

NCO 11 Dec 81 AM

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
National Technical Information Service

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Mr. Edward North *[Signature]* 12-9-81

5 TEL EXT
487-4750

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JOB NO
NCI-422-82-1

DATE RECEIVED
December 11, 1982

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

8-23-82 *[Signature]*
Date 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 76 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
12-9-81

D SIGNATURE OF AGENCY REPRESENTATIVE
[Signature]

E TITLE
Departmental Records Management Officer

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><u>National Technical Information Service</u></p> <p><u>Historical Background.</u> For more than 35 years, the National Technical Information Service (NTIS) and its predecessor organizations, have served as the focal point for the collection, announcement, and dissemination of unclassified U.S. Government-sponsored research and development reports and translations of foreign technical literature to the scientific, technical and industrial communities. The ontology of the organization can be summarized as follows:</p> <ul style="list-style-type: none"> * An Executive Order established the Publications Board in 1945 to collect and declassify World War II technical data for dissemination to industry. * The U.S. Department of Commerce established the Office of Technical Services in 1946 to consolidate the activities of the Board and other organizations. The Office of Technical Services developed procedures for channeling captured German and Japanese research and other technical data to U.S. business. * Public Law enacted September 9, 1950 (15USC1151-1157 as amended), directed the Commerce Department to set up and maintain a national clearinghouse for scientific and technical information to be implemented through the Office of Technical Services. 		321 items

- * The Federal Council for Science and Technology recommended expansion of the Department's clearinghouse function in 1964. The Clearinghouse for Federal Scientific and Technical Information was organized on the foundations of the Office of Technical Services.
- * On September 2, 1970, the National Technical Information Service (NTIS) was established as a primary operating unit of the U.S. Department of Commerce. The order abolished the Clearinghouse for Federal Scientific and Technical Information (CFSTI) and transferred its functions from CFSTI to NTIS with full authority to establish and monitor a clearinghouse of scientific, technical, and engineering information and to assist operating units in the dissemination of business and statistical information.

Each agency of the U.S. Government is obliged by law to make available, to the public and private sector, the information it gathers and the knowledge it produces. Taken as a whole, the agencies provide authoritative and timely information on almost every conceivable subject and their information is used continually as a reference source for decision-makers, policy-makers, and problem solvers. Within the past half century, however, the volume and diversity of U.S. Government publications has expanded dramatically challenging the world's ability to organize, retrieve, and utilize information and data to solve scientific, technical, and engineering problems.

Program Highlights. The National Technical Information Services (NTIS) stimulates innovation and productivity throughout the U.S. economy by channeling U.S. and foreign government-sponsored research, development, and other specialized information to industry, small U.S. business concerns, educational institutions, government at all levels, and the general public. NTIS recovers nearly all of its operating costs from sales revenues. (OMB requires that the patent licensing program receive appropriations and deposit its receipts in the Treasury.) During FY 1980 total revenues from sales of NTIS products and services amounted to \$21.8 million.

The document collection includes more than 1.2 million different publications and manuals. It includes reports acquisitioned from NASA, Defense, Energy, Commerce, Health and Human Services and more than 200 other Federal agencies. In 1980, NTIS sold nearly six million copies of publications, microfiche, and magnetic tapes to more than 100,000 customers in the United States and abroad.

NTIS catalogs, indexes and abstracts each report and technical publication it agrees to stock and maintain in its inventory. Each such document is assigned identification information, and a key descriptive data inputed into one of numerous computer controlled and maintained data base systems.

From the 270 new reports collected and processed daily and from the record made of them, a number of current awareness periodicals are created. Abstract newsletters are created in 26 different subject areas such as Chemistry, Physics, Energy, Behavior and Society, and the

Environment. A comprehensive journal called Government Reports Announcements and Index (GRA&I) is published bi-weekly for librarians, technical information specialists, and others requiring all the summaries in a single volume. A cumulative index is produced at the end of each year to assist those using the journals.

NTIS provides a subscription service for some of the periodicals of Federal Agencies and some non-profit organizations. More than 20,000 subscribers buy copies of over 70 different periodicals sold by NTIS. These subscriptions range in subject matter from Solar Energy Bibliographies to Monthly Energy Statistics to the Environmental Protection Agency's quarterly bibliography.

NTIS conducts a specialized packaging service called Selected Research in Microfiche (SRIM) which automatically provides subscribers with full text microfiche copies of research reports in special interest subject areas they select. NTIS analysts help subscribers choose from among 500 different subject categories and 200,000 unique descriptive terms.

NTIS also provides on-line search services of its own and of several closely related bibliographic files. The on-line interactive bibliographic retrieval service, called NTISearch, provides librarians, technical information specialists, researchers, and those who have a need to know with instant access to over 500,000 document records. A customized strategy is developed in collaboration with an information specialist at NTIS. The subject specialists develop search strategies to comb the entire collection of documents to find the specific information needed.

To help make this type of information available in a more timely fashion, NTIS analysts develop Published NTISearches each day in anticipation of user's needs. Over 1,000 Published NTISearches are in stock on topics such as Solar Space Heating, Nuclear Power Plant Site Selection, Oil Spills or Oil Pollution Removal, and many other topics that appear to be of considerable public interest.

Licensable technology is also made available by NTIS. It is the U.S. Government's central agency for announcing new Government-owned inventions and for promoting their commercialization. NTIS obtains foreign patent protection on selected government inventions, and negotiates directly for licenses utilizing these inventions. The availability of licensable government technology is brought to world attention by NTIS-arranged exhibits and seminars, as well as by a special newsletter, Government Inventions for Licensing, mail promotion and through other licensing organizations.

Another major developmental program for NTIS is computer-based data files produced by Federal agencies and the computer programs for manipulating the files. These files represent a large part of the nation's computer-based data inventory available for public use. Special reports from some of the files are produced to meet individual user demands. Under an agreement with the General Services Administration, NTIS operates the Federal Software Exchange Center for computer programs produced

or owned by Federal agencies. These programs cover the full range of computer applications, and many are sold to the public by NTIS.

In December, 1978, NTIS accepted the responsibility for the operation of the Productivity Clearinghouse. The Clearinghouse collects data and reports of ongoing and completed research, demonstration, and model projects related to improving productivity. The present collection includes 6,000 catalogued reference items, 1,300 of which have been indexed and abstracted. Bibliographic records are maintained on computer tapes. Bibliographies and requested reports are distributed through NTIS facilities.

NTIS operates an Information Center and Bookstore in downtown Washington, D.C. This facility provides walk-in customers with sales services and access to numerous indexes, abstract newsletters, bound copies of publications and copies on microfiche.

NATIONAL TECHNICAL INFORMATION SERVICE

OFFICE OF THE DIRECTOR

The Director, as head of the National Technical Information Service, directs and is responsible for all activities of the organization. The Director is assisted in managing these activities by a Deputy Director.

1. Administrative Subject File. This file consists of office copies of documents relating to internal housekeeping activities of the Director's Office, such as personnel, time and attendance, travel, requisitions for supplies and services, and similar housekeeping matters.

Bring forward active records as needed, and dispose of other when 2 years old.

2. Chronological File. This file consists of a copy of each document prepared or signed by the Director and maintained in date order.

Retire to Records Holding Area (RHA) when 5 years old. Dispose of when 10 years old.

3. Speech File. This file consists of speeches made by the Director and other NTIS officials. Included are copies of speeches, and travel arrangements and documentation covering the travel areas where speeches were given.

- a. Record copy of speeches. Permanent. Move to an inactive file when no longer needed for current business. Transfer to the Washington National Records Center if the volume warrants. Offer to National Archives ~~when 10 years old.~~

in 10 yr. blocks when most recent record is 10 years old.

- b. Supporting Papers. Dispose of when no longer needed for current business.

4. Director's Program Subject File. This file consists of subject-filed copies of materials signed by the Director or prepared by him in providing executive direction for the NTIS programs. It reflects the basic policies and decisions made in administering the program. Typical subject headings include: Agreements, Advanced Technology Copyrights, Congressional Hearings, Information Analyses, Legislative Matters, Foreign Correspondence, Marketing, Patents, Pricing, Product Management, Source Clients, SRIM and Subscriptions.

Permanent. Start a new file every 5 years. Bring forward active material as needed. Retire to Records Holding Area 1 year later. Transfer to the Washington National Records Center 2 years later. Offer for transfer to the National Archives when 20 years old. (after cut off)

5. Biographical File. This file contains copies of collected biographies of top officials of NTIS maintained by office. Dispose of copies of separated officials' biographies when 2 years old after separation.

6. Other Government Agencies File. This file contains documentation and related correspondence pertaining to relations of the office with other Government agencies.

Bring forward active materials. Retire to Records Holding Area after 2 years. Transfer to the Washington National Records Center 3 years later. Dispose of when 10 years old.

7. Country Files. This file contains documents and correspondence related to visits by NTIS staff members to foreign countries and visitors to NTIS from foreign countries. Also includes copies of meeting agenda, reports, travel schedules, and visitors lists.

Start a new file every 3 years, retire to Records Holding Area and transfer to Washington National Records Center, 2 years later. Dispose of when 10 years old.

8. International Organization File. This file contains correspondence reports and other documents related to visits by foreign staff personnel to NTIS and cooperation and exchange privileges between NTIS and various international organizations. Included are such organizations as EVRONET, International Atomic Energy Agency, Organization for Economic Cooperation and Development and UNESCO.

Start a new file every 5 years, retire to Records Holding Area and transfer to Washington National Records Center 1 year later. Dispose of when 10 years old.

9. Private Organizations. This file contains correspondence, reports, and publications related to private companies, corporations and trade associations. Also includes reports

of visits, seminar attendance and public information.

Start a new file every 5 years, retire to Records Holding Area and transfer to Washington National Records Center 1 year later. Dispose of when 10 years old.

10. Committee Files. These files consist of documentation pertaining to various interagency committees, upon which the Director of Program Officers serve as representatives of NTIS, or may serve as chairperson. Also included are papers pertaining to meetings, recommendations, reports, agendas, membership, related correspondence and the like.
 - a. Permanent. Record copies of material accumulated by NTIS sponsored committees or for which NTIS serves as secretariat. Retire to Records Holding Area when the committee is terminated, transfer to Washington National Records Center 2 years later. Offer to National Archives when 20 years old.
 - b. All other Committee Records - Dispose of when 2 years old or no longer needed for reference.

11. Domestic Policy Review File. This file contains correspondence and reports related to consultants and consultant studies. Includes task force studies on Patent and Information Projects, as well as negotiations related to Smithsonian Science Information Exchange (SSIE).

