing copies of all determinations and data created during the preapproval period of the project and a copy of the application, grant offer (approval), grant with special terms and conditions of grant, if any; and any other legal documents necessary. Also included are correspondence, staff recommendations and documentary evidence required of the grantee. Grants are made to assist local governments and organizations in defining of economic development districts and in organizing and planning development organizations to evaluate depressed economic conditions. The normal term of a grant is usually one year. However, a number of grants are continued for various periods when there are justifications for doing so.

In each case a new agreement is made to cover the continuation. A continuation is identified by the same project number as the original grant with the addition of a distinctive terminal digit(s). Thus, the relationship between the original project case file and continuations flowing therefrom is maintained through the device of the project case file number with added distinctive digits.

In some cases the grantee has money that must be returned to the Government when his grant has run full term; in such instances the case is not closed until such monies have been returned, and the required audit report has been submitted. All cases are closed upon the receipt of the required audit report which documents the financial management and performance under the grant.

- a. Cases Generated Prior to FY 1978 - Transfer closed cases to Federal Archives and Records Center (FARC) at least 1 year after closure. Dispose of 5 years after closure.
- b. Cases Generated in FY 1978 and After - Transfer closed cases to FARC at least 1 year after closure. Dispose of 15 years after closure.

443. Correspondence Subject File. This consists of incoming and outgoing correspondence with various dignitaries, state and federal official requesting information concerning the status of programs and information needed for pre-project approval planning.

Start a new file every 5 years. Dispose when 8 years old.

444. Public Service Careers Project Case Files. These cases document grants made to organizations to provide assistance in recruiting and training disadvantaged persons for non-federal public service careers that will upgrade their income and job category. Official record copies are maintained in Washington. These are skeleton case files containing copies of documentation including the grant offer, application, agreement, copies of staff correspondence, progress reports, requests for disbursements and final reports.

These projects are funded through an agreement with the Department of Labor. Cases are closed upon receipt and return of any funds due the Government.

Transfer closed cases to FARC at least 1 year after closure. Dispose 5 years after closure.

445. Denied and Withdrawn Public Service Careers Project Case Files. These are duplicate copies of project case files of grants that have been denied because of the failure of the grantee to meet EDA requirements or that have been withdrawn by the grantee. The cases are closed upon appropriate satisfaction of the grantee. Official record copies are maintained in Washington.

Dispose when 2 years old.

446. Professional Services Grant Case Files. These files reflect grants made to designated economic development districts under Section 302b(1) of the Act to provide specific services through hire of specialists to address particular economic problems such as energy, industrial development, and the like.

- a. Grants Made Prior to FY 1978 - Dispose of closed cases 5 years after closure.

- b. Grants Made During or After FY 1978 - Transfer closed cases to FARC 1 year after closure. Dispose of when 15 years old.

447. OMB Circular A-95 Grant Case Files. The files document grants made to designated economic development districts that are serving as State designated area clearing-houses for review of proposed grants as specified in OMB Circular A-95. These grants made under Section 302b(2) of the Act provide recompense to the districts for administering the A-95 review process.

- a. Grants Made Prior to FY 1978 - Dispose of closed cases 5 years after closure.
- b. Grants Made During or After FY 1978 - Transfer closed cases to FARC 1 year after closure. Dispose of closed cases 15 years after closure.

448. Denied or Withdrawn Professional Services or OMB Circular A-95 Grants. These files consist of applications and other related papers pertaining to denied or withdrawn grants for professional services or OMB Circular A-95 grants.

Dispose of 3 years after final determinations to deny, withdraw, or take no action on proposed grant applications.

#### Planning Records

449. Overall Economic Development Program (OEDP)i These are duplicate copies of Overall Economic Development Program Plans submitted to EDA. These program plans describe the economic, employment, and business conditions prevailing in the area and specify the type of assistance needed with an evaluation of potential economic growth in the area. The record copy is maintained in the headquarters Qualifications Division.

Dispose when no longer needed for current business

450. District Overall Economic Development Programs. This is a duplicate set of the initial Overall Economic Development Programs submitted by designated districts. The headquarters office maintains the record copy.

Dispose when they have served their purpose.

