

| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
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| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER <i>NI - 056 - 02 - 3</i> | |
| 1. FROM (Agency or establishment) Department of the Treasury | | DATE RECEIVED <i>4/2/02</i> | |
| 2. MAJOR SUBDIVISION Office of the Secretary | | NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 3. MINOR SUBDIVISION | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Steve Milline | 5. TELEPHONE 622-1889 | DATE <i>9-10-02</i> | ARCHIVIST OF THE UNITED STATES <i>[Signature]</i> |
| 6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>7</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE <i>04/02/2002</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Veronica Marco</i> | TITLE Chief, Records Management Services Branch & Departmental Offices Records Officer | |
| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| | The records covered by this SF-115 include: Office of the Secretary Chief of Staff Executive Secretary Director, Scheduling Office and the Deputy Secretary (see attached) | | |
| <i>cc Agency, NR, NWMD, NWME, NWMLA</i> | | | |

U.S. Department of the Treasury

Office of the Secretary

Note: This schedule supercedes NC-174-110 and NC1-56-80-3.

Office of the Secretary

As a major policy advisor to the President, the Secretary has primary responsibility for the following functions: formulating and recommending domestic and international financial, economic, and tax policy; participating in the formulation of broad fiscal policies that have general significance for the economy; and managing the public debt. The Secretary also oversees the activities of the Department of the Treasury in the following areas: carrying out its law enforcement responsibilities; serving as the financial agent for the U.S. Government; and manufacturing coins, currency, and other products for customer agencies.

The Secretary has many responsibilities as the chief financial officer of the Government. The Secretary serves as chairman pro tempore of the National Economic Council, and as U.S. Governor of the International Monetary Fund, the International Bank for Reconstruction and Development, the Inter-American Development Bank, and the African Development Bank.

1. Calendars and Daily Schedules

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Secretary while serving in an official capacity.

a. Paper copies of calendars and schedules

PERMANENT. Print electronic version to paper weekly. Cut off annually. Retire to the Washington National Records Center 2 years after cutoff. Transfer to the National Archives when 20 years old.

b. Electronic version

Temporary. Delete after verification of printed copy.

2. Telephone Logs

Files consist of lists of incoming telephone messages to the Secretary and include date of call, caller's name and phone number, and a brief message.

a. Paper copies of telephone logs

Temporary. Print electronic version to paper weekly. Cut off annually. Destroy 2 years after close of the official's tenure in office.

b. Electronic version

Temporary. Delete after verification of printed copy.

Chief of Staff

The Chief of Staff provides the Secretary with advice on a variety of policy and management issues, and exercises supervision over the Executive Secretary and the Secretary's Scheduling Office. The Chief of Staff helps to coordinate the review and analysis of major issues and ensures that the policies and priorities of the Secretary are carried out efficiently and effectively. The Chief of Staff is also responsible for ensuring that the Department responds fully to instructions and requests from the White House and that the Secretary's schedule allows the Secretary to perform duties as effectively as possible.

3. Calendars and Daily Schedules

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Chief of Staff while serving in an official capacity.

a. Paper copies of calendars and schedules

Temporary. Print electronic version to paper weekly. Cut off annually. Destroy when 2 years old.

b. Electronic version

Temporary. Delete after verification of printed copy.

4. Telephone Logs

Files consist of lists of incoming telephone messages to the Chief of Staff and include date of call, caller's name and phone number, and a brief message.

a. Paper copies of telephone logs

Temporary. Print electronic version to paper weekly. Cut off annually. Destroy 2 years after close of the official's tenure in office.

b. Electronic version

Temporary. Delete after verification of printed copy.

Executive Secretary

The Executive Secretary coordinates Department-wide review and analysis of policy initiatives, regulations, testimony, correspondence, memoranda, reports, and briefing materials for the Secretary and Deputy Secretary. The Executive Secretary also coordinates or undertakes special projects at the request of the Secretary, Deputy Secretary, and the Secretary's Chief of Staff.

One of the primary functions of the Office of the Executive Secretary is to maintain the record copy of correspondence for the Secretary and the Deputy Secretary.