Permanent. Start a new file every 5 years. Bring forward active materials as needed. Retire to Records Holding Area one year later. Transfer to Washington National Records Center 2 years later. Offer for transfer to the National Archives when 20 years old. (after cut off)

OFFICE OF THE DEPUTY DIRECTOR

12. Deputy Director Program Subject File. This file contains documentation reflecting the executive direction of NTIS as assigned to the Deputy Director, copies of communications prepared and/or signed by the Deputy Director. It includes such headings as Public/Private Sector Task Force, Patent Information Program, Subscription - Request for Proposal, Systems Architects, Federal Library Committee, Industrial Innovators and Machine Readable Data Base.

Permanent. Start a new file every 5 years. Bring

active materials forward as needed. Retire to Records Holding Area 1 year after the new file is started. Transfer to Washington National Records Center 2 year later. Offer to the National Archives when 20 years old. (after cut off)

13. Chronological File. This file consists of an extra copy, filed by date, of documents prepared or signed by the Deputy Director.

Dispose of when 5 years old.

Technical Assistant

14. Photograph File. This file contains glossy photographs of persons, events, sites and other significant items in the NTIS program.

Dispose of when no longer needed for current business.

15. Educational Program File. This file consists of background and other training and educational material used in seminars, workshops, and other educational programs.

Dispose of when no longer needed for current business.

16. Staff Working Paper Files. This file consists of technical reference materials, publications, convenience copies of documents, drafts and other working papers maintained for convenience of operations.

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

Attorney/Advisor

17. Working Files - Legal. This file contains materials accumulated by the Attorney/ Advisor relating to assigned responsibilities including extra copies of documents, working papers, and reference materials of a legal nature.

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

18. Trademark Case Files. This file contains records relating to trademark registration in various foreign countries.

The files include certificate of registration, certificate of trademark application, trademark renewals and letters of rejection when trademark is denied. Also included is correspondence between the foreign and domestic trademark associates.

Dispose of when trademark registration is terminated.

OFFICE OF GOVERNMENT INVENTIONS AND PATENTS

This office develops and operates programs to promote wide private sector use of government inventions; assists in the development and formulation of a uniform government-wide patent policy; and administers a program for the foreign filing and licensing of government inventions under EO9865.

19. Administrative Subject Files. The file consists of office copies of documents pertaining to such internal housekeeping activities of the immediate office as personnel, budget, travel, time and attendance, requisitions for services and supplies, and similar internal housekeeping matters.

Move active files forward and dispose of all other when 2 years old.

20. Patents and Inventions Program Subject File. This file contains documentation pertaining to the policies, procedures and other activities of the Office of Government Inventions and Patents Program. Among the subjects included are: Foreign Patents Agents, Invention Evaluation, Federal Research and Development Policy, U.S. Patent Policy, Proposed Government Patent Legislation, Export Control, Chemical Industry Data, and similar types of Patent and Invention Activities.

Start a new file every 5 years. Bring active materials forward as needed. Retire to Records Holding Area 1 year later. Transfer to Washington National Records Center 1 year later. Dispose of when 20 years old.

21. Chronological File. This file consists of a copy of documents signed or prepared in the office, and maintained by date.

Dispose of when 3 years old.

22. Invention Announcements. This file contains generated and collected copies of invention announcements used by the office for reference. Included in the file are the NTIS patent title listings, Federal Registers, and the Patent and Trademark Office Official Gazette announcements.

Dispose of when no longer needed for current business.

23. Technology Notes Support Packages. The file contains

copies of patent applications, correspondence and the inventor's support papers for certain select inventions. This is a popular interest file with a high rate of inquiries on the inventions. Included are such items as Solar Energy, Detecting Clear Air Turbulence, Fermentation Process for Gasohol, Shrink Resistant Wool, Reclaiming Nickel and Copper, and similar types of technology.

Dispose of when no longer needed for current business.

24. Patent Application Files. This file contains copies of patent applications, drawings, evaluations, Notice of Availability for Publication and Licensing, Summary of Invention Data, published articles and related correspondence.
 - a. Dispose of individual patent of approved applications when 20 years old.
 - b. Dispose of individual files of patents not approved, cancelled, or withdrawn when no longer needed.
25. Foreign Patent Files. These files consist of records pertaining to NTIS arrangements made with Government agencies to handle the foreign filing of their inventions. Included in each foreign country file is an application for filing of the invention, inventor's evaluation of the invention, copy of the patent issued, inventor's assignment rights, correspondence from domestic and foreign law firms, and other related material.
 - a. Dispose of individual files patent of approved applications when 20 years old.
 - b. Dispose of individual files of foreign patents not approved, cancelled, or withdrawn when no longer needed.
26. License Agreement Files. This file consists of domestic and foreign, exclusive and non-exclusive, invention license agreements granted by NTIS to the licensee.

Dispose upon expiration of the last patent date of the license agreement, or abandonment by, or of the countries involved.
27. Master Patent System Annuity Payment File. This automated system is used:
 - 1) to authorize payments for foreign patent filings, annual annuities, and taxes and 2) to record license fees and income from patents. Information includes file reference number, application and patent number of the country involved, title of invention, name of inventor, date of patent, agency the patent was received from, and attorney involved.

a. Machine-readable file. Destroy data elements when superseded or obsolete.

b. Computer Listing. Dispose of when 19 months old.

28. Staff Working Paper Files. The file consists of technical reference materials, publications, convenience copies of documents, drafts and other working papers maintained for convenience of office operations by staff members of the office.

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

29. Inventors' Incentive Awards. This file contains documentation pertaining to awards granted government employees whose inventions were licensed and commercially utilized. Also included is a summary reflecting the invention title, licensees, inventors, and amount of award.

Dispose of after license has been terminated.

OFFICE OF APPLIED TECHNOLOGY AND PATENT INFORMATION

30. Applied Technology File. This file consists of documentation pertaining to the transfer of technology from Federal laboratories.

Break file every 5 years, move active material forward and dispose of all others.

31. CUFT - Center for Utilization of Federal Technology. This file contains documentation and related correspondence pertaining to industrial and Federal laboratories transfer of technology through meetings, seminars, and conventions.

Dispose of when no longer needed for current business.

32. Information for Innovators. This file contains documentation pertaining to information available to Innovators which is based on an analysis of newly acquired U.S. and foreign reports by NTIS. Included are information sources and organizations doing the work, a spectrum of related activity, related computer software and foreign technical requirements.

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

OFFICE OF CUSTOMER SERVICES

The Office of Customer Services is the principal NTIS liaison with all major user communities. The office evaluates NTIS relationships with major user groups; identifies potential customer services problems and recommends solutions; and conducts studies to analyze and evaluate the quality of customer service, providing recommendations for changes for processing systems. The office also develops and presents educational programs on NTIS products and services; provides information needed to respond to public inquiries.

33. Administrative Subject File. This file contains copies of housekeeping papers, budget, personnel, requisitions for service and things, reports, interdivision memorandums, space, routine correspondence, time and attendance, work assignments, and the like. Copies of pertinent directives and other authoritative materials are also found in the file.

Move active files forward and dispose of all other when 2 years old.

34. Customer Service Files. This file consists of original of customer inquiries (foreign and domestic) concerning any problem that customer has with an order which has been placed with NTIS for demand items (as opposed to subscription items). Also included are copies of the customer's purchase orders, analysis of customer's problem, back-up material to support the decision made, adjustment on orders, adjustment to the account, refund authorizations and replies to customers advising of action being taken.

Dispose of when 2 years old.

35. Dealer Agreements. This file consists of copies of agreements with foreign and domestic dealers for the sale of NTIS reports and products. Included in the file is documentation concerning special arrangements for shipment of the material and/or adjustments of the payment for specific shipments.

Dispose of 1 year after the agreement has been superseded or terminated.

36. Correspondence Control (Microfilm). These are microfilm copies of orders for NTIS reports and products. They are maintained on Deposit Account, Ship and Bill and Cash or check orders and are used to trace orders and respond to

customer inquiries.

Start a new file each year. Dispose of when 5 years old.

37. Orders on Suspense (Microfilm). These are microfilm listings of documents not shipped, cancelled, or in the process of being shipped. The listings are used in responding to customers' inquiries concerning products ordered.

Start a new file each year. Dispose of when 5 years old.

38. Shipped Orders (Microfilm). These are microfilm listings of documents shipped or cancelled by NTIS to customers. They are maintained by document number, deposit account number, and zip code number, and are used to trace orders in response to customer inquiries. For record copies, see Order Processing Branch.

Start a new file each year. Dispose of when 5 years old.

OFFICE OF POLICY AND PLANNING

39. Planning and Evaluation Subject File. This file contains documentation pertaining to proposed and implemented program plans, guidelines, status of major policy issues, policy issues requiring decisions, and analyses and recommendations relating to information systems. Included are such subjects as Document Registration Charge Study, Input Processing Division Policies, Product and Market Development Policies, Management by Objective, Science and Technology papers, and the like.

Start a new file every 5 years. Bring active materials forward as needed. Retire to Records Holding Area 2 years later. Dispose of when 10 years old.

OFFICE OF COMPUTER AND COMMUNICATIONS SERVICES

This office provides computer and information processing services and otherwise conducts all functions related to planning and operating the NTIS automated data processing and communications systems used to process the bibliographic data file, edit programs for bibliographic publications, inventory management program, financial management system programs, sales order processing programs, computer readable products, and marketing and market projection programs. In addition, this office participates in studies and analyses of all NTIS automated systems, develops and implements approved automated data processing programs; and provides technical support for on-line word processing systems to support the NTIS mission.

Office of the Chief

40. Administrative Management and Technical Subject Files. This file contains incoming and outgoing correspondence pertaining to the executive direction of the Office of Computer and Communications Services. Included are papers concerning the contractual, technical, and reimbursable activities of the office.
- Dispose of individual documents or file folders when they have served their purpose or when 10 years old, whichever is first.
41. Agreement File. Copies of agreements, together with related correspondence, from foreign and domestic firms for the development and dissemination of information from NTIS data bases.
- Dispose of 1 year after agreement is superseded or terminated.
42. ADP Work Requests. These are copies of ADP Work Requests and related correspondence for the development, changes and revisions of ADP programs at NTIS.
- Dispose of completed documents when purpose has been served.

Files and Records of Other Elements of the
Office of Computer Communications Services

43. Administrative Subject File. This file contains office copies of informational and other papers on housekeeping matters such as organization, computer program, finance, forms, routine correspondence, personnel, travel, budget, requisitions and the like.

Move active files forward and dispose of all others when 2 years old.

44. Standards Committee. These files contain copies of documents and related correspondence reflecting the functions, meetings, and reports of the various committees involving the establishment of standards.

Dispose of individual documents and file folders when purpose has been served or when 10 years old, whichever is sooner.

45. Chronological File. Contains copies of documents prepared or signed in the office and maintained for historical and convenience reference as a finding aid.

Dispose of when 5 years old.

