

DEPARTMENT OF THE TREASURY – DEPARTMENTAL OFFICES RECORDS COMMON TO MOST OFFICES

This schedule provides disposition authorization for program records common to several or all Departmental Offices *that are not covered by a more specific disposition authorization*. If the program records are covered by a disposition authorization specific to a Departmental component, the more specific authorization takes precedence and must be applied.

1. Program, Subject, Country and Correspondence Files

- a. Incoming and outgoing correspondence, reports, studies, memoranda, and other documents maintained by an Under Secretary, Assistant Secretary or the General Counsel prescribing Treasury policies, programs and objectives, formulation and implementation of plans, responses and decisions on matters of major policy impact, or in providing operational and managerial guidance to all organizational segments of the Department.

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

- b. Program correspondence, reports, studies, proposals and related materials documenting Treasury program management functions, maintained by Treasury management and staff on or below the Deputy Assistant Secretary level.
 - 1. Program files maintained by the Office of International Affairs on or below the Deputy Assistant Secretary level, dating on or after January 15, 2001.

Cut off annually. Transfer to WNRC when no longer needed for reference. Destroy 10 years after cutoff.

- 2. Program files maintained by other DO components on or below the Deputy Assistant Secretary and Deputy General Counsel level.

Cut off annually. Transfer to WNRC when no longer needed for reference. Destroy 10 years after cutoff.

- c. Incoming and outgoing correspondence, reports, studies, memoranda, and other documents of a routine or recurring nature.

Destroy when 2 years old.

2. Chronological “Reading” Files

Copies of outgoing correspondence prepared by Treasury offices and their organizational units and maintained in offices solely for convenience of reference.

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

3. Weekly Reports

- a. Reports of significant activities that are submitted to the Secretary of the Treasury by an Under Secretary, Assistant Secretary or the General Counsel.

PERMANENT. Cut off files annually. Transfer to the WNRC when 2 years old. Transfer to the National Archives when 20 years old.

- b. Reports of program activities that are submitted to an Under Secretary, Assistant Secretary or General Counsel from the subordinate offices.

Destroy onsite when 2 years old or when no longer needed for reference, whichever is later.

4. Orders and Directives

The official record set and duplication copies of all Treasury orders and directives, bulletins, organization charts, functional statements, administrative manuals, and similar administrative issuances.

- a. Official record set

The original file copy of all Treasury orders, directives, bulletins, organization manuals and charts, functional statements, and similar administrative issuances and manuals.

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

- b. All other copies

Destroy when superseded or when no longer needed for current agency business.

- c. Working papers and background materials

Project files containing a record of concurrence, comments, clearances, justifications, and other background notes or issuance history records for all agency directives, administrative issuances, internal and external reorganization proposals, and bulletins.

Cut off on issuance of order or directive. Destroy onsite when superseded or when no longer needed for current agency business.

5. Regulations and Notices

- a. Regulation Project Files

Project files containing a copy of proposed and/or final regulations and related documentation, including preliminary drafts and workpapers, internal clearances, other agency and public comments, and the regulation as published in the Federal Register.

1. Official project file maintained by program office.

Cut off when final rule is published or rulemaking is ended. Destroy 5 years after rulemaking is ended.

2. Files maintained by other offices responsible for review and clearance of proposed and/or final regulations.

Destroy when final rule is published or rulemaking is ended.

b. Federal Register Notices

Records documenting the processing of notices announcing committee meetings, agency information collection activities, Privacy Act systems of records and other matters that are not codified in the Code of Federal Regulations.

1. Official file maintained by office of origin.

Cut off annually. Destroy when superseded, no longer needed for reference or 2 years after cutoff, whichever is sooner.

2. Files maintained by other offices responsible for review and clearance of notices.

Destroy at the end of notification period or when no longer needed for reference purposes, whichever is longer.

6. Publications, Studies, and Reports

Official Treasury publications formally coordinated, prepared, and printed by the Government Printing Office, private contractors, or the agency itself including but not limited to annual reports to Congress; special project studies and reports that are conducted by Treasury or under contract to Treasury; journals, technical reviews, and catalogs prepared by Treasury; procedural or policy manuals, handbooks, and other agency guidance; public relations flyers, brochures and educational materials prepared to furnish information or to promote agency programs and operations to the public.

a. Official record set.

One copy of each official Treasury publication, study, report, paper, or other formally published materials.

PERMANENT. Cut off files every 5 years and retire to the Washington National Records. Transfer to the National Archives 20 years after cutoff.

b. All other copies

Destroy when no longer needed for convenience of reference.

c. Publication clearance and review records

Files containing official documentation and background of the Treasury publication review and approval process.

Destroy 3 years after publication is printed. .

7. Routine or Informal Publications, Newsletters, Bulletins, Calendars, and Announcements

Publications circulated or distributed to Treasury staff for informational purposes. These publications are not considered to be official Treasury publications, nor have they been submitted to formal editorial review board offices or received other formal review and approval prior to publication.