451. Annual Updates of OEDPs. After the submission of the first program submitted each district is required to submit an annual report or updated Overall Economic Development Program for review and approval. This is a duplicate set, the headquarters office is responsible for the record copy.

Dispose when they have served their purpose.

452. Planning Subject File. This is incoming and outgoing correspondence concerning preparation of Overall Economic Development Plans with related critiques, suggestions, and the like.

Start a new file every 3 years. Dispose ~~2 years later.~~  
*of them 5 year ill.*

#### Public Works Records

453. Public Works Approved Project Case File. These are the record copies of the files, since duplicates only are kept in Washington, and the duplicates are scheduled for shorter retention. They include Title I X projects and projects involving the 1980 Winter Olympics program.

The file contains a copy of the application with all supporting documents, a copy of all administrative actions relating to the application or to the approved project, copies of all pre-approval review actions, certification requirements, post approval reports, and related planning and construction papers.

Cases are closed when construction is completed and the final EDA payment, if any, has been made. Each closed project case folder is marked to show the dates on which these actions occur.

Transfer closed cases to FARC 6 months after closure.

(a) Retain Samples (See Page 166); (b) All Others -  
Dispose 15 years after closure.

454. Withdrawn, Terminated or Cancelled Approved Project Case Files. These are case files for projects that have been approved and they contain essentially the same documentation as the project case files described immediately

above including Title X projects. The grantee-borrower for a variety of reasons cannot complete the project and EDA deobligates the funds for the project because of failure of the grantee-borrower to meet legal requirements or other obligations to which he is bound. These are the record copies of the cases.

Transfer withdrawn, terminated, or cancelled approved project cases to FARC every 6 months.  
Dispose of 6 years after withdrawn, terminated or cancelled.

455. Denied Project Case Files. These comprise a case file for each project by number that has been denied. The case generally contains an application, correspondence with the applicant, related findings and recommendations, and a letter of denial. Title X projects are included.

The record copies of these cases are in appropriate regional offices, and only a skeleton file is kept in Washington.

Transfer denied cases to FARC 1 year after denial.  
Dispose 6 years after denial.

456. Withdrawn Public Works Project Case Files. Thesei comprise the record copy of a case file for each project withdrawn by the applicant. Generally, the case contains an application with supporting papers, correspondence with the applicant, and findings and recommendations. Title X projects are included.

Transfer withdrawn cases to FARC 1 year after withdrawal. Dispose 6 years after withdrawal.

457. Loan Management Case Files. These contain complete documentation of the loan including pertinent correspondence, Requisition for Bond Purchase or Loan Advance, legal opinions, and similar papers pertaining to the negotiations and closing of the loan. Other legal documentation includes loan closure papers, borrower's charter, certificate of incorporation, minutes of various proceedings, title opinions, engineers certificate, location maps, final opinion of bond council and similar documents specified in a check list.

The files in the regional offices are the official record copies and a duplicate record is maintained in Washington. Both of these files must be retained for the specified period after the loan has been fully satisfied. The

duplicate file in Washington is needed to enable the Financial and Loan Management Staff to maintain centralized management surveillance of loan repayments. The record copy in the field is required to enable the regional office to monitor the loan at the local level.

Generally speaking, these case files are considered closed when the loan is fully executed and made, however, for purposes of this schedule a case is closed when the final payment is made which fully satisfies the loan.

Transfer closed cases to FARC at end of each year.

(a) Retain Samples (See Page 166); (b) All Others -  
Dispose 10 years after closure.

458i Financial Review Reportsi These are reports prepared by regional offices and submitted to headquarters showing the financial conditions of each project in the region.

Dispose when 5 years oldi

459. Project Construction Files. These contain correspondence relating to construction requirements and problems with related drawings; workpapers; and the construction package.

Transfer to FARC 1 year after completion of the project. Dispose 5 years after completion of the project.

460. Blue Print-Drawing Files. These files consist of blue prints or other types of drawings involved in various types of public works construction projects transmitted to the regional office by contractors, construction firms, and the like. Not all changes made during actual construction are reflected in the drawings submitted.

Dispose of 1 year after work ceases on construction, or the project is closed, whichever comes sooner.

461. Collateral Instruments. These are so called "original" documents or specific evidence of indebtedness pledged by the ~~borrower~~ including collateral mortgages; personal guarantees, pledged inventories, assigned contracts,

assigned leases, assigned life insurance policies, and similar instruments.