46. Meetings and Seminars. This file contains documentation on meetings, seminars, and conferences attended by Information System Officer. Included are agendas, minutes of meetings, reports, and related records.

Dispose of individual documents and file folders when purpose has been served or when 10 years old, whichever is sooner.

47. Catalog Equipment File. Consists of catalogs and price schedules for all types of office equipment, such as computer hardware and software, video and OCR equipment, printers, microfilmers and the like. The file is used for reference in conducting equipment studies.

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

48. Feasibility Studies File. This file contains correspondence, proposals, survey data and related study documents created in conducting feasibility studies on all types of office equipment and systems. Included are such subjects as Automated Data and Telecommunications Systems Plans, Bibliographic Retrieval Systems, COM Equipment, Computer Acquisition Plan, Data Entry Terminals, OCR

Applications Study, Video Disc Research Project, Word Processing Systems, and similar equipment and systems studies.

Dispose of individual documents and file folders when purpose has been served or when 10 years old, whichever is sooner.

Computer Services Branch

49. Vendor Files. Consists of catalogs and price schedules for equipment and supplies.

Dispose of when superseded or when purpose has been served.

50. Administrative Subject File. This file contains office copies of housekeeping papers on such matters as meetings, reports, issuances, budget, personnel, requisitions for services and things, interdivision memos, space, time and attendance, travel, work assignments and the like. The file also contains extra copies of papers containing technical data that is used for the administration of work for which the division is committed. Copies of pertinent directives and other authoritative material are also found in the file.

Move active files forward and dispose of all others when 2 years old.

51. Invoice and Authorization File. This file contains copies of requests for ADP equipment which require the review and approval of the Contracting Officer Technical Representative (COTR). Included are copies of requisitions, purchase orders, CD 10's and related papers.

Dispose of when 2 years old.

Computer Operations Section

52. Tape Library Scratch Report. This is a list of all computer tapes generated by tape number sequence showing the date the tape was created and the designation assigned the tape. This list is used primarily as a control of the tapes and to specify those that are authorized to be scratched and reused.

Maintain a current copy and dispose of when superseded.

53. Microform Research Files. This file consists of microfilm reels and microfiche copies of shipped orders, deposit accounts, and the master inventory file. These microform records are used researching data in the above systems.

Dispose of when purpose has been served.

54. Bibliographic Program Statistics. This file contains printouts of bibliographic programs used to verify the program statistics.
- a. Monthly Listings - Dispose of monthly listings when 2 years old.
 - b. Annual Listings - Transfer to RHA when 2 years old. Dispose of one year thereafter.

55. Operating/System Reports. Consists of a series of output reports which are used to monitor and balance the system. Includes such items as the number of orders and records processed, dollar amounts, etc. Also includes listing of orders shipped, status of deposit accounts and other detailed data used for special reports and system studies.

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

56. Reserved.

57. Source Program File. This file includes programs coded by programmers, and other common language source program data. Also includes system packs (programs) for executing the routines and operations. The system packs identify specific computer components (input/output devices, drives for tapes or disks) and formats for data outputs.

Dispose of after successful completion of a program revision or after related program has been removed from the system.

58. Production Staging Sheets. Contains a record of computer order processing and trailer processing for all NTIS elements concerned with document sales and distribution.

- a. Production Staging Sheets involving Ship and Bill, National Library of Medicine, Post Processing, Cash System and Deposit Accounts, etc. Transfer to RHA when 1 year old. Dispose of 6 years later.

b. All others - Dispose of when 1 year old.

59. Microfilm Copies Shipped Orders. This file contains a film record of all shipped orders and is used for research, resolving customer's questions, verifications of payments and the like.

Dispose of when 1 year old.

Systems Development Branch

60. Training Guides. This file consists of video tapes, handbooks and related material used in training or explaining the overall system.

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

61. Documentation Manuals. Documentation manuals include the systems Reference Book, Program Reference Book, User Reference Book, and Operations Run Book.

Dispose of after discontinuance of the system involved.

62. Program Reference Cards. This file consists of punched cards containing program data used for reference purposes by the programmer in developing a new program.

Dispose of when no longer needed for current business.

63. Program Specifications. This file consists of binders containing specifications for the implementation of computer programs. Included are copies of program listings which list commands given the computer for a particular program. Also included are specific requests from users for the implementation of new, updates of revisions of computer programs.

Dispose of when the program or change has been superseded or discontinued.

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COMPUTER AND COMMUNICATION SERVICES

Machine Readable Records

64. Operating System Tape/Disk Files. The operating system tape and disk files consist of software packages required to operate and control computer housekeeping activities, such as input-output functions, sort-merge functions, compilation and computer functions, boating functions, and other operating program routines.

Maintain in tape library (TL) until superseded or the program has been terminated.

65. Master/Tape/Disk Files. NTIS maintain in its TL the tapes and disks related to the major data bases and information storage and retrieval systems for machine readable records. These include such master tapes and disks of the financial system, administrative systems, and various input and announcement systems. More specifically these include:

a. Financial Systems

- (1) Labor and Productivity Master File. (Update daily) Retain the end of each month master tape in the TL and dispose of 1 year after updating. Scratch all other tapes 30 days after update.
- (2) Financial Management System Master File. (Update daily) Retain the end of each month's master tape in the TL, dispose of this master tape 1 year after updating. Scratch all other updated master tapes 30 days after updating.
- (3) Budget and Accounting Master File. (Update daily) Retain the end of each account period master tape in TL. Dispose of this master tape one year after updating. Scratch all other updated master tapes 30 days after updating.
- (4) Deposit Account Master File. (Update daily) Maintain in TL, scratch 60 days after updating.
- (5) Shipping and Billing Master File. (Update weekly) Retain in TL, transfer to RHA when 6 months old. Scratch when 7 years old.

b. Administrative Systems

- (1) Subscriptions Master. (Update monthly) Retain in TL, transfer to RHA when 6 months old, scratch when 7 years old.
- (2) Order Processing Master. (Update daily) Retain in TL, scratch 10 days after updating.
- (3) Inventory Master File. (Update daily) Retain in TL, scratch 30 days after updating.
- (4) SRIM Processing Master File. (Update bi-weekly) Retain in TL, transfer to RHA when 6 months old. Scratch when 7 years old.

c. Index and Announcement Systems

- (1) Government Reports Announcement and Index (GRAI) Master File. (Processed bi-weekly) Retain in TL, scratch when superseded.
- (2) Weekly Government Abstract. (Processed weekly) Retain in TL, scratch when superseded.
- (3) Selected Water Resource Abstract. (Processed weekly) Retain in TL, scratch when superseded.

66. Transaction Update Files. A transaction tape or disk file is used in the update processing of each master file identified in a-c above. In the update process data is keyed on to a transaction tape or disk. It is from this machine readable file that the new data are transferred to a new master tape and disk is produced.

Retain in the TL for 3 generations of processing cycle. Scratch when no longer needed for current business.

67. Backup and Disaster Tape/Disk Files. These files contain a duplicate copy or a series of updated Master Files and appropriate Transaction Update File tape and disks, as well as a duplicate copy of each Operating System Tape/Disk File. All files are kept in specific safekeeping areas, separated from the TL and the computer operational area. Specifically, these files are stored in the vault and a special storeroom in the Yorktown Sills buildings.

Retain these files on a 3 generation or processing cycle, scratch when no longer needed.

Inforex Unit

68. Inforex Order File. These are processed customer orders for documents, cash and Deposit Accounts that have been input into the system through the Inforex key-to-disk machine.

Transfer to RHA Lorton upon verification of data input into the system. Dispose of when 3 years old.

OFFICE OF THE ASSOCIATE DIRECTOR FOR
FINANCIAL AND ADMINISTRATIVE MANAGEMENT

Office of the Associate Director, for F/AM, serves as Chief Administrative Officer of NTIS, is responsible for the conduct of all functions related to financial and administrative management, and for the development and implementation of financial and administrative policy recommendations.

69. Financial and Administrative Management Subject File. This file contains incoming and outgoing correspondence and related documents processed and printed materials of general interest and application to the office. Included in the file is correspondence with other government agencies, private companies, universities, users and suppliers of data. These documents are arranged by subject, reports series, training, staff meetings, EEO, legislation, FOIA and other similar administrative subjects.

Dispose of individual documents or contents of file folders when no longer needed for current business.

70. Chronological File. These are copies of documents prepared or signed by the Associate Director. These documents are filed by date.

Dispose of when no longer needed.

71. Committee Files. The file consists of copies of reports, minutes, agenda, and proposals for consideration of committees on which the Associate Director either serves or is interested in.

- a. Records of committees on which the Associated Director serves or is interested in:

Dispose of when no longer needed.

- b. All other committee records:

Dispose of when 3 years old or when no longer needed for reference.

72. Special studies and Project Files. This file contains correspondence, proposals, inventories, survey data, analyses and copies of related studies or projects, such as Working Capital Fund Projects.

Retire closed project and studies to RHA when 5 year old. Transfer to WNRC 1 year later. Dispose of when 20 years old.

Office of Financial Management

This office provides technical direction, coordinates, evaluates, and executes financial management policies; formulates and executes an integrated budget, which includes revenue forecasts, expense and production budgets, cost standards, and programs for capital investments and financing; and develops and implements accounting procedures and systems.

73. Financial Management Subject Files. This file contains documentation generated by the Associate Director in directing and supervising the overall operations of the Accounting, Budget and Reports and Analysis Divisions. Includes such subjects as ADP Support Management Budget, Cash Management, Flash Report, Minority Recruiting, Merit Pay, Deposit Accounts, Revolving Fund and related Financial Management activities.

Start a new file every 3 years. Retire to RHA 2 years later, and transfer to WNRC 3 years later. Dispose of when 10 years old.

74. Administrative Subject File. These are office copies of documents pertaining to such internal housekeeping activities as time and attendance, travel, personnel, budget, space, supplies, and requisitions for printing and other services.

Dispose of when 2 years old.

75. Chronological File. Consists of an extra copy of documents prepared or signed in the office and maintained in date order.

Dispose of when no longer needed.

76. Technical Reference File. This contains printed and processed material collected from a variety of sources, and some workpapers and other papers generated by the organization that contains technical information or reference value. The subject matter is related to the functional responsibilities of the particular office.

Dispose of when no longer needed for current business.

Management Systems Staff

77. Project Case File. Consists of papers generated by the Management Systems Staff that contain correspondence, proposals, approvals; inventories, survey data and analyses that support the findings found in the final project report. The record copy of these projects are maintained in the Associate Director's file.

Dispose of 2 years after closure or termination of the project.

78. Management Systems Working Paper Files. Consists of documents created or collected by the Management Analysis Staff in conducting studies and projects of financial and administrative systems. The file includes such subjects as: Administrative Control of Funds, Audits, Commercial and Industrial Activities, GAO, Financial Status (NTIS) Procedures, Joint Financial Management Improvement, and the like.