5. Correspondence Tracking and Management System (Treasury Automated Document System, TADS)

Electronic imaging system used to maintain scanned images of unclassified incoming and outgoing executive correspondence within Treasury's Departmental Offices, internal memoranda, and related attachments or enclosures. There are no scanned images of classified documents, but some relevant metadata from classified documents received is entered into the system.

a. Inputs

Information used to populate the system consists of incoming and outgoing correspondence, internal briefing and decision memos, and some attachments and enclosures.

1. ***Official Correspondence.*** Copies of incoming and outgoing correspondence, memoranda, and other documents receiving action by the Secretary or Deputy Secretary. These records document Treasury programs, policies, procedures, decisions, and other program-related or policy-related management issues. Recordkeeping hard copies of the incoming and outgoing correspondence are filed together in designated subcategories based on correspondent or subject, including security classified correspondence. Correspondence is with the private sector, internal Departmental Offices, and other government agencies, including the White House and Congress.

PERMANENT. Cut off files annually. Retire to the Washington National Records Center 2 years after cutoff. Transfer to the National Archives when 20 years old.

2. ***Numeric Correspondence File.*** All original incoming letters are scanned (except for classified documents) and labeled with a system-generated number and then filed in a numeric hard copy file in the Office of the Executive Secretary.

Temporary. Cut off annually. Destroy when 2 years old.

Incoming correspondence and attachments receiving action by the Secretary or Deputy Secretary are copied and filed for disposition with the outgoing response in Item 5a1 above. Departmental Office: Incoming correspondence requiring responses and signatures of program officials and not the Office of the Secretary is electronically sent to the appropriate unit by the Office of the Executive Secretary. Dispose of record in accordance with disposition instructions cited in Departmental records retention schedule.

b. Master File

Scanned images of unclassified incoming and outgoing letters, internal memoranda, and related attachments and enclosures. After the incoming letter is scanned, the electronic version is sent to a Treasury departmental office for the development of a response for the Secretary's signature, or signature of an appropriate official at Treasury. The system tracks the assignment of responses with deadlines, maintaining scanned images of incoming and outgoing letters. If a response is developed in a subordinate office and sent to the Executive Secretary through the system as a word processing document, the document remains in that format rather than converting to paper and scanning. The office that prepared the response maintains the record copy. The system does not contain any scanned images of classified documents, but does maintain relevant metadata for classified documents received. Data fields include assigned profile number, document date, from and to, title or subject, classification, required action, and entry date.

Temporary. Delete when no longer needed for current agency business.

c. Outputs

This system generates some standard reports such as reports that summarize pending workload, preparer workgroup statistics, and statistics by document source. These reports are generated on an ad hoc basis.

Temporary. Destroy when no longer needed for current agency business.

d. System Documentation

System and file specifications, code books, record layouts, user manuals, and final reports, regardless of medium.

Temporary. Maintain for the life of the system. Destroy 3 years after supersession or obsolescence.

6. Briefing Books

The Secretary and Deputy Secretary's copies of briefing books on important issues prepared by various Departmental offices. Contains schedules, agendas, topics of discussion, issue and

talking points, biographies, summary and/or position papers, and information and background on countries visited.

PERMANENT. Cut off annually. Retire to the Washington National Records Center 2 years after cutoff. Transfer to the National Archives when 20 years old.

7. Daybooks

The Secretary and Deputy Secretary's daybooks containing briefing materials, agendas and related background information primarily for local events, appearances, and ceremonies that the officials attend.

PERMANENT. Cut off annually. Retire to the Washington National Records Center 2 years after cutoff. Transfer to the National Archives when 20 years old.

8. Calendars and Daily Schedules

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Secretary and Deputy Secretary while serving in an official capacity.

a. Secretary

Temporary. Destroy when no longer needed for reference.

The recordkeeping copy of these files is maintained and scheduled in the Records of the Office of the Secretary.

b. Deputy Secretary

1. Paper copies of calendars and schedules

PERMANENT. Print electronic version to paper weekly. Cut off files annually. Retire to the Washington National Records Center 2 years after cutoff. Transfer to the National Archives when 20 years old.

2. Electronic version

Temporary. Delete after verification of printed copy.

9. Federal Register Notice Files

Copies of final notices submitted to the *Federal Register* for publication.

Temporary. Destroy after publication in the Federal Register or when no longer needed for reference, whichever is later.