Return to the borrower appropriately stamped or marked when his debt is fully repaid or otherwise satisfied.

462. Public Works Correspondence File. This file contains incoming and outgoing correspondence with collected documentation pertaining to all facets of the Public Works Program and its operations.

These papers are generally arranged alphabetically by subject in a single file. However, in various regions they may be split and arranged in two or more separate and more specialized files.

Dispose of individual documents or file folders when 10 years old.

463. Engineering Project Review File. These are papers generated in the process of reviewing each project in accordance with established procedures and engineering practices. Generally these papers are duplicated in the appropriate case files. They are needed at the regional level for a period after approval of the project to maintain professional quality control.

Start a new file every 3 years. Dispose when 4 years old.

464. Regular Contractor Payroll Files. These files consist of contractor payrolls involved in public works projects. They are used to evaluate the employment producing aspects of a project. Because of the volume of the payrolls submitted, they should be maintained separately from the project case folders.

Dispose of when 5 years old.

#### Local Public Works (LPW) Program Records

465. LPW Program Subject File. This file consists of general materials not pertaining to individual projects concerning the local public works program, Round I and



Round II. It contains correspondence, background materials, legislative background, directives, reports, and other materials concerned with regional actions taken in administering this \$6 billion program to fund the creation of employment through local public works construction projects.

Break file every 3 years. Bring forward active materials. Transfer to FARC 1 year later. Dispose of when 10 years old.

466. LPW Approved Grant Case Files. These are the record copies of the case files on individual approved projects since only a skeleton file on each project is maintained in the headquarters office for a shorter retention period.

The file on each project contains such records as a copy of the application with all supporting documents, material on all administrative actions relating to the application and approval of the project, records on pre-approval review actions and certification requirements; post approval reports, papers concerned with planning and construction of the projects, materials on payments made to the grantee, and other documents relating to funding and constructing the particular facility involved.

Cases are closed when construction is completed and the final EDA payment, if any, is made. Each closed project case folder is marked to show the dates when these actions occur.

Transfer closed cases to FARC 6 months after closure. (a) Retain Samples (See Page 166);  
(b) All Others - Dispose 15 years after closure.

467. Withdrawn, Terminated or Cancelled Approved LPW Projects. These are project case files that have been approved and contain essentially many of the same papers described above. The grantee-borrower for a variety of reasons cannot complete the project, and EDA deobligates funds for the project because of the failure of the grantee-borrower to meet legal requirements and other obligations to which he is bound.

Transfer withdrawn, terminated or cancelled LPW approved project cases to FARC every 6 months. Dispose of 6 years after withdrawn, terminated or cancelled.

468i RESERVED

469. Withdrawn LPW Project Case Files. These files contain applications, supporting papers, and related materials for proposed projects that have not been approved by EDA, but which, for a variety of reasons, are withdrawn by the applicant.

- a. Records Submitted by Applicant - Return to applicant upon notice of withdrawal.
- b. All Other Records - Dispose of 3 years <sup>after</sup> withdrawal

470. Regular Contractor LPW Payroll Files. These files consist of periodically submitted copies of contractor payrolls involved in LPW construction projects. They are used to evaluate the employment producing aspects of a project. Because of the volume of payrolls submitted, they should be maintained separately from the project case folders.

Dispose of 5 years after completion of construction.

470a. Environmental Review Copy, LPW Applications. Consists of duplicate copies of successful LPW grant applications maintained for environmental review purposes. The record copy of successful applications is maintained in the project case file.

Dispose of when no longer needed for current business

Community Emergency Drought  
Relief Program Records

471. Drought Program Subject File. This file consists of records not pertaining to individual projects concerning the administration of a special program for providing grants or loans to alleviate the economic distress caused by the prolonged drought of recent years. The files contain materials on the legislation, correspondence with other government agencies, headquarters-regional correspondence, background records, and related materials.

Transfer to FARC when 5 years old. Dispose of ~~when 5 years later~~ 10 year old.

472. Drought Program Approved Project Case Folders. These regional office record copy case files consist of such records as the loan/grant application and supporting documents, materials on administrative actions relating to the application or the approved project, records on pre-approval project review actions, materials on funds loaned or granted, post approval reports, and related records.