Dispose of individual documents of folders when purpose has been served.

Accounting Division

79. Project Obligation File. This file contains a record of obligation documents, invoices, correspondence, project numbers, schedule numbers and related data by organization.

Retire closed files to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of 6 years, 3 months after the period covered by the account.

80. General Ledger Listing. These listing 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 RHA at the end of 3 years and transfer to WNRC 2 years later. Dispose of when 10 years old.

81. Monthly Report of Obligations. Consists of copies of a report submitted to Treasury Department showing gross obligations by object classes rounded to the nearest thousand dollars.

Dispose of when 3 years old.

82. Statement of Transactions (SF-224). These are copies of reports submitted to the Treasury Department showing a classification of disbursements and collections by appropriation fund and receipt amount.

Retire to RHA at the end of 3 years and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

83. Undisbursed Appropriation Account. Consists of monthly listing received from the Treasury Department citing by appropriation symbol, existing cash balances and other pertinent data per Treasury records.

Retire to RHA when 3 years old. Transfer to the WNRC when 5 years old. Dispose of when 10 years old.

84. Coding Documents. These documents show the data taken from source documents for computer input. They are accompanied by each control tapes.

Dispose of when 1 year old.

85. 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.

Dispose of when no longer needed for current business.

86. Voucher and Schedule of Withdrawals and Credits. These are schedules or collections and disbursements, vouchers and schedules of withdrawals and credits and schedule of payments showing withdrawals from the Treasury by the Department with copies of related bills.

Start a new file every 2 years, retire to RHA, and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

87. Vouchers and Schedules of Payments. These are original payment documents accompanied by memorandum copies of Vouchers and Schedules of Payments submitted to the Treasury for the issuance of checks.

Retire closed files to RHA when 3 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

88. Accomplished Copies of Vouchers and Schedules of Payment. These are accomplished copies of Vouchers and Schedules of Payments which reflect the check number, disbursing office symbol and date of check.

Retire closed files to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

89. Information Returns (1099NEC). These are copies of information returns issued to personal service contractors, consultants, etc. for services performed. Copies are also forwarded to the Internal Revenue Service and the individual concerned.

Retire closed files to RHA when 2 years after the close of the year involved. Dispose of after 6 years, 3 months.

90. Purchase Order File. This file contains the number 3 obligating copy of purchase orders which are held until the number 4 receiving copy is returned from the operating unit with the vendor's invoice. When the vendor is paid, the obligating copy is noted with the date and amount paid and retained in the closed purchase order file. The receiving copy, invoices and vouchers are placed in the accounts paid file.

Retire closed purchase order obligating files to RHA at the end of every 2 years and transfer to WNRC 2 year later. Dispose of after 6 years, 3 months.

91. Cash Refund File. Consists of a record of refunds to customers due to cancellation of subscriptions, documents returned, duplicate orders and deposit account refunds, and over-remittances.

Retire closed files to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

92. Refund Listing. Computer generated listing of refunds due to customers resulting from overpayments, non-availability of documents requested, etc. this listing is used for payment authorization.

Retire closed files to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

93. Cash Summary Report. This report consists of a record cash receipts from the collections activity and is used to provide entries to the General Ledger and reconciliation with the Treasury Report on the total cash deposits. Includes prepaid cash payments, Deposit Account payments, unidentified cash payments, and memorandum accounts received.

Retire to RHA when 1 year old and transfer to WNRC 1 year later. Dispose of when 10 years old.

94. Schedule of Collections. Consists of cash register tapes, deposit tickets (agency copy), carbon tape of deposits, checks, cash receipts transmittal and cash receipt control log.

Retire closed files to RHA when 1 year old and transfer to WNRC 2 year later. Dispose of after 6 years, 3 months.

95. Collection of Canadian Funds. This file consists of letters to the Royal Canadian Bank, with enclosed checks, for the collection of Canadian checks in U.S. funds.

Retire to WNRC when 1 year old. Dispose of after 5 years old.

96. Daily Accountability Sheets. This file contains a record of the total amount of money received and broken down to the appropriate categories, such as accounts receivable, deposit accounts, subscriptions, cash orders, etc.

Dispose of when 1 year old.

97. Customer Deposit Account File. This file contains a record of cash transactions posted to the customer's Deposit Account. Included is a record of the advance deposits made, related correspondence, and a record of the amount deducted from the balance when material is forwarded from NTIS.

Retire closed files to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

98. Account Summary Sheet. Consist of a record of cash receipts, NTIS coupons, UNESCO coupons used for daily postings to the General Ledger and reconciliation of the General Ledger Accounts.

Retire to RHA when 1 year old and transfer to WNRC 2 years old. Dispose of after 6 years, 3 months.

99. Cash Management Input Code Sheets. These are processed coding sheets for cash management used to reconcile discrepancies noted in computer output listings.

Dispose of when 3 months old.

100. Alpha and Numeric Index Card Files for Deposit Accounts. These are card indexes arranged alphabetically and numerically for Deposit Accounts. They include the account number, customer's name and address and the date the account was opened and closed.

Dispose of when no longer needed for current business.

101. Deposit Account Statement (Microfiche). This is a microfiche record of Deposit Account Statements which are sent to customers when the account has had activity during the month or when the account has a negative balance.

Dispose of when 5 years old.

102. Collection Cash Receipts (Microfilm). This file contains microfilm copies of all checks and source documents received in the Collections activity. The microfilm is used for research in locating missing payments and related payment situations that may arise.

Retire to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

103. Interagency Agreement File. This file contains backup material pertaining to account statements, royalty payments to source clients, copy of agreements, correspondence, copies of 1081's and related material.

Retire closed cases to RHA when 2 years old and transfer to WNRC 1 year later. Dispose of after 6 years, 3 months.

104. Accounts Receivable Paid and Suspense Listings. This file contains a record of invoice amounts and the amounts paid. The suspense listing contains a record of the amount due.

Dispose of when 3 years old.

105. Credit Card Orders. This file consists of orders made for NTIS documents on Master Charge, VISA and American Express Credit Cards.

Dispose of when 3 years old.

106. Accounts Receivable Billings and Payment File. This file contains a copy of invoices, payments received and any correspondence pertaining to the invoices. Included are billings for other government agencies and credit card accounts.

Retire closed accounts to RHA when 1 year old and transfer to WNRC 2 years later. Dispose of after 6 years, 3 months.

107. Accounts Receivable Memorandum Accounts. This file contains a record of payments and adjustments for Brokerage Agreement and Special Credit Accounts.

Retire closed accounts to RHA when 1 year old and transfer to WNRC 2 years later. Dispose of after 6 years, 3 months.

Budget Division

108. Budget Formulation Support Papers. This file consists of collected materials and papers generated in the entire process of analyzing the submissions from NTIS program managers whose programs are funded through the Scientific Technical Resources and Services (STRS) appropriation and drafting final submissions to the appropriate higher authority. More specifically, this involves preliminary tabulations and spread sheets, compilations of preliminary data after further analysis and copies of the first and all subsequent drafts of the subject budget estimates as presented. Record copies of budget submissions are maintained in the Office of the Secretary.
- a. Secretary's Submission:
 - o Dispose of 6 years after close of the FY involved.
 - b. OMB Submissions:
 - o Dispose of 6 years after close of the FY involved.
 - c. Congressional Submissions and Appeals:
 - o Dispose of 6 years after close of the FY involved.
109. Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.
- Dispose of 2 years after the close of the FY involved.
110. Briefing and Backup Books for Budget and Submissions. These books contain factual analytical and narrative data compiled by the Budget office to support and validate each of the budget estimates as submitted (Secretarial, OMB, and Congressional). Briefing books are used for authorization and appropriation hearings and contain numerous and varied support documents to aid in testimony.
- Dispose of when 10 years old.
111. Financial Planning File. This file contains copies of revenue workload plans and cost plans from division

managers and presentations of financial plans to the Director.

Dispose of when 2 years old.

112. Chronological File. Consists of an extra copy of documents prepared or signed in the office and maintained in date order.

Dispose of when 1 year old.

113. Budget Subject Files. Consists of documents providing background information on regulations, procedures, Controller General Decisions, and other data required in carrying out budget preparation and execution.

Dispose of when no longer needed for current business.

114. Personnel Ceiling Control File. This file consists of personnel rosters, personnel reports, organizational roster, personnel actions and correspondence used in control of personnel ceilings.

a. End of Year Organizational Rosters:

o Dispose of when 5 years old.

b. All other documents, dispose of when purpose has been served.

Reports and Analysis Division

115. Reports Control File. Case files maintained for each NTIS report created, cancelled or superseded.

Dispose of 2 years after report is discontinued.

116. Internal Management Reports. These are copies of internal periodic and recurring reports submitted by the divisions to provide financial and quantitative data for internal management and control. Included are reports on Document Registration Billing, Monthly Registration, Subscription/ Standing Order, Status-Bibliographic Data, Foreign Sales, Staff year, Overtime, Sick Leave, Trust Fund Cash Flow, and Workload Measurement.

Dispose of when they have served their purpose or when 5 years old, whichever is sooner.

117. Case Studies File (Financial). These are one-time studies conducted as projects to study specific financial management functional and program activities providing data evaluations and recommendations.

Dispose of when 5 years old.

118. Financial Status Report. This report provides a top management and product managers with summary and detailed information on budgeted and actual amounts for income, cost, and accounting projects in the financial system. Included is a Summary Cost Statement by Division, Users Revenue Report, Product Summary Report, Product Cost and a Detail Report of Obligations and Costs. This report is furnished for the current month and year to date.

Transfer to the WNRC when 5 years old, and dispose of when 10 years old.

119. Working Papers File. Contains background papers such as statistical data, correspondence, analyses, drafts, extra copies of documents and other working papers retained for convenience.

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

120. Report on Employment. Copies of Employment Obligations and actual employment on board at the end of the month as reported on 113A Monthly Report of Employment.

Dispose of when 3 years old.

121. Historical Data File. This is a historical data file which provides top management and managers with income and workload information obtained from Production Highlights and Users Revenue Report. Included are income and workload data on searches, paperbound and microfiche demands, subscriptions, tape sales, document registration, directory of computer data file, income from National Library of Medicine, National Cancer Institute, Government Patent Applications and related income and workload items.

Transfer to the WNRC when 5 years old and dispose of when 10 years old.

122. Report of Obligations. Copies of a report submitted to Treasury showing gross obligations by object classes rounded to the nearest dollar.

Dispose of when 3 years old.

123. Report on Performance. Copies of quarterly report reflecting workload for selected activities. Includes such items as inventions evaluated, number of micorfilm and subscription searches accomplished and related items.

Dispose of when 3 years old.

