

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
(See Instructions on reverse)		JOB NUMBER <i>N1-056-03-4</i>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>1/30/03</i>	
1. FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2. MAJOR SUBDIVISION Assistant Secretary Management and CFO			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Veronica Marco		5. TELEPHONE (202) 622-2477	
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>4</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>7-11-03</i>	
DATE 11/06/2002		ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>	
SIGNATURE OF AGENCY REPRESENTATIVE <i>Veronica Marco</i>		TITLE Chief, Records Management Services Branch	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;">DEPARTMENT OF TREASURY</p> <p style="text-align: center;">Departmental Offices Office of Management and CFO</p> <p>The records covered by this SF-115 include all of the offices under the direction of the Assistant Secretary Management and CFO.</p> <p style="margin-top: 100px;"><i>cc Agency, NR, NWMD, NWCS, NWMDA</i></p>		

## ASSISTANT SECRETARY FOR MANAGEMENT AND CFO

The Assistant Secretary for Management and CFO reports through the Deputy Secretary, to the Secretary, and serves as the principal policy advisor to the Secretary and Deputy Secretary on all matters involving the internal management of the Department including human resources, management operations (property management, procurement, small business, reinvention, and security), information systems and comprehensive administrative services to Departmental Offices. Offices include:

### Office of D.C. Pensions

DAS Office of Management and Budget

DAS Information Systems (CIO)

DAS Office of Human Resources

Chief, Management and Administrative Programs Office

**Note:** This schedule does not include items covered by the General Records Schedule. It also does not include items covered by the Records Common to Most Offices in Departmental Offices Schedule. These items include the subject files, chronological files, correspondence files, speeches and testimonies, calendars and schedules of daily activities, and telephone logs maintained by the Under Secretary, Assistant Secretaries, Deputy Assistant Secretaries, Directors and staff offices.

**1. Complaints Tracking System:** The Treasury-wide Complaint Tracking System (CTS) is housed on a minicomputer located in Andover, Massachusetts. The Office of Equal Opportunity Program (OEOP), Regional Complaint Centers, and certain bureaus use microcomputers or terminals to access the database. Access to the CTS may only be gained through the Consolidated Data Network (CDN). The CTS is designed to provide OEOP, the Regional Complaint Centers and the bureaus with the current status of all EEO complaints filed within the Department of the Treasury. The CTS is menu driven, with on-screen prompts to assist the users. In addition, the system produces management reports as well as special interest reports.

The Internal Revenue Service provides maintenance of the programs, and Andover Service Center. All program modification requests are channeled through the Office of Equal Opportunity Program (OEOP) in Washington, D.C.

**a. Inputs:** TDF-62-03.5-Individual Complaint Forms used to create a case file.

Disposition. Temporary. Destroy in accordance with GRS 1, Item 25.

**b. Master File:** Contains employee name, case number, and basis of issues of complaints, address, and attorney information. Cases tracked in the CTS are retrievable by complaint name or complaint number. The CTS stores both open and closed cases.

*GB - does not  
require NARA  
approval.  
TT*

Disposition: Temporary. Delete or destroy 4 years after resolution of case or closed and requested by OEOP, whichever is later.

**c. Outputs:** Management reports as well as special interest reports. The reports are generated within the computer in Andover, and up-loaded to the requesting office for local printing.

Recordkeeping copy (paper): Disposition: Temporary. Destroy when no longer needed for business purposes.

**d. System Documentation:** Codebooks, record layout, and other system documentation maintained by Andover Service Center –IRS.

Disposition: Temporary. Cut-off when system is replaced. Retire to federal records center 1 year after cut-off. Destroy 5 years after cut-off.

[NEW]

**2. Treasury Career Advisory Committee Files:** Advisory Committee, which serves as an oversight board for Treasury-wide executive training. Records include meeting minutes, proposed and approved speakers, proposed and approved training by fiscal year.

Disposition: Temporary. Destroy when 10 years old or when no longer needed for business, whichever is later.

[NEW]

**3. Historical Structure Reports:** Multi-volume history of the construction of the Main Building. The reports include photographs and original floor plans.

Disposition: PERMANENT. Transfer to National Archives immediately upon approval of this schedule.

[NEW]

**4. Treasury Collection Records:** Records include collection ledgers, collection files which include conservation reports, photographs of collection, and provenance of object. Files may also include research information, curatorial information, condition reports and loan agreements of objects on loans from museums

Disposition: PERMANENT. Maintain in office until no longer needed for reference, not to exceed discontinuance of program. Transfer immediately to the National Archives when program discontinued.

[NEW]

*NOTE: For each type of audiovisual record designated as permanently valuable, the specific required components for preservation, reproduction, and reference are found in 36 CFR 1228.266. Guidance relating to cartographic and architectural records designated as permanently valuable is found in 36 CFR 1228.268.*

**5. Collection Loan Files:** Records include information pertaining to objects on loan from museums and private lenders. Correspondence and forms include the purpose of the loan, object descriptions, insurance, information, shipping receipts, correspondence and object images.

Disposition: Temporary. Destroy 10 years after object is returned to lender.

[NEW]

**6. Treasury Collection Tracking System:** Used to track information maintained in the Treasury collection. Data elements include accession number, object name, object description, title of object, artist, condition, provenance, and other significant information pertaining to an object

Disposition: Temporary. Delete when 5 years old or when no longer needed for reference, whichever is later.