Transfer closed cases to FARC 1 year after closure.

(a) Retain Samples (See Page 166); (b) All Others -  
Dispose of 15 years after closure.

473. Withdrawn or Denied Drought Project Case Folders. The file consists of such records as the application and supporting documents, records on the review or denial, correspondence with applicants, and related records.

Transfer withdrawn or denied cases to FARC 1 year after withdrawal or denial. Dispose of 6 years after withdrawal or denial.

#### Title IX Program Records

474. Title IX Program Subject File. This file of general materials not pertaining to individual projects, documents the special grant program of EDA to help communities requiring economic assistance grants because of dislocations from plant closings, defense base closings, natural disasters, explosive growth such as energy "boomtowns," structural unemployment and the like. The file consists of materials on environmental adjustment problems, defense base closings, employee stock ownership trusts, trade adjustment and impacted industries, and the like.

Start a new file every 3 years. Bring forward active materials. Transfer to FARC 2 years later. Dispose of when 10 years old.

475. Title IX Development Planning Grant Case Files. These regional office record copy case files cover grants made to public entities for planning an economic adjustment strategy to cope with various economic dislocations covered by Title IX. These planning cases, typically of 6 months duration, consists of such records as applica-

tions, civil rights documents, grant offer, special and general terms and conditions, a final report outlining the proposed economic adjustment strategy, and related recordsi

Transfer to FARC 1 year after closure. (a) Retain Samples (See Page 166)‡ (b) All Others - Dispose of 15 years after closure.

476. Title IX Implementation Grant Case Files. These regional office record copy case files cover grants made to public-entities for implementing an approved economic adjustment strategy to cope with various types of economic dislocations covered by Title IX. These implementation grant cases, which are open-ended in duration, consist of such records as environmental statements, project profiles‡ civil rights documentation, grant agreements, grant offers, special and general terms and conditions, annual reports on activities, and related records.

Transfer closed cases to FARC 1 year after closure. (a) Retain Samples (See Page 166)‡ (b) All Others - Dispose of 15 years after closure.

477. Denied or Withdrawn Title IX Planning and Implementation Grants. The file consists of such records as the application and supporting documents, records on the review or denial, correspondence with applicants, and related records.

Transfer withdrawn or denied cases to FARC 1 year after withdrawal or denial‡ Dispose of 6 years after withdrawal or denial.

#### Business Development Records

478i Approved Business Development Loans Project Case Files. These are regional office copies of the business development loan case files including Trade Adjustment Assistance Program case files for impacted industries. The files include such records as pre-approval papers such as early warning system notifications, applications and supporting documents‡ civil rights documents, recommen-

dations, and pre-approval correspondence. They also include loan agreements, modifications, status reports, financial statements, correspondence, and papers involving any liquidation matters as required, and related papers. These cases are considered closed when final repayment is made or all other matters are considered satisfactorily completed.

Transfer closed cases to FARC 1 year after closing.  
Dispose of 10 years after closing.

479i Withdrawn and Denied Business Development Loan Project Case Files. These contain copies of documentation of project applications voluntarily withdrawn by the borrower, and of applications denied by EDA because of failure of the borrower to meet requirements.

Transfer cases to FARC at the end of every fiscal year. Dispose 3 years after withdrawal or denial.

480. Business Development Working Capital or Fixed or Leased Asset Loan Guarantee Case Files. These contain copies of documentation of an EDA guarantee of a loan made to the project applicant by a private bank or financial institution. Such loans are usually made to provide the project with capital for inventory or other operating expenses. The official record copies are maintained at headquarters.

Close cases upon termination of the guarantee.

Dispose 3 years after termination of guarantee.

481. Business Development Subject File. This contains documentation generated or collected by the Regional Director and his assistants in the process of maintaining oversight of the regions. Copies of decisions and instructions from higher authority are included in the file along with standards and procedures generated by the Regional Director governing the daily operations of the region. Also included is intra-regional correspondence dealing with specific problems, situations, or accomplishments.

Start a new file every 5 years, transfer to FARC 2 years later. Dispose when 10 years old.

## Technical Assistance Records

482. Regionally Generated Technical Assistance Grant and Contract Project Case Files. These files are the regional copy of grant or contract project case files under the supervision of the regional offices.