124. Report on Overtime Compensation. Copies of reports reflecting the actual compensation for all overtime used.

Dispose of when 3 years old.

125. Report on Travel and Transportation. Copies of quarterly report of transportation obligations reported by object class with plan and actual activity.

Dispose of when 3 years old.

126. Report on Federal Outlays by Geographic Location. Copies of reports provided a listing of outlays to vendors by geographic location for the collection of information.

Dispose of when 3 years old.

127. Report on Outlays. These are copies of monthly reports of outlays by fund account which includes STRS, reimbursables, information products and services.

Dispose of when 3 years old.

128. Report on International Transactions of the Federal Government. Shows sales to and monies spend in foreign countries. Also reflects the flow of cash affecting accounts receivable and payable for foreign countries.

Dispose of when 5 years old.

129. Report on Work Years and Personnel Costs. Copies of report reflecting various components of personnel costs, basic pay, premium pay, benefits, leave, severance, overtime and positions.

Dispose of when 3 years old.

130. Report on Budget Execution (SF-133). This report prepared for submission to the Office of Management and Budget shows total obligations, unobligated balance, and total funds available for each quarter.

Dispose of when 5 years old.

131. Statement of Financial Condition. Copies of statements submitted to the Treasury showing assets, liabilities and net investments.

Dispose of when 3 years old.

132. Statement of Income and Retained Earnings. Shows the income and expense arising from operations annually and an analysis of changes in retained earnings.

Dispose of when 3 years old.

133. Annual Statement of Unexpended Balances of Appropriations (TS 2108). This shows Treasury trial balance, transfers and withdrawals, funds resources, and status of resources submitted to the Treasury.

Retire to RHA when 5 years old and transfer to WNRC 1 year later. Dispose of when 10 years old.

134. 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 when superseded or when 2 years old, whichever is sooner.

135. Property Records. This file contains a record of property acquisition costs, accumulated depreciation, book value, and monthly depreciation to be recorded in the General Ledger. Included is ADP equipment, office furniture, other machinery and equipment and other fixed assets.

Dispose of when 3 years old.

OFFICE OF ADMINISTRATIVE MANAGEMENT

This office directs the management of NTIS-wide facilities and management improvement projects, including studies for work measurement, workflow analysis, and operational research; directs the personnel management function, including labor relations, training, and liaison with the Departmental Office of Personnel; issues directives on administrative and paperwork management; and plans and administers an NTIS-wide program of general services.

Office of the Chief

136. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as travel, budget, space, time and attendance, requisitions for supplies and other objects, various administrative service matters, and similar housekeeping activities.

Bring active files forward every 2 years and dispose of all others.

137. Administrative Management File. This file contains copies of correspondence generated or collected in the process of providing office and housekeeping services to NTIS. The file contains correspondence on management improvement, workflow analysis, personnel management, procurement, labor relations, training, directives, and related management functions. Any policies, procedures or transactions involving review by higher authority are maintained by the Associate Director Financial and Administrative Management. These papers have no value after the need for internal administrative management purpose has been served.

Move active files forward and dispose of all others when 5 years old.

138. Chronological Files. The file consists of an extra copy of documents prepared or signed in the office and arranged in chronological order.

Dispose of when 2 years old.

Agreements Staff

139. Agreements File. This file consists of record copies of agreements, with related correspondence, negotiated between Federal, State and local governments, universities, and private firms (foreign and domestic) to collect and disseminate scientific, technical, and engineering information. Also included is documentation of the

services offered, responsibilities, funding and duration of the agreement.

Retire closed cases to RHA at the end of every 3 years. Dispose of 6 years, 3 months after termination.

Facilities Management Division

140. Telephone Record of Service and Bills. Consists of a listing of monthly charges and services with related papers. The fiscal accountability copy of these bills are maintained in Accounting Division.

Dispose of when 2 years old.

141. U.S. Government Bills of Lading. These are the issuing office memorandum copies of U.S. Government Bills of Lading including waybills, shipping documents, invoices, correspondence, and all supporting documents.

Dispose of when 3 years old.

142. Transportation and Traffic Subject File. Contains copies of incoming and outgoing communications pertaining to the transportation of things, operation of motor vehicles and instructions and requests for these and other services.

Dispose of when 2 years old.

143. Report of Excess Property. Contains copies of the report showing quantity, item description, unit acquisition cost, condition and authorized disposition.

Dispose of 3 years after the disposition of the property.

144. Personal Property Management Inventory. Copies of a machine run of an inventory showing the division, date of inventory, standard value, number of items, condition, total standard value, and depreciated value.

Dispose of when superseded by a new accountable property file.

145. Building Floor Plans. These are copies of floor plans of the Yorktown and Sills and other buildings occupied by NTIS on which space allocation and other space management data are drawn or entered.

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

146. Space Report File. Contains correspondence and copies of Quarterly Space Report generated within NTIS to manage building space. The data is also used to update the Space Assignment List of Updating Personnel Statistics printout prepared by General Services Administration for agencies.

Dispose of when 2 years old.

147. Purchase Order File. Consists of the issuing office copies of purchase orders for the purchase of supplies, service and equipment. Included in the files are requisitions, authorizations, justifications, approvals and other related papers. Filed by purchase order number.

Dispose of 3 years after final payment.

148. Employee Accident Reports. Consists of office copies of records involving reporting of employee accidents.

Dispose of 6 years after close of case.

149. Accession/Disposition Files. Copies of papers on records disposition including descriptive inventory, disposal authorizations and clearance, schedules for retirement of records, transmittal of records to Records Centers and correspondence and memorandums relating to revisions.

Dispose of when related records are destroyed, or when no longer needed for administrative or reference purposes.

150. Records Management Files. Contains copies of reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the management of records in NTIS.

Dispose of individual documents or folders when 6 years old.

151. Administrative Subject File. This file contains copies of informational and other documents on housekeeping and office services matters such as building maintenance, equipment, parking, routine correspondence, budget, fire prevention, delegation of authority, shipping and similar housekeeping documents.

Bring active files forward every 2 years and dispose

of all others.

152. Property Management File. Consists of incoming and outgoing correspondence and related materials pertaining to subjects of a general nature on real and personal property management.

Start a new file every 2 years, retire to RHA and dispose of 2 years later.

153. Safety Files. These are incoming and outgoing copies of correspondence, reports, comments and background documents pertaining to the NTIS safety program. Included are safety guidelines, standards and procedures.

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

154. Daily Visitor Log File. The file consists of logs for recording visitors admitted to the buildings.

Dispose of when 2 years old.

155. Security Program File. This file contains regulations, procedures, reports, correspondence and other background documents pertaining to the security program in NTIS.

Start a new file every 3 years. Bring forward active material. Retire to RHA 2 years later. Dispose of when 10 years old.

156. Penalty Mail Report Files. Contains official penalty mail reports and all related papers.

Dispose of when 6 years old.

Contracting Service Division

157. Purchase Order File. Consists of copies of purchase orders for the purchase of supplies, service and equipment under GSA schedules or for small purchases under open market procedures. Included in the file are requisitions, purchase orders, justifications, approvals, and other related papers. The fiscal accountability copies are maintained in the Accounting Division.

- a. Transactions of more than \$10,000:

Close file after final payment. Retire to RHA 2

years after closure. Transfer to WNRC 1 year later. Dispose of 6 years, 3 months after final payment.

b. Transactions of \$10,000 or less:

Retire to RHA 2 years after closure. Dispose of when 3 years old.

158. Vendors File. Consists of catalogs and price schedules for equipment and supplies.

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

159. Contract Case File. These are office copies of contracts let on the open market by the Procurement Office DOC. The case file contains a copy of the contract and any amendments and modifications thereto with related papers pertaining to the contract. The record copy of the contract is maintained in the DOC.

Retire closed contracts to RHA when 2 years old. Transfer to WNRC 1 year later. Dispose of 6 years after the contract is closed.

160. Travel Folders. These are name case files containing copies of the travel voucher, travel order, travel request and related papers pertaining to each employee traveling on official business.

Dispose of when 3 years old.

161. Government Transportation Request (GTR). These travel requests are maintained in file folders and they include copies of a log showing the date, destinations, name of employee and control numbers.

Dispose of when 6 years and 3 months old.

162. Training File. This file contains material which describes training courses available to NTIS employees during the

year. It also includes documentation of the training taken by each employee during the year, which are duplicated in the official personnel folder.

Dispose of individual documents when they become obsolete or have served their purpose.

Management Analysis Division

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

Dispose of when 2 years old.

164. Program Subject File. Consists of documentation generated or collected by the Division pertaining to policy, procedures, guidelines, standards and internal operations. Included in the file are documents on Demand Sales, Media Codes, Foreign Customers, Marketing, Product and Program Development, Input Processing and similar records.

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

165. Directive Case Files. These comprise case files for NTIS Manuals, Administrative Orders, Bulletins and related issuances. Each case file contains copies of drafts, clearances, and other background papers with a printed copy of the directive issued.

- a. Program and Products--covered by Policy and Procedures Manual (vol. 4).

in 10-year blocks Permanent. Transfer closed (superseded, revoked, etc.) cases to WNRC after 1 year. Offer for transfer to National Archives 20 years thereafter.

- b. All others: dispose of when superseded.

166. Projects and Studies File. This file consists of case folders documenting various management studies/analyses of administrative processes, procedures, and programs. Included are studies on User Profiles, Bulk Order Discount, Sales, Document Collection, Subscriptions and similar management studies.

Permanent. Retire to WNRC when 10 years old. Offer for transfer to the National Archives when 20 years old. [^]
in 10-year blocks

167. Privacy Act Request File. Consists of documentation reflecting the processing of Privacy Act requests for access to or amendment of records, and appeals made in accordance with the law and regulations with regard to NTIS processing of requests.

Retire to RHA 2 years after the end of the year in which the request or appeal is fully satisfied.
Transfer to WNRC 1 year later. Dispose of 5 years after satisfaction of the request or appeal.

168. Freedom of Information Act File. Consists of incoming correspondence, copies of replies and background materials reflecting the handling of Freedom of Information Act requests, and appeals made in accordance with the law and regulations with regard to NTIS processing of requests.

Retire to RHA 2 years after the end of the year in which the request or appeal is fully satisfied.
Transfer to WNRC 1 year later. Dispose of 5 years after satisfaction of the request or appeal.

169. Equal Employment Opportunity Program Subject File (EEO). This file consists of documentation pertaining to EEO activities, procedures, guidance materials, counselors, and affirmative action plans. Includes such subjects as Federal Women's Program, the Spanish speaking program, the Program for the Handicapped, other Minorities Program and Upward Mobility Program.

Dispose when superseded or no longer needed for current business.