[NEW]

**7. Annual Inventory Report:** Reports created by accession number and location detailing the current location of each artifact in the Treasury Building.

**a. Electronic copy:**

Disposition: Temporary. Delete 1 year after recordkeeping copy is produced.

**b. Recordkeeping copy (paper):**

Disposition: Temporary. Maintain in office until no longer needed for reference, not to exceed discontinuance of program.

[NEW]

**8. Gift Register Files Database:** Access database used to track gifts received from foreign and domestic governments by the Secretary and other high-ranking officials.

**a. Inputs:** Forms (DO 40-01.1) or equivalent used to register gifts received from foreign and domestic governments by the Secretary and other high-ranking officials.

Disposition: Temporary. Destroy when 6 years old or when no longer needed for business purposes, whichever is later.

**b. Master File:** Includes a description of gift, appraisal value and other significant information.

Disposition: Temporary. Destroy when 6 years old or when no longer needed for business purposes, whichever is later.

**c. Outputs:** Management reports to include gift listings, value of gift, generated on as needed basis.

**1. Electronic copy:**

Disposition: Temporary. Cut-off each calendar year. Delete when 6 years old or when no longer needed for agency business, whichever is later.

**2. Recordkeeping copy (paper):**

Disposition: Temporary. Cut-off each calendar year. Destroy when 6 years old or when no longer needed for agency business, whichever is later.

[NEW]

**9. Curator Project Files:** These are pre-TBARR project. Records include information to preserve the cultural resources of the Treasury Building and Treasury Annex for the public, Treasury employees, and future generations. Files consist of information for preservation and technical guidance for the restoration and preservation of the Treasury Building and the Annex (National Historic Landmarks) in accordance with the National Historic Preservation Act and the Secretary of the Interior's Standards for Rehabilitation; significant federal collections of fine and decorative arts, collection of artifacts, photos, research material, and architectural drawings. The records are arranged by specific project name.

Disposition: PERMANENT. Maintain in office until no longer needed for reference, not to exceed discontinuance of program. Transfer immediately to the National Archives when program discontinued.

[NEW]

*NOTE: For each type of audiovisual record designated as permanently valuable, the specific required components for preservation, reproduction, and reference are found in 36 CFR 1228.266. Guidance relating to cartographic and architectural records designated as permanently valuable is found in 36 CFR 1228.268*

**10. Treasury Building & Annex Restoration & Renovation Program (TBARR)**

**Files:** Project files consisting of drawings, specifications, surveys, blueprints, correspondence, historic drawings, microfiche copies, and reports.

Disposition: PERMANENT. Break at completion of project. Maintain on-site until no longer needed for reference. Transfer immediately to the National Archives when no longer needed for business.

[NEW]

*NOTE: For each type of audiovisual record designated as permanently valuable, the specific required components for preservation, reproduction, and reference are found in 36 CFR 1228.266. Guidance relating to cartographic and architectural records designated as permanently valuable is found in 36 CFR 1228.268*

*CAD versions of permanent drawings should be kept current and (if possible) migrated to updated computer applications. Upon completion of the project or when no longer needed for administrative or updating purposes, these versions may be deleted after a copy is generated and placed in a recordkeeping system.*

**11. TBARR Quarterly Report:** Progress reports sent to Congress, OMB and internal Treasury offices. Reports contain information on major project milestones and photographs.

Disposition: PERMANENT. Transfer to the National Archives 10 years after completion of project.

[NEW]

**12. Graphics/Printing Plant Tracking System Database:** Tracks the amount of work done on a monthly basis.

Disposition: Temporary. Cut off the end of the fiscal year. Destroy/delete 2 years after cutoff.

[NEW]

**13. Employee Entrance Exit System:** The purpose of the system is to track entering and exiting employees, including contractors, detailees, interns and students. It ensures that entering employees have all tools needed on their first day. For exiting employees it eliminates the employee having to walk to various service providers' offices to have them clear the employee.

**a. Inputs:** Electronic e-mails and paper (SF-50) consisting of employee name, position title, office assigned, telephone number and e-mail address. Information entered by Human Resources and by the administrative contact of the reporting office.

Disposition: Temporary. SF-50s retained in accordance with GRS1. Delete or destroy other documents after input and verification of data into master file or when no longer needed to support the reconstruction of master file, whichever is later.

**b. Master File:** Contains all personal information of entering and exiting employees. Also, contains the name of service providers, administrative contacts and human resource officers.

Disposition: Temporary. Delete 2 years after departure of employee or when employee is cleared and has no overdue items or balances, whichever is later.

**c. Outputs:** The system creates the following reports: System Use, Task Currently Opened, Task Recently Closed, Tasks Ranked by Popularity, Names of employees entering from 2002 to present and name of departing employees from 2000 to present.

**1. Electronic copy:**

Disposition: Temporary. Delete after recordkeeping copy is produced, or no longer needed for operational purposes, whichever is later.

**2. Recordkeeping copy (paper):**

Disposition: Temporary. Destroy when 1 year old or when no longer needed for business purposes.

**d. Documentation:** System and file specifications, code books, record layouts, user manuals, and other related documentation.

Disposition: Temporary. Maintain for the life of the system. Destroy 3 years after supersession or obsolescence. [NEW]

#### **14. Electronic Mail and Word Processing System Copies**

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.

Disposition: 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.

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

[NEW]