Destroy when no longer needed for current agency business.

8. Press Releases

a. Official record set.

One copy of each news or press release by Treasury.

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

b. All other copies

Destroy when no longer needed for convenience of reference.

9. Speeches, Testimonies and Public Appearances

Copies of speeches, addresses and comments made by senior Department of the Treasury officials (not including bureau heads); transcripts or summaries of remarks made for news or public affairs program interviews on television or radio, or at Congressional hearings; similar interviews, speeches, or hearings that relate to official Treasury policies and programs; briefing material, questions and answers compiled for interviews, speeches and appearances. The Office of Public Affairs maintains the record copy for the Secretary and Deputy Secretary.

a. Record Set

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

b. All other copies

Destroy when 5 years old or when no longer needed for current agency business, whichever is later.

10. Calendars and Daily Schedules

Calendars in electronic or paper format, infrequently supplemented by appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity.

a. Records maintained by or for high-level officials.

Destroy/delete when 3 years old.

NOTE: High-level officials include Under Secretaries, their deputies and assistants; the heads of program offices and staff offices including Assistant Secretaries, Deputy Assistant Secretaries, General Counsel, Deputy General Counsel, directors of offices, or equivalent; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants, and career Federal employees, political appointees serving in equivalent or comparable positions. Note: Calendars and Daily Schedules for the Secretary and Deputy Secretary are "Permanent" and are covered under the Secretary of the Treasury records schedule.

b. Staff below "high level" official.

Destroy when 2 years old (GRS 23/5a).

11. Telephone Logs

Files consist of either carbons of telephone message pads, paper notebooks or electronic lists of incoming telephone messages to the incumbent.

a. Records maintained by or for high-level officials (cf. note under item 9a for definition of high-level official).

Destroy/delete when 3 years old.

b. Staff below "high level" officials.

Destroy when 2 years old (GRS 23/5a).

12. Briefing Books

Briefing books provided to senior Department of Treasury officials (Assistant Secretaries, Deputy Assistant Secretaries) on important issues prepared by various Departmental offices. Briefing books may contain schedules, agendas, topics of discussion, issue and talking points, biographies, summary and/or position papers, and information and background on countries visited. The official copy is the one prepared for the Assistant Secretary and Deputy Assistant Secretary.

NOTE: Sub-item a does not apply when the Secretary or Deputy Secretary is in attendance, as briefing books for the Secretary and Deputy Secretary are scheduled under the Office of the Secretary as Permanent.

- a. Official record set

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

- b. All other copies

Destroy when 5 years old.

- c. Background material – copies of working papers and information leading to preparation of briefing books.

Destroy when 2 years old.

13. Photographic Prints, Negatives, and Slides

Photographic prints, negatives, and slides reflecting the historical significance of the Agency and related finding aids and documentation necessary for their proper identification, retrieval, and use. Records include official portraits of senior Treasury officials, mission-related photographs depicting various program mission activities, and photographs used for publication in the annual report. The Office of Public Affairs generally maintains the record copy.

NOTE: For each type of audiovisual record designated as permanently valuable, the specific components required by 36 CFR 1228.266 for preservation, reproduction, and reference are listed below.

To provide for the proper preservation of Treasury's photographic images, color and black and white negatives and photographic prints should be maintained in separate files while in agency custody, and transferred separately to the National Archives in accordance with the disposition instructions below. Contact the agency records management officer to arrange for appropriate disposition of specific collections.

Black and white photographs: Transfer an original negative and a captioned print. If the original negative is nitrate or glass, include a duplicate negative on polyester, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

Color photographs: Transfer the original color transparency, color slide, or color negative, a captioned print and/or captioning information, and an internegative, if one exists, along with related finding aids and documentation necessary for their proper identification, retrieval, and use.

Slides/Slide Sets: Transfer the original and a reference set, and the related audio recording and script.

- a. Original or master photographic prints, negatives, and slides

PERMANENT. Cut off at the end of each Presidential administration and transfer the required record elements listed above directly to the National Archives and Records Administration no later than 5 years after cutoff.

- b. All other copies

Destroy when no longer needed for current agency business.

14. Routine Photographs, Negatives and Slides

Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.

Destroy when 1 year old (GRS 21, Item 1).

15. Sound Recordings, Videotapes, Motion Picture Film, and other Audiovisual Records

Sound recordings, videotapes, motion picture films and equivalent or related records created or produced by Treasury, or acquired from other outside sources. The Office of Public Affairs maintains the record copy.

NOTE: For each type of audiovisual record designated as permanently valuable, the specific record components required by 36 CFR 1228.266 for preservation, reproduction, and reference are listed below. Contact the agency records management officer to arrange for appropriate disposition of specific collections.

Video recordings: The original or earliest generation of each video recording, and a dubbing, if one exists.