ASSOCIATE DIRECTOR FOR PRODUCT AND MARKET DEVELOPMENT

The Office of Product and Market Development is responsible for the conduct of all functions related to product development, marketing, technical support to other government agencies, managing the NTIS on-site sales activities, and recommending policy in all areas relative to the design, development, business management, and domestic and international marketing of NTIS products and services.

170. Administrative Subject File. This file contains copies of informational and other papers on housekeeping matters such as matters on budget, finance, committee papers, meetings, contracts, personnel, publications, requisitions for supplies and services, reports, training, travel, and similar housekeeping matters.

Move active files forward at least once every 2 years and dispose of all others.

171. Chronological Files. This file consists of copies of documents prepared or signed in office and maintained in date order.

Dispose of when 5 years old.

172. Program Subject File. This file contains documentation pertaining to Product and Market Development problems, procedures, policy and regulations. Included are such items as NTIS Policy on Pricing, Logos, Copyrights, Task Force Projects, Surveys of Marketing and Organization Operations, Commerce's and OMB policy and related subjects.

Dispose of individual documents or file folders when superseded or when purpose has been served, whichever is sooner.

173. Agreement File. This file consists of working copies of agreements with related correspondence between Federal, State, and local governments and private firms to collect and disseminate scientific, technical and engineering information.

Dispose of 3 years after the agreement is replaced or terminated.

174. Acquisition File. This file contains documentation pertaining to the acquisition of information into the NTIS system from which new products can be developed and ongoing products enhanced.

Move active files forward and dispose of all others when 2 years old.

175. NTIS State and Local Information File. This file contains documentation pertaining to training and use of the NTIS system by State and Local information broker groups.

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

176. Workload Revenue Plan. This file consists of copies of NTIS product and services workload and revenue estimates, communications with source clients and customers, and other collected material supporting the budget submission.

Dispose of 2 years after the close of the fiscal year involved.

177. NRC Docket Microfiche Program. This file consists of documentation pertaining to the production and delivery of materials for the Nuclear Regulatory Commission (NRC), docket materials sold to the public by NTIS.

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

178. Subscription and Standing Orders. This file consists of product case files pertaining to subscriptions and standing orders for NTIS products from various Federal Agencies. Typical subjects include DOE Energy Updates, EPA Pesticides, FDA New Drug and Device Approval, ITA Foreign Market Reports, Price Announcements, Document Specifications, Cost Studies, and related material.

Transfer to RHA 1 year after official discontinuance of the subscription or standing order. Dispose of 3 years thereafter.

179. Technical Help Exporter File (THE). This file contains documentations pertaining to arrangements made by NTIS with the British Standards Institute to make available to U.S. firms current surveys and guides on technical subjects. Included are foreign regulatory agencies and THE's interpretation of worldwide product standards, also included are translations, royalty payments, bulletins, renewal letters and membership case files.

- a. Transfer to RHA 6 months after the project is completed and dispose of 1 year later.
 - b. THE Documents - Dispose of when purpose has been served.
180. Information Analysis Center (IAC). Contains documentation and related correspondence pertaining to information available for dissemination to Government and private industry which includes summaries of developments, state-of-the-art reports and handbooks, indexed and reference sources.
- Dispose of individual documents or file folders when superseded or when purpose has been served, whichever is sooner.
181. Selected Research in Microfiche (SRIM). This file contains documentation pertaining to SRIM price revisions, units distributed, reports issued, problems encountered, customer and staff suggestions, market survey information and related items.
- Dispose of individual documents or file folders when superseded or when purpose has been served, whichever is sooner.
182. Technical Reports Management File. This file contains documentation pertaining to the management of technical reports.
- Dispose of individual files when purpose has been served, or when 10 years old, whichever is sooner.
183. Bibliographic Files. This file contains documentation pertaining to the development and management of NTIS Abstract Newsletters, Title Index, Published Searches, and Government Reports Announcements and Index (GRA & I).
- Move active files forward and dispose of all others when 3 years old.

OFFICE OF INTERNATIONAL AFFAIRS

The Office of International Affairs administers bilateral agreements and otherwise directs, coordinates, and evaluates NTIS relationships with international and U.S. organizations which carry out international activities; leads in the identification and acquisition of foreign technological information; and manages the Foreign Dealer Program.

184. Administrative Subject File. These are copies of papers pertaining to such matters as time and attendance, personnel actions, travel, budget, space, requisitions for service, and similar housekeeping activities.

Move active files forward and dispose of all others when 2 years old.

185. Chronological File. Contains copies of documents prepared or signed in the office and maintained for convenience and reference, used as a finding aid.

Start a new file every year. Dispose of when 2 years old.

186. Annual Reports. The annual report file, prepared by the Office of International Affairs, contains documentation on significant accomplishments during the year. It includes reports on Appropriate Technology, Special Foreign Currency Service Information, Commercial Cooperating Organizations, Foreign Technology Utilization and the like.

Permanent. Transfer to the Washington National Records Center when 10 years old. Offer for transfer to National Archives ~~10 years thereafter~~ in 10-year blocks when most recent record is 10 years old.

187. Invoice Files. These are copies of invoices and informal accounting records for translation work that has been completed.

Transfer office copies of invoices to National Science Foundation when the contract is closed.

188. Contract and Service File. This file contains office copies of contracts, agreements, and related correspondence with private firms and other Government agencies who request translation services, as well as orders placed with various contractors.

- a. Contracts, Agreements and Request for Service (Work Orders) - Dispose of when contract is closed.

- b. Requests for Service received from other agencies -
Dispose of when 1 year old.
 - c. All other papers - Dispose of when purpose has been
served.
189. Deposit Account Statements (Country). The file contains a record of the deposit accounts, customers deposits, payments and balances. The data is used to obtain statistical data on sales volume, types of documents purchased, method of payment and the dollar balance.
- Dispose of when no longer needed for current business.
190. Foreign Acquisitions. This file contains documents and related papers pertaining to the identification and acquisition of foreign technical information by NTIS.
- Dispose of when no longer needed for current business.
191. General Correspondence Country File. This file contains trip report and copies of incoming and outgoing correspondence generated by the office with printed and processed materials pertaining to each foreign country with which the office is concerned.
- a. Trip Reports. Transfer to the Washington National Records Center when 5 years old. Dispose of when 10 years old.
 - b. All Other. Move active files forward and dispose of all other material when 3 years old.
192. International Affairs Subject File. This file contains copies of incoming and outgoing correspondence. Includes also collected, printed, and processed materials pertaining to international activities. File includes such organizational titles as Agency for International Development (AID), American Society for International Science (ASIS), Organization for Economic Cooperation and Development (OCED), UN Technical Cooperation Development Countries (TCDC), International Task Force for Transorder Data Flow, and other similar subjects.

Break file every 3 years and move active material forward. Dispose of individual documents or contents of file folder in the inactive file when they have served their purpose or when 5 years old, whichever is sooner.

193. Agreements Country File. This file contains bilateral agreements between U.S. and foreign countries to identify, obtain and make available scientific, technical, educational and other fields of information.

Dispose of 1 year after the agreement is superseded or terminated.

194. Conference Workshops. This file consists of documentation on conferences with international organizations related to the effective application and exchange of technical information.

Dispose of individual documents or file folders when no longer needed for current business.

195. Appropriate Technology. This file contains documentation on technical information developed by various foreign and domestic organizations and distributed by NTIS. This technology is made available to aid less developed countries through appropriate technical information exchange.

Dispose of when no longer needed for current business.

OFFICE OF MARKET DEVELOPMENT

The Office of Market Development conducts all functions relating to marketing, including market research, market development, promotion and exhibits; recommends, develops, and implements methods and procedures for identifying, locating, and refining potential markets for NTIS products and services; and designs and uses professional promotional vehicles for stimulating NTIS sales.

196. Market Development Subject Files. This file contains correspondence and related subject material created or collected by the office relating to marketing, market research, market development, promotion and exhibits. Included are such subjects as Business Information Clearing House, Domestic Dealers Analyses, Foreign Technology Acquisition, Information Brokers, Product and Program Management, Sales Statistics, Technology Transfer, World-Wide Information Service and related subjects.

Start the new file each year and bring forward active material as needed. Dispose of when 5 years old.

197. Chronological File. This file consists of an extra copy of documents prepared or signed in the office and maintained in date order.

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

198. Domestic Dealer Files. This file contains documentation and related correspondence from domestic firms concerning customer orders to NTIS, delivery of NTIS products and services to customers, and handling of customer inquiries.

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

199. Information Catalog Files. This file consists of a record set of NTIS general information and special technology catalogs provided by the Director of Market Development.

- a. Record Copy - Permanent. Transfer to the Washington National Records Center when no longer needed for current business if the volume warrants. Offer ~~to~~ ^{to} *in 10-year* blocks ^{to} National Archives when 20 years old.
- b. All other copies. Dispose of when no longer needed for current business.

200. Foreign Dealer Files. This file contains documentation and related correspondence between NTIS and foreign governments and dealers relating to the acquisition of scientific, technical and engineering information and reports. The file also covers such matters as proposed dealerships, subscription service, sales, inquiries and problems and related matters.

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

Promotion Division

201. Promotion Division Subject Files. This file consists of copies of incoming and outgoing correspondence and collected printed and processed materials relating to the activities of the Promotions Division. Typical subjects are Brokerage Services, New Products Subscriptions, Promotional Work Analysis, Price Directories, Micro-info Promotion, Media Advertising, Customer Research Reports, and subjects.

Start a new file each year. More active files forward and dispose of all others when 5 years old.

202. Promotional Literature File. This file consists of the record copies of all promotional literature produced by NTIS.

Dispose of when no longer needed for current business.

203. Promotional Literature Working Files. This file contains copies of promotional publications, revisions, review and approval documents, record of costs, billings, and related working papers.

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

204. Studies and Reports File. This file contains copies of reports, mailing lists, statistical data and related correspondence generated or collected by the Promotions Division in conducting studies and analyses of available data mailing list information.

Dispose of 5 years after completion of the project.

205. Conference Exhibit Files. This file contains documents and related correspondence pertaining to conference exhibits and seminars in which NTIS participates or conducts. Included are copies of requests for equipment and services, conference promotional documents, and other related material.

Start a new file every 2 years. Move active file folders forward and transfer all others to the Washington National Records Center when 3 years old. Dispose of 5 years thereafter.

206. Publications Bills File. This file consists of office copies of bills for design, printing, graphics, composition, photo, mail house mail lists, and other related promotional expenditures.

Dispose of when 2 years old.

207. Promotional Obligations File. This file contains office copies of procurement documents obligating funds for design, graphics, printing composition, photo, mail house, mail lists and other related promotional obligations.

Dispose of when 2 years old.

208. Administrative Subject File. This file contains office copies of informational and other papers on housekeeping matters such as organization, finance, forms, personnel actions, travel, budget, requisitions for supplies and services, production reports, visitors and the like.