Director, Scheduling Office

10. Secretary's Invitations

Routine invitations to attend, participate, and/or speak at meetings, conferences, seminars, social gatherings, and similar events, and maintained in paper or electronic format. The office maintains hard copy files of the accepted, rejected, and pending invitations and related documentation/annotations about the event and considers these files to be the recordkeeping copy. The office also uses a database called the Scheduling Request System (SRS) to electronically track the Secretary's invitations and responses.

a. Accepted Invitations

Temporary. Cut off annually. Destroy when 2 years old.

b. Rejected Invitations

Temporary. Cut off annually. Destroy when 1 year old.

c. Pending ("open invitations") Invitations

Invitations that have neither been accepted nor refused, and can be accepted at a future date pending the Secretary's schedule.

Temporary. Destroy when no longer needed for current agency business.

d. Scheduling Request System Master File ("SRS")

SRS is a database used to electronically track or document the status of the Secretary's invitations to attend, participate, and/or speak at meetings, conferences, seminars, social gatherings, and similar events. Information in the database duplicates the hard copy invitations files. SRS contains a scanned image of the invitation that is obtained by linking with the Office of the Executive Secretary's TADS. Specific data field information includes who the request is from, date, location of the event, whether or not the Secretary accepted the invitation, the agenda, and other related specifics.

Temporary. Delete when 2 years old or when no longer needed for reference, whichever is later.

11. Secretary's Visit Books

Binders containing the preparation and planning logistics relating to specific trips made by the Secretary as an official of the U.S. Government to foreign countries. The material includes line by line details relating to scheduled events, costs, phone contact lists, manifest, accommodations, weather, required dress, and other relevant information for the intended event and locale.

Temporary. Cut off annually. Destroy when 2 years old, or when no longer needed for current agency business, whichever is later.

Deputy Secretary

The Deputy Secretary advises and assists the Secretary in the supervision and direction of the Department and its activities, and succeeds the Secretary in his absence, sickness, or unavailability. The Deputy Secretary plays a primary role in the formulation and execution of Treasury policies and programs in all aspects of the Department's activities.

12. Calendars and Daily Schedules

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Deputy Secretary while serving in an official capacity.

Temporary. Destroy when no longer needed for reference.

The recordkeeping copy of these files is maintained and scheduled in the Records of the Office of the Executive Secretary.

13. Telephone Logs

Files consist of lists of incoming telephone messages to the Deputy Secretary and include date of call, caller's name and phone number, and a brief message.

a. Paper copies of telephone logs

Temporary. Print electronic version to paper weekly. Cut off annually. Destroy 2 years after close of the official's tenure in office.

b. Electronic version

Temporary. Delete after verification of printed copy.

14. Electronic Mail and Word Processing

Electronic copies of records that are created on electronic and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives that are used only to produce the recordkeeping copy.

Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that maintained in addition to the recordkeeping copy.

Temporary. Destroy/delete when dissemination, revision or updating is complete.

PERMANENT. Cut off annually. Retire to the Washington National Records Center 2 years after cutoff, or when no longer needed for reference, whichever is later. Transfer to National Archives when 20 years old.

Deputy Secretary

The Deputy Secretary advises and assists the Secretary in the supervision and direction of the Department and its activities, and succeeds the Secretary in his absence, sickness, or unavailability. The Deputy Secretary plays a primary role in the formulation and execution of Treasury policies and programs in all aspects of the Department's activities.

*See updated progs -
only change is to Item
11 (Secretary's Visit Books) from
Perm to Temp.
Agency
Concurrence
4/19/02
e-mail
from RD*

12. Calendars and Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Deputy Secretary while serving in an official capacity.

Temporary. Destroy when no longer needed for reference.

The recordkeeping copy of these files is maintained and scheduled in the Records of the Office of the Executive Secretary.

13. Telephone Logs

Files consist of lists of incoming telephone messages to the Deputy Secretary and include date of call, caller's name and phone number, and a brief message.

a. Paper copies of telephone logs

Temporary. Print electronic version to paper weekly. Cut off annually. Destroy 2 years after close of the official's tenure in office.

b. Electronic version

Temporary. Delete after verification of printed copy.

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Destroy/delete within 180 days after the recordkeeping copy has been produced.

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Destroy/delete when dissemination, revision or updating is complete.