Case files consist of such records as a copy of the final printed report or equivalent, progress reports and monitoring actions, proposed comments, applicants proposal, a copy of the agreement (grant or contract), and all other official documentation pertaining to the administration and adequacy of performance under the project agreement.

The normal term of a technical assistance grant or contract is one year; however, for various reasons a number of grants are renewed one or more times for an additional year. When this occurs, the original project case file number with an added final digit is assigned to the case file for each such extension. Thus, each case file including the first one and each extension thereafter is treated somewhat as a separate project.

Grants are made only to non-profit and public organizations; they are awarded to allow the grantee to provide management services and business know-how to selected businesses located in areas of economic distress. Grants are also awarded to provide training, counseling, and promotional services to such businesses.

Contracts are essentially the same as grants except they may be awarded to private enterprises. They are usually for a shorter term and are not extended as a general rule. Most contracts are awarded for feasibility studies, demonstration projects, or some business services. The terms of a contract nearly always require a final report or equivalent.

Cases are closed upon receipt of the final report and final EDA payment.

- a. Projects Started Prior to FY 1977 - Transfer closed cases to FARC 1 year after closure.  
Dispose of 5 years after closure.

- b. Projects Started in FY 1977 and After - Transfer closed cases to FARC 1 year after closure  
Dispose of 10 years after closure.

483. Denied and Withdrawn Technical Assistance Applications. These are applications or proposals, and related papers, that are voluntarily withdrawn by the applicant or denied by EDA because the applicant failed to meet requirementsi

- a. Withdrawn applications - Return materials submitted to the office to the sender. Dispose of any EDA generated materials 3 years after withdrawal.
- b. Denied applications - Dispose of when 3 years old.

484. Feasibility Studies. These are collected copies of final reports and feasibility studies used as a worktool. Provision has been made to retain a collected set at headquarters, plus copies that are filed in the project case filesi

Dispose when no longer needed for current business.

485. Technical Assistance Subject File. This contains incoming and outgoing correspondence pertaining to technical assistance projects in general; correspondence to and from headquarters, other government agencies, and intra-regional documentation relating to operations. Also included are copies of technical reference material.

Start a new file every 5 years, transfer to FARC 1 year later. Dispose when 10 years old.

#### Human Resources Records

486. Human Resources Correspondence. This is incoming and outgoing correspondence concerning the development, operation, and monitoring a training program approved and financed by the Labor Department for EDA redevelopment areasi

Start a new file every 3 years and dispose when 5 years old.

### Computer Printouts

The printouts listed below are reports comprising a part of the EDA Management Information System, and with a few exceptions each one of them is distributed to a number of offices. Only those distributed to one or more regional offices are listed. Each regional office should apply the retention period specified to the items which it receives, and ignore the remainder.

487. Geographic Data Master (ARM-01 or equivalent). Monthly listing of "Area Statistics" by State and Economic Development Area. Report includes State code, EDA area code, County, District, Growth Center and Region codes, as well as population, population code, unemployment rate, work force, number of unemployed, and median family income based on Census data; unemployment rates are based on Census data. Included also is designation data for Areas and Districts.

Dispose when superseded.

488. Area Summary (A-04 or equivalent). Monthly report by development area that shows number of projects and amount of EDA funds (in thousands) by type of program (i.e. Public Works In-House, Public Works-Other Agency Business Loans, Technical Assistance, etc.) and type of assistance (direct grant, supplemental grant, loan, etc.). States are arranged by EDA Regional Office responsibility. Cumulative.

Dispose when superseded.

489. State Summary (A-05 or equivalent). This biweekly report shows the number of projects and amount of EDA funds by type of program and type of funds. States are arranged alphabetically. Cumulative.

Dispose when superseded.



490. State Summary (FY) (A-05 or equivalent). This bi-weekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

491. Regional Office Summary (A-06 or equivalent). Bi-weekly report shows the number of projects, and amount of EDA funds by type of program and type of funds. States are arranged according to EDA Regional Office responsibility. Totals are included for EDA Area Office.

Dispose when superseded.

492. Regional Office Summary (FY) (A-06 or equivalent). This biweekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

493. Area Listing (B-04 or equivalent). This biweekly report reflects the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

Dispose when superseded.