Start a new file each year. Move active files forward and dispose of all others when 2 years old.

Order Processing Branch

209. Administrative Subject File. This file contains office copies of housekeeping papers on such matters as time and attendance, travel, budget, personnel, requisition for supplies and services, production reports and similar internal housekeeping matters.

Move active files forward and dispose of all others when 2 years old.

210. Correspondence Subject File. This file contains incoming and outgoing correspondence with collected documentation pertaining to all activities of the Order Processing Branch.

Move active files forward and dispose of all others when 2 years old.

211. Chronological File. This file consists of extra copies of materials, arranged by date, prepared in the Branch.

Dispose of when 2 years old.

212. Foreign Aid Dealer - Returned Check File. This file contains a record of checks sent to NTIS by customers in foreign countries which were returned and the customer requested to reorder through their designated NTIS dealer.

Dispose of when 1 year old.

Telex Operations

213. Telex Files. This file consists of copies of incoming and outgoing telexes from domestic and foreign customers regarding information on NTIS products and services.

Dispose of when 1 year old.

Identification/Order and Inventory Control Section

214. General Subject File. This file consists of incoming and outgoing correspondence, copies of reports, issuances, memorandums and related documents created or collected by the office.

Move active files forward and dispose of all others when 3 years old.

215. Price Diectory (Microfilm). This is a Master Inventory listing of all available documents for sale at NTIS.

Retire to RHA when 3 years old and transfer to Washington National records Center one year later.
Dispose of when 7 years old.

216. Correspondence Control (Microfilm). These are microfilm copies of correspondence relating to orders for NTIS products cash and Deposit Accounts. These records are used to trace Customer Orders.

Retire to RHA when 3 years old and transfer to Washington National records Center one year later.
Dispose of when 7 years old.

217. Orders in Suspense (Microfilm). These are microfilm copies of orders not shipped or are in the process of being shipped. These lists are used in responding to customer inquiries on products ordered.

Dispose of when 6 months old.

218. Shipped Order (Microfilm). These are microfilm copies of lists documents shipped by NTIS to customers. They are maintained by document number, and are used to trace customer orders in response to inquiries.

Retire to RHA when 3 years old and transfer to Washington National records Center one year later. Dispose of when 7 years old.

219. Catalog Reference Cards. These files consist of 3 x 5 cards recording all documents acquired by NTIS and also NTIS advertised documents that may be available elsewhere. Copies of these cards are filed in the following four categories: Title, Accession number, Series, and Contract number. The files are used to identify and verify information on customer orders.

Dispose of when no longer needed for current business.

220. Inventory Control Cards. The inventory control cards are used to input, correct and update all available NTIS documents on the Master Inventory Tape File. The cards reflect the type and format of the document, such as, magnetic tape, microfiche, and shelf stock. Also included is the announcement number, pages, cost, source, and date processed.

Dispose of when no longer needed for current business.

Sales Division

221. Telephone Sales File. This file contains information on NTIS Best Seller products and services, and is used for quick response to customer telephone inquiries.

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

222. Special Products Sales. This file contains a complete record of customer orders and deliveries of certain special NTIS products. These records are maintained by State,

product title and includes the number of purchases of each product. Included are Government Reports Annual Index (cumulative), Retrospective Title Index with updates, and AGARD multilingual Dictionary.

Dispose of when no longer needed for current business.

223. Subscription Mailing List. This is a computer generated listing of NTIS customer names and addresses, subscription period, and number of subscriptions ordered. The file is used to submit data to finance, Publications on the number of subscriptions to print, Budget, and similar type projects.

a. Summary Totals Listing - Dispose of when 1 year old.

b. Monthly Update Listings - Dispose of when 3 months old.

224. Subscription and Standing Orders Orders. This file contains customer's requests and correspondence related to NTIS subscription service. Includes such products as microfiche, data tapes and shelf copies.

Retire to RHA 1 year after the order is completed.

Dispose of when 2 years thereafter.

225. Documents Mailed File. This suspense file consists of 3 x 5 forms which contain a record of JPRS documents mailed to customers. The form includes the title of the document, accession number and document title sequence number.

Dispose of when 3 years old.

INFORMATION CENTER AND BOOKSTORE

This office is responsible for operating an on-site sale office located in downtown Washington.

226. Review Files. This file contains copies of letters and publications related to reviews made by various individuals, companies, associations of NTIS document and services. Contains also copies of announcements, advertisements and "thank you letters."

Start a new file each year. Destroy when file is 2 years old.

227. Bookstore Monthly Reports. This file contains copies of daily sales and transactions documents related to the bookstore operations. In addition, there are copies of daily cash receipt transmittals, Order Forms (NTIS-2) and adding machine tapes. Also included are the cash register tapes.

Destroy when file is one year old.

ASSOCIATE DIRECTOR FOR DATA BASE SERVICES

The office for Data Base Services is responsible for all functions related to computer products. More specifically, this includes developing comprehensive programs for identifying and acquiring for NTIS machine-readable data files created for the government; identifying and acquiring for NTIS on-line computer retrieval systems operating by/for the government; and creating customized packages of scientific and technical information and providing public access to these products; coordinating and ensuring the development of cataloging and indexing standards which can be used on a government-wide basis for the preparation of bibliographic records describing machine-readable data files and software programs; and operating and administering the Federal Software Exchange Center (FSEC).

Office of the Associate Director

228. Subject File. This file contains incoming and outgoing correspondence pertaining to the executive director of the Data Base Services Program. Includes informational and instructional papers, agenda and minutes, requests, reports, recommendations and studies; schedules, statistics and summaries; correspondence and memoranda; background and workpapers; and related documents of a general nature. typical subjects include Agreements, Data Bases, Directories, FSEC, Dealerships, Government Agencies, and the like.

Start a new file every 5 years and move active material forward as needed. Dispose of individual documents or contents of file folder in the inactive file when they have served their purpose or when 5 years old, whichever is sooner.

229. Chronological File. Consists of an extra copy of documents prepared or signed in the office and maintained in date order.

Start a new file each year. Dispose of when 5 years old.

Data Base Service Division

230. Administrative Subject File. Office copies of documents pertaining to such housekeeping matters as time and attendance, travel, budget, finance, personnel, requisitions for supplies and services, financial reports, and similar housekeeping activities.

Start a new file annually. Dispose of when 2 years old.

231. Chronological File. The files consist of extra copies of materials, arranged by date, prepared in the Data Base Service Activities.

Start a new file annually. Dispose of when 2 years old.

232. Lease Agreement File. This file consists of lease agreements, and related correspondence, for the lease of machine readable material and data software programs between NTIS and the public.

Dispose of 1 year after the lease agreement is superseded or terminated.

233. Interagency Agreements. This file consist of copies of Interagency Agreements, with related correspondence between NTIS and other Government agencies to obtain machine-readable products created by those agencies. These products, maintained by the NTIS Data Base Services provide customers ready access to a variety of machine-readable products produced by Government agencies.

Dispose of 1 year after the agreement is superseded or terminated.

Software Division

234. Federal Software Exchange Program (FSEC). This file contains documentation pertaining to the Federal Software Exchange Program which promotes Government-wide sharing of common use software owned by Federal agencies. Included in the file are copies of programs and descriptive information from the various agencies, NTIS Federal Software Exchange Catalog data, implementation data, inquiries and related information.

Dispose of the individual documents or contents of file folders when superseded or no longer needed for current business.

235. Machine-Readable Products Subject File. This file consists of documentation pertaining to the identification and accession of machine-readable scientific, technical and business information from various Federal agencies, and documentation pertaining to the cataloging, indexing, promotion and marketing of machine readable data files and

software programs. Also included is incoming and outgoing correspondence with private companies, universities, and other users and suppliers of machine readable data.

Start a new file every 5 years and move active material forward as needed. Dispose of individual documents or contents of file folder in the inactive file when they have served their purpose or when 5 years old, whichever is sooner.

236. Machine-Readable Product Sales Agreements. This file consists of sales products agreements between NTIS and the customer for machine readable media. Included in the documentation is the purchase price, uses of the product by the customer, effective date and duration, and related correspondence.

Retire agreements to RHA when 2 years old and transfer to WNRC 4 years later. Dispose of 5 years thereafter.

237. Customer Order and Register File. The file consists of customers' original orders for machine-readable media, sales registers, replacement documentation, and related correspondence. The sales register is a log contain the order number, customer's name and address, the amount received and the date the product was mailed.

Retire completed orders to RHA when 1 year old. Dispose of when 6 years, 3 months old.

238. Product File. This file contains the NTIS computer product catalog sheet, computer magnetic tape file properties, and the report documentation page.

Dispose of individual documents or the contents of file folders when superseded, or when no longer needed for current business.

239. Machine-Readable Product Library. Consists of machine-readable data file tapes and software available from NTIS.

a. Data file tapes. Cut of when superseded or no longer required for current business. Hold until end of calendar year. Offer to NARS using SF-258. If offer is not accepted, destroy in agency.

b. Software. Retain until superseded or withdrawn.

240. Product Distribution File. Consists of copies of product documentation sent to customers for use with machine-readable data file tapes.

Dispose of with related machine-readable data file tapes.

241. General Correspondence File. Consists of incoming requests for product information with copies of replies.

Dispose of when 3 months old.

242. Job Control Language Punched Cards. These cards contain instructions to utility programs to copy software and data files.

Dispose of individual decks when superseded or when the product has been obsoleted.

243. Sales Tape Inventory Listing. Lists each product available in the collection by title, accesssion number, and report number. Lists price along with information associated with the tape. The list is used to correct and update the inventory tape and also as a reference tool for customer inquiries.

Dispose of when superseded by a new listing.

OFFICE OF BIBLIOGRAPHIC AND DOCUMENT SERVICES

This Office is responsible for managing the cataloging, indexing, abstracting, filming, copying, order processing, warehousing, archiving, and distributing publications. The Office also plans and administers the Productivity Clearinghouse.

Bibliographic Services Division

244. Input Processing Subject File. This file contains correspondence, memoranda, and other documents related to the management and operation of the Division and its Branches. The file contains papers pertaining to such subjects as Acquisitions, Computer Products, Corporate Author Products, copyrights and Other limitations, Foreign Deal program, Information Analysis, NTIS Searches, Project Control, Tech Notes Program, and similar papers.

Move active files forward and dispose of all others when 3 years old.

Information Services Branch

245. Administrative Subject File. This file consists of office copies of documents pertaining to such internal housekeeping matters as budget, personnel, time and attendance, travel, requisitions for supplies and services, production reports, relevant directives, and other housekeeping matters.

Bring forward active records as needed and dispose of all others when 2 years old.

Bibliographic Services Division

246. Processing Worksheets. The processing worksheet file contains data entered into the computer for the GRA&I Announcement System.