Sound recordings: The original or earliest generation of each audiotape recording, and a dubbing, if one exists.

Motion pictures:

Treasury-sponsored films: The original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or video recording.

Acquired films: Two projection prints or one projection print and a video recording.

Unedited footage: The original negative or color original, work print, and an intermediate master positive or duplicate negative, if one exists, appropriately arranged, labeled, and described.

a. Official record set

The original master sound or video recording, or the original film negative and one print of motion picture film that documents programs and activities conducted by Treasury; public affairs or news interviews with Treasury officials and staff; news releases and public service announcements; and other productions created to disseminate agency information regarding Treasury operations and programs to the public.

PERMANENT. Cut off files every 5 years and transfer the required record elements listed above directly to the National Archives.

NOTE: The National Archives reserves the right to dispose of any material already appraised as disposable under the General Records Schedules or other approved agency schedules, as well as all duplicate, unidentifiable, fragmentary, unrelated, or non-archival materials during archival processing without further agency notification.

b. All other copies

Destroy when no longer needed for current agency business.

16. Posters and Graphic Arts Products

- a. Posters, charts, flyers, brochures, handouts, and other graphic arts products related to Treasury missions or programs and distributed agency-wide or to the public for promotional, scientific, educational, exhibition, or public relations purposes.

1. Posters.

PERMANENT. Transfer two copies of each poster directly to the National Archives upon printing.

2. Charts, flyers, brochures, and other graphic arts products.

PERMANENT. Cut off files every 5 years and transfer two copies of each directly to the National Archives.

- b. Posters, charts, flyers, brochures, handouts and similar records that advertise or publicize activities not directly related to Treasury's missions or programs such as charity drives, credit unions, general building and fire safety programs, facilities and energy conservation programs, professional meetings and associations, personnel and employee services, and the like.

Destroy when no longer needed for current agency business.

17. Committees and Task Forces

a. Treasury-Sponsored Committee, Task Force, Conference, Group, and Board Records

Records created by Treasury-sponsored committees, task forces, conferences, boards, or other advisory, governing or policy bodies or organizations.

In each case, Treasury staff or offices have certain designated sponsorship, governing, policy, or recordkeeping responsibilities for these committees. The files of the Secretary, recordkeeper, or designated federal officer are considered to be the official records of the committees' activities. In those instances where the chairman of a committee operates in the dual function as a recording secretary or the office of record, the chairman's records will be considered the records of the Secretary.

1. **Official Committee Records.** Minutes or meeting summaries, agendas, transcripts, reports, studies, and publications in the Secretary's office, or the designated recordkeeping office.

PERMANENT. Cut off files when 5 years old or when a new Secretary is in place, and retire to the Washington National Records Center. Transfer to the National Archives when 20 years old.

2. **Routine Administrative Records.** Membership records, administrative correspondence, mailing or distribution records, and other routine administrative committee records.

Destroy when superseded, or when no longer needed for current agency business.

3. **Records of Committee Officers.** Copies of records that are maintained by committee officers that are not official records of the committee, or records listed in Item 17a above and maintained by the designated recordkeeper or Secretary.

- a. Transfer records to incoming chairman or other officer, or destroy when no longer needed for current committee business.

4. **Records of Committee Members**

Destroy when no longer needed for current committee business.

b. Non-Treasury Sponsored Committee, Task Force, Conference, Group, and Board Records

These records document the functions of committees having no direct bearing on the activities of Treasury as staff professional association committees, private voluntary committees, federal interagency committees or task forces, and other committees Treasury staff may participate in but for which Treasury does not serve as a designated sponsoring or coordinating agency with official governing, policy, or recordkeeping responsibilities.

Destroy when 5 years old or when no longer needed for current agency business, whichever is later.

18. 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.

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

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

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

NOTE - This schedule, in conjunction with updated disposition authorizations specific to DO components, replaces the following previously approved schedules where noted. The older schedules are not applicable to records dating after Jan. 14, 2001 (on or after January 2003 and the 108th Congress for records covered by items 1a and 1b of Job No. NC1-56-88-2), except for specified items in Job. No. NC1-56-80-2 for the Office of International Affairs.

Job No. NC1-56-78-6 for the Office of General Counsel

Job No. NC1-56-79-9 for the Office of Legislative Affairs.

Job Nos. NC1-56-79-7, N1-56-87-1, N1-56-88-2, and N1-56-90-5 for the Office of Tax Policy

Job No. NC-56-76-2 for the Office of Public Affairs

Job Nos. NC1-56-79-10 and N1-56-90-4 (Fiscal Assistant Secretary) for the Office of Domestic Finance

Job Nos. NC1-265-79-1, NC1-265-80-1 and NI-265-89-1 for the Office of Foreign Assets Control

Job No. NC1-56-80-2 for the Office of International Affairs (except for items 10, 14B and 15, which remain applicable)