494. Area Listing (PW) B-04 (1&2 or equivalent). This biweekly report identifies projects within each area eligible for Public Works assistance. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

495. Area Listing (BL) B-04 (3&4 or equivalent). This biweekly report identifies projects within each area eligible for Business Loans and Working Capital Guarantees assistance. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

496. Area Listing (PG) B-04 (5) or equivalenti. This biweekly report covers only Planning Grants. Its main purpose is to reflect the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicants name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

Dispose when superseded.

497. Area Listing (TA) B-04 (6) or equivalenti. This biweekly report covers only technical assistance projects. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment, and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

498. Project Testing (B-05 or equivalent). This biweekly report is prepared sequentially by project number and is used for quick identification of a project when only the project number is known. It includes all major programs, for "All Status" only. This is a cumulative report.

Dispose when superseded

499. Project and Status Report (C-01 or equivalent). This monthly report covers only pending and approved planning grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visitsi

Area data included are: population, work force; unemployed; ~~unemployment rates; median family income; basis and dates of designation action, etc.~~ The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded.

500. ED-2, Printout, EDA Public Works Project Transcript. This is the Public Works portion of a larger monthly project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll, annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded.

501. Project and Status Report (BL) (C-01 or equivalent). This is the Business Loan portion of a larger monthly project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Dispose when superseded.

502. Project and Status Report (PG) (C-01 or equivalent). This monthly report covers only pending and approved grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and the approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded by next issue.

503. Project and Status Report (TA) (CO-1 or equivalent). This is a monthly computer printout which contains pertinent project characteristics and status of progress from date of receipt through review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits, and the like.

Dispose when superseded.

504. Change Report (C-21 or equivalent). This biweekly report is a summation of number of projects, employment and cost categories by status within each major EDA program. Current additions and changes are shown as well as current totals. By Status and Regional Office.

Dispose when superseded.

505. Congressional Directory (DIR-01 or equivalent). This monthly report shows approved projects arranged by Congressional Districts within States. Includes applicants name, project number, project description, EDA funding and date of project approval.

Dispose when superseded.

506. District Directory (DIR-05 or equivalent). This monthly report includes approved projects grouped by EDA Districts within States. Includes applicants name, project number, project description, EDA funding and date of project approval.

Dispose when superseded.

507. Public Works Project Narrative Report. A monthly one-page narrative summary of area and project information. Issued on a project-by-project basis for those public works projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

508. Project Narrative-BL Changes. A one-page narrative summary of area and project information. Issued on a project-by-project basis for those Business Loans projects that have had changes or updated data submitted within the past month and working capital guarantees.

Dispose when superseded.

509. Project Narrative-PG Changes. A cumulative one-page narrative summary of area and project information. Issued on a project-by-project basis for those Planning Grant projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

510. Project Narrative-TA Changes. A one-page narrative summary of area and project information. Issued on a project-by-project basis for Technical Assistance projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

511. Construction Project Index. A biweekly numerical listing of all public works projects found in the status report. Arranged by Regional Office.

Dispose when superseded.

512. Projects Completed Through Step 20 (PW-09 or equivalent)i. This is a computer printout showing project number, location, state, EDA costs, and acceptance date. This report is cumulative to the extent that it contains all data presented on projects that have not gone through steps beyond Step 20 are dropped from the report and included in projects completed through step 22, report no. PW-010.

Dispose when superseded.

513. Construction Warranty Expired (PW-010 or equivalent)i. This quarterly report shows project number, location, state, EDA costs, and date through Step 22 (Final Payment) and Step 23 (Warranty Expires)i.

Dispose when superseded.

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**EVEN**

SAMPLES - Retain the first case file closed during each fiscal year (such as FY 78, FY ~~79~~, FY 80, etc.) of Items 175, 176, 240, 250, 269, 279, 300, 301, 378, 380, 398, 399, 453, 457, 466, 472, 475, and 476.                      iii

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The retention period of each of these items shows the requirement for sampling.

Operating units holding records described under the items enumerated above should NOT withdraw any sample records. Samples will only be withdrawn after records are transferred to a holding area or a Federal Archives and Records Center and after the records become eligible for destructioni