Dispose of when 2 years old.

247. Document Report Number and Series Files. These files consists of 3 x 5 slips that contain a record of documents filed by report number and by series.

Dispose of when no longer needed for current business.

248. Corporate Author Authority File. This file consists of 3 x 5 cards containing a record of corporate bodies that have

reference documents in the system.

Dispose of when no longer needed for current business.

249. Catalogers Source File. This file contains 3 x 5 cards of acquired documents containing the corporate name, report number and sample document reference.

Dispose of when no longer needed for current business.

250. Document Sample File. This file contains a sample copy of the title page of the first document received from corporate sources.

Dispose of when 5 years old.

251. Clearinghouse Report File. This file contains documentation pertaining to the designaton of unique report numbers to certan corporate authority reports.

Move active files forward and dispose of all others when 5 years old.

252. GRA&I Journal Reference File. This file contains a complete set of GRA&I Journals published by NTIS and used for referencing report and indexes.

Dispose of when no longer needed for current business.

Information Analysis Branch

253. Administrtive Subject File. Consists of office copies of documents pertaining to such internal housekeeping matters as budget, personnel, time and attendance, travel, requisitions for supplies and services, and other housekeeping matters.

Bring forward active materials and dispose of all others when 2 years old.

254. Chronological File. Consists of copies of documents generated or signed in the office and arranged by date.

Dispose of when 2 years old.

255. Information Analysis Subject File. This file contains correspondence, memoranda, and other material received from

various Government agencies that pertain to the Information Analysis Activities. Includes such subjects as: AID Bibliographies, EPA, Environmental Management, GPO Task Group, Patents, Technology Innovators, Tech Notes and the like.

Move active papers forward and dispose of all others when 3 years old.

256. Published Search Strategies. This file consists of published search abstracts, search strategies, published searches and bibliographies developed from the NTIS data bases in subject areas of expected interest to users.

Dispose of when 1 year old.

257. Custom Online Search/Customer Order File. This file consists of customized online search orders, related correspondence and search strategies.

Dispose of when 5 years old.

258. SRIM Computer Printout. This is a computer generated printout of SRIM customer orders used for reference.

Dispose of when 3 years old.

259. SRIM Customer Order File. This file contains copies of customer requests with related correspondence. SRIM offers full texts copies of publications and customized indexes in microfiche of selected subject areas.

Dispose of individual files when subscription is cancelled or terminated.

Publication Division

260. Publications Copy File. This file contains make up copies of publications forwarded for printing. Included are copies of preliminary pages, page dummy and printing requirements.

Dispose of when no longer needed for current business.

261. Publication Reproducibles. This file contains copies of manuscript (camera copy) paper, photographic and other media used to reproduce copies of documents for distribution.

Dispose of when no longer needed for printing.

262. Contract Files. The file consists of office copies of contracts and related materials for the production of NTIS graphics and printing services.

Dispose of 2 years after the contract is completed.

263. Publications Service Printing Requisitions. These are office copies of requisitions and related material for publication services including computer generated text pages.

Transfer to RHA 3 years after the project is completed. Dispose of 1 year later.

264. Administrative Subject File. This file contains internal memorandums, procedures, guidelines and instructions pertaining to the operation of the Publications Activities. Included are office copies of production reports, time and attendance reports, budget reports, space reports, requisitions for supplies, and similiar housekeeping matters.

Move active files forward and dispose of all others when 2 years old.

265. Chronological File. This file consists of copies of letters and supporting documents prepared or signed in the office, arranged by date.

Dispose of when 3 years old.

266. Demand Printing Request. This file consists of printing requests for advance printing of NTIS "Best Sellers" and individual printings prepared in advance to meet customer demands. Also included are "Ride" printing requisitions for other agency publications.

Dispose of when 3 years old.

267. Daily Printing Report. This file contains copies of the daily printing report showing the number of documents received, number of documents printed, existing workload, and the average number processed during the work period.

Dispose of when 18 months old.

268. NTIS Subscription Product Printing Requests. This file consists of CD-10's used in printing subscription items received from Government agencies.

Dispose of when three years old.

269. Printing Control Log. This log used for controlling printed documents contains a record of the document, the accession number, number of copies and the date printed.

Dispose of one year after close of FY in which compiled.

Document Services Division

270. Chronological File. This file consists of copies of documents prepared or signed in the office and arranged by date.

Dispose of when 2 years old.

271. Document Service Subject File. This file contains copies of incoming and outgoing correspondence and collected printed materials pertaining to the activities for which the Division is responsible. The file includes such subjects as: Bibliographies, Document Processing, improved Service, Journals, Meetings, Microphotography, Patents, Projects, Reports, Sales, SRIM, Statistics, Subscriptions, and the like.

Start a new file every 5 years. Bring forward active materials as needed. Retire to RHA 1 year later, and transfer to the Washington National Records Center 2 years later. Dispose of when 10 years old.

272. Administrative Subject File. This file contains office copies of documents pertaining to such internal housekeeping activities as budget, personnel, time and attendance, travel, requisitions for supplies and services and similar internal housekeeping matters.

Bring active records forward and dispose of all other when 2 years old.

273. Organization Correspondence File. This file contains incoming and outgoing correspondence with private organizations and other Government agencies relating to the NTIS product and services programs.

Start a new file every 5 years. Bring forward active materials as needed. Retire to RHA 1 year later, and transfer to Washington National Records Center 2 years later. Dispose of when 10 years old.

274. Subscription Back Order File. This file contains requests for back issues of SRIM orders and other subscription products sold in microfiche.

Dispose of when 3 years old.

275. SRIM Print Order Card. This file contains cards for each accession number that has been distributed. Each card reflects the accession number, quantity of microfiche distributed, issue number, and the number of sorting bin.

Dispose of when no longer needed for current business.

276. SRIM Product Distribution Listing. This a computer listing containing a record of the accession numbers and the number of customers to whom SRIM products were distributed. Also included is a summary of the total number of SRIM copies distributed.

Dispose of when no longer needed for current business.

277. Service Agreement Files. This file consists of sales product agreements and related correspondence between NTIS and source inputing documents to the NTIS system. The agreement includes the purchase price of services supplied to or for the source client, effective date and duration, and related information.

Dispose of when the agreement is replaced or terminated.

278. Dealers Agreement File. This is a dealer sales file consisting of organizations who have agreements to sell NTIS products and services.

Dispose of when agreement is replaced or terminated.

279. Document Control Subject File. This file consists of incoming and outgoing correspondence, copies of reports, issuances, memorandums, and related documents created or collected by the Document Control Unit.

Move active files forward every 2 years and dispose of all others.

280. Reserved.

PRODUCTIVITY CLEARINGHOUSE

This office maintains a centralized data bank of information concerning productivity and the quality of working life. One major activity of the office is responding to request for productivity information from the public and private sectors. The office also provides support services to the National Productivity Council.

281. Request File. This file contains copies of correspondence and information orders forms related to request for publications, bibliographic information and resource information. Includes also lists of publications sent in response to each request. Also includes an index of requests filled.

Destroy this file after mail list has been updated or when the file is 2 years old whichever is sooner.

282. Contract File - Mailing House. This file contains a copy of the contract (originated in Budget) related to the handling, processing, distribution and storage of productivity publications. Also includes work orders and invoice copies for services provided.

Dispose of upon termination or completion of contract.

283. Clearinghouse Subject File. This file contains copies of correspondence, reports, and other documents related to the program and operations of the clearinghouse. Includes such subjects as budget, staff meeting, time and attendance, purchase orders for books and publications, travel and thank you letters.

Move active materials forward and dispose of all other files when 2 years old.

284. Clearinghouse-Audience Records System (Computer Mailing List). This is a computer generated listing of clients and customers of the clearinghouse services and publications. This listing is arranged by zip code. The original tapes are held by a private service bureau and company.

Retain until superseded or no longer needed for current business, whichever is sooner.

RECORDS COMMON TO ALL OFFICES

Listed below are files that are found in many offices. To avoid repetition, the items listed below and the retention periods supplied have been included to insure adequate disposition coverage of the records concerned. Should any of the records listed below be described elsewhere in the Schedule, the retention periods shown for all organization shall prevail, if different.

285. Chrono, "Reading, Tickler or Suspense" Files.

Chronological files have sometimes been listed under the appropriate organizational unit in the body of the Schedule. Those files consists of copies of communications that were prepared and/or signed in that unit, arranged in chronological order. This item covers all such files, whenever found in NTIS, except those listed elsewhere.

Establish new set of files annually. Dispose of when 1 year old.

286. Administrative Subject Files. These are office copies of documents pertaining to such internal housekeeping activities as travel, personnel, budget, space, supplies and requisitions for printing and other services.

Establish new files annually. Dispose of when two years old.

287. Office Copies of Directives. These are copies of directives from Department of Commerce, NTIS, and other pertinent organizational levels that are kept in many operating offices for policy and procedural guidance. The record copy of these and related directives is maintained in the originating office or in the Office of Management and Organization.

Dispose of individual directives when revised or revoked.

288. Supervisor's Time and Attendance Records.* Copies of records are maintained by designated timekeepers pertaining to the bi-weekly reporting of time and attendance, or leave, of individual employees. Record copies of these

* Privacy Act Records

documents are maintained by the National Bureau of Standards.

Establish a new file annually. Dispose of when 1 year old.

289. Technical Reference File. This contains printed and processed material collected from a variety of sources, and some work papers and other papers generated by the organization that contain technical information of reference value. The subject matter is related to the functional responsibilities of the particular office.

Dispose of when no longer needed for current business.

290. Weekly Activities Report. Copies of Weekly Activity Reports to higher authority by NTIS offices of significant activities and plans. The file may include copies of reports from subordinate units.

Establish a new file annually. Dispose of when 1 year old.

NTIS PERMANENT RECORDS

<u>File Title</u>	<u>Vol.</u>	<u>Yearly Accretion Per Ft.</u>
<u>Office of Director</u>		
3a- Speech File (alphabetic by subject)	2	Minimal
4- Directors Program Subject File (alphabetic by subject)	8	1
10a.- Committee Files (alphabetic by subject)	4	1/2
11- Permanent Policy Review File (alphabetic by subject)	4 1/2	1/2
<u>Office of Deputy Director</u>		
12- Deputy Director Program Subject File (alphabetic by subject)	2	1/2
<u>Office of Government Invention and Patents</u>		
<u>Office of A.D. for Financial and Administrative Management</u>		
165a- Directives Case File	1	Minimal
166- Project and Studies File (alphabetic by report)	1	Minimal
<u>Office of International Affairs</u>		
186- Annual Reports (by date and geographic location)	1	1/2
<u>Office of Market Development</u>		
199a- Information Catalog Files (numerically catalog number)	1/5	Minimal